





Project Document

Project title: Development of the First Biennial Transparency Report, the Second Biennial Transparency Report and Fourth National Communication of Sri Lanka to UNFCCC (Sri Lanka: BTR1+ BTR2/NC4)		
Country: Sri Lanka	**Implementing Partner (GEF Executing Entity):** Ministry of Environment	**Execution Modality:** Country Office (CO) Support to National Implementation (NIM)
Contributing Outcome (UNDAF/CPD, RPD, GPD): **UNSDCF OUTCOME 3:** By 2027, people and communities in Sri Lanka, especially the vulnerable and marginalized, are more resilient to climate change and disaster risks, have enhanced water and food security, and equitably benefit from ambitious climate action and increasingly sustainable management and protection of the environment and natural resources. **UNDP CPD Output 2.2**: Policies introduced, solutions implemented for enhanced food and water security and strengthened climate and disaster resilience. **UNDP CPD Output 2.4:** National institutions have the technical capacities for effective gender responsive NDC implementation.		
UNDP Social and Environmental Screening Category: Low	**UNDP Gender Marker: GEN2**	
Quantum Award ID: 1204287	**Quantum Project ID: 01000404**	
UNDP-GEF PIMS ID number: 6518	**GEF Project ID number:** 11321	
LPAC meeting date: November 7, 2023		
Last possible date to submit to GEF: N/A		
Latest possible CEO endorsement date: N/A		
Project duration in months: 48 months		
Planned start date: August 5, 2024	**Planned completion date:** August 5, 2028	
Expected date of Mid-Term Review: N/A (this is an Enabling Activity project)	**Expected date of Terminal evaluation:** N/A (this is an Enabling Activity project)	
Expected Operational Closure Date: May 5, 2029	**Expected Financial Closure Date**: November 5, 2029	
Brief project description: The Project objective is to strengthen technical and institutional capacity to assist Sri Lanka to fulfill the climate change reporting commitments under the UNFCCC and Paris Agreement. As such, the Project will enable Sri Lanka to prepare and submit its First Biennial Transparency Report (BTR1), the Second Biennial Transparency Report (BTR2) and Fourth National Communication (NC4). The Project will build on the findings and recommendations of previous NCs, Nationally Determined Contributions (NDCs).		

The preparation of the BTR1, BTR2 and NC4 with the financial assistance of the GEF will serve to further strengthen the institutional and technical capacities of Sri Lanka in implementing the Convention, Paris Agreement (PA), and reporting thereon to the UNFCCC. The project will support Sri Lanka to overcome some of the technical capacity gaps outlined in the NC3 and NDCs documents. The project will additionally provide a platform to further the development and implementation of the Measurement, Reporting, and Verification (MRV) systems for tracking emissions, mitigation, adaptation, and support within the Enhanced Transparency Framework (ETF) of the PA. These objectives will be achieved through the implementation of the four main components of the Project as follows:

- Component 1: Development of Sri Lanka's First Biennial Transparency Report (BTR1)
- Component 2: Development of Sri Lanka's Second Biennial Transparency Report (BTR2) and Fourth National Communication Report (NC4)
- Component 3: Compilation and submission of reports
- Component 4: Monitoring and Evaluation (M&E)

FINANCING PLAN

GEF Trust Fund grant	USD 1,233,000
Confirmed cash co-financing to be administered by UNDP	USD 0
(1) Total Budget administered by UNDP	USD 1,233,000
(2) Total confirmed co-financing to this project not administered by UNDP	USD 45,000
(3) Grand-Total Project Financing (1) + (2)	USD 1,278,000

SIGNATURES:

Signature:	**Agreed by Government of Sri Lanka**	**Date/Month/Year:**

Signature:	**Agreed by Implementing Partner**	**Date/Month/Year:**
Mr. B.K. Prabath Chandrakeerthi Secretary Ministry of Environment B.K. Prabath Chandrakeerthi, Attorney-At-Law Secretary Ministry of Environment		05/08/2024

Signature:	**Agreed by UNDP**	**Date/Month/Year:**
Ms. Azusa Kubota Resident Representative UNDP Sri Lanka	UNITED NATIONS COLOMBO - SRI LANKA	05/08/2024

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ACRONYMS AND ABREVIATIONS

AD	Activity Data
ADB	Asian Development Bank
AICRSL	Accelerating Industries' Climate Response in Sri Lanka
AWP	Annual Work Plan
AFOLU	Agriculture, Forestry, and Other Land Use
BAU	Business As Usual
BTR	Biennial Transparency Report
BUR	Biennial Update Report
CBIT	Capacity Building Initiative for Transparency
CCS	Climate Change Secretariat
CO	Country Office
COP	Conference of Parties
CPAP	Country Programme Action Plan
CRF	Common Reporting Format
CSOs	Civil Society Organisations
EF	Emission Factors
ETF	Enhanced Transparency Framework
FBUR	First Biennial Update Report
GCF	Green Climate Fund
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Greenhouse Gas
HACT	Harmonized Approach to Cash Transfers
HFC	Hydrofluorocarbons
ICAT	Initiative for Climate Action Transparency
INDC	Intended Nationally Determined Contributions
IP	Implementing Partner
IPCC	Intergovernmental Panel on Climate Change
IPPU	Industrial Processes and Product Use
L&D	Loss & Damage
LULUCF	Land Use, Land Use Change and Forestry
M&E	Monitoring & Evaluation
MoE	Ministry of Environment
MPGs	Methods, Procedures and Guidelines
MRV	Measurement, Reporting and Verification
NA1	Non-Annex I
NAMA	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NC	National Communication
NAPRSP	National Adaptation Plan Readiness Support Project
NDA	Nationally Designated Authority
NDC	Nationally Determined Contribution(s)
NEAP	National Environment Action Plan

NIM	National Implementation Modality
NIR	National Inventory Report
NGO	Non-Governmental Organisation
NMVOC	Non-methane Volatile Organic Compound
NPD	National Project Director
PB	Project Board
PCAT	Partner Capacity Assessment Tool
PD	Project Director
PIMS+	Project Information Management System
PMR	Partnership for Market Readiness
PMU	Project Management Unit
POPP	Programme and Operations Policies and Procedures
SAARC	South Asian Association for Regional Cooperation
SDG	Sustainable Development Goals
SESP	Social and Environmental Screening Procedure
SPI	Standard Precipitation Index
TACCC	Transparency, Accuracy, Completeness, Consistency and Comparability
TOR	Terms of Reference
QA/QC	Quality Assurance/Quality Control
SDGs	Sustainable Development Goals
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNSDCF	United Nations Sustainable Development Cooperation Framework
WAM	With Additional Measures
WEM	With Existing Measures

II. DEVELOPMENT CHALLENGE

Recognizing the serious threat posed by climate change, Sri Lanka ratified the UNFCCC in November 1993, Kyoto Protocol in September 2002, and the Paris Agreement on the 21st of September 2016. As a non-Annex 1 (NA1) Party to the Convention, Sri Lanka is obligated to implement the decisions of the Conference of the Parties (COP) regarding the implementation of policies and measures to adapt to, and mitigate climate change, thereby contributing to the attainment of the objectives of the Convention. The country submitted its Initial National Communication in November 2000 and the Second National Communication in March 2012. The Ministry of Environment (MoE) is the National Focal Point to the UNFCCC. The Inter Agency Coordinating Committee on Climate Change has been established as the decision-making body for climate change issues in 2021 and the Climate Change Secretariat has been established as the coordination and implementation entity under the Ministry of Environment.

This project aims to support Sri Lanka to prepare and submit its First Biennial Transparency Report (BTR1), Second Biennial Transparency Report (BTR2) and Fourth National Communication Report (NC4) by building on the work done under UNDP/GEF supported Climate Change Enabling Activity Phase I and II, the Initial National Communication (NC1), which was submitted in 2000, the Second National Communication (NC2), which was submitted in 2011, and the Third National Communication (NC3), which was submitted in 2022. Sri Lanka plans to submit its BTR1 to the UNFCCC Secretariat by December 2024 and the BTR2 in December 2026, and NC4 in June 2027 respectively.

Parties to the Paris Agreement may either:
• Continue to report a separate NC every 4 years, following the guidelines in decision 17/CP.8 or 6/CP.25, as appropriate OR
• Submit a single BTR/NC report in the years an NC is submitted, following the guidance in the MPGs for BTRs and including supplemental chapters on research and systematic observations (RSO) and education/training and public awareness following the guidelines in decisions 6/CP.25 and 17/CP.8, as appropriate (para. 43 of 1/CP.24). In addition, Parties that have not reported information on adaptation in section IV of the BTR must also include an additional chapter on adaptation, in accordance with the relevant guidelines in decisions 6/CP.25 and 17/CP.8, as appropriate (para. 43 of 1/CP.24).

Sri Lanka being highly vulnerable to climate change and combined with the country's economic dependence on climate-sensitive industries such as agriculture, fisheries, livestock, plantations, natural resources, health and tourism[1], the country cannot withstand additional impacts of climate change on its primary industries while going through a socio-economic recovery process. Climate projections on the basis of the General Circulation Models of the Intergovernmental Panel on Climate Change (IPCC) data are predicting continued warming for Sri Lanka with the probability of dry and wet areas becoming drier and wetter, while bringing more lands under extreme weather regimes. The IPCC also projects a 2.6 to 4.8-degree Celsius increase in global average temperature by the end of the century, as well as precipitation fluctuations, frequent extreme weather events and a sea-level rise of between 0.26 and 0.55 m above the 2005 level in 2100, for a +2-degree Celsius scenario (IPCC, 2014).

As such, this Project will update the current national Greenhouse Gas (GHG) inventory, the progress made on achieving Nationally Determined Contributions (NDCs), national information base on climate change impacts and adaptation efforts, information related to financial, technological and capacity building needs, education, and research et cetera.

[1] Sri Lanka's Second and Third National Communications to the United Nations Framework Convention on Climate Change (UNFCCC) and the National Strategy for Climate Change Adaptation.

Causal Analysis

Sri Lanka recognizes the need for a comprehensive planning and the need for a strong institutional, technical framework and the related capacities to address climate change and meet international commitments. This section presents the barriers and associated baseline activities that directly underpin the ability to achieve the project objective identified above. The identified challenges include:

a) Outdated GHG Inventory

Considering the base year for the GHG inventory reported in NC3, which was based on the time series from 2000 to 2010, an updated inventory is required. The GHG inventory would need to be updated considering the impacts of COVID-19 pandemic, and the prevailing economic crisis to understand the impact to the reduction progress of emissions.

Further, other than the energy sector, which had country-specific emission factors, default emission factors were used in preparing the GHG inventory for NC3. Developing country-specific emission factors would help to provide a clearer picture on the actual emissions in Sri Lanka.

Additionally, while the Climate Change Secretariat has a coordination mechanism to report and monitor the progress of Sri Lanka's NDCs, there is a lack of clarity on the interconnectedness of these NDC implementation activities in the relevant sectoral action plans, which in turn could reduce resource efficiency and may not be factored into the progress of emission reduction.

b) Scattered data and lack of trend projections on emissions

The fact that GHG emissions data is dispersed across different institutions makes it difficult to access the data. To provide a systematic mode to monitor the progress of the NDC mitigation sectors, a Measurement, Reporting and Verification (MRV) framework is being deployed under the Partnership for Market Readiness (PMR) Project. This framework is not operational yet, and it is being customized according to the country context with the technical support of Capacity Building Initiative for Transparency (CBIT), Asian Development Bank (ADB), the Accelerating Industries' Climate Response in Sri Lanka (AICRSL) Project and the Initiative for Climate Action Transparency (ICAT) project. To ensure a continuous data flow to these MRV systems, a data sharing network is also being established.

Additionally, some future trend analysis has been conducted through the development of Sri Lanka's 2050 Carbon Net Zero Strategy. However, this needs to be built on and fed into sectoral planning and developing mitigation strategies.

c) Limited understanding on and capacity to implement mitigation and adaptation actions

Various stakeholders including the government at the national and sub-national levels possess different levels of understanding on mitigation and adaptation. This is further compounded with the ongoing economic crisis as capacity development budgets have been significantly reduced. As part of the economic recovery measures, the government has also instituted a compulsory retirement policy, and is encouraging public servants to opt for unpaid leave and work either in the private sector or abroad. As such, this creates a vacuum in senior- and technical-level expertise. Additionally, there is limited awareness among the general public on climate change and the necessity for mitigation and adaptation actions, which impede advocacy and lobbying for a stronger climate action.

Further, there is a lack of understanding of gender-differentiated impacts of climate change and as such, disaggregated data including gender is not captured, analysed and reported. Sri Lanka's NC1, NC2 and NC3 did not have a distinct gender analysis or sex-disaggregated data related to mitigation or adaptation priorities. A gender analysis was conducted during the NDCs updating process from 2020 to 2021. This gender analysis recommended the integration of gender sensitive climate change actions through a consultative process, which would identify key gaps on gender mainstreaming and interventions which could be integrated into NDC Implementation Plan. In the recently developed NDC Implementation Plan, gender responsive and socially-inclusive indicators were developed for the sectors of water, livestock, fisheries and energy.

Baseline Scenario or Any Associated Baseline Projects

The project is aligned with the national priorities and capacity building needs identified in the NC3, as well as in the NDCs report. The NC1, NC2, and NC3 to the UNFCCC as well as the commitments expressed in the NDCs are all aligned with national priorities and critical in ensuring the implementation of the targets and activities to be transparent, consistent, complete, and accurate. The project is also aligned with national strategies including climate change as a cross-cutting theme and contributing to the achievement of the Sustainable Development Goals (SDGs).

Table 1: Key Baseline Activities linked with the Proposed GEF Enabling Activity Project

Name of completed/ongoing and/or planned programme/projects, duration of implementation	**Programme/Project objectives and targets**
Initiative for Climate Action Transparency (ICAT) project 2018 – 2019 ***(Completed)***	The Project developed an MRV system for the transport sector.
FAO-CBIT: Enhancing and Bridging Knowledge Gaps in Sri Lanka's NDC Implementation of AFOLU Sector for Enhanced Transparency Framework 2019 – 2024 ***(Ongoing)***	Covering components identified in Sri Lanka's NDCs, including strengthened agriculture and land use. The Project is working on operationalizing an MRV system for the Agriculture, Forestry and Other Land-Use (AFOLU) sectors.
Climate Promise Phase I 2021 ***(Completed)***	To update Sri Lanka's NDCs to reduce GHG emissions by 2030. The Project supported the update of Sri Lanka's NDCs. During the NDCs revision process, the alignment of the proposed climate actions with the SDG framework was also reviewed. The NDCs revision process included a detailed description of Sri Lanka's mitigation and adaptation priorities, as well as the support required for implementation including finance, technology, and capacity.

Strengthen the Process and Capacity of Implementation of National Adaptation Plan (NAP) of Sri Lanka 2021-2024 ***(Ongoing)***	Preparing sector vulnerability profiles to outline status and potential climate change risks that Sri Lanka has been facing through working groups with the involvement of a range of stakeholders. Prioritizing areas for future investment and synthesizing these sector-based analyses into one national adaptation strategy. Revising the NAP and developing provincial adaptation plans. The National Adaptation Plan Readiness Support Project (NAPRSP) will generate updated vulnerability assessments, sectoral and regional gender, and climate change analysis, and review national and provincial adaptation priorities.
Accelerating Industries' Climate Response in Sri Lanka (AICRSL) Project 2021 – 2024 ***(Ongoing)***	The Project is supporting to implement NDCs in the industry sector with one of the expected outputs being to operationalize an MRV system for the industry sector.
Climate Promise Phase II: From Pledge to Impact 2022 ***(Completed)***	Enable implementation of NDCs and enhancing gender responsiveness, social inclusion and sustainable development goals (SDGs) alignment in NDC Implementation Plans. The Project developed NDC Implementation Plans for the NDCs mitigation and adaptation sectors. The Project also conducted a gender analysis to develop gender-responsive and socially inclusive NDC Implementation Plans for the water, livestock, fisheries and energy sectors.
ADB: NDC Advance Programme 2022 – 2023 ***(Ongoing)***	The Project is working on customizing the MRV system for the waste and energy sectors.
Climate Finance Network 2022 – 2029 ***(Ongoing)***	Creating a sustainable climate financing framework to mobilize diverse sources of finance to support implementation of climate actions and driving green recovery across key sectors. The Project is supporting to create an enabling environment to access and mobilise international climate finance and private sector finance.
The Capacity-Building Initiative for Transparency – Global Support Programme (CBIT-GSP)	*Overall Objective:* Through regional networks various activities are provided including in-person workshops and trainings, e.g., on NDCs tracking, virtual knowledge-sharing events among countries, e.g., on tracking support needed and received, and national support activities, e.g., recommendations for institutional arrangements in countries or the identification of indicators for a country's NDCs. *Synergies:* The country can request complementary support for the BTR or in general for climate transparency and/or will use or be a source of information for knowledge management products.

This Project will support extensive and continued stakeholder engagement throughout the four years of its implementation to ensure coordination and cohesion between the above-mentioned projects, and their outcomes. The project will further support the Climate Change Secretariat (CCS) of the Ministry of Environment to continue an outward engagement with the Ministries of Finance and Foreign Affairs and the Presidential Secretariat.

Policy and Legislative Framework for Climate Change:

Sri Lanka introduced the National Climate Change Policy in 2012 and it was updated in 2023 to reflect the global development and emerging national priorities in the post-Paris Agreement period. Sri Lanka is also in the process of drafting a "Climate Change Act," which will enable the Ministry of Environment to enforce the mitigation commitments in the NDCs. This will act separate to the existing National Environmental Act No. 47 of 1980 as amended by Acts 56 of 1988 and 53 of 2000.

III. STRATEGY

Sri Lanka recognizes that it is imperative to have a comprehensive planning process for climate change response, and the need to have a strong institutional and technical framework and capacities to address the challenges. Consequently, the goal of this project is to strengthen Sri Lanka's technical and institutional capacity to enable the country to effectively respond to climate change challenges and meet its obligations under the UNFCCC.

This project will be implemented over a 4-year period, and the long-term goal of the project is to strengthen institutional and technical capacities of Sri Lanka in reporting implementation of its commitments under the Convention and the Paris Agreement to the UNFCCC. The project will build on the NC3 submitted to the UNFCCC in 2022 and will link with the programmes working to operationalize country-specific MRV systems for the NDCs mitigation sectors to strengthen transparency-related requirements under Article 13 of the Paris Agreement. Through improved transparency, reporting, and programmatic guidance, socio-economic benefits can also be gained largely through better information and informed decision-making in the pursuit for low-carbon and climate resilient development.

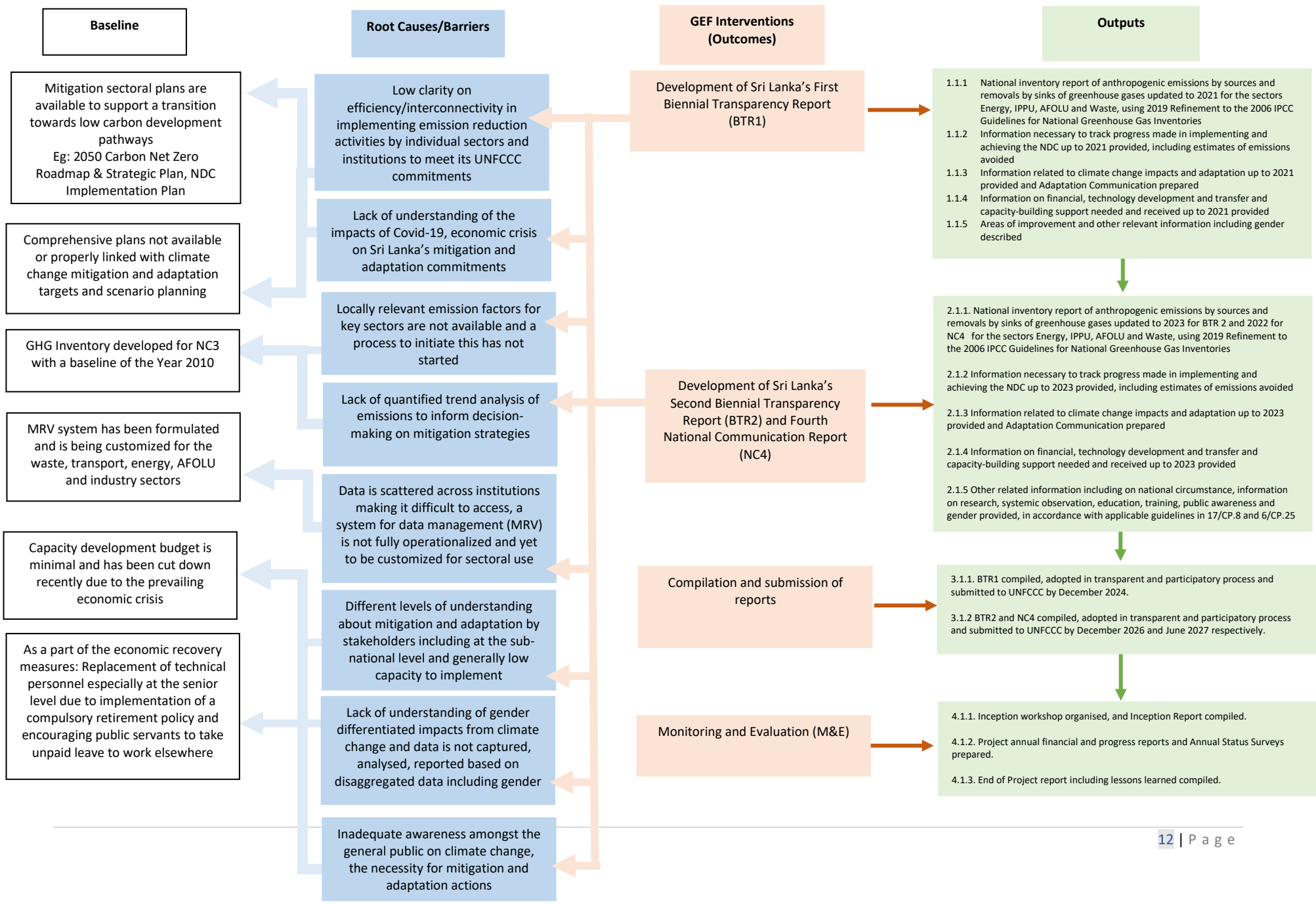
The Project is in line with the GEF-8 strategic focal area on climate change mitigation in creating enabling conditions to mainstream climate change concerns into the national planning and development agenda through developing BTR1, BTR2 and NC4 to meet reporting obligations under the UNFCCC and the Paris Agreement, in line with the Modalities, Procedures and Guidelines (MPGs) for the Enhanced Transparency Framework (ETF) as per Article 13 of the PA Decision 18/CMA.1, Decision 5/CMA.3 and Decision 17/CP.8 .

Project Development Objective:
"The project will strengthen technical and institutional capacity to assist Sri Lanka to mainstream climate change concerns into sectoral and national development priorities."

Project's Immediate Objective:
"The project will enable Sri Lanka to prepare and submit its BTR1 and BTR2 and NC4 to meet reporting obligations under the UNFCCC and the Paris Agreement (PA), in line with the Modalities, Procedures and Guidelines (MPGs) for the Enhanced Transparency Framework (ETF) for action and support referred to in Article 13 of the PA (Decision 18/CMA.1) and the guidance on operationalizing the MPGs as per Decision 5/CMA.3. Furthermore, the project will also enable Sri Lanka to prepare and submit its Adaptation Communication to the UNFCCC as a component of the BTR1 and NC4/BTR2 in line with Article 7 of the PA and Decision 9/CMA.1".

Figure 1

Theory of Change



Theory of Change Narrative

The objective of the project is to "strengthen technical and institutional capacity to assist Sri Lanka to mainstream climate change concerns into sectoral and national development priorities. As such, the Project will enable Sri Lanka to prepare and submit its BTR1 BTR2 and NC4 as to meet reporting obligations under the UNFCCC and the PA".

Based on the analysis of challenges described above, the Theory of Change (see Figure 1) follows a two-pronged strategy. It strives to enable Sri Lanka to prepare and submit its BTR1, BTR2 and NC4 by facilitating the financial support required to enhance technical inputs to the GHG inventory update, conducting consultations, extracting information from related projects/programmes, promoting coordination between agencies and developing climate change-related communication products.

Specific efforts will be taken in the project to (i) enhance Sri Lanka's GHG inventory through developing country specific emission factors, (ii) report on NDC progress including against gender and social inclusion indicators (for prioritized sectors), (iii) link with and fully operationalize MRV systems, (iv) analyze climate change scenarios and report on adaptation measures, (v) Adaptation Communication, (vi) discuss implementation of approaches to address loss and damage, and (vii) update technological and financial needs.

It is assumed that the required data to develop the respective Reports will be available and can be accessed through the relevant institutions (see Annex 8: Stakeholder Engagement Plan).

The project objective is to be achieved through the implementation of four complementary Components, and addressing the gaps and constraints as outlined above. The Components of the project are:

- **Component 1:** Development of Sri Lanka's First Biennial Transparency Report (BTR1)
- **Component 2:** Development of Sri Lanka's Second Biennial Transparency Report (BTR2) and Fourth National Communication Report (NC4)
- **Component 3:** Compilation and submission of reports
- **Component 4:** Monitoring and Evaluation (M&E)

IV. RESULTS AND PARTNERSHIPS

A. EXPECTED RESULTS

The project is designed to fulfil the obligation of the UNFCCC and the Paris Agreement as per the decisions 18/CMA.1 and 5/CMA.3 by preparing the First and Second Biennial Transparency Reports (BTR1 and BTR 2) and Fourth National Communication (NC4) on Climate Change of Sri Lanka and submission to the UNFCCC; and strengthen both institutional and technical capacities at the national level in reporting Sri Lanka's climate change commitments. The project results will be realized through the components, outcomes and outputs, as described below:

COMPONENT 1: DEVELOPMENT OF SRI LANKA'S FIRST BIENNIAL TRANSPARENCY REPORT (BTR1)

Outcome 1: Sri Lanka's BTR1 developed

Output 1.1. National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2021 for the sectors Energy, IPPU, AFOLU and Waste, using 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories

Under Output 1.1., the project will build on the inventory of the NC3, which was submitted in 2022 to the UNFCCC. The 2006 IPCC-Guidelines (GL) (IPCC, 2006) were predominantly used considering the Tier-1 approach. It includes emissions from Energy, Industrial Processes and Product Use (IPPU), Agriculture, Forestry, and Other Land Use (AFOLU) and Waste sectors. AFOLU emissions and removals are reported under Agriculture, and Land Use, Land Use Change and Forestry (LULUCF) separately. The GHG inventory provides emissions by sources and removals by sinks under the above sectors and relevant sub-sectors focusing on the Year 2010. In addition, GHG emissions were calculated for the time series of 2000-2010. Emissions were calculated in units of mass, and in CO2 equivalents using the global warming potential values given in the IPCC Second Assessment Report (IPCC, 1996).

However, the revised 1996 IPCC-GL was used for the calculation of hydrofluorocarbons (HFC) emissions in IPPU sector and the emissions of precursors, CO and non-methane volatile organic compound (NMVOC), in the energy and IPPU sectors as these precursor emissions are not given in the 2006 IPCC-GL. The emission factors (EFs) for certain forestry sub-categories were extracted from the Good Practice Guidance for Land Use, Land Use Change and Forestry (IPCC, 2003).

An Integrated MRV system was deployed under the PMR project, which needs to be further strengthened and it is expected that MRVs will be set up for the AFOLU, waste and the industry sectors. This expectation has created awareness across the sectors of the need to conduct a comprehensive inventory for GHGs.

As a developing country, Sri Lanka is applying for flexibility to report on its GHG inventory with a baseline of 3 years prior to the report submission date. Notably the NC3 was based on the year 2010, as such updating the GHG inventory would be an extensive task. As the updated NDCs were submitted to UNFCCC in 2021, some data is available for this year. Further, there are significant capacity and resource constraints as per the government economic recovery measures, the government is allowing government servants to take five years of unpaid leave to work in the private sector, locally or overseas, and has also mandated compulsory retirement at the age of 60 years (Please refer circular No 14/2022(II) at https://pubad.gov.lk/web/images/circulars/2022/E/1663225351-14-2022-II-e.pdf). It is expected that this will create a capacity vacuum, especially at the senior management and technical expertise level of government. The government has also instituted a hiring freeze.

The NC3 was submitted with substantial gaps, the main gaps and capacity building needs identified are:

- Research to improve country-specific Emission Factors (EFs);
- Though Quality Assurance and Quality Control have been ensured, an institutional mechanism for QA and QC permanently has not been established;
- Lack of data and their inconsistency (previous series not re-calculated as per the improvements introduced);
- Insufficient human capacities in relevant institutions;
- Fully operationalizing data collection, management and sharing between Activity Data (AD) providers;
- Disaggregated AD for estimating emissions from the energy subsectors is needed;
- Disaggregated AD for estimating emissions/sinks from the AFOLU sector is needed;
- Disaggregated AD for estimating emissions from the Waste sector is needed;
- Capacity building and knowledge transfer.

Therefore, under Output 1.1, the following activities will be undertaken:

The existing GHG inventory series, available from 2010 as the latest year in the NC3 (utilizing information available from NDCs reporting) will be upgraded for 2021, for the following direct: CO2, CH4, N2O and F-gasses and indirect GHGs: CO, NMVOCs, SO2 and NH3 (to the extent possible), from the following IPCC sectors of (a) Energy (b) Industrial Processes and Other Product Use (IPPU) (c) Agriculture, Forest and Land Use Change (AFOLU), (d) Waste, (e) Transport and all emission factors (EFs) reviewed/generated as appropriate;

- Emissions of the GHGs specified above shall be estimated according to the IPCC 2006 Guidelines, its 2013b supplement and 2019 refinements, using the 2006 IPCC software and trended for the period of 1990-2021 for the IPCC sectors listed above and steps of the compilations including AD and EFs documented and archived;
- Setting up and implementing the GHG inventory Quality Assurance and Quality Control Plan supported;
- Study on GHG sinks compiled and results used to feed the GHG inventory of BTR2 and NC4;
- Various methods and innovative tools used as available and feasible, such as remote sensing for the AFOLU sector, IT tools (Common Reporting Table, Common Tabular Format) and surveys;
- Improvement Plan for subsequent inventories to be developed;
- A comprehensive Training Plan developed for the project, ensuring all key national actors improve their specific capacity needs related to BTR development and transparency (such as data quality improvements, data sharing protocols, best practices and lessons learned from other countries etc.);
- Strengthen and consolidate the institutional arrangements (National Steering Committee for NDCs implementation, National Expert Committees on Mitigation and Adaptation, Inter-Agency Committee) and GHG inventory management system for the sustainable production of inventories of good quality as per the IPCC Transparency, Accuracy, Completeness, Consistency and Comparability (TACCC) principles to meet the ETF of the PA. To resolve the lack of disaggregated information in various sectors, enhance inter-sectoral cooperation and improve horizontal and vertical collaboration, thus harmonizing institutional coherence at all levels. This would be complementary to Sri Lanka's mechanisms for net zero carbon development pathways;
- Existing mechanisms for continued collection of GHG-relevant data strengthened including institutional, legal and procedural arrangements, for the continued assessment, compilation and timely reporting of national inventory reports and mechanisms;

- Review the status of MRV systems and strengthen them towards the development of GHG inventories and support mentorship, transfer of knowledge and good experience from other countries;
- Conduct an assessment to review existing GHG inventory methodologies of data collection to identify entry points to collect gender-disaggregated data;
- National Inventory Report (NIR) developed in accordance with the MPGs contained in chapter II of decision 18/CMA.1 and Article 13.7(a) of the Paris Agreement.

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 reports 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.

Output 1.2. Information necessary to track progress made in implementing and achieving the NDCs up to 2021 provided, including estimates of emissions avoided

The mitigation assessments and emission projections generated under the previous climate change enabling activity projects, have supported Sri Lanka in enhancing its climate ambition by articulating conditional and unconditional GHG reduction targets for 2030. Within the Capacity Building Initiative for Transparency (CBIT) project, a country specific MRV system is to be operationalized to support transparent reporting on AFOLU. The Accelerating Industries' Climate Response in Sri Lanka (AICRSL) Project is also expected to operationalize an MRV for the industry sector and ADB is working on operationalizing MRV systems for the waste and energy sectors. The Initiative for Climate Action Transparency (ICAT) project developed an MRV system for the transport sector.

The main gaps and capacity building needs identified are:

- Insufficient skilled human resources to report on progress annually;
- MRV systems are yet to be operationalized;
- While the NDC contribution to the SDGs implementation has been linked, a tracking system is yet to be established;
- Inadequate established database system in sectoral agencies to streamline the NDCs relevant data and sharing procedures;
- Neglected linking mitigation actions with development investments in the key focal agencies;
- Lack of policy coherence between mitigation ambitions, national development planning.

Under Output 1.2, the following activities will be undertaken:

- National circumstances and institutional arrangements for NDCs development, implementation and monitoring described;
- Conduct a rapid assessment on private sector initiatives, particularly those related to renewables (solar and hydro), to the national climate targets and NDCs;
- Building on SDG-NDC mapping exercise, linkages between climate actions and other development areas in implementing SDGs in Sri Lanka assessed and quantified (using SCAN tool as good practice identified by several non-Annex I countries);
- Description of the NDCs and information on NDC mitigation/adaptation policies and measures provided, as well as their effects as per the MPGs of decision 18/CMA.1, including co-benefits resulting from mitigation/adaptation actions and economic diversification plans;
- Linking with CBIT, AICRSL, ADB, ICAT projects, this project will support to establish/fully operationalize MRV systems;
- Monitoring and Evaluation of the NDCs, through the MRV systems that are to be operationalized to facilitate clarity, transparency and reporting of the NDCs;

- Observe if there is any information on safeguards issues that could arise from implementing climate mitigation policies including potential negative impacts on employment et cetera and provide recommendations. Further, develop indicators for remaining NDC sectors (Please refer to Annex 7: Gender Analysis and Action Plan);
- Political will and the country's ownership and engagement for the NDCs built through policy dialogues with the involvement of key national stakeholders (e.g., key ministries, local governments, Civil Society Organisations (CSOs), youth, academia, private sector);
- Training and capacity-building activities carried out (by ensuring mentorship, transfer of knowledge and good experience from other countries;) for the NDC thematic working groups (established under the previous NC projects) and policymakers of key institutions, to meet the requirements of the ETF under the Paris Agreement;
- Project's Knowledge Management Strategy developed, proposing ways to enhance, capture and share the project results and knowledge products more broadly and effectively, to develop new opportunities and ETF of knowledge products on the national climate change platform, regionally and on UNDP, GEF, CBIT and UNFCCC platforms.

The common tabular formats presented in Annex II to decision 5/CMA.3 will be used 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.

Output 1.3. Information related to climate change impacts and adaptation up to 2021 provided and Adaptation Communication prepared

The Meteorology Department of Sri Lanka has produced climate models and elaborated several climate indices (e.g., changing rainfall pattern, standard precipitation, Standard Precipitation Index (SPI), decreased rainfall anomalies, timing of rain, heat et cetera). Vulnerability assessments were elaborated through the NAP for food security, water resources, coastal and marine, health, human settlements and infrastructure, ecosystems and biodiversity, tourism and recreation, agriculture, industry, energy, and transportation. Provincial adaptation profiles are being developed through the NAP Readiness Project of Green Climate Fund.

The main gaps and capacity building needs identified are:

- The administrative capacity of Sri Lanka in the field of climate change adaptation is limited, with no sustainable approach to capacity building;
- Institutional and coordination gaps including low capacities on local level related climate resilience;
- Operationalizing activities identified related to the Warsaw International Mechanism on loss and damage;
- Further enhancing of the inter-sectoral cooperation and coordination is needed;
- Capacity-building in technical and scientific research required to conduct vulnerability assessments is needed;
- Lack of understanding on differentiated climate induced impacts on gender;
- Inclusion of climate change in sector-specific policies and budgets is needed;
- Involvement of civil society and the most vulnerable/risk-exposed community is needed in development, adoption, and implementation of climate policies.

Under Output 1.3, the following activities will be undertaken:

- National circumstances, institutional arrangements and legal frameworks relevant to Sri Lanka's adaptation actions described;
- Climate Variability and Climate Change in Sri Lanka analyzed by year 2021;
- Current climate change scenarios produced by Sri Lanka are used and impact assessment of climate change to be conducted in NC4 in sectors: Agriculture, Water Resources, Forestry, Biodiversity and sensitive ecosystems, Tourism, Health and Housing;
- Initiate discussion on challenges to identify reasons for declining sinks;
- Mechanism and mobilization of resources to implement provincial adaptation plans;
- Adaptation Communication in line with Decision 9/CMA.1, as a component of BTR1 prepared;
- Revive discussion on loss and damage including analyzing the governance set-up in order to identify and propose most suitable UNFCCC loss and damage contact point, with a view to enhancing the implementation of approaches to address loss and damage associated with the adverse impacts of climate change at the national level in Sri Lanka (see Decision 4/CP.22, paragraph 4(d));
- Strong institutional, policy and legislative framework for risk management and adaptation to climate change, while also addressing capacity building needs identified in Sri Lanka NC4 and NAP;
- Strong coordination with other donors/projects/international organizations supported to enhance transparency and complementarity of project results;
- Improved information to track progress made in implementing and achieving the adaptation policies and measures provided (M&E schemes and indicators proposed to facilitate clarity, transparency and reporting of the adaptation policies and actions);
- Different views and experiences of men and women analyzed and used to assess gender responsive and socially inclusive adaptation measures;
- Capacity building on collecting and using gender disaggregated data to establish differentiated climate impacts on women and men.

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

Output 1.4. Information on financial, technology development and transfer and capacity-building support needed and received up to 2021 provided

Technology Needs Assessment was conducted in 2014 and Technology Development Plans prepared following the assessments which were costed. Priority adaptation measures required (back in 2012) a total of about $238 million (food sector $154.8 million, health $509,750, water $41.57 million, coastal $5.5million, and biodiversity $36 million).

The main gaps and capacity building needs identified are:

- Technology Needs Assessment is outdated and needs to be updated incorporating gender considerations;
- Financial support needed and mapping of stakeholders to provide support are lacking;
- Mechanisms to assess climate finance is non-existent;
- Lack of clarity on financial support received and duly reported;
- Information on technology support received not reported.

Under Output 1.4, the following activities will be undertaken:

- Information on financial support needed and received under Article 9, support needed and received for technology development and transfer under Article 10, capacity-building support needed and received under Article 11 of the Paris Agreement, and support needed and received for the implementation of Article 13 of the Paris Agreement and transparency-related activities, including for transparency-related capacity-building up to 2022 compiled, assessed and included in the BTR1 by using the common tabular formats presented in Annex III to the decision 5/CMA.3. This particularly focuses on financial support needed and received for the development of GHG inventory, climate change mitigation and adaption activities in the country, including capacity building and awareness raising and incorporating CBIT project results and recommendations;
- Incorporating information from the Third National Designated Authority (NDA) Readiness Project to identify progress on the level of implementation of the Technology Needs Assessment;
- Collection and use of gender disaggregated data to analyze differentiated capacity constraints in adapting/mitigating to climate change, proposing inclusive technology transfer, and financing mechanisms;
- Collection and use of gender disaggregated data to analyze differentiated capacity constraints in adapting/mitigating to climate change, proposing inclusive technology transfer, and financing mechanisms (See Annex 7: Gender Analysis and Action Plan);
- Possibilities to introduce climate finance monitoring in the MRV system explored, and specific recommendations for follow-up actions provided.

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.

Output 1.5. Areas of improvement and other relevant information including gender described

Sri Lanka has captured several improvements in previous NCs related to the information on GHG inventories, mitigation options, adaptation actions and their effects, and technology needs assessment.

The main gaps and capacity building needs identified are:

- Standardize reporting format for improvements is needed;
- Addressing the incompatibility between the existing statistical data available in the country and the UNFCCC requirements for reporting is needed.

Under Output 1.5, the following activities will be undertaken:

- A self-assessment and stocktaking exercise for preparation of subsequent BTRs completed and used to feed the development of the BTR2 and NC4;
- Areas of improvement identified by Sri Lanka with the sectoral working groups on the technical review processes, accompanied with a clear strategy on how Sri Lanka is addressing or intends to address areas of improvement, as appropriate;
- Reporting-related capacity-building support needs identified, including those related to flexibility provisions;
- Support provided in strengthening the National Enhanced Transparency Framework established within the CBIT project and improved coordination on all governance levels;
- Ensure Gender Analysis and Action Plan is implemented and fed into BTR1.

COMPONENT 2: DEVELOPMENT OF SRI LANKA'S SECOND BIENNIAL TRANSPARENCY REPORT (BTR2) AND FOURTH NATIONAL COMMUNICATION (NC4)

Outcome 2: Sri Lanka's BTR2 and NC4 developed

Output 2.1 National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2023 for BTR2 and 2022 for NC4 for the sectors Energy, IPPU, AFOLU and Waste, using the 2006 IPCC Guidelines for National Greenhouse Gas Inventories

The project will build on the inventory of BTR1, which is planned to be developed in line with MPG requirements and submitted by December 2024 to the UNFCCC.

As a developing country, Sri Lanka is applying for flexibility to report on its GHG inventory with a baseline of 3 years prior to the report submission date.

Under Output 2.1, the following activities will be undertaken:

- The existing GHG inventory series, available from 2010 as the latest year in the NC3 (utilizing information available from NDCs reporting) will be upgraded for 2023, for the following direct: CO2, CH4, N2O and F-gasses and indirect GHGs: CO, NMVOCs, SO2 and NH3 (to the extent possible), from the following IPCC sectors of (a) Energy (b) Industrial Processes and Other Product Use (IPPU) (c) Agriculture, Forest and Land Use Change (AFOLU), (d) Waste and all emission factors (EFs) reviewed/generated as appropriate;
- Emissions of the GHGs specified above shall be estimated according to the IPCC 2006 Guidelines, its 2013b supplement and 2019 refinements, using the 2006 IPCC software and trended for the period of 1990-2023 for the IPCC sectors listed above and steps of the compilations including AD and EFs documented and archived;
- Implementing the GHG inventory Quality Assurance and Quality Control Plan supported;
- Study on GHG sinks compiled;
- Various methods and innovative tools used, if available and feasible, IT tools (Common Reporting Format - CRF reporter) and surveys for the forestry, industry and livestock sector;
- Improvement Plan for subsequent inventories to be developed;
- Existing mechanisms for continued collection of GHG-relevant data strengthened including institutional, legal and procedural arrangements, for the continued assessment, compilation and timely reporting of national inventory reports and mechanisms;
- Share findings of the assessment report on collecting gender disaggregated data and discuss the need for and opportunities with sectoral implementing agencies;
- Review the status of MRV systems and strengthen them towards the development of GHG inventories and support mentorship, transfer of knowledge and good experience from other countries.

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 reports 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.

Output 2.2. Information necessary to track progress made in implementing and achieving the NDCs up to 2022 and 2023 provided, including estimates of emissions avoided

Building on BTR1, information on the progress made in implementation and achieving NDCs up to 2023 will be provided and the mitigation scenarios will be revised taking into consideration relevant socio-economic aspects.

Under Output 2.2, the following activities will be undertaken:

- National circumstances and institutional arrangements for NDCs development, implementation and monitoring described;
- Track development policies and programmes that support climate change mitigation actions including fiscal incentives and legislative enactments;
- NDC contributions to the implementation of the SDGs in Sri Lanka assessed and quantified (using SCAN tool as good practice identified by several non-Annex I countries);
- Review the 2050 Carbon Net Zero Road Map and Strategic Plan which outlines projections of GHG emissions and removals updated for the NDCs mitigation sectors, taking into consideration the energy crises, raising fuel/food prices, circular economy considerations and relevant socio-economic aspects;
- Description of the NDCs and information on NDC mitigation/adaptation policies and measures provided, as well as their effects as per the MPGs of decision 18/CMA.1, including co-benefits resulting from mitigation/adaptation actions and economic diversification plans;
- Linking with CBIT, AICRSL, ADB, ICAT projects, this project will support to establish/fully operationalize MRV systems;
- Monitoring and Evaluation of the NDCs by introducing a NDC MRV module, through the MRV systems that are to be operationalized to facilitate clarity, transparency and reporting of the NDCs and mainstreaming gender and social inclusion in NDCs;
- Monitoring of NDC progress against gender and social indicators for the prioritized sectors (agriculture, water, livestock, fisheries, energy, tourism and industry), using the relevant expertise to provide recommendations on enhancing gender and social inclusiveness in climate change (See Annex 7: Gender Analysis and Action Plan).
- Further observe if there is any information on safeguards issues that could arise from implementing climate mitigation policies including potential negative impacts on employment et cetera and provide recommendations. Integrating gender related data to other NDC sectors (not listed above) to become more gender responsive and socially inclusive;
- Review progress and any action taken on safeguards issues that could arise from implementing climate mitigation policies including potential negative impacts on employment et cetera and provide recommendations (See Annex 7: Gender Analysis and Action Plan);
- Political will and country's ownership and engagement for the NDCs built through policy dialogues with the involvement of key national stakeholders (e.g., key ministries and line agencies, local governments, CSOs, youth constituencies, academia, private sector);
- Training and capacity-building activities carried out (by ensuring mentorship, transfer of knowledge and good experience from other countries;) for the NDCs thematic working groups (established under the previous NC projects) and policymakers of key institutions, to meet the requirements of the ETF under the Paris Agreement;
- Implementation of the Project's Knowledge Management Strategy supported, proposing ways to enhance, capture and share the project results and knowledge products more broadly and effectively, to develop new opportunities and enhance transparency of knowledge products on the national climate change platform, regionally and on UNDP, GEF, CBIT and UNFCCC platforms.

The common tabular formats presented in Annex II to decision 5/CMA.3 will be used 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.

Output 2.3. Information related to climate change impacts and adaptation up to 2022 and 2023 provided and Adaptation Communication prepared

Under the BTR1, climate variability and climate change in Sri Lanka will be analysed up to year 2021 and climate change scenarios will be updated with additional indices. The results will be used to revisit the impacts assessment of climate change in NC4 to update vulnerability and adaptation assessments.

Under Output 2.3, the following activities will be undertaken:

- National circumstances, institutional arrangements and legal frameworks relevant to Sri Lanka's adaptation actions described;
- Climate Variability and Climate Change in Sri Lanka analyzed by year 2023;
- Current climate change scenarios produced by Sri Lanka are used and impact assessment of climate change to be conducted in NC4 in sectors: Agriculture, Water Resources, Forestry, Biodiversity and sensitive ecosystems, Tourism, Health and Housing;
- Data from BTR1 used to address gender considerations within sectors covered to the extent possible in BTR2 andNC4;
- Information on mainstreaming and progress on implementation of adaptation updated, with emphasis on vulnerable groups;
- Adaptation Communication, in line with Decision 9/CMA.1, as a component of BTR2 and NC4 prepared;
- Support provided to mainstream adaptation relevant findings and recommendation in relevant sectoral policies on various governance levels, accompanied by adequate capacity building activities;
- The national MRV platform upgraded with adaptation module, thus operationalizing the M&E framework suggested in the NAP, and information collected to report on the NAP implementation progress, while addressing adaptation relevant capacity building needs identified in NC3;
- Climate change impacts on socio-economic development assessed;
- Vulnerability to the adverse effects of climate change for Disaster Risk Reduction assessed, including assessment to update losses (including gender disaggregated impact data) and damages (economic and non-economic) to the extent possible;
- Overlapping/complementarity between SENDAI, SDGs and UNFCCC/Paris Agreement requirements on DRR reporting identified, especially on loss and damage, as well as entry points to address loss and damage associated with climate change impacts in the country, particularly at the municipal level.

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

Output 2.4. Information on financial, technology development and transfer and capacity-building support needed and received up to 2022 and 2023 provided

Under the BTR1, information on financial support needed and received under Articles 9, 10, 11 and 13 of the Paris Agreement up to 2023 will be provided, along with information on the progress on the level of implementation of the Technology Needs Assessment. Recommendations for introducing climate finance monitoring in the MRV system shall also be provided.

Under Output 2.4, the following activities will be undertaken:

- Information on financial support needed and received under Article 9, support needed and received for technology development and transfer under Article 10, capacity-building support needed and received under Article 11 of the Paris Agreement, and support needed and received for the implementation of

Article 13 of the Paris Agreement and transparency-related activities, including for transparency-related capacity-building up to 2023 compiled, assessed and included in the BTR2 and NC4 by using the common tabular formats presented in Annex III to the decision 5/CMA.3. This particularly focuses on financial support needed and received for the development of GHG inventory, climate change mitigation and adaption activities in the country, including capacity building and awareness raising and incorporating CBIT project results and recommendations;

- Support provided in strengthening the National Enhanced Transparency Framework established under the CBIT project and improved coordination on all governance levels;
- Most suitable data collection/compiling structure relevant for this chapter proposed, in order to ensure sustainable process of compilation in future BTRs and NCs;
- Review and identify if gender disaggregated has been used in designing and implementing capacity building, financial, technological activities related to climate change adaptation and mitigation;
- Updated Technology Needs Assessment, extracting information from the Third NDA Readiness Project;
- Support provided for the implementation of the recommendations related to climate finance monitoring in the MRV system (stipulated in Component 1 of this project proposal).

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, 10 and 11 of the Paris Agreement.

Output 2.5. Other related information including on national circumstances, information on research, systemic observation, education, training, public awareness, and gender, in accordance with applicable guidelines in 17/CP.8

Under the previous climate change enabling activity projects, Sri Lanka has described progress on research and systematic observations in the country. Activities conducted so far in the field of education and awareness-raising of climate change have been quite modest. Climate change and the environment has been included in secondary schools. It has also been proposed to recently establish an International Climate Change University. Gender Analysis and Action Plan will be reviewed under Component 1.

The main gaps and capacity building needs identified are:

- Environmental education strategies, which will integrate environmental elements, including climate change is required;
- Lack of implementation of climate change communication strategy/plan (developed during NC3) and linking with the educational programmes conducted by the Ministry of Environment to enhance public awareness on climate change;
- Lack of mechanisms/tool to capture progress of public awareness/communication activities;
- Generally, there is a limited awareness towards climate change issues and the need for adaptive measures among the public and interested parties;
- There is also a need for greater involvement of private sector and civil society and enhanced advocacy.

Under Output 2.5, the following activities will be undertaken:

- National circumstances related to climate action described;
- Link with existing systems/projects (including WB Climate Resilience multi-phase programme approach (2019-2025) which is looking at enhancing climate services) to access and use available information on climate systematic observations in the country;

- Building on developed Research Strategies (i.e. Research Strategy from NC3, NEAP, 2050 Carbon Net Zero Road Map and Strategic Plan), draft a Research Plan to identify and address Research and Systematic observation needs for future BTRs/NCs and implement prioritized research areas;
- Capacity-building training on climate inclusive gender and social inclusion to be implemented (in partnership with local universities/research institutes);
- Conduct training(s), targeting civil servants including decision-makers/planners in the relevant sectors, key media institutions, banks, chambers of commerce on the causes and effects of climate change and their integration into education curricula and standards;
- Organize expert meetings on linking non-formal education and private and public enterprises with the aim of adapting to climate change and mitigating its consequences and create awareness at the community level;
- Climate Change Communication Strategy developed for the project including gender sensitive communication materials, to enhance public awareness and equip Sri Lankan citizens with knowledge (as greatest resource) to increase their resilience to climate change;
- Enhancing information transparency of the existing National Climate Change Data Sharing Network (NCCDSN) for the mitigation and adaptation sectors. Further, building capacity of officers to provide data to the NCCDSN;
- Initiate dialogue to access and distribute the existing, relevant educational and promotional materials, intended for vulnerable population groups and the general population during extremely high or low temperatures, episodes of air pollution, floods etc. that contain guidelines for the protection of public health;
- Awareness and knowledge of the general public and vulnerable groups raised about the impact of climate change on health. This includes additional education of the population on how to live and behave in extreme weather/climate situations (extremely high or low temperatures, air pollution episodes, contamination of drinking water and food, mosquito and tick bites, floods, droughts, etc.), suggesting measures and recommendations on how to behave in these situations;
- Project Knowledge Management Strategy implemented, capturing among other, lessons learned and recommendations for the next BTRs and NCs;
- Update status of implementation of the Gender Analysis and Action Plan as indicated in BTR1, BTR2 and NC4;
- Design and implement gender responsive and inclusive public awareness campaign(s) to promote BTR1, BTR2, and NC4 results.

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).

COMPONENT 3: COMPILATION AND SUBMISSION OF REPORTS

Outcome 3: BTR1, BTR2 and NC4 compiled, adopted by the Government and submitted to UNFCCC

Output 3.1. BTR1 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2024

Output 3.2. BTR2 and NC4 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2026 and June 2027 respectively

Following the completion of the outputs and outcomes presented above, the First Biennial Transparency Report, and the Second Biennial Transparency Report and the Fourth National Communication Report will be compiled according to the guidelines, requirements and formats set by the MPGs. In this respect, the final format will follow the outline for Biennial Transparency Report and apply common reporting tables and tabular formats presented in 5/CMA.3.

Parties to the PA may either:
• Continue to report a separate NC every 4 years, following the guidelines in decision 17/CP.8 or 6/CP.25, as appropriate OR
• Submit a single BTR/NC report in the years an NC is submitted, following the guidance in the MPGs for BTRs and including supplemental chapters on research and systematic observations (RSO) and education/training and public awareness following the guidelines in decisions 6/CP.25 and 17/CP.8, as appropriate (para. 43 of 1/CP.24). In addition, Parties that have not reported information on adaptation in section IV of the BTR must also include an additional chapter on adaptation, in accordance with the relevant guidelines in decisions 6/CP.25 and 17/CP.8, as appropriate (para. 43 of 1/CP.24).
For NC4, supplemental chapters on research and systemic observation and on education, training and public awareness will be compiled in accordance with applicable guidelines in 17/CP.8. The compilation and approval process of the BTR1, BTR2 and NC4 will be conducted in close consultation with all relevant national stakeholders. The Project will ensure that inclusive consultations are held including women's organizations, Ministry of Women's Affairs and that the sectoral working groups will gather inputs from a gender specialist. Once finalized, the documents will be edited and submitted to the UNFCCC Secretariat for posting and dissemination. The BTR1 is expected to be finalized and submitted to the UNFCCC by December 2024, and the BTR2 by December 2026 and NC4 by June 2027 respectively.

These reports will be produced in the following sequence and with the following sections as provided in Table 2. The reports will follow the detailed prescription for each chapter as spelt out in Decision 18/CMA.1 adopted by the Conference of Parties during the meeting of parties in Katowice in 2018.

Table 2: Contents of BTR1, BTR2 and NC4

Report and submission date	Chapters	Cross Cutting Sections
BTR1 **31 December 2024** **BTR2** **31 December 2026**	• GHG Inventories for 2021 and 2023 • Information on tracking progress in implementing and achieving NDCs • Climate Change Impacts and Adaptation • Financial, technology transfer and capacity building needs needed and received	• National circumstances as appropriate to each chapter including gender and social vulnerability analysis.
NC4 **30 June 2027**	• National Circumstances • National Greenhouse Gas Inventory for 2022 • General description of steps taken or envisaged to implement the convention	•

	✓ Programmes containing measures to facilitate adequate adaptation to climate change ✓ Programmes containing measures to mitigate climate change • Other information considered relevant to the achievement of the objective of the convention • Mitigation options • Climate Change Impacts, Vulnerability and Adaptation • Research, Education and Systemic Observation • Financial, technology transfer and capacity building needs needed and received	

COMPONENT 4: MONITORING AND EVALUATION (M&E)

Outcome 4: Project is regularly monitored, inception workshop organised, lessons learned compiled and disseminated

Output 4.1 Inception workshop organised and inception report compiled
Output 4.2 Project annual financial and progress reports and Annual Status Surveys prepared
Output 4.3 End of Project report including lessons learned compiled

Under these outputs, the Project will work towards implementing the stipulated M&E requirements for monitoring the Projects Results Framework (Section IV), M&E Plan (Section V) and also the Gender Action Plan (see Annex 7). Output 4.2. and 4.3. will provide the basis to assess the progress in meeting the agreed outcomes. To the extent possible, the project will promote a transparent, participatory approach to monitoring, evaluation and learning through the involvement of all relevant stakeholders.

B. KNOWLEDGE MANAGEMENT

The project will put specific focus on improving Climate Change Knowledge Management in Sri Lanka. A Climate Change Knowledge Management Strategy shall be developed, proposing ways to enhance, capture and share the project results and knowledge products more broadly and effectively including through awareness campaigns, to develop new opportunities and enhance transparency of knowledge products regionally and on UNDP, GEF and UNFCCC platforms. The Strategy shall be implemented within the project duration, in order to put sustainable practices in place for capturing and sharing knowledge products, as well as to make them easily accessible and consumable by policy makers, practitioners, academia, private sector and other key organizations. The implementation of this Strategy will be key to the overall goal of building bridges between the stakeholders from the grass-root to the national, provincial, private sector and community levels to support decision-making. This will include documenting best practices and results of the project and ensuring the flow of information, exchange of ideas and implementation and mainstreaming of gender into mitigation and adaptation planning and implementation.

C. PARTNERSHIPS

The proposed project will coordinate with selected donors, government programmes and other relevant projects to generate positive results through a combined approach (where appropriate), and also to share lessons learned and best practices. The relevant programmes are provided in Table 3 below.

The project is designed based on the experience and results of previous NCs and NDCs and takes into account the pre-existing institutional arrangements and the collaborative environment in previous projects. A knowledge-sharing information system will help improve knowledge management in relation to all transparency initiatives, including data, procedures, methodologies, and assumptions used in the preparation of NC, BTR, NDCs and MRV system.

Table 3: Partnership Programmes

Name of programme/project, duration of implementation	Programme/Project objectives and targets	How BTR1, BTR2 and NC4 Project will collaborate with the programme/project described
Initiative for Climate Action Transparency (ICAT) project 2018 – 2019 ***(Completed)***	The Project developed an MRV system for the transport sector.	The Project will extract data to update BTR1, BTR2and NC4. The proposed Project will collaborate to support fully operationalizing and linking with other MRV systems.
FAO-CBIT: Enhancing and Bridging Knowledge Gaps in Sri Lanka's NDC Implementation of AFOLU Sector for Enhanced Transparency Framework 2023 – 2024 ***(Ongoing)***	The Project is working on operationalizing an MRV system for the AFOLU sectors.	The proposed Project will collaborate to support fully operationalizing and linking with other MRV systems.
Climate Promise Phase I 2021 ***(Completed)***	To update Sri Lanka's NDCs to reduce GHG emissions by 2030. The Project supported the update of Sri Lanka's NDCs.	The proposed Project will extract NDC-related information in updating BTR1.
Strengthen the Process and Capacity of Implementation of National Adaptation Plan (NAP) of Sri Lanka 2021-2024 ***(Ongoing)***	Preparing sector vulnerability profiles to outline status and potential climate change risks that Sri Lanka has been facing through working groups with the involvement of a range of stakeholders. Prioritizing areas for future investment and synthesizing these sector-based analyses into one national adaptation strategy. Revising the NAP and developing provincial adaptation plans. The NAPRS project will generate	The proposed Project will gather information to update adaptation and vulnerability profile of Sri Lanka. The outputs of the NAPRSP would greatly support the completion of the Impacts and Adaptation sections of the BTRs and NC4.

Name of programme/project, duration of implementation	Programme/Project objectives and targets	How BTR1, BTR2 and NC4 Project will collaborate with the programme/project described
	updated vulnerability assessments, sectoral and regional gender and climate change analysis, and review national and provincial adaptation priorities.	
Accelerating Industries' Climate Response in Sri Lanka (AICRSL) Project **2021 – 2024** ***(Ongoing)***	The Project is supporting to implement NDCs in the industry sector with one of the expected outputs being to operationalize an MRV system for the industry sector.	The proposed Project will collaborate to support fully operationalizing and linking with other MRV systems.
Climate Promise Phase II: From Pledge to Impact **2022** ***(Completed)***	Enable implementation of NDCs and enhancing gender responsiveness, social inclusion, and SDG alignment in NDC Implementation Plans. The Project developed NDC Implementation Plans for the NDCs mitigation and adaptation sectors. The Project also conducted a gender analysis to develop gender responsive and socially inclusive NDC Implementation Plans for the water, livestock, fisheries and energy sectors.	The proposed Project will extract required information to track and monitor NDCs.
ADB: NDC Advance Programme **2022 – 2023** ***(Ongoing)***	The Project is working on operationalizing an MRV system for the waste and energy sectors.	The proposed Project will collaborate to support fully operationalizing and linking with other MRV systems.
Climate Finance Network **2022 – 2029** ***(Ongoing)***	Creating a sustainable climate financing framework to mobilize diverse sources of finance to support implementation of climate actions and driving green recovery across key sectors. The Project is supporting to create an enabling environment to access and mobilise international climate finance and private sector finance.	The proposed Project will collaborate to understand the financial needs and gaps in implementing climate action.

Co-financing:

In terms of co-financing, the below table indicates the details of co-financing activities:

Co-financing source	Agency	Co-financing type	Co-financing amount (USD)	Including in project results?	If yes, list the relevant outputs
Government Agency	Ministry of Environment	In-kind	10,000	No	N/A
UN Agency	UNDP	In-kind	25,000	No	N/A
UN Agency	UNIDO	In-kind	10,000	No	N/A
Total Co-financing (USD)			**45,000**		

D. RISKS

There are eight risks identified (one strategic, one organizational, four operational and two social and environmental), most of which are related to data unavailability and willingness to share data. All identified risks are described and addressed in Annex 6: UNDP Risk Register.

The Social and Environmental Screening Procedure (SESP) was applied at the time of the project design phase, and four potential social and environmental risks have been identified and addressed in the SESP template (see Annex 4). The overall risk rating for the Project is assessed as **'Low'.**

Summary Analysis of Socio-Economic Crisis and Covid-19 Considerations

Prior to the project initiation, a risk assessment of the potential impacts of COVID-19 and similar pandemics will be performed along with measures to mitigate its impact on the project. The impact of these pandemics on project progress will be closely monitored and adaptive management will be used to mitigate and address potential impacts on availability of technical expertise, capacity and change in timelines. The project will focus on building capacity and experience for remote work and online interaction. Sri Lanka managed the entire NDC update process in a virtual/online work environment, including over 120 meetings and webinars, TWG meetings and sector validation workshops.

The national process of BTRs and NCs preparation can help post-COVID-19 efforts rebuild to better and greener plans. Sri Lanka's green recovery plan emphasizes renewable energy, smart transportation including electric mobility and sustainable agriculture to overcome food security challenges. Like many countries, one of the challenges facing Sri Lanka after the COVID-19 pandemic is strengthening its public financial management (especially as the country faces an economic and debt crisis) and reactivate the economy in this new normal. This transition can therefore be guided by a new model of national development, which is sustainable, inclusive, low-emissions and resilient to climate change.

The Stakeholder Engagement Plan (see Annex 8) will include measures to manage risks that may arise due to the prevailing socio-economic crisis in Sri Lanka including the resurgence of a fuel crisis, which may impact planned consultations and workshops. The project will adopt alternative modes of working including videoconferencing to ensure the engagement of stakeholders. The Stakeholder Engagement Plan will also include measures to manage the risks that COVID-19 and similar pandemics, including the possibility of reinstating containment measures, could affect to the mobility and involvement of project staff and stakeholders. The project will employ video-conferencing equipment/tools for virtual meetings and workshops, revise the workplan, apply social distancing and provide Personal Protective Equipment (PPE) to prevent exposure among project staff, stakeholders and

participants, as and when necessary. A budget will be included for IT support and PPE in the Total Budget and Work Plan (see Section VI) accordingly.

E. STAKEHOLDER ENGAGEMENT AND SOUTH-SOUTH COOPERATION

Various stakeholders across sectors were engaged in previous NC and NDCs updating processes. These networks will be utilized to inform the development of the BTRs and NC. It is envisaged that the ownership of the NC and BTR processes will be enhanced to make these reports more inclusive and responsive to national needs during the project implementation and also monitoring and evaluation cycles. The project proposal intends to strengthen stakeholders' participation to collectively engage in addressing climate change issues and challenges in Sri Lanka. The preparation process of the previous NCs has contributed to the institutional strengthening of the CCS as a competent lead institution in the application of the Convention as well as of other relevant institutions at national level. This project will additionally improve sustainability in the preparation of future NCs and BTRs and will facilitate the reporting requirements to the UNFCCC.

As such, the project stakeholders will comprise diverse participants, including line ministries and agencies, local communities, local authorities and NGOs, mass-media, research institutions, private sector and international organizations, with a particular emphasis on related sectors (See Annex 8: Stakeholder Engagement Plan).

The integration of varied sectors strengthens the institutional and technical capacity of the different stakeholders and institutions, not limited to a reduced group of experts and decision makers from the governmental institution where the responsibility for the fulfillment of the national obligations to the Convention lie. The engagement of a wide range of stakeholders will also support addressing safeguards issues that are described in the SESP (see Annex 4), and ensure that all voices, gender concerns, are addressed satisfactorily.

Stakeholder engagement envisages the following meetings, which are embedded in the project outputs/activities:

- Inception workshop to discuss the conceptual framework and design for each report/area of work; and to highlight any prevailing challenges to data acquisition and sharing, monitoring assessment and reporting.
- Stakeholder consultations workshops to support each outcome area, including updating of national circumstances, GHG inventory preparation, vulnerability assessments, reporting back on the NDCs, validating mitigation and adaptation priorities, technology, financing and capacity building needs.
- Capacity building workshops on the ETF, BTRs and NCs.
- Meetings of thematic working groups with sector representatives.
- Group discussions to solicit ideas, create synergies and opportunities for networking, knowledge sharing and joint actions.
- Validation workshops to discuss results, validate accuracy of the analyses and assure quality of the results.
- Final dissemination workshop to discuss findings, raise awareness and reinforce collaboration and networking.

F. GENDER EQUALITY AND WOMEN'S EMPOWERMENT

Stakeholder engagement and partnerships will be consolidated and implemented in conjunction with actions on gender in order to ensure that gender equality considerations are firmly integrated throughout project interactions with stakeholders.

Gender related project activities will build on previous efforts to mainstream gender into climate change policy documents (including NDCs, NDC Implementation Plan). A Gender Analysis (see Annex 7) has been undertaken during the project preparation phase and provided recommendations to be adopted through the Project to address these issues and ensure the project is implemented in a gender responsive way.

The project's deliverables will be gender-sensitive and will include gender-specific measures in activities, such as maximizing women's participation in capacity building activities. In line with the Results Architecture for GEF-8, the project will report on direct project beneficiaries disaggregated by gender, as a co-benefit of the GEF investment.

G. INNOVATIVENESS, SUSTAINABILITY AND POTENTIAL FOR SCALING UP

Innovation: Several factors contributed to the project's innovative character, namely the introduction of a transparent portal, tracking of long-term low-carbon development, detailed analysis of gender, and inclusion of gender disaggregated data. These are the first features of a project of this nature for Sri Lanka with the long-term goal of building the capacity of the government and other stakeholders. Supporting the Climate Change Secretariat to enhance coordination, monitoring and planning at the sectoral level through the NDCs Planning and Monitoring Committees to better respond to the new transparency requirements under the Paris Agreement and report to the NDCs National Steering Committee. The MRV management system which is being customized with the engagement of national stakeholders from different government and private sector agencies will further enable smooth communication and reporting.

Sustainability: The project is predicated on the premise of a long-term goal of strengthening national capacities and thereby obliging national actors to take ownership of the structures and institutions of the project. The project envisages strengthening and utilizing the capacity of existing institutions, and human resources within them to be responsible for the climate actions and meet obligations of the Paris Agreement as a country committed to mitigation and adaptation schedules. The project will engage with a wide range of stakeholders, and with its focus on gender equality, build capacities of both men and women on climate action. The capacity building workshops will encourage innovative thinking, new approaches in mitigation and adaptation, collection of data, information, toolkits, alternative scenarios, participatory approaches to climate modelling, using the MRV portal and other innovative approaches for climate action. Environment sustainability is achieved through low carbon development options promoted in the project, which support socio-economic sustainability.

V. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): SDG 13 – Climate Action: Take urgent action to combat climate change and its impacts
This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD): UNSDCF OUTCOME 3: By 2027, people and communities in Sri Lanka, especially the vulnerable and marginalized, are more resilient to climate change and disaster risks, have enhanced water and food security, and equitably benefit from ambitious climate action and increasingly sustainable management and protection of the environment and natural resources. **UNDP CPD Output 2.2**: Policies introduced, solutions implemented for enhanced food and water security and strengthened climate and disaster resilience. **UNDP CPD Output 2.4**: National institutions have the technical capacities for effective gender responsive NDC implementation.

	Objective and Outcome Indicators	**Baseline**	**End of Project Target**
Project Objective:	To assist the Government of Sri Lanka to prepare and submit its First Biennial Transparency Report, the Second Biennial Transparency Report and Fourth National Communication to fulfill its obligations under the UNFCCC (Sri Lanka: BTR1+ BTR2/NC4)		
	Mandatory GEF Core Indicator 1: # direct project beneficiaries disaggregated by gender (individual people)	177 officers from Capacity Building Programme Completion Report from Climate Promise Phase II Project	An additional 150 people (minimum 50 women) trained and their capacity built across the NDC mitigation and adaptation sectors to meet enhanced transparency requirements
Project component 1	**Development of Sri Lanka's First Biennial Transparency Report (BTR1)**		
Outcome 1: Sri Lanka's BTR1 developed	**Indicator 2:** National GHG Inventory Report updated according to IPCC guidelines for BTR1	Data from NC3	NIR submitted to UNFCCC in BTR1 (2024)
	Indicator 3: Progress in reporting on NDC implementation, climate change impacts, adaptation and support needed and received in compliance with MPG requirements for BTR1	Data from previous NCs, NDC Implementation Plan Progress Reports, NDA Readiness Project Progress Reports	BTR1 produced in line with MPG requirements, providing an update on implementing NDCs, climate change impacts, adaptation, national priorities, institutional arrangements, support needed and received. BTR1 produced in line with national priorities, updating institutional arrangements.

	Objective and Outcome Indicators	Baseline	End of Project Target
Outputs to achieve Outcome 1	1.1. National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2021 for the sectors Energy, IPPU, AFOLU and Waste, using 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories.		
	1.2. Information necessary to track progress made in implementing and achieving the NDCs up to 2021 provided, including estimates of emissions avoided.		
	1.3. Information related to climate change impacts and adaptation up to 2021 provided and Adaptation Communication prepared.		
	1.4. Information on financial, technology development and transfer and capacity-building support needed and received up to 2021 provided.		
	1.5. Areas of improvement and other relevant information including gender described.		
Project component 2	**Development of Sri Lanka's Second Biennial Transparency Report (BTR2) and Fourth National Communication (NC4)**		
Outcome 2: **Sri Lanka's BTR2 and NC4 developed**	**Indicator 4:** National GHG Inventory Report updated according to IPCC guidelines for BTR2 and NC4	Data from BTR1, NC3	02 NIR submitted to UNFCCC in BTR2 and NC4.
	Indicator 5: Progress in reporting on NDC implementation, climate change impacts, adaptation, research and support needed and received in compliance with MPG requirements for BTR2 and NC4	Data from BTR1, NC3, NDC Implementation Plan progress reporting, NDA Readiness Project Progress reports	BTR2and NC4 produced in line with MPG requirements, providing an update on implementing NDCs, climate change impacts, adaptation, national priorities, institutional arrangements, research, support needed and received.
Outputs to achieve Outcome 2	2.1. National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2023 for BTR2 and 2022 for NC4 for the sectors Energy, IPPU, AFOLU and Waste, using the 2006 IPCC Guidelines for National Greenhouse Gas Inventories.		
	2.2. Information necessary to track progress made in implementing and achieving the NDCs up to 2022 and 2023 provided, including estimates of emissions avoided.		
	2.3. Information related to climate change impacts and adaptation up to 2022 and 2023 provided and Adaptation Communication prepared.		
	2.4. Information on financial, technology development and transfer and capacity-building support needed and received up to 2022 and 2023 provided.		
	2.5. Other related information including on national circumstances, information on research, systemic observation, education, training, public awareness and gender, in accordance with applicable guidelines in 17/CP.8.		
Project component 3	**Compilation and submission of reports**		

	Objective and Outcome Indicators	Baseline	End of Project Target
Outcome 3: BTR1, BTR2 and NC4 compiled, adopted by the Government and submitted to UNFCCC	**Indicator 6:** BTR1, BTR2 and NC4 validated through inclusive consultations	NC3 validated by stakeholder groups and technical review committees	BTR1, BTR2 and NC4 validated and presented to the Cabinet.
	Indicator 7: Publication/printing of BTR1, BTR2 and NC4	NC3 published and shared with public and stakeholders	BTR1 submitted to the UNFCCC Secretariat by December 31, 2024. BTR2 and NC4 submitted to the UNFCCC Secretariat by December 31, 2026 and June 2027 respectively.
Outputs to achieve Outcome 3	3.1. BTR1 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2024.		
	3.2. BTR2 and NC4 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2026 and June 2027 respectively.		
Project component 4	**Monitoring and Evaluation (M&E)**		
Outcome 4: Project is regularly monitored, inception workshop organised, lessons learned compiled and disseminated.	**Indicator 8:** # of monitoring reports compiled	0	*6 reports prepared:* 1 Inception Workshop Report 4 Annual Status Surveys 1 End of Project Report
Outputs to achieve Outcome 4	4.1. Inception workshop organised, and inception report compiled.		
	4.2. Project annual financial and progress reports, including Gender Action Plan monitoring and Annual Status Surveys prepared.		
	4.3. End of Project report including lessons learned compiled.		

VI. MONITORING AND EVALUATION (M&E) PLAN

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined 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[2]. The costed M&E plan included below, and the Monitoring plan in Annex 5 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 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 First disbursement date, with the aim to:

a. 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.
b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
c. Review the results framework and monitoring plan.
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget, if applicable; 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.
e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
g. Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.
h. 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 English, duly signed by designated persons, cleared by the UNDP Country Office and the UNDP-NCE Regional Technical Adviser, and will be approved by the Project Board.

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

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

Lessons learned and knowledge generation: A validation workshop will be conducted prior to the finalization and submission of each of the respective reports. Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyze and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be a continuous information exchange between this project and other projects of similar focus in Sri Lanka, region and globally.

Final/End of project report: During the last three months, the project team will prepare the End of Project Report (in English). This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned and findings of above validation workshop, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results. The End of Project Report shall be discussed with the Project Board during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure 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[3] and the GEF policy on public involvement.[4]

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 (PMU) annually and will be evaluated periodically during the 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. The Monitoring Plan (see Table 5 below) details the roles, responsibilities, and frequency of monitoring project results.

[3] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/
[4] See https://www.thegef.org/gef/policies_guidelines

Table 5: Monitoring Plan

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[5]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project objective To assist the Government of Sri Lanka to prepare and submit its First Biennial Transparency Report (BTR1), the Second Biennial Transparency Report (BTR2) and Fourth National Communication (NC4) as to fulfil the obligations under the United Nations Framework Convention on Climate Change (UNFCCC).	***Indicator 1*** *# direct project beneficiaries disaggregated by gender (individual people) - other columns needs to be revised/adjusted accordingly*	*150 people (minimum 50 women)*	*Number of people from NDC mitigation and adaptation sectors engaged in training/capacity building programmes to meet enhanced transparency requirements. The target is defined by envisaging 10 persons per NDCs sectors (at least 15 institutions). This target seeks to strengthen the capacity of an additional 150 persons to the 177 officers whose capacities have already been built through the Climate Promise Phase II Project.*	*Participant lists from the respective trainings/workshops, technical meetings, disaggregated by gender.* *Representatives of the Project Board disaggregated by gender*	Annually	Ministry of Environment	Signed lists of the events; trainings/workshops, technical meetings. Nominated representatives of the Project Board. BTR1, BTR2 and NC4 submission	**<u>Assumptions</u>** It will be possible to conduct training workshops for the targeted stakeholders and the targeted stakeholders will attend the training programme. Political support and consensus for the BTR/NC process will continue.
Project Outcome 1 Sri Lanka's BTR1 developed	***Indicator 2*** *National GHG Inventory Report updated according to IPCC guidelines for BTR1*	*Prepare and submit Updated GHG Inventory of Sri Lanka for base year 2021.* *1 NIR covering period 1990 – 2021 submitted to UNFCCC*	*The NIR will be prepared in line with 2019 Refinement to 2006 IPCC Guidelines for the Energy, IPPU, AFOLU, Waste and Transport sectors.*	Annual Status Survey	Annually	Ministry of Environment	UNFCCC website	**<u>Risk</u>** Timely and accurate data necessary to meet the new reporting requirements may not be available.

[5] Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[5]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
								Assumptions The contracted team will be able to access the relevant data. There is capacity to carry out the GHG inventory updating exercise.
	Indicator 3 *Progress in reporting on NDC implementation, climate change impacts, adaptation and supported needed and received in compliance with MPG requirements for BTR1*	*Information on the status of NDC implementation, climate change impacts and adaptation and support needed and received (in terms of capacity building, financial and technical support) is compiled up to 2021 as part of BTR1 in line with MPG requirements and by using the common reporting tables and tabular formats of Decision 5/CMA.3. Adaptation Communication is prepared.*	The indicator will assess to what extent information on NDC implementation, climate change impacts and adaptation, support needed and received has been reported in compliance with Decisions 18/CMA.1 and 5/CMA.3	Annual Status Survey End of Project Report	Annually	Ministry of Environment	UNFCCC website	**Risks** Timely and accurate data to meet reporting requirements may not be available **Assumptions** It will be possible to provide updated information on national priorities and institutional arrangements. It will be possible to provide updated information on NDC implementation, climate change impacts and adaptation, support needed and received
Project Outcome 2 Sri Lanka's BTR2 and NC4 developed	***Indicator 4*** *National GHG Inventory Report updated according to IPCC guidelines for BTR2 and NC4*	*1 NIR covering period 1990 – 2023 submitted to UNFCCC*	*NIR will be prepared in line with 2019 Refinement to 2006 IPCC Guidelines for the Energy, IPPU,*	Annual Status Survey	Annually	Ministry of Environment	UNFCCC website	**Risks** Timely and accurate data necessary to meet new reporting requirements may not be available

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[5]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
			AFOLU, Waste and Transport sectors.					**Assumptions** The contracted team will be able to access the relevant data. There is sufficient capacity to carry out the GHG inventory updating exercise.
	Indicator 5 *Progress in reporting on NDCs implementation, climate change impacts, adaptation, research and support needed and received in compliance with MPG requirements for BTR2 and NC4*	*Information on the status of NDC implementation, climate change impacts and adaptation and support needed and received (in terms of capacity building, financial and technical support) is compiled up to 2023 as part of BTR2 and NC4 in line with MPG requirements and by using the common reporting tables and tabular formats of Decision 5/CMA.3. Adaptation Communication is prepared.*	The indicator will assess to what extent information on NDC implementation, climate change impacts and adaptation, support needed and received has been reported in compliance with Decisions 18/CMA.1 and 5/CMA.3	Annual Status Survey End of Project Report	Annually	Ministry of Environment	UNFCCC website	**Risks** Timely and accurate data to meet reporting requirements may not be available **Assumptions** It will be possible to provide updated information on NDC implementation, climate change impacts and adaptation, support needed and received
Project Outcome 3 BTR1, BTR2 and NC4 compiled, adopted by the Government	***Indicator 6*** *BTR1, BTR2 and NC4 validated through inclusive consultations*	• *Engage relevant stakeholders in an Inception Workshop to apprise of the project and detail the overall work plan inclusive of the roles of key stakeholders.* • *Validation workshops conducted prior to*	BTR1, BTR2 and NC4 is shared with sector specific stakeholders and validated prior to finalizing the respective reports and presenting to Cabinet for approval	Workshops meeting minutes	Bi-annually (every 2 years)	Ministry of Environment	BTR1, BTR2 and NC4	**Assumptions** Comments will be received to revise and validate BTR1, BTR2 and NC4.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[5]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
and submitted to UNFCCC.		*finalization of BTR1, BTR2 andNC4.*						
	Indicator 7 *Publication/printing of BTR1, BTR2 and NC4*	03 reports submitted to UNFCCC	BTR1 and BTR2 and NC4 is prepared in line with the MPGs for the transparency framework for action and support referred to in Article 13 of the Paris Agreement (Decision 18/CMA.1) and the guidance on operationalising the MPGs as per Decision 5/CMA.3	Annual Status Survey	Annually	Ministry of Environment	UNFCCC website	**Risks** Climate change issues are not high on the political agenda of the country due to the prevailing socioeconomic crisis and thus BTR1, BTR2/NC4 is adopted by the Government on time. **Assumptions** Cabinet will approve BTR1, BTR2 and NC4
Project Outcome 4 Project is regularly monitored, inception workshop organised, lessons learned compiled and disseminated.	***Indicator 8*** *# of monitoring reports compiled*	*6 reports:* • *Inception Workshop Report* • *4 Annual Status Surveys* • *End of Project Report*	This indicator will assess whether key monitoring reports are prepared as envisaged by the Project	• Confirmation of the availability of the envisaged Reports. • Interview with the Project Manager	Annually	Ministry of Environment	Monitoring Reports submitted to UNDP NCE and Regional Team and shared with Project Board Members.	No risks identified.

Table 6: Monitoring and Evaluation Plan and Budget

GEF M&E requirements to be undertaken by the PMU	Indicative costs (US$)	Time frame
Inception Workshop and Report	8,000	Inception Workshop within 2 months from the date of the First Disbursement. Inception Report prepared within 30 days from the date of the Inception Workshop
Validation Workshops and Lessons Sharing	13,000	1 month prior to the submissions of BTR1, BTR2 and NC4 (respectively)
Monitoring of indicators in the project results framework	5,000	Annually
Supervision missions	None	Annually
Knowledge sharing workshops and End of Project Report	8,000	3 months before operational closure
Total Indicative Cost	**34,000**	

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

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

Implementing Partner: The project will be implemented under the UNDP Country Office Support to National Implementation (NIM) modality with the Ministry of Environment as the Implementing Partner (IP).

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 workplan.
- 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.

The Climate Change Secretariat, Ministry of Environment will serve as the Implementing Partner and will coordinate and implement the project activities for the preparation of the BTR1, BTR2 and NC4, as the UNFCCC National Focal Point in Sri Lanka.

The following thematic working groups will be formed to assist with the preparation of various components of the NC4 and BTR1&2: (i) National Greenhouse Gas Inventory, (ii) Tracking the progress of NDC implementation and achievement, (iii) Climate Change Impacts and Adaptation, (iv) Support needed and received and other information. Each thematic working group will comprise experts from public and private sectors, communities, and NGOs, as appropriate.

Responsible Parties: N/A.

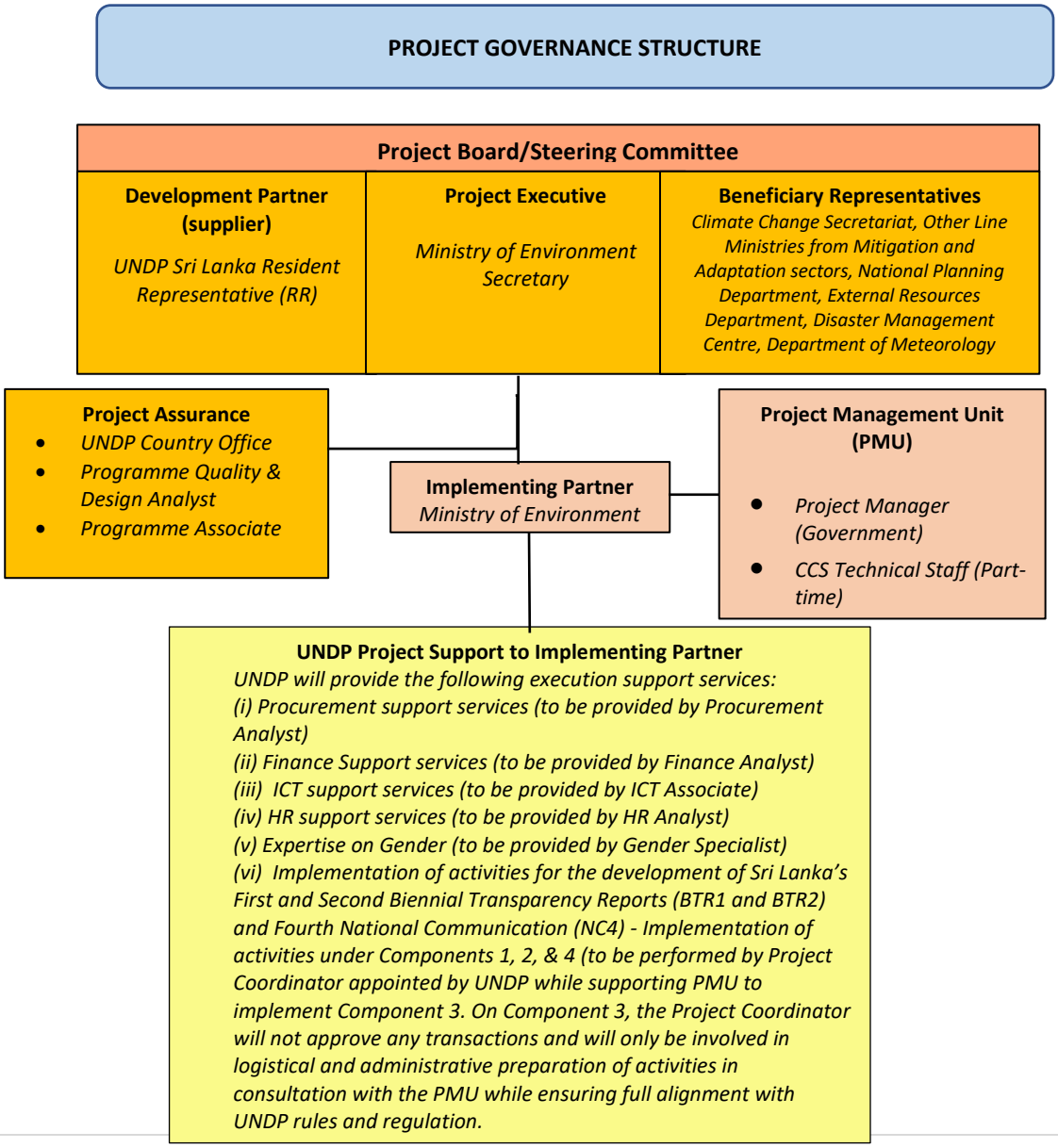
Project stakeholders and target groups: There are a number of project stakeholders involved in the effective delivery of this project. A stakeholder engagement plan is annexed to this Project Document (see Annex 8). For the purpose of project governance, the National Expert Committees on Climate Change Adaptation and Mitigation will also serve to assure the quality of the technical aspects of the respective reports. The Climate Change Secretariat will support to liaise with sectoral agencies and stakeholders during the project implementation. The project proposal intends to strengthen stakeholders' participation to collectively participate in addressing climate change issues and challenges in Sri Lanka. The stakeholders of the project will be from a wide range of backgrounds, including line ministries and agencies, departments, local communities, local authorities and NGOs, mass-media, research institutions, academia, private sector and international organizations, with particular emphasis on relevant sectors.

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 Steering Committee (PSC) and attends PSC meetings as a non-voting member.

A strict firewall will be maintained between the delivery of project oversight and quality assurance performed by UNDP and charged to the GEF Fee and any support to project execution performed by UNDP (as requested by and agreed to by both the Implementing Partner and GEF) and may be charged to the GEF project management costs (only if approved by GEF). The segregation of functions and firewall provisions for UNDP in this case is described in the next section.

Section 2: Project governance structure

Supported to NIM with Ministry of Environment as the Implementing Partner



First line of defense: Person providing oversight of execution support (COS) cannot report to UNDP staff providing project assurance or providing programmatic oversight support to the RR.

Second line of defense: Regional Bureau oversees RR and function of UNDP compliance in project assurance.

BPPS RTA oversees functions of technical oversight and GEF compliance IN PROJECT ASSURANCE, 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 Resident Representative 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 Country Office 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.

UNDP project support*:* The Implementing Partner and GEF OFP have requested UNDP to provide support services in the amount of **USD$ 26,405** for the full duration of the project, and the GEF has agreed for UNDP to provide such execution support services and for the cost of these services to be charged to the project budget. The execution support services – whether financed from the project budget or other sources - have been set out in detail and agreed between UNDP Country Office and the Implementing Partner in a Letter of Agreement (LOA). This LOA is attached to this Project Document (see Annex 11).

To ensure the strict independence required by the GEF and in accordance with the UNDP Internal Control Framework, these execution services will be delivered independent from the GEF-specific oversight and quality assurance services.

The CO Support to NIM modality is considered as a risk mitigation measure, to ensure the timely delivery and submission of the respective reports to the UNFCCC, in consideration of the government regulations preventing the establishment of a dedicated PMU for project implementation and the difficulties in procuring services through the Government within a short time span.

A project management structure will be established with the staff funded under project management resources. The PMU will work in close collaboration with the Climate Change Secretariat, and will manage project contracts and finances, providing day-to-day logistic and technical support to implement and monitor project activities.

The following staff will be assigned to the PMU:

- Project Coordinator[6]

The rationale for UNDP's execution support is based on the results of the Harmonized Approach to Cash Transfers (HACT) Micro and Capacity Assessment, and the Partner Capacity Assessment Tool (PCAT) conducted for the IP. The overall risk rating for the Ministry of Environment is "moderate".

HACT:

- The assessment concluded that the Ministry ranks overall as a 'moderate' risk, with a significant risk in Programme and Project Management.
- The Assessment also indicates that the MoE's accounting and recording of financial transactions as a moderate risk and the absence of sufficiently detailed policies, procedures and other tools on Monitoring and Evaluation as a significant risk.
- The recommendations of the Assessment are:
    - UN should ensure the relevant additional support is given to IP to guarantee timely project completion; and,

[6] This personnel to be recruited by UNDP would be expected to provide day-to-day operational and implementation support for the portion of the budget implemented by UNDP (80%) and to follow UNDP rules and regulations (please also see Budget Note #16 under X. Total Budget and Work Plan). Government co-financing confirm the in-kind contribution in the form of Government Officials deployed to implement the remaining 20% of the budget. The overall management of the project rests with Government Officials, who will work closely with the IP to ensure the achievement of project objectives.

- UN should support the IP in setting up an external support team to ensure the timely delivery of programme to the highest quality."

PCAT:

- The overall risk rating is 'medium' at 2.75.
- Quantitative procurement capacity assessment concluded with a "medium" risk rating while the qualitative assessment indicated a "high" risk rating.
- The assessment indicated there is:
  - Inadequate reporting: Procurement plans are not reported to electronic procurement system (s) and procurement analytics have not been established. Project progress will be presented at the Progress Review of National steering committees or progress reviews and feedback will be documented.;
  - Inadequate technical capacities: Some technical skills to be outsourced as there are inadequacies in technical capacities;
  - Inadequate infrastructure: The IP does not have a Procurement Review Committee or a dedicated procurement unit, currently procurement is managed under the Finance and Accounts Department and at the project level. Contract management and administration system for systematized monitoring is not established. Pre-market analysis for high expenditure procurement categories and pre-qualification rostra does not exist to support sourcing. A technical database needs to be developed in consultation with other partners;
  - Poor absorption capacity: Inability to establish a PMU as per the current governmental regulations.

The application of CO Support to NIM is seen as a risk mitigation measure, to ensure timely completion and submission of the respective reports to the UNFCCC. The CO will work with the IP to put in place a capacity building plan to support the IP overcome the findings indicated above and UNDP will monitor progress achieved through the lifetime of the project.

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's implementation oversight role in the project – as represented in the project board and via the project assurance function – is performed by UNDP Resident Representative, UNDP Programme Quality & Design Analyst and Programme Associate of the Climate and Environment Team, respectively. UNDP's execution role in the project (as requested by the implementing partner and approved by the GEF) is performed by the Project Coordinator to be recruited, and who will report to UNDP Team Lead and Policy Specialist of the Climate and Environment Team, and will be supported by Procurement, Finance, Human Resource and IT units of the UNDP Country Office in Sri Lanka.

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

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 the 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 PMU 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: *Secretary, Ministry of Environment.*
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: *Climate Change Secretariat, Other Line Ministries from Mitigation and Adaptation sectors, National Planning Department, External Resources Department, Disaster Management Centre, Department of Meteorology.*

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(s) is/are: *UNDP Resident Representative.*

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 the PMU) 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 is/are: Programme Quality & Design Analyst and Programme Associate.

c) **Project Management – Execution of the Project:** The Project Manager (PM) (also called Project Coordinator) is the senior most representative of the 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/are: Project Director and Project Coordinator (PM).

VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is **USD 1,278,000**. This is financed through a GEF grant of USD 1,233,000 administered by UNDP and additional support of USD 45,000. 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 amounts will be monitored by the UNDP Country Office and the PMU on an annual basis as follows:

Co-financing source	Co-financing type	Name of Co-financier	Investment Mobilized	Co-financing amount (US$)
Government Agency	In-kind	Ministry of Environment	Recurrent Expenditure	10,000
GEF Agency	In-kind	UNDP	Investment Mobilized	25,000
GEF Agency	In-kind	UNIDO	Investment Mobilized	10,000
Total				**45,0000**

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.

UNDP is not in a position to increase the total budget above the amount approved by the donor; therefore any over-expenditure would have to be absorbed from non-GEF resources by the Implementing Partner (GEF Executing Entity)

Project extensions:
The UNDP-BPPS-NCE team Executive Coordinator must approve all requests for extension of the Project Completion Date and for other milestone extensions with hard deadlines. All extensions impose additional time and cost burdens at all levels and the GEF project budget cannot be increased beyond its originally approved amount. 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 shall 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 policy as set out in UNDP POPP.

For any extension request, UNDP CO and IP will consult and jointly present a clear plan indicating how and from which specific sources the additional oversight costs that will be incurred by UNDP will be covered during the extended period. The BPPS-NCE Executive Coordinator will consult the Regional Bureaux (RBX) and may reject the extension request if no (external co-financing by the IP or internal UNDP CO resources) can be identified.

All extension requests, along with all supporting documentation, shall be submitted by the IP to the UNDP CO in line with the requirements and within the deadlines set out in the UNDP SOPs and policies 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.

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[7]. The transfer should be done before the PMU completes their assignments.

Completion Date: The project completion date is the date of Project Document Signature plus project duration. This date can only be extended through a formal extension request. Prior to completion date, all UNDP-financed inputs must be provided and related activities for the Project completed. No activities, except for the final clearance of the Terminal Evaluation Report and the corresponding management response and the end-of-project review Project Board Meeting should take place after the Completion Date.

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.

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

- **Operational Closure**: **Operational closure must happen within 9 months from project completion date.** Prior to operational closure, the Terminal Evaluation must have been submitted and the corresponding TE management response and the end-of-project review Project Board meeting must have been completed. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. Before Operational Closure, the project must have completed the transfer or disposal of any equipment that is still the property of UNDP.

- **Financial Closure: Financial closure must happen within 6 months of operational closure or after the date of cancellation.** 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).

  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 BPPS/NCE for confirmation before the project will be financially closed in Quantum by the UNDP Country Office.

Cancellation and Suspension: All projects considering going through cancellation or suspension must follow UNDP and GEF requirements. Guidance can be found in the UNDP POPP (SOPs for management actions of Vertical Fund projects escalated to the Executive Coordinator and Guidance for GEF project revisions).

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. Unspent project balance is not permitted to be transferred to any other projects.

IX. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Quantum Business Unit	UNDP-LKA		
Quantum Project ID:	01000404	Quantum Project Title:	*Sri Lanka: BTR1+ BTR2/NC4-Development of the First Biennial Transparency Report, the Second Biennial Transparency Report and Fourth National Communication of Sri Lanka to UNFCCC*
Quantum Award ID:	1204287	Quantum Award Title:	*Sri Lanka: BTR1+ BTR2/NC4-Development of the First Biennial Transparency Report, the Second Biennial Transparency Report and Fourth National Communication of Sri Lanka to UNFCCC*
UNDP-GEF PIMS No.	6518		
Implementing Partner	Ministry of Environment		

Quantum Outcome (GEF Component)	**Quantum Output (GEF Outcome)**	**Quantum Activity (GEF Output)**	**Quantum Responsible Party (UNDP, IP, or Responsible Party)**	**Quantum Fund ID**	**Quantum Donor ID**	**Quantum Budgetary Account Code**	**Quantum Budget Account Description**	**Amount Year 1 - 2024 (USD)**	**Amount Year 2 - 2025 (USD)**	**Amount Year 3 - 2026 (USD)**	**Amount Year 4 - 2027 (USD)**	**Total (USD)**	**See Budget Note: *(reference as number, not as letter)***
Component 1: Development of the Sri Lanka's First Biennial Transparency Report (BTR1)	*Outcome 1: Sri Lanka's BTR1 developed*	*Output 1.1 National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2021 for the sectors Energy, IPPU, AFOLU and Waste, using 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories*	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
						75700	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
						71600	*Travel*	1,000	-	-	-	1,000	3
			Total UNDP					50,000	-	-	-	50,000	-
		Total Output 1.1						50,000	-	-	-	50,000	
		Output 1.2 Information necessary to track progress made in implementing and achieving the NDCs up to 2021 provided, including estimates of emissions avoided	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
						75700	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2

Quantum Outcome (GEF Component)	Quantum Output (GEF Outcome)	Quantum Activity (GEF Output)	Quantum Responsible Party (UNDP, IP, or Responsible Party)	Quantum Fund ID	Quantum Donor ID	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 1 - 2024 (USD)	Amount Year 2 - 2025 (USD)	Amount Year 3 - 2026 (USD)	Amount Year 4 - 2027 (USD)	Total (USD)	See Budget Note: *(reference as number, not as letter)*
						71600	*Travel*	1,000	-	-	-	1,000	3
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.2						50,000	-	-	-	50,000	
		Output 1.3 Information related to climate change impacts and adaptation up to 2021 provided and Adaptation Communication prepared	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
						75700	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
						71600	*Travel*	1,000	-	-	-	1,000	3
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.3						50,000	-	-	-	50,000	
		Output 1.4 Information on financial, technology development and transfer and capacity-building support needed and received up to 2021 provided	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
						75700	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
						71600	*Travel*	1,000	-	-	-	1,000	3
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.4						50,000	-	-	-	50,000	
		Output 1.5 Areas of improvement and other relevant information including gender described	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
						75700	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
						71600	*Travel*	1,000	-	-	-	1,000	3

Quantum Outcome (GEF Component)	Quantum Output (GEF Outcome)	Quantum Activity (GEF Output)	Quantum Responsible Party (UNDP, IP, or Responsible Party)	Quantum Fund ID	Quantum Donor ID	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 1 - 2024 (USD)	Amount Year 2 - 2025 (USD)	Amount Year 3 - 2026 (USD)	Amount Year 4 - 2027 (USD)	Total (USD)	See Budget Note: *(reference as number, not as letter)*
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.5						50,000	-	-	-	50,000	
	Total Outcome 1.1							250,000	-	-	-	250,000	
Total Component 1								250,000	-	-	-	250,000	
Component 2: Development of Sri Lanka's Second Biennial Transparency Report (BTR2) and Fourth National Communication (NC4)	*Outcome 2: Sri Lanka's BTR2 and NC4 developed*	*Output 2.1 National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2023 for BTR2 and 2022 for NC4 for the sectors Energy, IPPU, AFOLU and Waste, using the 2006 IPCC Guidelines for National Greenhouse Gas Inventories*	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	30,600	25,600	35,282	-	91,482	4
						71200	*International Consultant*	12,000	12,000	-	-	24,000	5
						72100	*Contractual services - Companies*	5,000	25,000	25,000	-	55,000	6
						75700	*Training, Workshops and Conference*	1,100	900	1,100	-	3,100	7
						71600	*Travel*	200	800	400	-	1,400	8
				Total UNDP				48,900	64,300	61,782	-	174,982	
		Total Output 2.1						48,900	64,300	61,782	-	174,982	
		Output 2.2 Information necessary to track progress made in implementing and achieving the NDCs up to 2022 and 2023 provided, including estimates of emissions avoided	*UNDP*	*62000*	*10003*	*72100*	*Contractual services - Companies*	30,600	25,600	35,282	-	91,482	4
						75700	*Training, Workshops and Conference*	1,100	900	1,100	-	3,100	7
						71600	*Travel*	200	800	400	-	1,400	8
				Total UNDP				31,900	27,300	36,782	-	95,982	
		Total Output 2.2						31,900	27,300	36,782	-	95,982	
		Output 2.3 Information related to climate change impacts and adaptation up	*UNDP*	*62000*	*10003*	*72100*	*Contractual services - Companies*	30,600	25,600	35,282	-	91,482	4

Quantum Outcome (GEF Component)	Quantum Output (GEF Outcome)	Quantum Activity (GEF Output)	Quantum Responsible Party (UNDP, IP, or Responsible Party)	Quantum Fund ID	Quantum Donor ID	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 1 - 2024 (USD)	Amount Year 2 - 2025 (USD)	Amount Year 3 - 2026 (USD)	Amount Year 4 - 2027 (USD)	Total (USD)	See Budget Note: *(reference as number, not as letter)*
		to 2022 and 2023 provided and Adaptation Communication prepared				*72100*	*Contractual services - Companies*	5,000	25,000	25,000	-	55,000	6
						75700	*Training, Workshops and Conference*	1,100	900	1,100	-	3,100	7
						71600	*Travel*	200	800	400	-	1,400	8
				Total UNDP				36,900	52,300	61,782	-	150,982	
		Total Output 2.3						36,900	52,300	61,782	-	150,982	
		Output 2.4 Information on financial, technology development and transfer and capacity-building support needed and received up to 2022 and 2023 provided	*UNDP*	*62000*	*10003*	*72100*	*Contractual services - Companies*	30,600	25,600	35,282	-	91,482	4
						75700	*Training, Workshops and Conference*	1,100	900	1,100	-	3,100	7
						71600	*Travel*	200	800	400	-	1,400	8
				Total UNDP				31,900	27,300	36,782	-	95,982	
		Total Output 2.4						31,900	27,300	36,782	-	95,982	
		Output 2.5 Other related information including on national circumstances, information on research, systemic observation, education, training, public awareness, and gender, in accordance with applicable guidelines in 17/CP.8	*UNDP*	*62000*	*10003*	*72100*	*Contractual services - Companies*	30,600	25,600	35,282	-	91,482	4
						75700	*Training, Workshops and Conference*	1,100	900	1,100	-	3,100	7
						71600	*Travel*	200	800	400	-	1,400	8
				Total UNDP				31,900	27,300	36,782	-	95,982	
		Total Output 2.5						31,900	27,300	36,782	-	95,982	
	Total Outcome 2							181,500	198,500	233,910	-	613,910	
Total Component 2								181,500	198,500	233,910	-	613,910	

Quantum Outcome (GEF Component)	Quantum Output (GEF Outcome)	Quantum Activity (GEF Output)	Quantum Responsible Party (UNDP, IP, or Responsible Party)	Quantum Fund ID	Quantum Donor ID	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 1 - 2024 (USD)	Amount Year 2 - 2025 (USD)	Amount Year 3 - 2026 (USD)	Amount Year 4 - 2027 (USD)	Total (USD)	See Budget Note: *(reference as number, not as letter)*
Component 3: Compilation and submission of reports	*Outcome 3: BTR1, BTR2 and NC4 compiled, adopted by the Government and submitted to UNFCCC*	*Output 3.1 BTR1 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2024*	*MoE*	*62000*	*10003*	*72100*	*Contractual services - Companies*	53,000	5,250	27,500	1,500	87,250	9
						71300	*Local Consultants*	6,500	4,000	3,500	-	14,000	10
						75700	*Training, Workshops and Conference*	7,500	3,750	3,750	-	15,000	11
						71600	*Travel*	1,250	250	1,250	-	2,750	12
				Total MoE				68,250	13,250	36,000	1,500	119,000	
		Total Output 3.1						68,250	13,250	36,000	1,500	119,000	
		Output 3.2 BTR2 and NC4 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2026 and June 2027 respectively	*MoE*	*62000*	*10003*	*72100*	*Contractual services - Companies*	53,000	5,250	27,500	1,500	87,250	9
						71300	*Local Consultants*	6,500	4,000	3,500	-	14,000	10
						71600	*Travel*	1,250	250	1,250	-	2,750	12
				Total MoE				60,750	9,500	32,250	1,500	104,000	
		Total Output 3.2						60,750	9,500	32,250	1,500	104,000	
	Total Outcome 3							129,000	22,750	68,250	3,000	223,000	
Total Component 3								129,000	22,750	68,250	3,000	223,000	
Component 4: Monitoring and Evaluation (M&E)	*Outcome 4: Project is regularly monitored, inception workshop organised, lessons learned compiled*	*Output 4.1 Inception workshop organised, and inception report compiled - IP*	*MoE*	*62000*	*010003*	*75700*	*Training, Workshops and Conference*	8,000	3,000	4,000	2,000	17,000	13
			Total MoE					8,000	3,000	4,000	2,000	7,000	
		Output 4.1 Inception workshop organised, and inception report compiled - UNDP	*UNDP*	*62000*	*10003*	*72100*	*Contractual services - Companies*	500	-	-	-	500	15
			Total UNDP					500	-	-	-	500	
		Total Output 4.1						8,500	3,000	4,000	2,000	17,500	

Quantum Outcome (GEF Component)	Quantum Output (GEF Outcome)	Quantum Activity (GEF Output)	Quantum Responsible Party (UNDP, IP, or Responsible Party)	Quantum Fund ID	Quantum Donor ID	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 1 - 2024 (USD)	Amount Year 2 - 2025 (USD)	Amount Year 3 - 2026 (USD)	Amount Year 4 - 2027 (USD)	Total (USD)	See Budget Note: *(reference as number, not as letter)*
	and disseminated .	*Output 4.2 Project annual financial and progress reports and Annual Status Surveys prepared*	*UNDP*	*62000*	*10003*	*71300*	*Local Consultants*	2,000	1,000	1,000	1,000	5,000	14
			Total UNDP					2,000	1,000	1,000	1,000	5,000	
		Total Output 4.2						2,000	1,000	1,000	1,000	5,000	
		Output 4.3 End of Project report including lessons learned compiled	*UNDP*	*62000*	*10003*	*72100*	*Contractual services - Companies*	3,500	3,000	3,000	2,000	11,500	15
			Total UNDP					3,500	3,000	3,000	2,000	11,500	
		Total Output 4.3						3,500	3,000	3,000	2,000	11,500	
	Total Outcome 4							14,000	7,000	8,000	5,000	34,000	
Total M&E								14,000	7,000	8,000	5,000	34,000	
Project Management Cost (PMC)	*PMC*	*PMC - UNDP*	*UNDP*	*62000*	*010003*	*71400*	*Contractual Services - Individuals*	14,250	9,500	9,500	4,750	38,000	16
						75700	*Training, Workshops and Conference*	2,000	1,000	500	500	4,000	17
						71600	*Travel*	4,000	3,000	2,500	500	10,000	18
						72400	*Communic & Audio Visual Equip*	1,000	500	500	500	2,500	19
						72800	*Information Technology Equipment*	18,750	750	500	500	20,500	20
						74100	*Professional Services*	2,000	1,000	1,000	-	4,000	22
						74596	*Services to projects - GOE*	10,562	5,281	5,281	5,281	26,405	23
			Total UNDP					52,562	21,031	19,781	12,031	105,405	
		PMC - IP	*MoE*	*62000*	*10003*	*72500*	*Supplies*	4,685	1,000	500	500	6,685	21
			Total MoE					4,685	1,000	500	500	6,685	
Total Project Management Cost								57,247	22,031	20,281	12,531	112,090	
Total Project Grant								631,747	250,281	330,441	20,531	1,233,000	

Budget Notes:

Budget Note Number	Project Output (Description)
1	**Contractual Services - Companies (Total: USD 222,000)** (Year 1: USD 50,000, Year 2: USD 172,000) 1 company to be hired to procure the following: a) National experts (i.e., Mitigation and Adaptation sector experts, gender expert, data specialist) b) National Lead Consultant c) Administrative costs including travel, utilities and communications d) Conducting technical workshops. For resource/cost efficiency, workshops to be combined with BTR1 national workshops in Year 1, and also providing gender training on collecting and using gender disaggregated data. (1 national workshop + 3 provincial level workshops. 6 master trainers for the NDC sectors to provide inputs to the relevant sectors during Year 1).
2	**Training, Workshops and Conferences (Total: USD 23,000)** (Year 1: USD 5,000, Year 2: USD 18,000) Technical workshops to be conducted by the Implementing Partner including Progress Review Meetings and Validation Workshops: 1) 15 sectors x 2 meetings for inputs to the BTR1 (USD 600 per sectoral meeting x 30 meetings, sub-total: USD 18,000) 2) Sub-national workshops (USD 960 per workshop x 4 provincial workshops, sub-total: USD 3,840) 3) National workshops including validation (USD 1,160 per national workshop x 1 workshop, sub-total: USD 1,160)
3	Travel and Accommodation Costs for technical consultants and project team **(Total: USD 5,000)**
4	**Contractual Services - Companies (Total: USD 457,410)** (Year 2: USD 153,000, Year 3: USD 128,000, Year 4: USD 176,410) 3 companies to be hired. 1) Company 1: to support with conducting workshops and data collection (Updating BTR2, developing NC4 to be built on the findings of BTR1) 2) Company 2: information dissemination 3) Company 3: capacity building trainings/workshops.
5	1 International Consultant to be hired for GHG Inventory to advise and guide local consultants **(Total: USD 24,000**) (Year 1: USD 12,000 and Year 3: USD 12,000)
6	**Contractual Services – Companies** to be hired **(Total: USD 110,000**) (Year 2: USD 10,000, Year 3: 50,000, Year 4: 50,000) To conduct innovative and technical research for priority sectors including reviewing emissions factors and calculations Bids for a Research strategy to identify research areas including on developing local emission factors and conducting a workshop USD 10,000 (to be elaborated during the inception phase/inception workshop)
7	Technical review meetings **(Total: USD 15,500**) (Year 2: USD 5,500, Year 3: USD 4,500, Year 4: USD 5,500) National Expert Committee to technically review inputs and reports for BTR2 and NC4
8	Travel and Accommodation for technical consultants and project team **(Total: USD 7,000)**
9	**Contractual Services - Companies (Total: USD 174,500)** (Year 1: USD 1,000, Year 2: USD 105,000, Year 3: USD 10,500, Year 4: USD 55,000, Year 5: USD 3,000) 3 companies to be hired.

Budget Note Number	Project Output (Description)
	Company 1: to compile the two reports (BTR1, and combined BTR2/NC4) including recruiting subject-specific editors, validating reports and arranging sectoral meetings for sector clearance and peer review (sub-total: USD 85,000) Company 2: to do the layout, printing/e-publishing services, to develop Knowledge materials - Case studies, success stories, Editorials and Mass media promotion (i.e., talk shows for advocacy) (sub-total: USD 79,500) Company 3: to develop and implement Project's Knowledge Management Strategy (sub-total: USD 10,000)
10	**Local Consultants (Total: USD 28,000)** Technical Advisor to supervise consultants and subcontractors, reviewing technical reports under Component 1 and 2, and contribute to the development of technical knowledge products, quality assuring deliverables.
11	**Training, Workshops and Conferences (Total: USD 15,000)** Review Committee of 6-8 members for reviewing BTR1, BTR2/NC4 (12 meetings over the course of 4 years, USD 1,250 per meeting with the participation of 6 committee members)
12	Travel and Accommodation for technical consultants and project team **(Total: USD 5,500)**
13	**Training, Workshops and Conferences (Total: USD 17,000)** Inception Workshop, Monitoring Workshops, Lessons learned sharing
14	**Local Consultants (Total: USD 5,000)** (From Year 1 to Year 5: USD 1,000 per year) Monitoring and safeguards specialist to monitor activities including monitoring safeguards
15	1 Company to be hired to develop and support Communications, Lessons Sharing and Advocacy **(Total: USD 12,000)** (Year 1: USD 1,000, Year 2: USD 3,000, Year 3: USD 3,000, Year 4: USD 3,000, Year 5: USD 2,000) Developing case studies, success stories, advocacy materials
16	Project Management Staff: recruitment of Project Coordinator **(Total: USD 38,000).** The personnel to be recruited by UNDP would be expected to provide day-to-day operational and implementation support for the portion of the budget implemented by UNDP (80%) and to follow UNDP rules and regulations. Government officials will provide implementation support for the remaining 20% and will be responsible for overall management of the project ensuing the achievement of project objectives.
17	Project management meetings conducted by the PMU **(Total: USD 4,000)**
18	Travel for the PMU to districts for project management **(Total: USD 10,000)** (Year 1: USD 1,000, Year 2: USD 3,000, Year 3: USD 3,000, Year 4: USD 2,500, Year 5: USD 500)
19	Office stationery and courier chargers, telephone bills for PMU **(Total: USD 2,500)** (From Year 1 to Year 5: USD 500 per year)
20	IT equipment for the PMU **(Total: USD 20,500)** (Year 1: USD 18,000, Year 2: USD 750, Year 3: USD 750, Year 4: USD 500, Year 5: USD 500)
21	Supplies for the PMU, this also includes advertising positions, Data/ Communication costs **(Total: USD 6,685)** (Year 1: USD 2,685, Year 2: USD 2,000, Year 3: USD 1,000, Year 4: USD 500, Year 5: 500)
22	As part of the quality assurance process and UNDP guidelines, mandatory spot checks or audit of the Implementing Partner for HACT follow-up **(Total: USD 4,000)** (From Year 1 to Year 4: USD 1,000 per year)

Budget Note Number	Project Output (Description)
23	**Direct Project Costs** [as per LoA - Based on UPL 2023 & LPL 2022 **(Total: USD 26,405)** (Year 1 to Year 5 USD 5,281 per year)]: for services rendered by UNDP to the project, according to the Letter of Agreement (see Annex 11 of the project document) are the costs of administrative services (such as those related to human resources, procurement, finance, and other functions) provided by UNDP in relation to the project. Direct project costs will be charged based on the UNDP Universal Price List or the actual corresponding service cost, in line with the GEF rules on DPCs. The amounts here are estimations. DPCs will be detailed as part of the annual project operational planning process and included in the yearly budgets. DPC costs can only be used for operational cost per transaction. DPCs are not a flat fee.

X. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Sri Lanka and UNDP, signed on 20 March 1990. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the Ministry of Environment ("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.

XI. 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 United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via https://www.un.org/securitycouncil/content/un-sc-consolidated-list.

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. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

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.

10. In the implementation of the activities under this Project Document, UNDP places reasonable reliance upon the Implementing Partner for it to apply its laws, regulations and processes, and applicable international laws regarding anti

money laundering and countering the financing of terrorism, to ensure consistency with the principles of then in force the UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy.

11. The Implementing Partner will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.

12. 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.

13. 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.

14. 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.

15. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud, corruption or other financial irregularity, 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, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

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

16. 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.

17. 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.

18. 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.

XII. MANDATORY ANNEXES

1. GEF Budget Template
2. GEF Execution Support Letter
3. Project Map and geospatial coordinates of the project area
4. Multi-year Work plan
5. Social and Environmental Screening Procedure (SESP)
6. UNDP Risk Register
7. Overview of technical consultancies/subcontracts
8. Stakeholder Engagement Plan
9. Gender Analysis and Gender Action Plan
10. Procurement Plan – for first year of implementation
11. LOA between UNDP and IP requesting UNDP Support Services (if required on exceptional basis and authorized by the GEF)
12. GEF Core indicators
13. GEF Taxonomy
14. Partners Capacity Assessment Tool and HACT assessment
15. UNDP Project Quality Assurance Report
16. End of Project Report Template

Annex 1: GEF Budget Template

Link to GEF Budget Template

Quantum Outcome (GEF Component)	Quantum Output (GEF Outcome)	Quantum Activity (GEF Output)	Quantum Responsible Party (UNDP, IP, or Responsible Party)	Quantum Fund ID	Quantum Donor ID	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 1 - 2024 (USD)	Amount Year 2 - 2025 (USD)	Amount Year 3 - 2026 (USD)	Amount Year 4 - 2027 (USD)	Total (USD)	See Budget Note: *(reference as number, not as letter)*
Component 1: Development of the Sri Lanka's First Biennial Transparency Report (BTR1)	*Outcome 1: Sri Lanka's BTR1 developed*	*Output 1.1 National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2021 for the sectors Energy, IPPU, AFOLU and Waste, using 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories*	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
				62000		*75700*	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
				62000		*71600*	*Travel*	1,000	-	-	-	1,000	3
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.1						50,000	-	-	-	50,000	
		Output 1.2 Information necessary to track progress made in implementing and achieving the NDCs up to 2021 provided, including estimates of emissions avoided	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
				62000		*75700*	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
				62000		*71600*	*Travel*	1,000				1,000	3
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.2						50,000	-	-	-	50,000	
		Output 1.3 Information related to climate change impacts and adaptation up to 2021 provided and Adaptation Communication prepared	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
				62000		*75700*	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
				62000		*71600*	*Travel*	1,000	-	-	-	1,000	3
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.3						50,000	-	-	-	50,000	
		Output 1.4 Information on financial, technology development and transfer and capacity-building support needed and received up to 2021 provided	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
				62000		*75700*	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
				62000		*71600*	*Travel*	1,000	-	-	-	1,000	3
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.4						50,000	-	-	-	50,000	
		Output 1.5 Areas of improvement and other relevant information including gender described	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	44,400	-	-	-	44,400	1
				62000		*75700*	*Training, Workshops and Conference*	4,600	-	-	-	4,600	2
				62000		*71600*	*Travel*	1,000	-	-	-	1,000	3
			Total UNDP					50,000	-	-	-	50,000	
		Total Output 1.5						50,000	-	-	-	50,000	
	Total Outcome 1.1							250,000	-	-	-	250,000	
Total Component 1								250,000	-	-	-	250,000	
		Output 2.1 National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2023 for BTR2 and 2022 for NC4 for the sectors Energy, IPPU, AFOLU and Waste, using the 2006 IPCC Guidelines for National Greenhouse Gas Inventories	*UNDP*	*62000*	*010003*	*72100*	*Contractual services - Companies*	30,600	25,600	35,282	-	91,482	4
				62000		*71200*	*International Consultant*	12,000	12,000	-	-	24,000	5
				62000		*72100*	*Contractual services - Companies*	5,000	25,000	25,000	-	55,000	6
				62000		*75700*	*Training, Workshops and Conference*	1,100	900	1,100	-	3,100	7
				62000		*71600*	*Travel*	200	800	400	-	1,400	8
			Total UNDP					48,900	64,300	61,782	-	174,982	
		Total Output 2.1						48,900	64,300	61,782	-	174,982	
		Output 2.2 Information necessary to track progress made in implementing and achieving the	*UNDP*	*62000*	*10003*	*72100*	*Contractual services - Companies*	30,600	25,600	35,282		91,482	4
				62000		*75700*	*Training, Workshops and Conference*	1,100	900	1,100	-	3,100	7

		NDCs up to 2022 and 2023 provided, including estimates of emissions avoided		62000		71600	Travel	200	800	400	-	1,400	8
				Total UNDP				31,900	27,300	36,782	-	95,982	
		Total Output 2.2						31,900	27,300	36,782	-	95,982	
		Output 2.3 Information related to climate change impacts and adaptation up to 2022 and 2023 provided and Adaptation Communication prepared	UNDP	62000	10003	72100	Contractual services - Companies	30,600	25,600	35,282		91,482	4
				62000		72100	Contractual services - Companies	5,000	25,000	25,000	-	55,000	6
				62000		75700	Training, Workshops and Conference	1,100	900	1,100	-	3,100	7
				62000		71600	Travel	200	800	400	-	1,400	8
				Total UNDP				36,900	52,300	61,782	-	150,982	
		Total Output 2.3						36,900	52,300	61,782	-	150,982	
		Output 2.4 Information on financial, technology development and transfer and capacity-building support needed and received up to 2022 and 2023 provided	UNDP	62000	10003	72100	Contractual services - Companies	30,600	25,600	35,282		91,482	4
				62000		75700	Training, Workshops and Conference	1,100	900	1,100	-	3,100	7
				62000		71600	Travel	200	800	400	-	1,400	8
				Total UNDP				31,900	27,300	36,782	-	95,982	
		Total Output 2.4						31,900	27,300	36,782	-	95,982	
Component 2: Development of Sri Lanka's Second Biennial Transparency Report (BTR2) and Fourth National Communication (NC4)	Outcome 2: Sri Lanka's BTR2 and NC4 developed	Output 2.5 Other related information including on national circumstances, information on research, systemic observation, education, training, public awareness, and gender, in accordance with applicable guidelines in 17/CP.8	UNDP	62000	10003	72100	Contractual services - Companies	30,600	25,600	35,282		91,482	4
				62000		75700	Training, Workshops and Conference	1,100	900	1,100	-	3,100	7
				62000		71600	Travel	200	800	400	-	1,400	8
				Total UNDP				31,900	27,300	36,782	-	95,982	
		Total Output 2.5						31,900	27,300	36,782	-	95,982	
	Total Outcome 2							181,500	198,500	233,910	-	613,910	
Total Component 2								181,500	198,500	233,910	-	613,910	
		Output 3.1 BTR1 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2024	MoE	62000	10003	72100	Contractual services - Companies	53,000	5,250	27,500	1,500	87,250	9
				62000		71300	Local Consultants	6,500	4,000	3,500	-	14,000	10
				62000		75700	Training, Workshops and Conference	7,500	3,750	3,750	-	15,000	11
				62000		71600	Travel	1,250	250	1,250	-	2,750	12
				Total MoE				68,250	13,250	36,000	1,500	119,000	
		Total Output 3.1						68,250	13,250	36,000	1,500	119,000	
		Output 3.2 BTR2 and NC4 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2026 and June 2027 respectively	MoE	62000	10003	72100	Contractual services - Companies	53,000	5,250	27,500	1,500	87,250	9
				62000		71300	Local Consultants	6,500	4,000	3,500	-	14,000	10
				62000		71600	Travel	1,250	250	1,250	-	2,750	12
				Total MoE				60,750	9,500	32,250	1,500	104,000	
Component 3: Compilation and submission of reports	Outcome 3: BTR1, BTR2 and NC4 compiled, adopted by the Government and submitted to UNFCCC	Total Output 3.2						60,750	9,500	32,250	1,500	104,000	
	Total Outcome 3							129,000	22,750	68,250	3,000	223,000	
Total Component 3								129,000	22,750	68,250	3,000	223,000	
		Output 4.1 Inception workshop organised, and inception report compiled - IP	MoE	62000	010003	75700	Training, Workshops and Conference	8,000	3,000	4,000	2,000	17,000	13
			Total MoE					8,000	3,000	4,000	2,000	17,000	
		Output 4.1 Inception workshop organised, and inception report compiled - UNDP	UNDP	62000	10003	72100	Contractual services - Companies	500	-	-	-	500	15
			Total UNDP					500	-	-	-	500	
		Total Output 4.1						8,500	3,000	4,000	2,000	17,500	
		Output 4.2 Project annual financial and progress reports and Annual Status Surveys prepared	UNDP	62000	10003	71300	Local Consultants	2,000	1,000	1,000	1,000	5,000	14
			Total UNDP					2,000	1,000	1,000	1,000	5,000	
		Total Output 4.2						2,000	1,000	1,000	1,000	5,000	
		Output 4.3 End of Project report including lessons learned compiled	UNDP	62000	10003	72100	Contractual services - Companies	3,500	3,000	3,000	2,000	11,500	15
			Total UNDP					3,500	3,000	3,000	2,000	11,500	
		Total Output 4.3						3,500	3,000	3,000	2,000	11,500	
Component 4: Monitoring and Evaluation (M&E)	Outcome 4: Project is regularly monitored, inception workshop organised, lessons learned compiled and disseminated.							14,000	7,000	8,000	5,000	34,000	
Total M&E								14,000	7,000	8,000	5,000	34,000	
		PMC - UNDP	UNDP	62000	010003	71400	Contractual Services - Individuals	14,250	9,500	9,500	4,750	38,000	16
				62000		75700	Training, Workshops and Conference	2,000	1,000	500	500	4,000	17
				62000		71600	Travel	4,000	3,000	2,500	500	10,000	18
				62000		72400	Communic & Audio Visual Equip	1,000	500	500	500	2,500	19
				62000		72800	Information Technology Equipment	18,750	750	500	500	20,500	20
Project Management Cost (PMC)	PMC												

Project Management Cost (PMC)	PMC			62000		74100	Professional Services	2,000	1,000	1,000	-	4,000	22
				62000		74596	Services to projects - GOE	10,562	5,281	5,281	5,281	26,405	23
			Total UNDP					52,562	21,031	19,781	12,031	105,405	
		PMC - IP	MoE	62000	10003	72500	Supplies	4,685	1,000	500	500	6,685	21
			Total MoE					4,685	1,000	500	500	6,685	
Total Project Management Cost								57,247	22,031	20,281	12,531	112,090	
Total Project Grant								631,747	250,281	330,441	20,531	1,233,000	

Component	Budget Note Number	Description
Component 1	1	**Contractual Services - Companies (Total: USD 222,000)** (Year 1: USD 50,000, Year 2: USD 172,000) 1 company to be hired to procure the following: a) National experts (i.e., Mitigation and Adaptation sector experts, gender expert, data specialist) b) National Lead Consultant c) Administrative costs including travel, utilities and communications d) Conducting technical workshops. For resource/cost efficiency, workshops to be combined with BTR1 national workshops in Year 1, and also providing gender training on collecting and using gender disaggregated data. (1 national workshop + 3 provincial level workshops. 6 master trainers for the NDC sectors to provide inputs to the relevant sectors during Year 1).
	2	**Training, Workshops and Conferences (Total: USD 23,000)** (Year 1: USD 5,000, Year 2: USD 18,000) Technical workshops to be conducted by the Implementing Partner including Progress Review Meetings and Validation Workshops: 1) 15 sectors x 2 meetings for inputs to the BTR1 (USD 600 per sectoral meeting x 30 meetings, sub-total: USD 18,000) 2) Sub-national workshops (USD 960 per workshop x 4 provincial workshops, sub-total: USD 3,840) 3) National workshops including validation (USD 1,160 per national workshop x 1 workshop, sub-total: USD 1,160)
	3	Travel and Accommodation Costs for technical consultants and project team **(Total: USD 5,000)**
Component 2	4	**Contractual Services - Companies (Total: USD 457,410)** (Year 2: USD 153,000, Year 3: USD 128,000, Year 4: USD 176,410) 3 companies to be hired. 1) Company 1: to support with conducting workshops and data collection (Updating BTR2, developing NC4 to be built on the findings of BTR1) 2) Company 2: information dissemination 3) Company 3: capacity building trainings/workshops.
	5	1 International Consultant to be hired for GHG Inventory to advise and guide local consultants **(Total: USD 24,000**) (Year 1: USD 12,000 and Year 3: USD 12,000)
	6	Contractual Services - Companies hired (Total: **USD 110,000**) (Year 2: USD 10,000, Year 3: 50,000, Year 4: 50,000) To conduct innovative and technical research for priority sectors including reviewing emissions factors and calculations Bids for a Research strategy to identify research areas including on developing local emission factors and conducting a workshop USD 10,000 (to be elaborated during the Inception phase/workshop)
	7	Technical review meetings **(Total: USD 15,500**) (Year 2: USD 5,500, Year 3: USD 4,500, Year 4: USD 5,500) National Expert Committee to technically review inputs and reports for BTR2 and NC4
	8	Travel and Accommodation for technical consultants and project team **(Total; USD 7,000)**
Component 3	9	**Contractual Services - Companies (Total: USD 174,500**) (Year 1: USD 1,000, Year 2: USD 105,000, Year 3: USD 10,500, Year 4: USD 55,000, Year 5: USD 3,000) 3 companies to be hired. Company 1: to compile the two reports (BTR1, and combined BTR2/NC4) including recruiting subject-specific editors, validating reports and arranging sectoral meetings for sector clearance and peer review (sub-total: USD 85,000) Company 2: to do the layout, printing/e-publishing services, to develop Knowledge materials - Case studies, success stories, Editorials and Mass media promotion (i.e., talk shows for advocacy) (sub-total: USD 79,500) Company 3: to develop and implement Project's Knowledge Management Strategy (sub-total : USD 10,000)
	10	**Local Consultants (Total: USD 28,000)** Technical Advisor to supervise consultants and subcontractors, reviewing technical reports under Component 1 and 2, and contribute to the development of technical knowledge products, quality assuring deliverables.
	11	**Training, Workshops and Conferences (Total: USD 15,000)** Review Committee of 6-8 members for reviewing BTR1, BTR2/NC4 (12 meetings over the course of 4 years, USD 1,250 per meeting with the participation of 6 committee members)
	12	Travel and Accommodation for technical consultants and project team **(Total; USD 5,500)**
Component 4	13	**Training, Workshops and Conferences (Total: USD 17,000)** Inception Workshop, Monitoring Workshops, Lessons learned sharing
	14	**Local Consultants (Total: USD 5,000**) (From Year 1 to Year 5: USD 1,000 per year) Monitoring and safeguards specialist to monitor activities including monitoring safeguards
	15	1 Company to be hired to develop and support Communications, Lessons Sharing and Advocacy **(Total: USD 12,000**) (Year 1: USD 1,000, Year 2: USD 3,000, Year 3: USD 3,000, Year 4: USD 3,000, Year 5: USD 2,000) Developing case studies, success stories, advocacy materials

PMC	16	Project Management Staff: recruitment of Project Coordinator **(Total: USD 38,000).** The personnel to be recruited by UNDP would be expected to provide day-to-day operational and implementation support for the portion of the budget implemented by UNDP (80%) and to follow UNDP rules and regulations. Government officials will provide implementation support for the remaining 20% and will be responsible for overall management of the project ensuing the achievement of project objectives.
	17	Project management meetings to be conducted by the PMU **(Total: USD 4,000)**
	18	Travel for the PMU to districts for project management **(Total: USD 10,000**) (Year 1: USD 1,000, Year 2: USD 3,000, Year 3: USD 3,000, Year 4: USD 2,500, Year 5: 500)
	19	Office stationery and courier chargers, telephone bills for project management unit of the Implementing Partner **(Total: USD 2,500)** (From Year 1 to Year 5: USD 500 per year)
	20	IT equipment for the Implementing Partner **(Total: USD 20,500**) (Year 1: USD 18,000, Year 2: USD 750, Year 3: USD 750, Year 4: USD 500, Year 5: USD 500)
	21	Supplies costs for the Implementing Partner, this also includes advertising positions, Data/ Communication costs (Total: USD 6,685) (Year 1: USD 2,685, Year 2: USD 2,000, Year 3: USD 1,000, Year 4: USD 500, Year 5: USD 500)
	22	As part of the quality assurance process and UNDP guidelines, mandatory spot checks or audit of the Implementing Partner for HACT follow-up **(Total: USD 4,000**) (From Year 1 to Year 4: USD 1,000 per year)
	23	Direct Project Costs [as per LoA - Based on UPL 2023 & LPL 2022 **(Total: USD 26,405)** (Year 1 to Year 5: 5,281 per year)]: for services rendered by UNDP to the project, according to the Letter of Agreement (see Annex 11 of the project document) are the costs of administrative services (such as those related to human resources, procurement, finance, and other functions) provided by UNDP in relation to the project. Direct project costs will be charged based on the UNDP Universal Price List or the actual corresponding service cost, in line with the GEF rules on DPCs. The amounts here are estimations. DPCs will be detailed as part of the annual project operational planning process and included in the yearly budgets. DPC costs can only be used for operational cost per transaction. DPCs are not a flat fee.

Annex 2: GEF execution support letter

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சுற்றாடல் அமைச்சு

Ministry of Environment

"සොබාදම් පියස", අංක 416/සී/1, රොබට් ගුණවර්ධන මාවත, බත්තරමුල්ල, ශ්‍රී ලංකාව.
"சொபாதம் பியச", இல. 416/சீ/1, ரொபர்ட் குணவர்தன மாவத்தை, பத்தரமுல்லை, இலங்கை.
"Sobadam Piyasa", No. 416/C/1, Robert Gunawardana Mawatha, Battaramulla, Sri Lanka.
Gen. Tel. +94-11-2034100

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මගේ අංකය / எனது இல / My No: MMDE/07/INT/01/41-UNDP Gen

ඔබේ අංකය / உமது இல / Your No:

දිනය / திகதி / Date: 10. 04.2023

To: Pradeep Kurukulasuriya
Director – Nature, Climate and Energy
Executive Coordinator – Environmental Finance
Bureau for Policy and Programme Support (BPPS)/Global Policy Network
United Nations Development
304 East 45th Street, NY 10017, USA

Subject: Letter of Support to request GEF Agency Execution for the Project "Development of the First Biennial Transparency Report and the combined Fourth National Communication and Second Biennial Transparency Report of Sri Lanka to UNFCCC" (Sri Lanka: BTR1+ BTR2/NC4)

Dear Mr. Kurukulasuriya,

In my capacity as the GEF Operational Focal Point for Sri Lanka, I hereby request UNDP, the GEF Implementing Agency, for the aforementioned project, to also carry out execution services (Country Office Support to National Implementation Modality – CO Support to NIM) for the above-mentioned project, on an exceptional basis.

We understand that risk mitigation measures to ensure a quality and timely implementation of this project in line with the GEF Guidelines and UNDP's Programme and Operations Policies and Procedures are in place, and the decision to request UNDP's assistance has been made in view of the following considerations:

1. In terms of UNDP's technical and project execution capacity, the Ministry of Environment believes that UNDP is well-positioned to provide the required execution support to this Project. The Ministry has satisfactorily worked with UNDP in the past, particularly in the area of climate action in Sri Lanka, and developed both the Second National Communication and the Third National Communication with UNDP.
2. UNDP's cost of execution support services is comparable to similar agencies currently operating in Sri Lanka.
3. According to the mid-term and end-term evaluation reports of full-size projects of GEF V & GEF VI cycles; project implementation and delivery with direct UNDP Country Office support is effective.

Therefore, for the achievement of smooth project execution within tight timelines, more robust procurement and project management support is required to ensure the timely submission of the 1st BTR by December 2024.

Execution activities, including those provided by UNDP, will be described in detail in the Letter of Agreement to be attached to the Project Document for the GEF CEO Endorsement.

Therefore, for the achievement of smooth project execution within tight timelines, more robust procurement and project management support is required to ensure the timely submission of the 1st BTR by December 2024.

"මේ මහපොළව සහ ගහකොළ මිනිසාට මෙන්ම අහසේ පියාසරන සියොතුන්ට ද මිහිමත සරන සිවුපාවුන්ට ද සියලු සතුන්ට ද එකසේ අයිතිය"
"இப் பூமியும், மரஞ் செடி கொடிகளும் மனிதனுக்குப் போன்றே வானில் பறந்து திரியும் பறவைகளுக்கும், பூமியில் வாழும் உயிரினங்களுக்கும், சமனைத்து விலங்குகளுக்கும் ஒருமித்துச் சொந்தமானது"

Execution activities, including those provided by UNDP, will be described in detail in the Letter of Agreement to be attached to the Project Document for the GEF CEO Endorsement

In this regard, I hereby endorse execution support services (CO Support to NIM) by UNDP, noting that the related cost recovery for the above-mentioned services will be charged to the project's PMC budget.

Your cooperation in this regard is highly appreciated.

Dr. Anil Jasinghe,
Secretary, Ministry of Environment.

Annex 3: Project Map and geospatial coordinates of the project area

The project activities are designed at the national level within the territory of Sri Lanka.



Country: Sri Lanka
Longitude: 80.7718° E
Latitude: 7.8731° N

Annex 4: Multi Year Work Plan

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
Planning and Implementation Phase																
Component 1: Development of Sri Lanka's First Biennial Transparency Report (BTR1)																
Outcome 1: Sri Lanka's BTR1 developed.																
Output 1.1. National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2021 for the sectors Energy, IPPU, AFOLU and Waste, using 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories.																
Activity 1.1.1 Update GHG Inventory for 2021 according to 2019 Refinement to the 2006 IPCC Guidelines for a) Energy, b) IPPU, c) AFOLU, d) Waste, e) Transport sectors and develop National Inventory Report	MOE															
Activity 1.1.2 Support the setting up of GHG inventory Quality Assurance and Quality Control Plan and developing Improvement Plan for GHG Inventory	MOE															
Activity 1.1.3 Develop Training Plan for the Project	MOE															
Activity 1.1.4 Conduct assessment to review	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
existing GHG inventory methodologies to identify entry points to collect disaggregated data including gender																
Output 1.2 Information necessary to track progress made in implementing and achieving the NDCs up to 2021 provided, including estimates of emissions avoided																
Activity 1.2.1 Conduct a rapid assessment on private sector initiatives to identify linkages with national climate targets and NDCs	MOE															
Activity 1.2.2 Use SCAN tool to build on SDG-NDC mapping exercise	MOE															
Activity 1.2.3 Review and report on status of MRV systems in Sri Lanka	MOE															
Activity 1.2.4 Conduct literature review to identify potential safeguards issues arising from implementing climate mitigation policies towards informing the development of	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
gender and socially inclusive indicators for the remaining NDC sectors																
Activity 1.2.5 Conduct training and capacity building programme for NDC sectors to enhance capacity for transparency related reporting including on using disaggregated data i.e., gender differentiated impacts from climate change	MOE															
Activity 1.2.6 Policy dialogue organised to enhance political will and country ownerships of NDC implementation	MOE															
Activity 1.2.7 Develop Knowledge Management Strategy for Project	MOE															
Output 1.3 Information related to climate change impacts and adaptation up to 2021 provided and Adaptation Communication prepared																
Activity 1.3.1 Climate variability and climate change in Sri Lanka analysed by year 2021	MOE															
Activity 1.3.2 Revive discussion on loss and	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
damage, analyzing institutional mechanisms																
Activity 1.3.3 Initiate dialogue and identify reasons for declining sinks	MOE															
Activity 1.3.4 Analyse views and experience of men and women to assess gender responsive and socially inclusive adaptation measures	MOE															
Activity 1.3.5 Adaptation Communication prepared	MOE															
Output 1.4 Information on financial, technology development and transfer and capacity-building support needed and received up to 2021 provided																
Activity 1.4.1 Collection and use of gender disaggregated data to analyse differentiated capacity constraints in adapting/mitigating to climate change, proposing inclusive technology transfer,	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
and financing mechanisms																
Activity 1.4.2 Review financial support needed and received, incorporating CBIT project results and recommendations and provide recommendations to climate finance monitoring in MRV	MOE															
Activity 1.4.3 Review information from Third NDA Readiness Project to identify progress on the level of implementation of the Technology Needs Assessment	MOE															
Output 1.5 Areas of improvement and other relevant information including gender described																
Activity 1.5.1 Identify reporting-related capacity building needs	MOE															
Activity 1.5.2 Identify any improvements required in the technical review processes and develop a clear strategy	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
Component 2: Development of Sri Lanka's Second Biennial Transparency Report (BTR2) and Fourth National Communication Report (NC4)																
Outcome 2: Sri Lanka's BTR2 andNC4 developed																
Output 2.1 National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2023 for BTR2 and 2022 for NC4 for the sectors Energy, IPPU, AFOLU and Waste, using the 2006 IPCC Guidelines for National Greenhouse Gas Inventories																
Activity 2.1.1 Update GHG Inventory for 2022 and 2023 according to 2019 Refinement to the 2006 IPCC Guidelines for a) Energy, b) IPPU, c) AFOLU, d) Waste, e) Transport sectors and develop National Inventory Report	MOE															
Activity 2.1.2 Compile study on GHG sinks	MOE															
Activity 2.1.3 Share findings on the assessment on collecting disaggregated data including gender, discuss need and opportunities with sectoral implementing agencies	MOE															
Activity 2.1.4 Review and report on status of MRV systems	MOE															
Activity 2.1.5 Support implementation of	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
GHG inventory Quality Assurance and Quality Control Plan																
Output 2.2 Information necessary to track progress made in implementing and achieving the NDCs up to 2022 and 2023 provided, including estimates of emissions avoided																
Activity 2.2.1 Track development policies and programmes that support climate change mitigation actions	MOE															
Activity 2.2.2 Update NDC contributions to SDGs using SCAN tool	MOE															
Activity 2.2.3 Review 2050 Carbon Net Zero Road Map and Strategic Road Map specifically for the NDC mitigation sectors	MOE															
Activity 2.2.4 Explore introducing NDC module into MRV	MOE															
Activity 2.2.5 Review progress and provide recommendations if any action taken on	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
safeguards issues arising from implementing climate mitigation actions																
Activity 2.2.6 Training and capacity building to enhance transparency reporting	MOE															
Activity 2.2.7 Provide recommendations to the Project's Knowledge Management Strategy	MOE															
Output 2.3 Information related to climate change impacts and adaptation up to 2022 and 2023 provided and Adaptation Communication prepared																
Activity 2.3.1 Climate variability and climate change in Sri Lanka analysed by year 2022 and 2023 and climate change scenarios for adaptation sectors described	MOE															
Activity 2.3.2 Explore potential of including an adaptation module in MRV	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
Activity 2.3.3 Conduct socioeconomic assessment on climate change impacts	MOE															
Activity 2.3.4 Conduct assessment to update losses and damages and assess vulnerability to climate change in terms of Disaster Risk Reduction	MOE															
Activity 2.3.5 Identify entry points to address loss and damage particularly at the municipal level and look at linkages between Sendai, Paris Agreements and SDGs	MOE															
Activity 2.3.6 Review mainstreaming adaptation relevant findings in sectoral policies and propose capacity building activities as needed	MOE															
Activity 2.3.7 Adaptation Communication prepared	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
Output 2.4 Information on financial, technology development and transfer and capacity-building support needed and received up to 2022 and 2023 provided																
Activity 2.4.1 Collection and use of gender disaggregated data to analyse differentiated capacity constraints in adapting/mitigating to climate change, proposing inclusive technology transfer, and financing mechanisms	MOE															
Activity 2.4.2 Review financial support needed and received, incorporating CBIT project results and recommendations	MOE															
Activity 2.4.3 Update Technology Needs Assessment, extracting information from Third NDA Readiness Project	MOE															
Activity 2.4.4 Review if gender disaggregated has been used in designing and implementing capacity building,	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
financial, technological activities related to adapting/mitigating climate change																
Output 2.5 Other related information including on national circumstances, information on research, systemic observation, education, training, public awareness and gender, in accordance with applicable guidelines in 17/CP.8.																
Activity 2.5.1 Develop a research plan to identify and address Research and Systematic observation needs for future BTRs/NCs	MOE															
Activity 2.5.2 Conduct capacity building trainings on gender and social inclusion in climate change action	MOE															
Activity 2.5.3 Conduct trainings for decision-makers/planners on including climate change and its integration into education curricular	MOE															
Activity 2.5.4 Develop Climate Change Communication Strategy including designing a gender	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
responsive and inclusive public awareness campaign																
Component 3: Compilation and submission of reports																
Outcome 3: BTR1 and BTR2 and NC4 compiled, adopted by the Government and submitted to UNFCCC.																
Output 3.1 BTR1 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2024																
Activity 3.1.1 Review BTR1 through technical review/expert committees	MOE															
Activity 3.1.2 Conduct validation workshop for BTR1	MOE															
Activity 3.1.3 Publish BTR1	MOE															
Output 3.2 BTR2 and NC4 compiled, adopted in transparent and participatory process and submitted to UNFCCC by December 2026 and June 2027 respectively.																
Activity 3.2.1 Review BTR2 and NC4 through technical review/expert committees	MOE															
Activity 3.2.2 Conduct validation workshop for BTR2 and NC4	MOE															
Activity 3.2.3 Publish BTR2 and NC4	MOE															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
Component 4: Monitoring and Evaluation (M&E)																
Outcome 4: Project is regularly monitored, inception workshop organised, lessons learned compiled and disseminated.																
Output 4.1 Inception workshop organised, and inception report compiled																
Activity 4.1.1. Conduct Inception Workshop	MOE															
Activity 4.1.2 Draft Inception Report	MOE															
Output 4.2 Project annual financial and progress reports and Annual Status Surveys prepared																
Activity 4.2.1 Conduct bi-annual progress reports	MOE															
Activity 4.2.2 Monitoring social and environmental risks and implementation of Gender Action Plan	MOE															
Activity 4.2.3 Supervision	UNDP and MOE															
Activity 4.2.4 Audits	UNDP															
Output 4.3 End of Project report including lessons learned compiled																
Activity 4.3.1 Develop end of project report	MOE and UNDP															

Task	Responsible Party(ies)	Year 1- 2024				Year 2- 2025				Year 3- 2026				Year 4 – 2027		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
Activity 4.3.2 Compile and share lessons learned	MOE and UNDP															
Activity 4.3.3 Final tracking tool update	MOE and UNDP															
Activity 4.3.4 Final Project Review	MOE and UNDP															
SESP																
Implementation of SESP	MOE															

Annex 5: UNDP Social and Environmental Screening Procedure (SESP)

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Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

Project Information	
1. Project Title	Development of the First Biennial Transparency Report and the combined Fourth National Communication and Second Biennial Transparency Report of Sri Lanka to UNFCCC
2. Project Number (i.e. Atlas project ID, PIMS+)	PIMS+ ID: 6518
3. Location (Global/Region/Country)	Sri Lanka
4. Project stage (Design or Implementation)	Design
5. Date	15 January 2023

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
The project will support mainstreaming climate change considerations into development strategies, sector-based policy frameworks and align with the transparency provisions in the Paris Agreement. The project will link with ongoing projects in integrating country context specifics to the Measurement, Reporting and Verification (MRV) process, reinforced by training and capacity building programmes which would include vulnerable and marginalized groups in accordance with non-discriminatory, equality and human-rights principles. The planned stakeholder engagement activities for workshops, awareness education incorporated in the project will be designed to enhance opportunities for decision making prospects of groups and individuals considered potentially marginalized. The project has a wide focus addressing mitigation and adaptation thematic areas with national stakeholders of ministries, agencies and institutes responsible for the collection of data related to climate reporting and the dissemination of mitigation and adaptation information among stakeholders.
Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment
The project integrates gender transformative aspects in the mitigation and adaptation thematic areas, and considers different social roles and economic status of men and women affected differently by climate change impacts. The project will adopt a human rights-based approach and ensure that gender equality and women's empowerment concerns are prioritized throughout the project cycle management. The role of women will be defined as participants in decision making and policy design processes as well as beneficiaries. Ensuring adequate gender balance in project management structures i.e. committees, technical advisory groups, sector teams and capacity building actions (trainings, workshops) will be an important directive of the project. An inclusive approach will be reflected in recruitment policies to maintain gender parity. The Gender Action Plan incorporates gender responsive and inclusive methodologies and guidelines with indicators, to be used for evaluation of the gender dimension in climate change adaptation and mitigation actions.

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Briefly describe in the space below how the project mainstreams sustainability and resilience
The project is designed to broaden the assessments of the Third National Communication (NC3), revising climate projections that capture connections between actions and temperature changes. An analysis of vulnerabilities, adaptive actions for resilience building against negative impacts of climate change will be included. A wide network of stakeholders from the state and non-state sectors, research and education institutions, enterprises and social groups will have the prospects of enhancing technical capacity, compile information on vulnerable sectors to climate risks and update adaptation policies, strategies and measures. Activities consisting of data gathering, processing and analysis, capacity development, stakeholder consultations, report writing, will lay the basis for and enhance principles of sustainability.
Briefly describe in the space below how the project strengthens accountability to stakeholders
The project will be designed based on the principles of accountability and implemented in close collaboration with stakeholders i.e. those who address and those affected by climate change challenges. The ministries, institutes of the state and private sectors, enterprises, academia, non-government organizations and social groups will be involved from start to completion of the project implementation process. They will participate in climate change committees, the project board and working groups to provide guidance and review of project outputs, as well as for monitoring activities. These inputs will enhance mandatory UNDP and GEF M&E requirements and provide validity to reports of the GEF Operational Focal point and national agencies assigned for project monitoring. The project will ensure gender balance, and take into consideration the needs of marginalized groups affected by climate change.

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Part B. Identifying and Managing social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? Note: Complete SESP Attachment 1 before responding to Question 2.	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** Note: Respond to Questions 4 and 5below before proceeding to Question 5			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**
Risk Description (broken down by event, cause, impact)	**Impact and Likelihood (1-5)**	**Significance (Low, Moderate Substantial, High)**	**Comments (optional)**	**Description of assessment and management measures for risks rated as Moderate, Substantial or High**
Risk 1: While the multiple socioeconomic challenges in Sri Lanka still continues and can be seen as a potential threat in implementing climate action commitments, however, this has also prompted the Government to prioritize green development in anticipation of tapping into internationally committed green/climate financing **Checklist Question P.2.**	I = 2 L = 2	**Low**	The government is in negotiations with donors and IMF on debt restructuring and expected to prioritise green investments. The project board can monitor the risk, align (actively engage with other similar initiatives too) and target awareness, capacity building programmes etc on green and climate financing to facilitate priority actions take place and address delays in communication, gather data to support Sri Lanka implement mitigation and adaptation commitments. Notably, currently climate financing is considered a high priority on the government's agenda. The project will be able to address risk concerns by assessing the collected information from the implemented, ongoing and planned climate actions, programmes and policies, and the formulation of recommendations to address such risks. This will be supported by applying the social and environmental screening procedures of UNDP.	As risk is low, no further assessment and/or management measures are needed.

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Risk 2: During the project implementation, the project may reproduce features of marginalization against affected groups such as persons with disabilities, women and indigenous people, , especially regarding participation in design and assessments or in access to opportunities and benefits that may affect them. **Checklist Question P.13.** **Checklist Question P.10.** **Standard 6 (6.1.)**	I = 2 L= 2	**Low**	The project agrees on an inclusive methodology for data collection, feedback where in there would be an inclusive stakeholder engagement process observing the rights of women, persons with disabilities, youth and others including indigenous people in vulnerable situations from project design to M&E. It will collect and analyze existing statistics and research in the climate change area, being affected by/or contributing to climate change, highlighting constraints, gaps and needs, and take steps to ensure gender equality and intergenerational equity. The project will assess how the needs of vulnerable and marginalized groups are being considered by climate change mitigation and adaptation policies and measures. Efforts will be made to engage marginalized groups to ensure their concerns are integrated into the project life-cycle process.	As risk is low, no further assessment and/or management measures are needed.
Risk 3: Potential climate change impacts to project implementation and achieving project outcomes and low coping capacity to adapt **Checklist Question 2.2.** **(Standard 2)**	I = 2 L = 1	**Low**	The project will underscore the need to ensure activities are framed to build back better, incorporating resilient features in facing potential disasters. In the event project activities are affected, alternative modes of engagement will be employed including over Zoom, activities will resume course when appropriate decisions are released assuring the safety and security of personnel and assets. The project data is processed and stored digitally, increasing data security. The stakeholder consultations, workshops and	As risk is low, no further assessment and/or management measures are needed.

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			trainings can be shifted to an online mode in case of extreme climate events, to the extent possible. Specific project activities that will contribute to the mitigation of risks are those that will deliver results in all Outcomes.	
Risk 4: The project team and/or project partners and stakeholders unintentionally contribute to the further spread Covid-19. **Checklist Question 3.4. (Standard 3)**	I = 2 L = 1	Low	The project will ensure health and safety measures when holding face-to-face meetings or workshops with different stakeholders. The project will consider employing videoconferencing equipment/tools for virtual meetings and workshops, revise workplan, apply social distancing and provide personal protective equipment (PPE) to prevent exposure among project staff, stakeholders and participants as and when necessary. The impact of the Covid-19 on the project progress will be closely monitored.	As risk is low, no further assessment and/or management measures are needed.

QUESTION 4: What is the overall project risk categorization?

Low Risk	☒	
Moderate Risk	☐	
Substantial Risk	☐	
High Risk	☐	

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)

Question only required for Moderate, Substantial and High Risk projects

Is assessment required? (check if "yes")	☐			**Status? (completed, planned)**
if yes, indicate overall type and status		☐	Targeted assessment(s)	

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			☐	ESIA (Environmental and Social Impact Assessment)	
			☐	SESA (Strategic Environmental and Social Assessment)	
	Are management plans required? (check if "yes)	☐			
	If yes, indicate overall type		☐	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	
			☐	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			☐	ESMF (Environmental and Social Management Framework)	
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind				
	Human Rights	☐			
	Gender Equality and Women's Empowerment	☐			
	Accountability	☐			
	1. Biodiversity Conservation and Sustainable Natural Resource Management	☐			
	2. Climate Change and Disaster Risks	☐			
	3. Community Health, Safety and Security	☐			
	4. Cultural Heritage	☐			
	5. Displacement and Resettlement	☐			
	6. Indigenous Peoples	☐			

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	7. Labour and Working Conditions	☐	
	8. Pollution Prevention and Resource Efficiency	☐	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
QA Assessor DocuSigned by: Sureka Perera 14947AA81FC0427...	09-Jun-2023	UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver DocuSigned by: Malin Herwig C3A4E95E15BF4F7...	09-Jun-2023	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair DocuSigned by: 169FE630BB0640B...	11-Jun-2023	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

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SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind Human Rights		**Answer (Yes/No)**
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	**No**
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	**Yes**
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	**No**
Would the project potentially involve or lead to:		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	**No**
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [1]	**No**
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	**No**
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	**No**
Gender Equality and Women's Empowerment		
P.8	Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	**No**
Would the project potentially involve or lead to:		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	**No**
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	**Yes**
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being	**No**
P.12	exacerbation of risks of gender-based violence? For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.	**No**

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

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Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
Would the project potentially involve or lead to:		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	**Yes**
P.14	grievances or objections from potentially affected stakeholders?	**No**
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	**No**
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
Would the project potentially involve or lead to:		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	**No**
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	**No**
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	**No**
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	**No**
1.5	exacerbation of illegal wildlife trade?	**No**
1.6	introduction of invasive alien species?	**No**
1.7	adverse impacts on soils?	**No**
1.8	harvesting of natural forests, plantation development, or reforestation?	**No**
1.9	significant agricultural production?	**No**
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	**No**
1.11	significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction	**No**
1.12	handling or utilization of genetically modified organisms/living modified organisms?[2]	**No**

[2] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.

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1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[3]	**No**
1.14	adverse transboundary or global environmental concerns?	**No**
Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	**No**
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes	**Yes**
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding	**No**
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	**No**
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	**No**
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	**No**
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	**No**
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	**Yes**
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	**No**
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	**No**
3.7	influx of project workers to project areas?	**No**
3.8	engagement of security personnel to protect facilities and property or to support project activities?	**No**
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		

[3] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

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4.1	activities adjacent to or within a Cultural Heritage site?	**No**
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	**No**
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	**No**
4.4	alterations to landscapes and natural features with cultural significance?	**No**
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	**No**
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	**No**
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	**No**
5.3	risk of forced evictions?[4]	**No**
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	**No**
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		
6.1	areas where indigenous peoples are present (including project area of influence)?	**Yes**
6.2	activities located on lands and territories claimed by indigenous peoples?	**No**
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk	**No**
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	**No**
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	**No**
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	**No**

[4] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

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	Consider, and where appropriate ensure, consistency with the answers under Standard 5 above	
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	**No**
6.8	risks to the physical and cultural survival of indigenous peoples?	**No**
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.	**No**
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		
7.1	working conditions that do not meet national labour laws and international commitments?	**No**
7.2	working conditions that may deny freedom of association and collective bargaining?	**No**
7.3	use of child labour?	**No**
7.4	use of forced labour?	**No**
7.5	discriminatory working conditions and/or lack of equal opportunity?	**No**
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	**No**
Standard 8: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	**No**
8.2	the generation of waste (both hazardous and non-hazardous)?	**No**
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	**No**
8.4	the use of chemicals or materials subject to international bans or phase-outs? For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention	**No**
8.5	the application of pesticides that may have a negative effect on the environment or human health?	**No**
8.6	significant consumption of raw materials, energy, and/or water?	**No**

Annex 6: UNDP Risk Register

Project Title: Sri Lanka: BTR1+ BTR2/NC4-Development of the First Biennial Transparency Report, the Second Biennial Transparency Report and Fourth National Communication of Sri Lanka to UNFCCC **Project Number:** 01000404 **Date: 18-May-23**

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
1	There is a risk that climate action commitments may not be implemented.	As a result of the prevailing multiple socioeconomic challenges in Sri Lanka.	Which will impact in delaying the submission of BTR1, BTR2/NC4 to the UNFCCC Secretariat.	**7. STRATEGIC (7.7. Alignment with national priorities) - UNDP Risk Appetite: OPEN TO SEEKING**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 15-Feb-24 To: 14-Feb-28	Project Director	Risk Treatment 1.1: UNFCCC focal points, Ministry of Environment shall provide additional information on the significance of mitigation activities and their cause-effect link with adaptation measures. Risk Treatment Owner: Ministry of Environment
								Risk Treatment 1.2: Obligations defined under the Paris Agreement will support the strengthening of mobilizing climate finance which is a key priority on the political agenda. Risk Treatment Owner: Ministry of Environment
								Risk Treatment 1.3: The government is in negotiations with donors and

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								IMF on debt restructuring and expected to prioritize green investments. The project board can monitor the risk, align (actively engage with other similar initiatives too) and target awareness, capacity building programmes etc. on green and climate financing to facilitate priority actions take place and address delays in communication, gather data to support Sri Lanka implement mitigation and adaptation commitments. Notably, currently climate financing is considered a high priority on the government's agenda. Risk Treatment Owner: Ministry of Environment
								Risk Treatment 1.4: The project will be able to address risk concerns by assessing the collected information from the implemented, ongoing and planned climate actions, programmes and policies, and the formulation of

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								recommendations to address such risks. This will be supported by applying the social and environmental screening procedures of UNDP. Risk Treatment Owner: Ministry of Environment
2	There is a risk that the project may reproduce features of marginalization against affected groups such as persons with disabilities, women and others, especially regarding participation in design and assessments or in access to opportunities and benefits	As a result of the Government typically overlooking gender considerations in climate change.	Which will impact in an inaccurate reflection of the impacts to all groups specifically vulnerable groups in reporting.	**1. SOCIAL AND ENVIRONMENTAL (1.12. Stakeholder engagement) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 15-Feb-24 To: 14-Feb-28	Project Coordinator	Risk Treatment 2.1: The project agrees on an inclusive methodology for data collection, feedback where in there would be an inclusive stakeholder engagement process observing rights of women, persons with disabilities, youth and others in vulnerable situations from project design to M&E. It will collect and analyse existing statistics and research in the climate change area, being affected by/or contributing to climate change, highlighting constraints, gaps and needs, and take steps to ensure gender equality and intergenerational equity. The project will assess how the needs of vulnerable and

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								marginalized groups are being considered by climate change mitigation and adaptation policies and measures. Efforts will be made to engage marginalized groups to ensure their concerns are integrated into the project life-cycle process. Risk Treatment Owner: Project Coordinator
3	There is a risk that climate change impacts may affect implementation and achievement of project outcomes	As a result of low coping capacity to adapt	Which will impact delays in the submission of BTR1, BTR2/NC4 to the UNFCCC Secretariat	**1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **1 - Negligible** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 15-Feb-24 To: 14-Feb-28	Project Coordinator	Risk Treatment 3.1: The project will underscore the need to ensure activities are framed to build back better, incorporating resilient features in facing potential disasters. In the event project activities are affected, alternative modes of engagement will be employed including over Zoom, activities will resume course when appropriate decisions are released assuring the safety and security of personnel and assets.

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								The project data is processed and stored digitally, increasing data security. The stakeholder consultations, workshops and trainings can be shifted to an online mode in case of extreme climate events, to the extent possible. Risk Treatment Owner: Project Coordinator
4	There is a risk that the project team and/or project partners and stakeholders unintentionally contribute to the further spread of Covid-19.	As a result of the resurgence of Covid-19 and limited of employment of pre-cautionary measures.	Which will impact delays in the submission of BTR1, BTR2/NC4 to the UNFCCC Secretariat	**3. OPERATIONAL (3.7. Occupational safety, health and well-being) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **2 - Low likelihood** Impact: **1 - Negligible** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 15-Feb-24 To: 14-Feb-28	Project Coordinator	Risk Treatment 4.1: The project will ensure health and safety measures when holding face-to-face meetings or workshops with different stakeholders. Risk Treatment Owner: Project Coordinator
								Risk Treatment 4.2: The project will consider employing videoconferencing equipment/tools for virtual meetings and workshops, revise workplan, apply social distancing and provide personal protective

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								equipment (PPE) to prevent exposure among project staff, stakeholders and participants as and when necessary. The impact of the Covid-19 on the project progress will be closely monitored. Risk Treatment Owner: Project Coordinator
5	There is a risk that government institutions may be unable to provide/process data	As a result of insufficient technical and human capacity	Which will impact the reporting in BTR1 and BTR2/NC4 as it might not be fully consistent with relevant national strategic priorities.	**3. OPERATIONAL (3.8. Capacities of the partners) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 15-Feb-24 To: 14-Feb-28	Project Coordinator	Risk Treatment 5.1: Representatives from the relevant institutions will be involved in the Project from its inception. Risk Treatment Owner: Project Coordinator
								Risk Treatment 5.2: The Project will provide the necessary technical assistance to meet enhanced reporting requirements, strengthening technical capacity and knowledge. Risk Treatment Owner: Project Coordinator
								Risk Treatment 5.3: Through the Knowledge Management Strategy, any technical knowledge that is

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								transferred will remain within the institutions. Risk Treatment Owner: Project Coordinator
6	There is a risk that there will be a lack of data	As a result of data being scattered across institutions, a lack of uniformity in data collection	Which will impact quality of reporting in BTR1, BTR2/NC4	**3. OPERATIONAL (3.8. Capacities of the partners) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 15-Feb-24 To: 31-Dec-27	Project Coordinator	Risk Treatment 6.1: The Project team will put additional effort to collect data or support strengthening of mechanisms for sustainable data collection, as and where needed. Risk Treatment Owner: Project Coordinator
7	There is a risk that there will be a lack of horizontal coordination across Ministries and Agencies	As a result of poor coordination capacity and a weak mechanism for coordination	Which will impact in collection of data and analysis	**3. OPERATIONAL (3.8. Capacities of the partners) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 15-Feb-24 To: 31-Dec-27	Project Board	Risk Treatment 7.1: Coordination and execution of project activities will be ensured through the Climate Change Secretariat with all relevant actors in the implementation process including sub- national and national institutions via Planning & Monitoring Committees. Risk Treatment Owner: Project Coordinator

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								Risk Treatment 7.2: The project will strengthen the capacity of key ministries and agencies to ensure that they are able to provide the necessary data in a given format and time frame. Risk Treatment Owner: Project Coordinator
								Risk Treatment 7.3: The overall oversight and guidance of the project implementation will be performed by the Project Board first to ensure regular communication across the government agencies. Risk Treatment Owner: Project Board
8	There is a risk that there is a lack of capacity within the Ministry of Environment, the Implementing Partner	As a result of the findings from the HACT assessment which ranks the Ministry of Environment as a 'Moderate Risk' with a significant risk in Programme and Project Management. The PCAT also ranks	Which will impact in project delivery.	**4. ORGANIZATIONAL (4.2. Execution capacity) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **4 - Highly likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 15-Feb-24 To: 14-Feb-28	Project Board	Risk Treatment 7.1: The CO support to NIM modality has been proposed as a risk mitigation measure, considering the short timespan in delivering BTR1 and difficulties in procuring services through Government.

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
		the Ministry as 'Medium Risk'. Further, the Government of Sri Lanka is allowing government servants to take five years of unpaid leave to work in the private sector, locally or overseas, and has also mandated compulsory retirement at the age of 60 years by 31 December 2022. It is expected that this will create a capacity vacuum, especially at the senior management and technical expertise level of government, which will further lower project implementation capacity across government institutions.						Risk Treatment Owner: Project Board

Annex 7: Overview of Project Staff and Technical Consultancies

Consultant	Time Input	Tasks, Inputs and Outputs
For Project Management		
Local / National contracting		
Project Coordinator *Rate: $9,500/year*	*48 months/ over 4 years*	*The Project Coordinator together with the Lead Technical Advisor will be responsible for the management of the activities under UNDP, including the mobilization of project inputs, supervision over project staff, consultants and sub-contractors under UNDP.* ***Duties and Responsibilities:*** ***Project Management*** • *Manage all project activities under UNDP.* • *Plan the activities of the project and monitor progress against the approved workplan.* • *Execute activities by managing personnel, goods and services, training, 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 and coordinating and updating the Annual Status Surveys with inputs from the IP.* • *Prepare the inception report no later than one month after the inception workshop.* • *Ensure that the indicators included in the project results framework are monitored annually/periodically, assess major and minor amendments to the project within the parameters set by UNDP-GEF;*

Consultant	Time Input	Tasks, Inputs and Outputs
		• *Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans;* • *Assess major and minor amendments to the project within the parameters set by UNDP-GEF;* • *Monitor and track progress against the GEF Core indicators.* • *Add technical tasks as necessary* • *Prepare ToRs and work specifications for key technical experts under Component 1, 2, 3.* • *Act as a focal point for media interventions on technical aspects of the project. Monitor and facilitate advocacy and mass media outreach activities, write success stories, ensure newspapers coverage, participate in PR campaigns.* • *Ensure project coordination with the relevant regional and national initiatives.*
For Technical Assistance		
International / National contracting		
Outcome 2: Sri Lanka's BTR2 and NC4 developed		
International Consultant *Rate: $6,000/year*	*60 days / over 4 years*	*Under close supervision of the Project Manager (PM), the International Consultant will work closely with the team contracted to develop BTR1, BTR2/NC4 and will specifically support on GHG methodology development and quality assurance of the National Inventory Report.*
Outcome 3: BTR1, BTR2 and NC4 compiled, adopted by the Government and submitted to UNFCCC		
Technical Advisor *Rate:* *$7,000/year*	*60 days / over 4 years*	*Technically supervise consultants and subcontractors, reviewing technical reports under Component 1 and 2 and substantively contribute to the development of technical knowledge products, quality assuring deliverables.*
Outcome 4: Project is regularly monitored, inception workshop organised, lessons learned compiled and disseminated		
Local Consultant *Rate: $1,000/year*	*5 days/over 5 years*	*Conduct M&E and also safeguards monitoring for the project activities.*

Annex 8: Stakeholder Engagement Plan

Stakeholder involvement and consultation processes are critical to the success of the project. An effective engagement of key stakeholders has been done during the project preparation, and it is envisaged to enhance ownership of the NC and BTR processes during implementation, monitoring and evaluation, and make these reports more responsive to national needs. The project proposal intends to strengthen stakeholders' participation to collectively participate in addressing climate change issues and challenges in Sri Lanka. The stakeholders of the project will be from a wide range of backgrounds, including line ministries and agencies, departments, local communities, local authorities and NGOs, mass-media, research institutions, academia, private sector and international organizations, with particular emphasis on related sectors.

The preparation process of the previous NCs to the Conference of the Parties of the UNFCCC, has contributed to the institutional strengthening of the Climate Change Secretariat (CCS) of the Ministry of Environment (MoE), as a competent lead institution for the application of the Convention as well as of other relevant institutions at national level. This project will additionally improve the sustainability for preparation of future NCs and BTRs and will facilitate the reporting requirements to the UNFCCC. Active participation by all stakeholders in the assessment of mitigation and adaptation policies and measures will be facilitated to ensure ownership and sustainability.

It is understood that the most effective way to address climate change, is to allow real co-management of the issue, where all key stakeholders are involved, in particular, in relation to the design and implementation of the mitigation and adaptation actions, in the framework of pursuing the wider objectives of sustainable development.

The integration of the different sectors strengthens the institutional and technical capacity of the different stakeholders and institutions, not limited to a reduced group of experts and decision makers from the governmental institution where lies the responsibility for the fulfillment of the national obligations to the Convention. Efforts will be made to take into consideration the needs of excluded and marginalized groups, including originations and individuals who represent women and youth, which are more affected by climate change and have less resources to adapt. For this purpose, the project team will use various tools, including design thinking, behavioral science, and foresight, thus creating a collaborative space where different stakeholders will join forces to design policies and actions that will contribute to the mitigation of Greenhouse gas (GHG) emissions and will enhance the resilience and adaptive capacities to climate change on national and local levels.

The engagement of a wide range of stakeholders, building on the consultation processes of the NDCs and National Adaptation Plan (NAP), will also support to address safeguards issues that are described in the Safeguards and Environmental Screening Procedure (SESP) (see Annex 5) and ensure that all voices, gender concerns, are being addressed satisfactorily.

The project will support extensive and continued stakeholder engagement throughout the 48 months of implementation to ensure coordination and cohesion between these different projects and their outcomes. The project will support the CCS of the Ministry of Environment to continue outward engagement with the Ministries of Finance, Foreign Affairs and the Presidential Secretariat. Under the second National Designated Authority (NDA) Readiness Project, supported by the Green Climate Fund, a data and information portal will be operationalized. This data portal provides access to the list of projects being implemented by the CCS. Complementary to this portal, it is necessary to consider establishing a mechanism to link the list of approved projects under the National Planning Department (NPD), which contributes directly and indirectly to build resilience and reduce GHG emissions.

The table below presents the main stakeholders at the national level, who will be involved in the project. and further provides an overview of their potential roles in the project and means of engagement[8]:

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
GOVERNMENTAL INSTITUTIONS		
MINISTRIES		
Ministry of Environment (MoE)	• NC4 and BTR 1&2 project implementing partner and overall coordination of mitigation and adaptation agenda. • Monitoring climate policies and actions. • Lead for the implementation of Nationally Determined Contributions (NDCs), National Adaptation Plan (NAP) and the National Biodiversity Strategies and Action Plans (NBSAPs). • National Focal Point to the UNFCCC.	Overall leading and coordination
Ministry of Foreign Affairs	• The Ocean Affairs, Environment & Climate Change Division of the Ministry of Foreign Affairs is mandated with promotion, coordination and coherence of Sri Lanka's environment and climate change and provides foreign policy perspective on the same level to relevant government ministries and line agencies. • The Division promotes Sri Lanka's role in international, regional, and sub-regional organizations within the spheres of environment and climate change, to strengthen the objectives of those organizations and pursue Sri Lanka's image as a bridge builder, thereby enhancing dividends for the country's interests. • The Division coordinates projects and initiatives to increase Sri Lanka's overall interaction with foreign countries, organizations and other related entities in Sri Lanka in promoting Sri Lanka as a platform for interactive dialogues/ conferences/ workshops in close collaboration with all stakeholders.	Dealing with international, regional, and sub-regional organizations within the spheres of climate change
Ministry of Finance	• Provides information pertaining to sources of international and national financial flows specifically for climate-related projects. • Mobilizing resources for climate change activities. • Update and review the constraints, and gaps related to financial needs, for improving the national financial planning. • Establish innovative financial mechanisms related to climate change.	Financial resource mobilization
Ministry of Power and Energy	• Source of legislative and policy support for energy related climate change actions. • Activity data (AD) on energy.	Mobilizing and facilitating relevant stakeholders in their respective sectors

[8] Gender disaggregated data related to climate change mitigation and adaptation will be accessed from the stakeholders listed below.

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
	• Greenhouse gas (GHG) inventory and mitigation lead for energy. • Report on the progress of mitigation actions, identification of additional mitigation actions, support needed and received. • Engaged in capacity building activities.	through physical and virtual engagements while closely interacting with MoE
Ministry of Industry	• Source of legislative and policy support for industry related climate change actions. • Activity data (AD) on industrial energy use, processes and product use (IPPU) and industrial waste. • Lead for the Sectorial Mitigation Plans in Industry. • Report on the progress of mitigation actions, identification of additional mitigation actions, support needed and received. • Engaged in capacity building activities.	
Ministry of Transport and Highways	• Source of legislative and policy support for transport related climate change actions. • Activity data (AD) and mitigation actions on transport. • Lead for the Sectorial Mitigation Plans on Transport. • Report on the progress of mitigation actions, identification of additional mitigation actions, support needed and received. • Engaged in capacity building activities.	
Ministry of Ports and Shipping	• Activity data (AD) on transport sector	
Ministry of Urban Development and Housing	• Activity data (AD) on transport sector, urban and waste sectors	
Ministry of Agriculture	• Source of legislative and policy support for agriculture related climate change actions. • Activity data (AD) on agriculture. • Lead for Agriculture adaptation and mitigation plans. • GHG inventory lead for Agriculture. • Report on the progress of adaptation and mitigation actions, identification of additional adaptation and mitigation actions, support needed and received. • Engaged in capacity building activities.	
Ministry of Plantation Industries	• Activity data (AD) on forestry sector	
Ministry of Wildlife and Forest Resources Conservation	• Source of legislative and policy support for forestry related climate change actions. • Activity data (AD) on forestry and biodiversity sectors.	

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
	• Report on the progress of mitigation actions, identification of additional mitigation actions, support needed and received. • Engaged in capacity building activities.	
Ministry of Fisheries	• Activity data (AD) and other information of fisheries and aquaculture sector. • Report on the progress of adaptation actions, identification of additional adaptation actions, support needed and received. • Engaged in capacity building activities.	
Ministry of Public Administration, Home Affairs, Provincial Councils, and Local Authorities	• Activity data (AD) on waste • Lead for waste sector mitigation plans	
Ministry of Health	• Source of legislative and policy support for health-related climate change actions. • Activity data (AD) and lead for health sector adaptation plan. • Report on the progress of adaptation actions, identification of additional adaptation actions, support needed and received. • Engaged in capacity building activities.	
Ministry of Tourism and Lands	• Source of legislative and policy support for tourism and land related climate change actions. • Activity data (AD) and lead for tourism sector adaptation plan • Report on the progress of adaptation actions, identification of additional adaptation actions, support needed and received. • Engaged in capacity building activities.	
Ministry of Water Supply and Estate Infrastructure Development Ministry of Irrigation	• Source of legislative and policy support for water related climate change actions. • Activity data (AD) on water sector • Lead for the Sectorial Adaptation Plans on Water. • Report on the progress of adaptation actions, identification of additional adaptation actions, support needed and received. • Engaged in capacity building activities.	

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
Ministry of Defense	• Source of legislative and policy support. • Activity data (AD) on loss and damage • Lead for the Loss and Damage Plans • National focal point to the Sendai Framework and lead of the National Platform on Disaster Risk Reduction. • Report on the progress of loss and damage actions, identification of additional loss and damage actions, support needed and received. • Engaged in capacity building activities. • Lead for Coastal Areas Adaptation plan	
GOVERNMENT DEPARTMENTS		
National Physical Planning Department (NPPD)	• Information on policies and strategies, and funding. • Provide high-level support and guidance for the overall climate change policies in the country.	Interacting with relevant stakeholders through physical and virtual engagements while closely cooperating with CCS
Land Use Policy Planning Department (LUPPD)	• Provide national socioeconomic, physical, land use related and statistical data that are key for the NC/BTR reporting	
Department of Irrigation (DoI)	• Activity data (AD) on water sector. • Contribute to the implementation of water sector adaptation actions and gender related activities. •	
Provincial Department of Irrigation (DoI)		
Department of Agriculture (DoA)	• Activity data (AD) on agriculture sector. • Contribute to the implementation of agriculture sector adaptation and mitigation actions and gender related activities.	
Department of Agrarian Development (DAD)		
Department of Animal Production and Health (DAPH)	• Activity data (AD) on livestock sector. • Contribute to the implementation of livestock sector adaptation and mitigation actions and gender related activities.	
Provincial Department of Animal Production and Health (PDAPH)		
Department of Fisheries (DoF)	• Activity data (AD) on fisheries sector. • Contribute to the implementation of fisheries sector adaptation actions and gender related activities.	
Department of Forest (DoF)	• Activity data (AD) on forestry and biodiversity sectors, including gender dimensions. • Contribute to the implementation of forestry and biodiversity sectors adaptation actions.	
Department of National Botanic Gardens (DNBG)		
Department of Wildlife Conservation (DWC)		

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
Department of National Zoological Gardens (DNZG)	• Activity data (AD) on biodiversity sector including gender dimensions. • Contribute to the implementation of biodiversity sector adaptation actions.	
Department of Motor Traffic (DMT)	• Activity data (AD) on transport sector. • Contribute to the implementation of transport sector mitigation actions.	
Sri Lanka Government Railway (SLGR)		
Coast Conservation and Coastal Resources Management Department (CC & CRMD)	• Activity data (AD) on coastal and marine sector, including gender dimensions. • Contribute to the implementation of coastal and marine sector adaptation actions	
Department of Meteorology	• Climate, Climate change scenarios, sea level rise and VA (Vulnerability assessment) studies, including gender dimensions. • Improve knowledge on climate change vulnerability data.	
Department of Census and Statistics	• Provision of macroeconomic data of all sectors	
Provincial climate change cells/ units currently being established by the Climate Change Secretariat (CCS)	• Assisting CCS in receiving activity data from provincial organizations	
GOVERNMENT AUTHORITIES AND BOARDS		
Central Environment Authority (CEA)	• Provides information on natural resources and the environment	Closely interacting with CCS through physical and virtual engagements
Ceylon Electricity Board (CEB)	• Activity data (AD) and information on electricity generation and renewable energy. • Contribute to the implementation of energy sector implementation actions and gender related activities.	
Sri Lanka Sustainable Energy Authority (SLSEA)	• Activity data (AD) and information on energy demand side management and renewable energy. • Contribute to the implementation of energy sector mitigation implementation actions and gender related activities.	
Public Utilities Commission of Sri Lanka (PUCSL)	• Information on electricity generation and renewable energy.	
Board of Investment of Sri Lanka (BOI)	• Activity data (AD) on industrial energy use, processes and product use (IPPU) and industrial waste.	
Industrial Development Board (IDB)		

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
Regional Industry Service Committee (RISC)	• Contribute to the implementation of industry and waste sectors implementation actions.	
Industrial Services Bureau (ISB)		
Sri Lanka Standard Institute (SLSI)	• Progress monitoring of the application of the relevant standard by the cement industry.	
Mahaweli Development Authority of Sri Lanka (MASL)	• Activity data (AD) on water sector. • Contribute to the implementation of water and agriculture sectors adaptation, mitigation and gender related actions.	
National Water Supply and Drainage Board (NWSDB)		
Department of Community Water Supply (DCWS)		
Sri Lanka Rainwater Harvesting Forum SLRWHF		
Information and Communication Technology Agency of Sri Lanka (ICTA)	• Data collection and data sharing mechanisms	
Urban Development Authority (UDA)	• Lead for Cities Adaptation plans. • Contribute to the implementation of urban sector adaptation actions. • capture/reflect the gender dimensions in the Activity data	
Road Development Authority (RDA)	• Activity data (AD) on transport sector. • Contribute to the implementation of transport sector mitigation actions.	
Sri Lanka Transport Board (SLTB)		
Ceylon Petroleum Corporation (CPC)	• Activity data (AD) on energy and transport sector.	
Local Government Authorities (Las)	• Activity data (AD) on waste sector. • Contribute to the implementation of waste and urban sectors adaptation, actions.	
Marine Environment Protection Authority (MEPA)	• Provides information on natural marine resources and the environment.	
Sri Lanka Ports Authority (SLPA)	• Activity data (AD) on marine navigation	

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
National Solid Waste Management Service Centre (NSWMSC) Waste Management Authority of Western Province (WMA-WP)	• Activity data (AD) on waste sector. • Contribute to the implementation of waste sector mitigation actions.	
Sri Lanka Land Reclamation and Development Corporation (SLLRDC)	• Data and information on urban disaster risk reduction, including gender dimensions	
Water Resources Board (WRB)	• Activity data (AD) on water sector. • Contribute to the implementation of water sector adaptation and gender related actions.	
National Resource Management Centre (NRMC)	• Adaptation plans for agriculture sector, implementation of the Soil Act and producing the agro-met advisory on seasonal rainfall changes	
Department of Fisheries and Aquatic Resources (DFAR)	• Activity data (AD) on fisheries sector • Lead for the fisheries sector adaptation plans. • Contribute to the implementation of fisheries sector adaptation and gender related actions.	
National Aquaculture Development Authority (NAQDA)	• Activity data (AD) on fisheries sector. • Contribute to the implementation of fisheries sector adaptation and gender related actions.	
Agriculture and Agrarian Insurance Development Board	• Activity data (AD) on loss and damage	
Sri Lanka Tourism Development Authority (SLTDA)	• Activity data (AD) on tourism sector, including gender dimensions. • Contribute to the implementation of tourism sector adaptation actions.	
Disaster Management Centre (DMC)	• Activity data (AD) and on loss and damage, including gender dimensions. • Lead for the Loss and Damage Plans	
Sri Lanka Sustainable Development Council	• Data and information on Sustainable Development Goals (SDGs) integration	
Sri Lanka Climate Fund	• Support to provide green financing to Sri Lankan companies for climate actions for sustainability.	
ACADEMIA AND RESEARCH ORGANIZATIONS		
Universities	• Develop national emission factors, undertake mitigation and vulnerable assessments	

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
University Grant Commission (UGC)	• Facilitate universities to undertake abovementioned tasks	Closely interacting with CCS through physical and virtual engagements
National Aquatic Resources Research and Development Agency (NARA)	• Activity data (AD) on fisheries sector	
Veterinary Research Institute (VRI)	• Activity data (AD) on livestock sector	
National Building Research Organization (NBRO)	• Activity data (AD) on loss and damage	
National Science Foundation (NSF)	• Lead on science, technology, knowledge and innovation and coordinates the Climate Change Scientific Committee	
Medical Research Institute (MRI)	• Activity data (AD) on health sector	
PROFESSIONAL BODIES		
Organization of Professional Associations of Sri Lanka (OPA)	• Support to all professional bodies for their memberships to actively engage in climate actions in their respective disciplines	Closely interacting with CCS through physical and virtual engagements
Green Building Council of Sri Lanka (GBCSL)	• Strategy of Sustainable Building and the Sustainable Building Code for Housing	
National Cleaner Production Centre (NCPC)	• Activity data (AD) on industry sector	
PRIVATE SECTOR		
Private Sector Organisations	• Support to integrate climate risks and opportunities into the development plans of Sri Lankan companies • Support to provide green financing to Sri Lankan companies for climate actions for sustainability • Activity data (AD) and information on milk production and dairy cows • Activity data (AD) on floor transport through railway from its factory in Trincomalee. • Contribute to the implementation of transport sector mitigation actions. • Activity data (AD) on the production of cement using ash from Norochcholai coal power plant. • Contribute to the implementation of industry sector mitigation actions. • Activity data (AD) on marine navigation • Activity data (AD) on industry sector (industries operating in LINDEL industrial park in Sapugaskanda)	Closely interacting with CCS through physical and virtual engagements
NON-GOVERNMENTAL ORGANIZATIONS (NGOs), CIVIL SOCIETY ORGANIZATIONS (CSOs)		

STAKEHOLDER	ROLE IN THE PROJECT	MEANS OF ENGAGEMENT
NGOs and CSOs	• Support gender-responsive disaster management and humanitarian action related to climate change • Play an important role between civil society and policy makers. • Enhance communication about climate change impacts, increasing the level of awareness among the population namely local communities, women and youth and their mobilization in fighting against climate change. • Promote socio-economic and socio-political empowerment of rural women and men. • Provides services to rural communities seeking to manage and utilize their natural resources in a sustainable manner to increase resilience to climate change. • Promote initiatives and innovative mitigation and adaptation projects. • Support gender mainstreaming in climate adaptation and mitigation. • Advocates for women's rights and engages in activities that promote full gender equality in a world free from violence, discrimination, and oppression.	Closely interacting with MoE through physical and virtual engagements

A preliminary Stakeholder Engagement Plan envisages the following meetings, which are embedded in the project outputs/activities, as described below:

- An inception workshop to discuss the conceptual framework and design for each report/area of work; and to highlight any prevailing challenges to data acquisition and sharing, monitoring assessment and reporting;
- Stakeholder consultation workshops at the national and sub-national level (3-4 provinces) to support each outcome area - including updating national circumstances, GHG inventory preparation, vulnerability assessments, reporting back on the NDCs, validating mitigation and adaptation priorities, identifying technology, financing and capacity building needs;
- Capacity building workshops on the ETF, BTRs and NCs;
- Thematic working group meetings with sector representatives;
- Group discussions to solicit ideas, create synergies and opportunities for networking, knowledge sharing and joint actions;
- Validation workshops to discuss results and validate accuracy of the analyses and assure quality of results;
- A final dissemination workshop to discuss findings, raise awareness and reinforce collaboration and networking.

The Stakeholder Engagement Plan will be consolidated and implemented in conjunction with the Gender Action Plan. This will ensure that gender equality considerations are firmly integrated throughout project-related interactions with stakeholders.

Annex 9: Gender Analysis and Action Plan

1. Executive Summary

National and International Commitments

Sri Lanka's commitment to women's concerns can be traced back to the United Nations Decade for Women (1975 – 1985), in particular, the International Women's Year in 1975. The United Nations Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) was signed in 1981. Sri Lanka is signatory to the International Covenant on Civil and Political Rights and the International covenant on Economic, Social and Cultural Rights which distinguishes discrimination on the grounds of sex as a violation of human rights. In 1993 Sri Lanka signed the Vienna Declaration on the Elimination of Violence Against Women setting out its commitment to fight against gender-based violence. Sri Lanka's commitments to the United Nations Security Council Resolution 1325 and the Child Rights Convention has advanced the country's commitments to gender equality and the empowerment of women and girls. Sri Lanka is committed to the achievement of Sustainable Development Goals 2015, the United Nations' call for action to end poverty and protect the planet.

At the national level, Sri Lanka recognizes the inherent right to gender equality and women's empowerment, and places equality between women, men, girls, boys and gender minorities as a key aspect of development. Women comprise nearly 52% of the population out of a 22.1 million (2021) population[9]. Over the past few decades, some measures have been taken to consolidate a gender structure in the government that is generally favorable for delivering policies and programmes around equality into practice.

The Constitution of Sri Lanka 1978 in Article 12(2) sets out the principle of non-discrimination on the ground of sex. Article 12 of the Constitution guarantees the right to equality before the law and equal protection of the law of all persons and commits that no citizen shall be discriminated against on the grounds of race, religion, language, caste, sex, political opinion, place of birth or any one of such grounds. The Constitution further provides for affirmative action committing that Constitutional provisions on equality shall not prevent special provision being made, by law, subordinate legislation or executive action, for the advancement of women, children or persons with disabilities [Article 12(4)][10].

In the domain of legislation, Sri Lanka has a collection of codified and uncodified forms of law comprising a combination of Roman-Dutch law, English law, and personal laws (Kandyan law, Thesavalamai and Muslim law)[11]. The Penal Code recognizes several specific instances that strengthen the State's protection of the physical integrity of women and girl children. Laws governing labour and employment, marriage and family relations, laws on land and property are largely gender neutral with selected gender responsive positive provisions. However, despite affirmative constitutional guarantees of gender equality, and the legal framework taking a gender-neutral approach, with a few proactive legislations, most laws do not contain special measures to ensure gender equality and women's empowerment. At times, these laws have been interpreted and served to openly discriminate against women and gender minorities.

[9] Statistical Data Sheet 2022, Dept. of Census and Statistics, Sri Lanka
[10] The Constitution of the Democratic Socialist Republic Of Sri Lanka Revised 2021, Parliament Secretariat
[11] LAWNET, Ministry of Justice, 2016

Measures have been taken by the government to meet commitments to gender equality and women's empowerment including establishing a separate Ministry of Women's Affairs in 1997 prior to which a Women's Bureau was operational from 1978. The Women's Charter, a policy document on women's empowerment was formulated and adopted by the State in March 1993 and is the main policy statement regarding the rights of women, expressing commitment to remove all forms of discrimination against women. The National Committee on Women (NCW) performs the function as the monitoring arm of the Charter. However, the Women's Charter has as of yet not been successful in obtaining statutory recognition and thus has no legal, administrative and authoritative recognition and the rightful power to effect and monitor implementation.

In addition to the Women's Charter, women focused policies and action plans include the National Plan of Action on Women (1996) stemming from the Beijing Platform for Action, the Policy Framework and National Plan of Action to address Sexual and Gender-based Violence in Sri Lanka (2016), the Plan of Action Supporting the Prevention of Domestic Violence Act (2005), the National Action Plan on Women-Headed Households (2017) and Chapter on Women's Rights in the National Human Rights Action Plan (2017-2021). Key policies that integrate gender equality and women's empowerment include the National Policy on Decent Work in Sri Lanka (2006), the National Labour Migration Policy (2009), and the Legal Aid Policy (2016). At present these policy frameworks and action plans are in the process of being revised.
Institutions mandated for women's development is led by the State Ministry of Women and Child Development (a Cabinet Ministry until 2020). There are various programmes implemented over the last decades to support the economic empowerment of rural women providing skill development, entrepreneurship support, micro credit programmes.

The 2019 'National Policy Framework Vistas of Prosperity and Splendour'[12] commits women to be empowered economically and socially, and specifies several strategies focusing on the recognition and enabling women's economic contribution, especially for women of the rural sector in uplifting and building entrepreneurship.

The National Policy on Women is being finalized and a draft bill will be presented in Parliament in March 2023. It is expected that a statement on gender and climate change would be included therein.

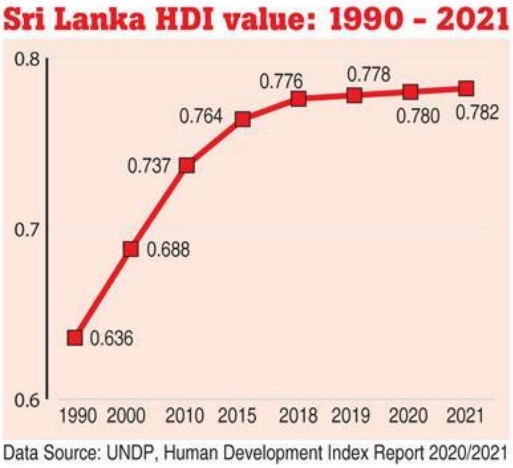
The Nationally Determined Contributions (NDCs)[13] to provide a vehicle to support the national policy commitments on gender equality. From a national development perspective, it is important to consider synergies and development co-benefits between climate action and other sustainable development goals – including gender equality and women's empowerment. These are identified as precondition for successful implementation of the Paris Agreement and the achievement of the 2030 Agenda for Sustainable Development[14]. The National Climate Change Policy which is being updated (to be published June 2023), is expected to also include gender considerations in relation to climate change.

[12] National Policy Framework Vistas of Prosperity and Splendour 2019
http://www.doc.gov.lk/images/pdf/NationalPolicyframeworkEN/FinalDovVer02-English.pdf
[13] Guidelines in NDC formulation integrating gender – from the baseline to monitoring is given later in this document
[14] UN Women, Leveraging Co-Benefits Between Gender Equality and Climate Action for Sustainable Development, Mainstreaming Gender Considerations in Climate Change projects, 2016

In consideration of holistic and coordinated planning and financing for SDG achievement, the National Planning Department has introduced a 'Project Submission Format' in January 2019. This Format is mandatory for the Government agencies at the national and sub national level in preparing project proposals for appraisal for financing[15]. Section 19 of the Format requires a gender analysis in developing national and sectoral development projects. Any projects related to NDCs submitted for government financing will therefore need to fulfill this requirement.

Human Development

The Human Development Index 2021 of UNDP[16] shows that Sri Lanka scored 0.782 points improving its ranking in HDI by two places since 2020. For 2019 the year of the pandemic, Sri Lanka had an HDI score of 0.780 placing it in the 72nd place in the table of 189 countries published. Since the year 2015, Sri Lanka moved nine places up in the HDI. For the 2010 – 2021 decade, Sri Lanka has seen its HDI value grow by 0.54 per cent, whereas for the decade 2000 -2010, and 1990 – 2000 decade, the value grew by 0.69 per cent and 0.79 per cent, respectively.



The HDI, specifying data according to gender, shows human development for males in Sri Lanka is higher than for females, where the HDI value for males is 0.795, it is 0.755 for females. Under the Gender Inequality Index (GII), Sri Lanka ranks 91 (lower than 90 countries in comparison) and secures a value of 0.383. The GII takes into account the maternal mortality ratio, which is 36 for the country, the adolescent birth rate (15.7), the share of seats in parliament (5.4 per cent), the population with at least some secondary school education (female – 84 per cent, male – 84.2 per cent), and the labour force participation rate (female – 30.9 per cent, male – 68.5 per cent). For 2021, the year under review, Sri Lanka has a coefficient inequality of 13.2, while the inequality of life expectancy is 5.2 per cent. In education, the inequality is 12 per cent, and in income, the inequality is 22.4 per cent.

The status of women particularly regarding education, has improved in Sri Lanka in the past few decades. Women as a whole have used education not only to break free of gender norms but to challenge gender-based stereotypes regarding women's abilities, brain power and myths generated through cultural norms. The ratio of girls to boys in primary school enrollment has been equal in most years in the past decade. In

[15] http://www.npd.gov.lk/index.php/en/2017-03-02-07-02-41/project-submission-format.html
[16] Human Development Report 2021 UNDP

secondary schools the ratio is 1.05 percent (2018) indicating an enrollment in favour of girls. The indicator for measurement in education is defined as the ratio of the gross enrollment rate of girls to boys in primary and secondary education levels in both public and private schools. The enrollment of females to males in universities of Sri Lanka shows that 64% were females to 36% males[17] in 2019.

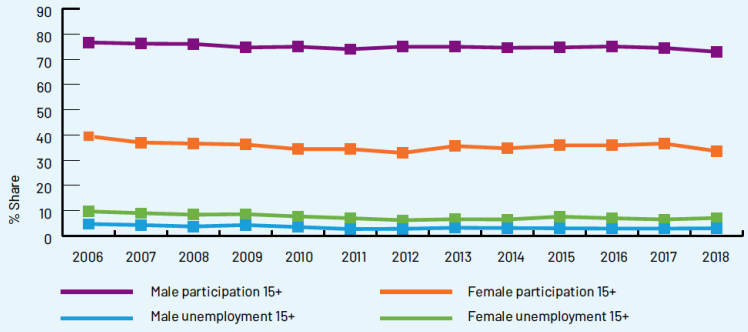
Eliminating gender disparity in education is considered to increase the status and capabilities of women in general. Although Sri Lanka shows better achievements of girls in education, this does not translate into employment opportunities due to various reasons. Sri Lanka has the 14th-largest gender gap in labor force participation globally despite achievements in education. The labor force participation rate of women is half that of men, with 34.3% female participation as compared to 72.2% male participation rate.[18]

In the employment field, Sri Lanka has a low rate of women's participation in the paid labour force, considered a worrisome feature for its human development. Factors such as unpaid care, household work, skills deficits, and gender discrimination are considered the reasons. The demand for women workers in the private sector is hindered by attitudes of management of hiring women. Women's workforce participation rate has been half of the men's rate over the last two decades (see Figure below). In 2019, it stood at 34.5 percent of the working-age cohort whereas 73 percent of males of working age were either employed or seeking work [19]. However, women's representation in the public sector at 45 per cent is the most equal to that of men where the presence of women in teaching and nursing professions is significant. Over 70% of teachers, 25% of principals, and a few high-level administrators are women, but women remain severely underrepresented among senior officials, managers, and proprietors of enterprises in the private sector.

Unemployment rate in 2019 for women stood at 7.4, more than double of that of men 3.3 [20]. A study by ADB[21] highlights several key observations on the women's status in economic participation in Sri Lanka i.e., that women are more likely than men to be unemployed, underemployed, or out of the labor force. Women's low labor force participation and high unemployment rates indicate that their skills are underused.

[17] University Grants Commission Sri Lanka: Detailed Undergraduates Enrolment of Higher Educational Institutions 2019
[18] Sri Lanka Labour Force Survey 2020, Department of Census and Statistics, Sri Lanka
[19] Sri Lanka in Figures, Department. of Census and Statistics, 2020
[20] Sri Lanka Labour Force Survey, Annual Report, 2019 Department of Census and Statistics
[21] Sri Lanka Gender Equality Diagnostic of Selected Sectors, Asian Development Bank 2016

Figure 1.1: Trends in labour force participation and unemployment in Sri Lanka by gender, 2006-2018



Source: Department of Census and Statistics (2015), Sri Lanka Labour Force Survey, Annual Report 2014 and Department of Census and Statistics (2019), Sri Lanka Labour Force Survey, Annual Bulletin 2018.
Note: Data for 2009 onwards includes all districts. Data for previous years either excluded both Northern and Eastern Provinces, Northern Province only, or some districts of Northern Province. See Department of Census and Statistics (2018) for details.

Health – In the health sector, women show positive achievements. To begin with, the sex ratio in Sri Lanka in 2021 was 91.96 males per 100 females. With 11.20 million females and 10.30 million males, the percentage of female population is 52.09% compared to 47.91% male population. Women are beneficiaries of the free health care provisions of the state which has the objective of improving the quality of life and increasing life expectancy of all citizens. In 2020, the mortality rate for women was at 54.55 per 1,000 female adults, while the mortality rate for men was at 147.23 per 1,000 male adults, and maternal mortality ratio was 36.00 per 100,000 live births[22]. Consequently, average life expectancy is relatively high at 76 years for the total population—79 years for women and 72 years for men.

Gender-Based Sexual Violence – the Women's Wellbeing Survey (WWS)[23] conducted by the Department of Census and statistics, revealed that women in Sri Lanka are more than twice as likely to have experienced physical violence by a partner (17.4% experienced this in their lifetime) than by a non-partner (7.2%). 24.9% of women experienced physical and/or sexual intimate partner violence or non-partner sexual violence. Intimate partners are current or former husbands, cohabiting partners, fiancés, and dating partners, whether or not there is or has been a sexual relationship. Of partner violence measured, the most reported form was controlling behaviors at 19.1%, followed by physical violence at 18.9%. Around 7.2% of women have experienced physical violence by a non-partner since age 15 years. Sexual violence has been experienced at higher rates among women aged 25-34 years and 35-44 years (5.3% and 5.0% since age 15). The impacts of violence by a partner on women's health, their children's wellbeing and their work productivity are also explored in the survey.

Political representation – Sri Lanka ranks amongst the lowest in the world for the percentage of women in national legislatures. Although women make up more than half of the Sri Lankan electorate, they are grossly under-represented in decision making positions. In the parliamentary elections in 2020, only12 seats were won by women, representing around 5.4% of the elected candidates, lower than the average

[22] Annual Health Statistics Sri Lanka, 2019 Ministry of Health
[23] Women's Well Being Survey Sri Lanka Findings from Sri Lanka's first dedicated National Survey on Violence against Women and Girls – UNFPA 2019

for all developing countries (20.2%)[24]. The representation in the provincial and local governments is lower than the national level, 6% of seats in provincial councils, and 2% of seats in local government[25].

In 2021 the Inter Parliamentary Union ranked Sri Lanka as 178 out of 184 countries in women's participation in politics[26]. One positive step taken to address these gaps and achieve gender equality is the introduction of a quota at the local government level, and a new electoral system with a quota at the provincial level. However, women in Sri Lanka continue to face serious social, political, economic and cultural barriers to engagement in formal politics such as lack of access to campaign financing, persisting patriarchal attitudes regarding the role of women, violence targeting women in politics and the negative media portrayal of female politicians which impede their chances to actively engage in country's politics.

A snapshot of gender inequalities in Sri Lanka

While Sri Lanka has made good progress in several indicators in the areas of education and health, it has also fostered complacency that prevents recognition of continuing gender inequalities.

i. Women are very poorly represented in political structures and in the senior levels of the public service, proprietors of enterprises, although 58% of university students are women.
ii. Only 16 percent of all privately owned land in the country belongs to women.
iii. Over 20 percent of Sri Lankan households are headed by women.
iv. Unequal gender division of the labour market: women are concentrated in low productivity and low-income agriculture and in the plantation sector, in assembly-line jobs in garment and other industries, in subcontracted occupations, and in domestic service within the country or as migrant domestic labor.
v. Only 1.0% of the female labor force in the category of employers, compared to 3.4% of the male labor force.
vi. There is a large concentration of economically active women in unpaid family labor, particularly in agriculture. Unpaid family workers consist of 3.0% males and 20.4% females.
vii. Studies indicate women are underpaid relative to men
viii. The unemployment rates of women are more than double those of men at all ages since the late 1960s, this trend continues to date.
ix. Women's low labor force participation and high unemployment rates indicate that their skills are underused.
x. In access to ICT s, the urban–rural divide and gender digital divide persists, estimated male IT literacy was 26.5% and female IT literacy was 22.1%.
xi. There is high prevalence and tolerance of violence against women

Sources:
ADB, Sri Lanka Gender Equality Diagnostic of Selected Sectors, 2016
FAO, Country Gender Assessment of Agriculture and the Rural Sector in Sri Lanka, 2019

Women and men experience the adverse effects of climate change differently. Also, within the population groups of women and men, there are differences in vulnerability, adaptation, and coping capacities, determined by social and economic status, age and physical abilities.

In Sri Lanka, key determining factors that influence coping and adaptive capacities of men and women are strength and security of livelihoods, ownership of assets, access to productive resources, information, knowledge, and insurance for loss & damages. Gender dimensions of vulnerability to climate change are a result of differential access of men and women to the social, financial, and environmental resources that are required for adaptation. Women typically have less control over land, lower education levels, more restricted mobility (also due to their home-based roles), and lower levels of participation in decision-making.

[24] Asian Development Bank, Sri Lanka: Gender equality diagnostic of selected sectors, 2016
[25] Law and Society Trust, Women's Political Representation in Local Government Institutes: 25% Quota and Way Forward, 2016
[26] Democracy Reporting International (DRI) Improving women's political participation in Sri Lanka Briefing Paper October 2021

Climate Action

Detrimental effects of climate change can be felt in the short-term through natural hazards, such as landslides, floods, and drought; and in the long-term, through more gradual degradation of the environment. Adverse effects are felt in agriculture and food security, water resources, ecosystems and biodiversity, health, energy, transport, and industry and in migration patterns. According to the literature on this topic, impacts of climate change are greater on the poor and most vulnerable.

Women and men experience the adverse effects of climate change differently. And within the population groups of women and men, there are differences in vulnerability, adaptation, and coping capacities, determined by social and economic status, age and physical abilities. A conducive environment needs to be created to enable a fuller utilization of women's capabilities, to unleash their potential as producers and partners in development, in climate change mitigation and adaptation activities.

Climate change mitigation and adaptation is identified as a complex challenge requiring a rigorous, collaborative, proactive and holistic approach. The highlighted gender inequalities show that women are bound to have comparatively lower adaptive and coping capacities, which can dramatically limit the resilience as well as further increase the vulnerabilities of women, families, and communities.

Mitigation and adaptation policies and plans that do not consider gender inequalities will not only miss out on a significant resource to work with towards achieving greater outcomes, but are likely to make the situation worse for women, increase their vulnerabilities, reduce adaptive capacities. Further, gender insensitive climate programming can inadvertently lead to the reinforcement of existing gender roles and relations, and the perpetuation of inequalities between men and women.

The Paris agreement for Climate Change calls for gender equality and women's empowerment, provisions on adaptation and capacity-building efforts and urge member states to adopt gender-responsive approaches. Gender Action Plan of the UNFCCC[27] recommends gender mainstreaming in all climate change processes. Key determining factors that influence coping and adaptive capacities of men and women are strength and security of livelihoods, ownership of assets, access to productive resources, information, knowledge, and insurance for loss and damages.

Gender dimensions of vulnerability to climate change are a result of differential access of men and women to the social, financial, and environmental resources that are required for adaptation. Women typically have less control over land, lower education levels, more restricted mobility (also due to their home-based roles), and lower levels of participation in decision-making. Unleashing the knowledge and capabilities of women represents an important opportunity to craft effective climate change solutions for the benefit of all.[28]

Lack of sex disaggregated data in all sectors often leads to an underestimation of women's roles and contributions leading to gender-blind climate change policy and programming disregarding their distinct needs, constraints, and priorities[29]. When the contribution women make into economic production,

[27] Five-year Lima work programme on gender and its gender action plan, which promotes gender equality and women's empowerment in the UNFCCC process, and encourages Parties to advance its implementation (Decision -/CP.23)

[28] https://www.iucn.org/resources/issues-briefs/gender-and-climate-change

[29] IUCN – Gender and national climate planning - Gender integration in the revised Nationally Determined Contributions 2021

household food security, household maintenance and care, water and environment resource management, and the specific skills women are equipped with are recognized, it becomes a tremendous resource to implement climate action. COP27 2022 has underscored gender data must be prioritized across UNFCCC mechanisms and processes, to further bolster climate adaptation and resilience.
Women in Sri Lanka as elsewhere, play a crucial role in climate change adaptation, despite existing economic and social inequalities and being disproportionately affected by climate change. However, Women remain a largely untapped resource. Restricted land rights, lack of access to financial resources, training and technology, and limited access to political decision-making spheres often prevent them from playing a full role in tackling climate change and other environmental challenges.

When the contribution women make into economic production, household food security, household maintenance and care, water and environment resource management, and the specific skills women are equipped with are recognized, it becomes a tremendous resource to implement climate action.

Sri Lanka's National Climate Policy is being updated. The team developing the new policy document includes a gender specialist and will mainstream gender concerns into mitigation and adaptation priorities. This is a necessary requisite as climate change worsens and its effects hitting women hard such as in flood and drought situations. In Sri Lanka women carry the responsibility for securing food, water and energy for their family's daily use. As the frequency and intensity of floods and droughts increase in the country women are forced to take additional measures for daily necessities, in some parts of the country rural women must travel great distances to access clean water sources and in sudden disaster situations it is the women who look after children and the elderly thus making it harder for them to earn an income from work or education. Given these factors, mainstreaming gender concerns in mitigation and adaptation policies is a priority concern.

Initial discussions on formulating a national Gender Action Plan (GAP) has been launched by the Ministry of Mahaweli Development and Environment in consultation with the Ministry of Women and Child Affairs, Ministry of Skills Development and Vocational Training, and Ministry of Rural Economic Affairs. It has attempted to clarify the principles on which GAP could be framed emphasizing the need for achieving institutional coherence, a participatory decision–making process and which recognizes local and traditional knowledge of women at grassroots level on climate change. Active participation in the implementation of a gender sensitive climate change policy process especially in adaptation, mitigation activities, education and capacity building has been underscored[30].

However, neither the National Climate Change Adaptation Strategy for Sri Lanka 2011 – 2016 (Ministry of Environment 2010) nor the National Adaptation Plan for Climate Change Impacts in Sri Lanka 2016 – 2025 (Ministry of Mahaweli Development and Environment 2016), consider aspects of mainstreaming gender concerns in the strategy or the plan.

From a national development perspective, it is important to consider synergies and development co-benefits between climate action and other sustainable development goals – including gender equality and women's empowerment. These are identified as precondition for successful implementation of the Paris Agreement and the achievement of the 2030 Agenda for Sustainable Development[31]. In consideration of holistic and coordinated planning and financing for SDG achievement, the National Planning Department

[30] Initiating gender mainstreaming in climate change processes in Sri Lanka SLYCAN Trust 2020
[31] UN Women, Leveraging Co-Benefits Between Gender Equality and Climate Action for Sustainable Development, Mainstreaming Gender Considerations in Climate Change projects, 2016

has introduced a 'Project Submission Format' in January 2019. This Format is mandatory for the Government agencies at the national and sub national level in preparing project proposals for appraisal for financing[32]. The section 19 of the Format requires a gender analysis in developing national and sectoral development projects. Any projects related to NDCs submitted for government financing will therefore need to fulfill this requirement.

National reporting processes can be a meaningful entry point for training, awareness-raising and capacity-building efforts to ensure women's equal engagement in and benefit from climate change action. Preparation of reports can also influence other, ongoing climate change planning and policymaking processes. There are a number of rationales for analyzing gender issues in the context of National Communications (NCs) and Biennial Update Reports (BURs). Initially, it is important to note that the UNFCCC and the COP Lima Work Programme on Gender recognize that all aspects of climate change have gender dimensions. The UNFCCC encourages countries to integrate gender considerations into specific areas of work on the Convention. This includes NCs, BURs and National Adaptation Programmes (NAPs).

Sri Lanka's National Communication (NC) 1, 2 and 3 did not have distinct gender analysis or sex-disaggregated data and information on mitigation or adaptation priorities. A gender analysis was conducted during the NDC updating process in 2020-2021. This gender analysis recommended the integration of gender sensitive climate change actions through a consultative process that identified key gender mainstreaming gaps and interventions that could be integrated into NDC implementation plans. Preliminary sector-wise gender analysis was conducted for irrigation, water, agriculture, transport and energy. The analysis recommended these actions to develop gender responsive NDC implementation plans:

- Assess the gender differences in the sectors, by conducting a gender analysis for respective sectors[33] to establish the baseline situation
- Review existing sector and national policies and strategies in relation to gender issues and identify the available provisions for gender integration, review relevant sector specific research/documents/assessments
- Use the sectoral gender analysis to identify interventions to address specific gender issues, reduce the existing gaps, to achieve better overall NDC outcomes
- Develop the awareness and capacities of the relevant planning/implementing personnel for gender responsive programming
- Consult and include women working in the sector in planning, implementing and monitoring processes, in designing the outputs
- Set targets to reach/include women producers, entrepreneurs, owners, trainees and trainers, women leaders
- Establish monitoring frameworks using sex disaggregated data, identify indicators to measure progress of gender integration
- Make necessary provisions in the budgeting and resource mobilization, both financial and human resources.

[32] http://www.npd.gov.lk/index.php/en/2017-03-02-07-02-41/project-submission-format.html

[33]Gender analysis for some sectors as well as resources to access relevant information is available. Recent projects such as Climate smart irrigated agriculture project, GCF supported projects include gender analysis and action plans. NDC planning may only require updates and additional information as relevant.

Building on this initial work, the project will apply proposed methodology detailed in the "Gender Responsive National Communications Toolkit[34]" developed by the Global Support Program (GSP) through UNDP and in collaboration with UNEP and GEF and its updated version upon its availability.

In line with the GEF SEC's policy on gender equality[35] and Guidance to advance gender equality in GEF projects and programs[36], project has prepared and finalized a Gender analysis and Gender action plan[37] (GAAP), mandatory for all projects approved after July 2014, during its inception phase[38].

Gender analysis will follow the structure of five priority areas of UNFCCC Gender Analysis and Action Plan (GAAP):

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

An initial stocktaking and gender analysis across the key outcome areas of the project and inclusion of stakeholders who understand gender issues in relation to their sectors will be conducted to assess and understand where deeper analysis and action is required. The areas where data and information on gender and climate change is not available will be identified (on a priority basis) with steps to fill gaps.

[34] https://www.un-gsp.org/sites/default/files/documentos/undp_gender_responsive_national_communications_toolkit_0.pdf
[35] http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.53.04_Gender_Policy.pdf
[36] http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.54.Inf_.05_Guidance_Gender_0.pdf
[37] Guide to Conducting a Participatory Gender Analysis and Developing a Gender Action Plan for projects supported by UNDP wit h GEF financing:
https://intranet.undp.org/unit/bpps/sdev/gef/_layouts/15/WopiFrame.aspx?sourcedoc=/unit/bpps/sdev/gef/Gender%20Library/UNDP%20GEF%20Guidance.%20How%20to%20conduct%20gender%20analysis%20and%20gender%20action%20plan.pdf&action=default
[38] The GEF Enabling Activities and policy/strategy work. Enabling Activity projects provide financing for the preparation of a plan, strategy, or national program to fulfill the commitments under the Conventions that the GEF serves, including national communication or reports to the Conventions. Similarly, many GEF-financed medium- and full-size projects include activities that focus on developing and preparing national policies or strategies and, as such, do not work directly with beneficiaries on the ground. These plans and strategies provide an essential opportunity to recognize, build capacity, and to develop actions to advance GEWE.

Project Outcome	Gender mainstreaming potential	Coordination with related initiatives
Outcome 1: Sri Lanka's BTR1 developed. Outcome 2: Sri Lanka's BTR2 and NC4 developed	- Ensure consultant team for stocktaking of national circumstances includes gender experts. - Assess women's and men's roles in each area of the economy - Identify social and cultural factors such as men's and women's education and literacy levels, freedom of mobility, generational changes in gender roles, differences between rural/urban women and rural/urban men. - Ensure all committees set up to support the NC4/ BTR have women's representation	- Update of country context in the NAP Readiness Project
	- Terms of Reference for the technical working group (TWG) to ensure that social and gender analysis specialists participate in GHG inventory preparation	- Accelerating Industries' Climate Response in Sri Lanka Project (Baseline of GHGs in the industry sector and progress review towards achievement of NDCs) - Capacity Building Initiative for Transparency Project AFOLU (calculation of GHGs in the agriculture, forestry, land use sectors)
	- Terms of Reference for the sector working groups (SWG) to ensure that social and gender analysis specialists participate in progress monitoring - Updated gender analysis for sectors not covered in the preliminary NDC gender analysis - A list of gender indicators to measure gender mainstreaming progress in implementation of NDCs - Mitigation sector gender analysis, especially gendered labour and employment analysis - Train mitigation experts to conduct gender analysis across sectors guided by an expert - Establish criteria for all terms of reference to include collection of sex-disaggregated data - Develop a set of gender-specific indicators,	- Climate Promise Phase II Project

Project Outcome	Gender mainstreaming potential	Coordination with related initiatives
	- Participation of women and men are involved in development of baseline scenarios and mitigation-related parameters	
	- Engage with gender-equality organizations and specialists as regular stakeholders including the Ministry of Women's Affairs - Collect sex-disaggregated data and include analysis of male/female (M/F) differences in all reports and assessments to clarify differences between M/F vulnerability - Identify where sex-disaggregated data is not available - Highlight issues of men's and women's different access and control of resources - Identify a core set of indicators to monitor gender issues - Include gender analysis sessions in all Vulnerability and Adaptation–related workshops	- NAP Readiness Project - Vulnerability assessments and sector vulnerability profiles developed through ADB TA in 2018-2020.
	- Record capacity and constraints in sex-disaggregated data collection and analysis - Introduce costing for further integration of gender analysis into climate change initiatives across sectors as an issue - Specify financial requirements for improving gender resilience by sector - Enable lessons learnt across other developing countries	- Climate Promise Phase II - Accelerating Industries' Climate Response in Sri Lanka Project in the industry sector - Capacity Building Initiative for Transparency Project
Outcome 3: BTR1, BTR2 and NC4 compiled, adopted by the Government and submitted to UNFCCC	- Ensure all sections are cleared by gender specialists - Ensure validation workshops are attended by women's organizations, and Ministry of Women's Affairs - Ensure gender-inclusive communication material is developed from BTRs and NC4	- Capacity Building Initiative for Transparency Project

Several concurrent projects and recently completed analysis will support the gender integration and mainstreaming efforts, including gender-related data collection. The NDC implementation plan preparation process[39], where gender analysis will be conducted for each climate change affected sector, will provide a comprehensive overview of the data gaps pertaining to gender. The project will closely collaborate with the (NAP Readiness Project) to meet data gaps in mitigation and adaptation sectors, as well as training and capacity building needs, access to information etc.

Some of the gender related data gaps that will be addressed through this project will be:

1. Economic data employment, gender wage gap, education level, employment by economy sectors and other sectors identified as GHG emitters, gender pay gap (general and by sectors), economic empowerment, and health among others will be included. Sri Lanka has 5 mitigation sector and 9 adaptation sectors in the NDCs. During the NDC preparation detailed gender analysis was conducted for agriculture, water and energy. Priority will be given to other key economic sectors such as forestry, waste, transport (for mitigation) and fishery, marine and coastal, urban development and tourism (for adaptation).
2. Social data including gender-specific vulnerabilities, gender roles and adaptation needs, receiving and using climate change related information including seasonal forecasts and early warning. There is still a concern on discrepancy between policies on national level and adaptation interventions on community level, including gender specific vulnerability. The role of gender in adaptation activities, policy formulation and knowledge will be analyzed. The expected findings will build recommendations for most of the project outcomes (V&A, Mitigation, etc.).
3. Empowerment-related: such as participation in decision making levels of key sector players, climate change policy makers, private sector/industry associations and NGOs

The Project will provide capacity-building in relation to NC/BTR purpose and content, gender issues in environment and their role in the NC/BTR processes if necessary. The project will provide targeted capacity building for the project team, the national implementation partner and even UNDP technical staff on the Gender Responsive National Communications Toolkit which will be rolled out to support project objective 4.2. The project will also provide climate change training for gender specialists working with the project. The project team will adopt a human rights-based approach and ensure that gender equality and women's empowerment concerns are prioritized throughout project cycle management. Inclusive approach will be reflected in recruitment policies, implementation of project activities, affirmative actions will be taken to provide gender balance within all committees, meetings, trainings and equal opportunities and gender parity will be respected throughout recruitment and selection processes. The project will encourage the active participation of women and men in decision-making processes. Gender balance will be considered in project management structures and capacity building actions (trainings, workshops).

The UNDP gender marker will be applied, and the project will be rated in terms of its gender relevance again during the inception phase.

[39] Which is underway and supported by UNDP

2. Gender Action Plan

Outputs/activities	Indicator	Target	Baseline	Budget (USD)	Period of Implementation	Person(s) Responsible
Component 1: Development of Sri Lanka's First Biennial Transparency Report (BTR1).						
Output 1.1: National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2021 for the sectors Energy, IPPU, AFOLU and Waste, using 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories						
Conduct an assessment to review existing GHG inventory methodologies of data collection to identify entry points to collect gender-disaggregated data	Completed Assessment Report with recommendations	1 Report	Zero (0)	5,000	Year 1	Gender Expert
Output 1.2: Information necessary to track progress made in implementing and achieving the NDCs up to 2021 provided, including estimates of emissions avoided						
Provide recommendations to form safeguards to minimize potential impacts that could arise from implementing NDC Implementation Plan in the NDC sectors and develop indicators for remaining sectors	Number of recommendations/minutes from the National Steering Committee Meeting to review NDC Implementation Plan progress	1 recommendation per sector	Zero (0)	500	Year 1	Gender Expert
Output 1.3: Information related to climate change impacts and adaptation up to 2021 provided and Adaptation Communication prepared						
Provide recommendations to enable sectors to design and apply gender responsive and socially inclusive adaptation measures	Number of recommendations	9 recommendations	Zero (0)	500	Year 1	Gender Expert

Outputs/activities	Indicator	Target	Baseline	Budget (USD)	Period of Implementation	Person(s) Responsible
Training programme to enhance collection and usage of gender disaggregated data looking at climate impacts on women and men	Number of training events with the participation of women	1 refresher programme for the mitigation sectors and 1 programme for the adaptation sectors	6 training workshops for the NDC Mitigation Sectors (Climate Promise Phase II Project)	1,000	Year 1	Gender Expert
Output 1.4: Information on financial, technology development and transfer and capacity-building support needed and received up to 2021 provided						
Review and identify if gender disaggregated has been used in designing and implementing capacity building for financial, technology needs in adapting and mitigating climate change	Review progress in related BTR chapter (focusing on 5 NDC sectors with gender responsive indicators)	5 sets of recommendations	Zero (0)	500	Year 1	Gender Expert
Output 1.5: Areas of improvement and other relevant information including gender described						
Review Gender Analysis and Action Plan to be reflected in BTR1	Gender Chapter of BTR1	Gender chapter in BTR1	Zero (0)	1,000	Year 2	Gender Expert
Component 2: Development of Sri Lanka's Second Biennial Transparency Report (BTR2) and Fourth National Communication Report (NC4)						
Output 2.1: National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases updated to 2023 for BTR2 and 2022 for NC4 for the sectors Energy, IPPU, AFOLU and Waste, using the 2006 IPCC Guidelines for National Greenhouse Gas Inventories.						
Share findings and discuss opportunities in collecting gender disaggregated data	1 event	1 event	Zero (0)	500	Year 2	Gender Expert
Output 2.2: Information necessary to track progress made in implementing and achieving the NDC up to 2022 and 2023 provided, including estimates of emissions avoided						
Reviewing/extracting information from the monitoring system developed and implemented to measure NDC progress as per the	Review the progress against gender indicators in progress reports of the 5 gender responsive NDC sectoral Implementation Plans	5	Zero (0)	1,000	Year 2	Gender Expert

Outputs/activities	Indicator	Target	Baseline	Budget (USD)	Period of Implementation	Person(s) Responsible
NDC Implementation Plan against the developed gender and social indicators for agriculture, water, livestock, fisheries, energy						
Review progress and any actions taken on safeguards specifically looking at agriculture, water, housing, health and tourism	Review progress in BTR2	Updated chapter in BTR2	1 (baseline BTR1)	500	Year 4	Gender Expert
Output 2.3: Information related to climate change impacts and adaptation up to 2022 and 2023 provided and Adaptation Communication prepared						
Review progress if any recommendations were adopted in designing/implementing gender inclusive adaptation measures	Review progress in BTR2	9 recommendations	1 (baseline BTR1)	500	Year 3	Gender Expert
Discussion with the Disaster Management Centre and other relevant agencies about data management systems for estimating loss and damage data and the possibility of using gender disaggregated data for analysis	1 meeting	1 meeting	Zero (0)	500	Year 3	Gender Expert
Output 2.4: Information on financial, technology development and transfer and capacity-building support needed and received up to 2022 and 2023 provided						
Review and identify if gender disaggregated has been used in designing and implementing capacity building for financial,	Review progress in related BTR chapter	5 sets of recommendations	1 (BTR1)	500	Year 3	Gender Expert

Outputs/activities	Indicator	Target	Baseline	Budget (USD)	Period of Implementation	Person(s) Responsible
technology needs in adapting and mitigating climate change						
Output 2.5: Other related information including on national circumstances, information on research, systemic observation, education, training, public awareness and gender, in accordance with applicable guidelines in 17/CP.8						
Review Gender Analysis and Action Plan to be reflected in BTR2/NC4	Gender Chapter of BTR2/NC4	Gender chapter in BTR2/NC4	1 (BTR1)	1,000	Year 4	Gender Expert
Design and implement gender responsive and inclusive public awareness campaign	Gender inclusive aspects embedded within the Communication Plan & Strategy	Implementation of Communication Plan & Strategy	1 (Climate Promise Phase II Communication Strategy)	10,000	Year 2-4	Communications and Gender Expert
Component 4. Monitoring and Evaluation (M&E)						
Gender aspects are considered in project implementation and monitoring	Gender inclusive chapters in BTR1, BTR2/NC4	Gender inclusive chapters in BTR1, BTR2/NC4	Zero (o)	500	Year 1 -4	Project Team Leader
			Total	23,500		

Annex 10: Procurement Plan

A. For the first year of implementation

Component	Description	Contract Type	Total Amount [USD]	2024	Procurement Method
Component 1: Development of Sri Lanka 's First Biennial Transparency Report (BTR1)	Local companies will be engaged including gender expert, sectoral consultants for adaptation and mitigation sectors to work on the development of GHG inventory, various studies, development of BTR1 chapters	Contractual services – Companies	222,000	X	National competitive bidding
	Local companies will be engaged to conduct capacity building programme and technical workshops	Contractual services – Companies	23,000	X	National competitive bidding
Component 2: Development of Sri Lanka's Second Biennial Transparency Report (BTR2) and Fourth National Communication Report (NC4)	International Consultant to support GHG inventory	International Consultants – Individual	24,000	X	International competitive bidding
Component 3: Compilation and submission of reports	Local company will be engaged to develop and implement the Project Knowledge Management Strategy	Contractual services – Companies	10,000	X	National competitive bidding
	Technical Advisor hired to provide technical inputs and support Implementing Partner	Contractual services – Individuals	28,000	X	National competitive bidding
Component 4: Monitoring and Evaluation (M&E)	Inception Workshop	Service	4,000	X	Ministry of Environment[40]
	Local Consultant to support M&E reporting	Contractual services – Individuals	5,000	X	National competitive bidding
	Local company hired to support advocacy, promotion	Contractual services – Individuals	13,000	X	National competitive bidding
PMC	Recruitment of Project Coordinator	Contractual services – Individuals	44,333	X	Vacancy Announcement
	Trainings, Workshops and Conference: Project management meetings	Services	648.80	X	LTA or RFQ
	Travel for the Implementing Partner	Services	1,000	X	LTA or RFQ
	Communication & Audio-Visual Equipment	Services	500	X	LTA or RFQ
	IT Equipment	Goods	13,000	X	National competitive bidding
	Supplies	Goods/Services	2,542	X	LTA or RFQ
	Professional Services – Audit/spot checks	Contractual services – Companies	4,000	X	National competitive bidding

[40] The Government of Sri Lanka's rules and regulations related to procurement will apply for procurements directly managed by the Ministry of Environment, the Implementing Partner. The UNDP standards and guidelines will be applied for all procurements carried out through UNDP.

B. Multi-year Procurement Plan

No.	Component No.	Output No.	Description of Activities	Responsible Agency	Type of Supply Goods/ Services	Account Code	Budget Category	Unit of Measure	Quantity	Estimated Unit Price (USD)	Estimated Total Cost in USD	Project Duration				Estimated Commencement of Activity	Relation to Multi-Year Work Plan Activities
												Y1	Y2	Y3	Y4	(year/month)	
1	1	1.1 - 1.5	Engage a local company (including gender expert, sectoral consultants for adaptation and mitigation sectors) to work on the development of GHG inventory, various studies, development of BTR1 chapters	UNDP	Services	72100	Contractual services - Companies	Lump Sum	1	222,000.00	222,000.00	222,000.00				2024 February	This is on deliverable basis, multi-year contract related to activities 1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.2.1, 1.2.2, 1.2.3, 1.2.4, 1.2.7, 1.3.1, 1.3.2, 1.3.3, 1.3.4, 1.3.5, 1.4.1, 1.4.2, 1.4.3, 1.5.1, 1.5.2
2		1.2	Local company to conduct capacity building programmes and technical workshops			75700	Training, Workshops and Conferences	Per workshop/ meeting	35	Changes based on workshop setting (national/provincial/sectoral)	23,000.00	23,000.00					Related to activities 1.2.5 and 1.2.6
3			Travel			71600	Travel	Lump Sum	1	5,000.00	5,000.00	52,000.00				2024 February	

No.	Component No.	Output No.	Description of Activities	Responsible Agency	Type of Supply Goods/ Services	Account Code	Budget Category	Unit of Measure	Quantity	Estimated Unit Price (USD)	Estimated Total Cost in USD	Project Duration				Estimated Commencement of Activity	Relation to Multi-Year Work Plan Activities
												Y1	Y2	Y3	Y4	(year/month)	
4	2	2.1 - 2.5	Company to support with conducting workshops and data collection (Updating BTR2, developing NC4 to be built on the findings of BTR1)	UNDP	Services	72100	Contractual services - Companies	Lump Sum	1	275,803.33	275,803.33	153,000.00	64,000.00	58,803.33		2024 December	This is on a deliverable completion basis, multi-year contract. Related to activities 2.1.1, 2.1.2, 2.1.4, 2.1.5, 2.2.1, 2.2.2, 2.2.3, 2.2.4, 2.2.5, 2.3.1, 2.3.2, 2.3.3, 2.3.4, 2.3.5, 2.3.6, 2.3,7, 2.4.1, 2.4.2, 2.4.3, 2.4.3, 2.4.4, 2.5.1
5			Company to support with information dissemination			72100	Contractual services - Companies	Lump Sum	1	58,803.33	58,803.33			58,803.33		2026 January	This is on a deliverable completion basis, multi-year contract. Related to activities 2.1.3, 2.2.7, 2.5.4
6			Company to support with capacity building, trainings/work shops			72100	Contractual services - Companies	Lump Sum	1	122,803.33	122,803.33		64,000.00	58,803.33		2025 April	This is on a deliverable completion basis, multi-year contract. Related to activities 2.2.6, 2.5.2, 2.5.3
7			International Consultant to support GHG Inventory			71200	International Consultant	Lump Sum	1	24,000.00	24,000.00	12,000.00	12,000.00			2024 February	This is on a deliverable completion basis, multi-year contract. Related to activities 2.1.1

No.	Component No.	Output No.	Description of Activities	Responsible Agency	Type of Supply Goods/ Services	Account Code	Budget Category	Unit of Measure	Quantity	Estimated Unit Price (USD)	Estimated Total Cost in USD	Project Duration				Estimated Commencement of Activity	Relation to Multi-Year Work Plan Activities
												Y1	Y2	Y3	Y4	(year/month)	
8			Company to conduct innovative and technical research for priority sectors including reviewing emission factors and calculations			72100	Contractual services - Companies	Lump Sum	1	110,000.00	110,000.00	10,000.00	50,000.00	50,000.00		2024 December	This is on a deliverable completion basis, multi-year contract. Related to activities 2.1.1, 2.3.1
9			Technical Review Committee Meetings			75700	Training, Workshops and Conferences	Per workshop/ meeting	10	1,550.00	15,500.00	5,500.00	4,500.00	5,500.00		2024 December	Related to technical review of BTR2 and NC4
10			Travel			71600	Travel	Lump Sum	1	7,000.00	7,000.00	1,000.00	4,000.00	2,000.00		2024 December	
11	3	3.1 - 3.2	To compile the two reports (BTR1, and combined BTR2/NC4) including recruiting subject-specific editors, validating reports and arranging sectoral meetings for sector clearance and peer review	MoE	Services	72100	Contractual services - Companies	Lump Sum	1	85,000.00	85,000.00	55,000.00		30,000.00		2024 November	This is on a deliverable completion basis, multi-year contract. Related to activities 3.1.2, 3.1.3, 3.2.2, 3.2.3

No.	Component No.	Output No.	Description of Activities	Responsible Agency	Type of Supply Goods/ Services	Account Code	Budget Category	Unit of Measure	Quantity	Estimated Unit Price (USD)	Estimated Total Cost in USD	Project Duration				Estimated Commencement of Activity	Relation to Multi-Year Work Plan Activities
												Y1	Y2	Y3	Y4	(year/month)	
12			To do the layout, printing/e-publishing services, to develop Knowledge materials - Case studies, success stories, Editorials and Mass media promotion (i.e., talk shows for advocacy)			72100	Contractual services - Companies	Lump Sum	1	79,500.00	79,500.00	46,000.00	8,000.00	24,000.00	1,500.00	2024 November	This is on a deliverable completion basis, multi-year contract. Related to activities 3.1.3, 3.2.3
13			To develop and implement Project's Knowledge Management Strategy			72100	Contractual services - Companies	Lump Sum	1	10,000.00	10,000.00	5,000.00	2,500.00	1,000.00	1,500.00	2024 February	Related to overall project knowledge management strategy
14			Technical Advisor to support project implementation (deliverable bias, multi-year contract)			71300	Local Consultants	Lump Sum	1	28,000.00	28,000.00	13,000.00	8,000.00	7,000.00		2024 February	Provide technical inputs to support overall project implementation
15		3.1	Technical Review Committee Meetings			75700	Training, Workshops and Conferences	Per workshop/ meeting	12	1,250.00	15,000.00	7,500.00	3,750.00	3,750.00		2024 February	Related to activities 3.1.1
16			Travel			71600	Travel	Lump Sum	1	5,500.00	5,500.00	2,500.00	500.00	2,500.00		2024 December	

No.	Component No.	Output No.	Description of Activities	Responsible Agency	Type of Supply Goods/ Services	Account Code	Budget Category	Unit of Measure	Quantity	Estimated Unit Price (USD)	Estimated Total Cost in USD	Project Duration				Estimated Commencement of Activity	Relation to Multi-Year Work Plan Activities
												Y1	Y2	Y3	Y4	(year/month)	
17	4	4.1	Inception Workshop, Monitoring Workshops, Lessons Learned Sharing	MoE	Services	75700	Training, Workshops and Conferences	Per workshop/ meeting	5	3,400.00	17,000.00	8,000.00	3,000.00	4,000.00	2,000.00	2024 February	Related to activities 4.1.1, 4.1.2
18		4.2	Monitoring & Safeguards Specialist (deliverable basis, multi-year contract)	UNDP	Services	71300	Local Consultants	Lump Sum	1	5,000.00	5,000.00	2,000.00	1,000.00	1,000.00	1,000.00	2024 February	This is on a deliverable completion basis, multi-year contract. Related to SESP and activity 4.2.2
19		4.3	Develop and support communications, lessons sharing and advocacy including developing case studies, success stories	UNDP	Services	72100	Contractual services - Companies	Lump Sum	1	12,000.00	12,000.00	4,000.00	3,000.00	3,000.00	2,000.00	2024 February	Related to activity 4.3.2
20	PMU		Project Coordinator recruitment (NPSA contract modality to be hired for 48 months for the duration of the project)	UNDP	Services	71400	Contractual services - Individuals	Per year, Per Individual	4	9,500.00	38,000.00	14,250.00	9,500.00	9,500.00	4,750.00	2024 February	NPSA, related to activities 4.2.1, 4.2.3, 4.3.1, 4.3.4
21			Project management meetings	UNDP	Services	75700	Training, Workshops and Conferences	Per workshop/ meeting	16	250.00	4,000.00	2,000.00	1,000.00	500.00	500.00	2024 February	Related to 4.2.3 and any meetings to be conducted through PMU
22			Travel	UNDP	Services	71600	Travel	Lump Sum	1	10,000.00	10,000.00	4,000.00	3,000.00	2,500.00	500.00	2024 February	

No.	Component No.	Output No.	Description of Activities	Responsible Agency	Type of Supply Goods/ Services	Account Code	Budget Category	Unit of Measure	Quantity	Estimated Unit Price (USD)	Estimated Total Cost in USD	Project Duration				Estimated Commencement of Activity	Relation to Multi-Year Work Plan Activities
												Y1	Y2	Y3	Y4	(year/month)	
23			Office stationary, courier charges, telephone bills under Project Coordinator	UNDP	Goods	72400	Communication & Audio Visual Equipment	Lump Sum	1	2,500.00	2,500.00	1,000.00	500.00	500.00	500.00	2024 February	
24			IT equipment (laptop/software)	UNDP	Goods	72800	Information Technology Equipment	Lump Sum	1	20,500.00	20,500.00	18,750.00	750.00	500.00	500.00	2024 February	
25			Supplies for Implementing Partner	MoE	Goods	72500	Supplies	Lump Sum	1	6,685.00	6,685.00	4,685.00	1,000.00	500.00	500.00	2024 February	
26			Spot Checks/Audits	UNDP	Services	74100	Professional Services	Per spot check	4	1,000.00	4,000.00	2,000.00	1,000.00	1,000.00		2024 February	Related to activity 4.2.4

Annex 11: Draft LOA between UNDP and IP requesting UNDP Support Services (if required on exceptional basis and authorized by GEF)

STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES

Dear *Mr. B.K. Prabath Chandrakeerthi*,

1. Reference is made to consultations between officials of the Ministry of Environment under the Government of *Sri Lanka* (hereinafter referred to as "the Government") and officials of United Nations Development Programme (UNDP) with respect to the provision of support services by the UNDP country office for nationally managed Project titled "The First Biennial Transparency Report and the combined Fourth National Communication and Second Biennial Transparency Report of Sri Lanka to UNFCCC (Sri Lanka: BTR1+ BTR2/NC4) " (Project Number: 01000404). UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated (Ministry of Environment) in the relevant programme support document or project document, as described below.

2. The UNDP country office may provide support services (refer 'Attachment') for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution (Ministry of Environment) is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.

3. The UNDP country office may provide, at the request of the designated institution (Ministry of Environment), the following support services (refer 'Attachment') for the activities of the programme/project:
   (a) Identification and/or recruitment of project and programme personnel;
   (b) Identification and facilitation of training activities;
   (c) Procurement of goods and services;

4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. The relevant provisions of the Agreement Between the Government of Democratic Socialist Republic of Sri Lanka and the United Nations Development Programme dated 20th March 1990 (the "SBAA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution (Ministry of Environment). The responsibility of the UNDP country office for the provision of the support services

described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

Signed on behalf of UNDP
Azusa Kubota
Resident Representative
UNDP Sri Lanka
(Date) 05/08/2024
(Place) Colombo, Sri Lanka

UNITED NATIONS * COLOMBO - SRI LANKA *

For the Government
Mr. B.K. Prabath Chandrakeerthi,
Secretary,
Ministry of Environment.
[*Date*]
(Place)

B.K. Prabath Chandrakeerthi, Attorney-At-Law
Secretary
Ministry of Environment

Start Date of the Project Document: 5 August 2024

End Date of the Project Document: 5 August 2028

Attachment

DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the Ministry of Environment, the institution designated by the Government of Sri Lanka, and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed Project titled "**The First Biennial Transparency Report and the combined Fourth National Communication and Second Biennial Transparency Report of Sri Lanka to UNFCCC (Sri Lanka: BTR1+ BTR2/NC4)** " (Quantum Project ID: **01000404).**

2. In accordance with the provisions of the letter of agreement (SBAA) signed on 20th March 1990 and the project document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

No	Service Name	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate
1	**Human Resource for Project Management Unit (PMU) staff under UNDP's contract**			The total direct project cost is USD 26,405. UNDP will directly charge the project upon receipt of the request of services from the Implementing Partner in accordance with the 2023 Universal Price List (UPL) and Local Price List (LPL).
	Identification and /or recruitment of project personnel (1 position)	Year 1	545.00	
	Recurrent personnel management services: Staff Payroll, contract renewal, HR & Benefits Administration and Management	Year 1 - Year 4	2,170.00	
2	**Procurement: Consultant recruitment & contractual services (Responsible Party Agreements)**			
	Procurement process involving local CAP	Year 1 - Year 4	6,325.00	
	Procurement not involving local CAP	Year 1 – Year 4	3,214.00	
	Consultant recruitment	Year 1 – Year 4	1,375.00	
3	**Financial Services**			
	Payment process	Year 1 - Year 4	10,096.00	
4	**Administrative Services**			
	IT support services	Year 1 -Year 4	1,309.00	
	PO creation and payment process	Year 1 -Year 4	579.00	
	Vendor profiling and registration	Year 1 -Year 4	792.00	
	TOTAL		**26,405.00**	

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

Implementation Modality: National implementation, with Country office support. UNDP's involvement will be specifically to support the Ministry of Environment to hire Professional service providers, National and International Consultants, Project Management Unit (PMU) staff and provide administrative services for the PMU.

The Implementing Partner is the Ministry of Environment.

UNDP will perform oversight functions, in line with GEF and UNDP corporate guidelines. The UNDP country office will provide the following execution support services to the project:

- Human Resource: Identification and/or recruitment of the Project Coordinator for the PMU who will be recruited under a UNDP contract;
- Procurement: Identification, selection, and contracting of consultants and contractual services including payment to vendors. This will include:
    - Procurement of nine contractual services under the modality of;

    These third parties will be tasked to provide execution support/services to the Ministry of Environment in the implementation of the project. Towards this, UNDP Country Office will support the Ministry of Environment to identify and recruit technically competent organizations to provide services to deliver the project activities. The service providers will be sourced through a competitive process, on a deliverable-based Terms of Reference. The recruited 'Third Party' organizations, responsible to the Ministry of Environment for the results and deliverables, will deliver contractual services to the project, and will deliver the project according to the agreed workplan and schedule. This organization/s will recruit technical expertise as required and as specified in the Terms of Reference to ensure quality outputs.

    - Procurement of project consultants to advise and conduct GHG Inventory, Monitoring and reporting
    - Procurement of IT equipment for PMU
- Financial Services: Facilitating the payments as requested by the Implementing Partner
- Administrative services to the Project: Organising workshops and travel arrangement for participants; travel management for the PMU staff (under UNDP's contract) and IT support services.

Annex 12: GEF Core indicators

Project Core Indicators		Expected at PIF
1	**Terrestrial protected areas** created or under improved management for conservation and sustainable use (Hectares)	n/a
2	**Marine protected areas** created or under improved management for conservation and sustainable use (Hectares)	n/a
3	Area of **land restored (**Hectares)	n/a
4	Area of **landscapes under improved practices** (excluding protected areas) (Hectares)	n/a
5	Area of **marine habitat under improved practices** (excluding protected areas) (Hectares)	n/a
6	**Greenhouse Gas Emissions Mitigated** (metric tons of CO2e)	n/a
7	**Number of shared water ecosystems** (fresh or marine) under new or improved cooperative management	n/a
8	Globally over-exploited **marine fisheries** moved to more sustainable levels (metric tons)	n/a
9	**Reduction**, disposal/destruction, phase out, **elimination** and avoidance of **chemicals of global concern** and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)	n/a
10	Reduction, avoidance of emissions of **POPs to air** from point and non-point sources (grams of toxic equivalent Gteq)	n/a
11	Number of **direct beneficiaries disaggregated by gender** as co-benefit of GEF investment	150 (50 women)

Annex 13: GEF 8 Taxonomy

Level 1	Level 2	Level 3	Level 4
☒ **Influencing models**			
	☐ **Transform policy and regulatory environments**		
	☐ **Strengthen institutional capacity and decision-making**		
	☐ **Convene multi-stakeholder alliances**		
	☒ **Demonstrate innovative approaches**		
	☐ **Deploy innovative financial instruments**		
☒ **Stakeholders**			
	☐ **Indigenous Peoples**		
	☐ **Private Sector**		
		☐ Capital providers	
		☐ Financial intermediaries and market facilitators	
		☐ Large corporations	
		☐ SMEs	
		☐ Individuals/Entrepreneurs	
		☐ Non-Grant Pilot	
		☐ Project Reflow	
	☒ **Beneficiaries**		
	☒ **Local Communities**		
	☒ **Civil Society**		
		☐ Community Based Organization	
		☒ Non-Governmental Organization	

		☒Academia	
		☐Trade Unions and Workers Unions	
	☒**Type of Engagement**		
		☒Information Dissemination	
		☐Partnership	
		☒Consultation	
		☒Participation	
	☒ **Communications**		
		☒Awareness Raising	
		☒Education	
		☒Public Campaigns	
		☐Behavior Change	
☒**Capacity, Knowledge and Research**			
	☒**Enabling Activities**		
	☒**Capacity Development**		
	☐**Knowledge Generation and Exchange**		
	☐**Targeted Research**		
	☐**Learning**		
		☐Theory of Change	
		☐Adaptive Management	
		☐Indicators to Measure Change	
	☐**Innovation**		
	☒**Knowledge and Learning**		
		☒Knowledge Management	
		☐Innovation	
		☐Capacity Development	
		☐Learning	
	☒**Stakeholder Engagement Plan**		
☒**Gender Equality**			
	☒**Gender Mainstreaming**		
		☐Beneficiaries	

		☐ Women groups	
		☒ Sex-disaggregated indicators	
		☐ Gender-sensitive indicators	
	☒ **Gender results areas**		
		☐ Access and control over natural resources	
		☒ Participation and leadership	
		☐ Access to benefits and services	
		☒ Capacity development	
		☐ Awareness raising	
		☐ Knowledge generation	
☒ **Focal Areas/Theme**			
	☐ **Integrated Programs**		
		☐ Commodity Supply Chains (Good Growth Partnership)	
			☐ Sustainable Commodities Production
			☐ Deforestation-free Sourcing
			☐ Financial Screening Tools
			☐ High Conservation Value Forests
			☐ High Carbon Stocks Forests
			☐ Soybean Supply Chain
			☐ Oil Palm Supply Chain
			☐ Beef Supply Chain
			☐ Smallholder Farmers
			☐ Adaptive Management
		☐ Food Security in Sub-Sahara Africa	
			☐ Resilience (climate and shocks)
			☐ Sustainable Production Systems
			☐ Agroecosystems
			☐ Land and Soil Health
			☐ Diversified Farming
			☐ Integrated Land and Water Management
			☐ Smallholder Farming
			☐ Small and Medium Enterprises
			☐ Crop Genetic Diversity
			☐ Food Value Chains

			☐ Gender Dimensions
			☐ Multi-stakeholder Platforms
		☐ Food Systems, Land Use and Restoration	
			☐ Sustainable Food Systems
			☐ Landscape Restoration
			☐ Sustainable Commodity Production
			☐ Comprehensive Land Use Planning
			☐ Integrated Landscapes
			☐ Food Value Chains
			☐ Deforestation-free Sourcing
			☐ Smallholder Farmers
		☐ Sustainable Cities	
			☐ Integrated urban planning
			☐ Urban sustainability framework
			☐ Transport and Mobility
			☐ Buildings
			☐ Municipal waste management
			☐ Green space
			☐ Urban Biodiversity
			☐ Urban Food Systems
			☐ Energy efficiency
			☐ Municipal Financing
			☐ Global Platform for Sustainable Cities
			☐ Urban Resilience
	☐ **Biodiversity**		
		☐ Protected Areas and Landscapes	
			☐ Terrestrial Protected Areas
			☐ Coastal and Marine Protected Areas
			☐ Productive Landscapes
			☐ Productive Seascapes
			☐ Community Based Natural Resource Management
		☐ Mainstreaming	
			☐ Extractive Industries (oil, gas, mining)
			☐ Forestry (Including HCVF and REDD+)
			☐ Tourism
			☐ Agriculture & agrobiodiversity
			☐ Fisheries

			☐ Infrastructure
			☐ Certification (National Standards)
			☐ Certification (International Standards)
		☐ Species	
			☐ Illegal Wildlife Trade
			☐ Threatened Species
			☐ Wildlife for Sustainable Development
			☐ Crop Wild Relatives
			☐ Plant Genetic Resources
			☐ Animal Genetic Resources
			☐ Livestock Wild Relatives
			☐ Invasive Alien Species (IAS)
		☐ Biomes	
			☐ Mangroves
			☐ Coral Reefs
			☐ Sea Grasses
			☐ Wetlands
			☐ Rivers
			☐ Lakes
			☐ Tropical Rain Forests
			☐ Tropical Dry Forests
			☐ Temperate Forests
			☐ Grasslands
			☐ Paramo
			☐ Desert
		☐ Financial and Accounting	
			☐ Payment for Ecosystem Services
			☐ Natural Capital Assessment and Accounting
			☐ Conservation Trust Funds
			☐ Conservation Finance
		☐ Supplementary Protocol to the CBD	
			☐ Biosafety
			☐ Access to Genetic Resources Benefit Sharing
	☐ **Forests**		
		☐ Forest and Landscape Restoration	
			☐ REDD/REDD+
		☐ Forest	
			☐ Amazon
			☐ Congo

			☐ Drylands
	☐ **Land Degradation**		
		☐ Sustainable Land Management	
			☐ Restoration and Rehabilitation of Degraded Lands
			☐ Ecosystem Approach
			☐ Integrated and Cross-sectoral approach
			☐ Community-Based NRM
			☐ Sustainable Livelihoods
			☐ Income Generating Activities
			☐ Sustainable Agriculture
			☐ Sustainable Pasture Management
			☐ Sustainable Forest/Woodland Management
			☐ Improved Soil and Water Management Techniques
			☐ Sustainable Fire Management
			☐ Drought Mitigation/Early Warning
		☐ Land Degradation Neutrality	
			☐ Land Productivity
			☐ Land Cover and Land cover change
			☐ Carbon stocks above or below ground
		☐ Food Security	
	☐ **International Waters**		
		☐ Ship	
		☐ Coastal	
		☐ Freshwater	
			☐ Aquifer
			☐ River Basin
			☐ Lake Basin
		☐ Learning	
		☐ Fisheries	
		☐ Persistent toxic substances	
		☐ SIDS : Small Island Dev States	
		☐ Targeted Research	
		☐ Pollution	

			☐ Persistent toxic substances
			☐ Plastics
			☐ Nutrient pollution from all sectors except wastewater
			☐ Nutrient pollution from Wastewater
		☐ Transboundary Diagnostic Analysis and Strategic Action Plan preparation	
		☐ Strategic Action Plan Implementation	
		☐ Areas Beyond National Jurisdiction	
		☐ Large Marine Ecosystems	
		☐ Private Sector	
		☐ Aquaculture	
		☐ Marine Protected Area	
		☐ Biomes	
			☐ Mangrove
			☐ Coral Reefs
			☐ Seagrasses
			☐ Polar Ecosystems
			☐ Constructed Wetlands
	☐ **Chemicals and Waste**		
		☐ Mercury	
		☐ Artisanal and Scale Gold Mining	
		☐ Coal Fired Power Plants	
		☐ Coal Fired Industrial Boilers	
		☐ Cement	
		☐ Non-Ferrous Metals Production	
		☐ Ozone	
		☐ Persistent Organic Pollutants	
		☐ Unintentional Persistent Organic Pollutants	
		☐ Sound Management of chemicals and Waste	
		☐ Waste Management	
			☐ Hazardous Waste Management
			☐ Industrial Waste
			☐ e-Waste
		☐ Emissions	
		☐ Disposal	

		☐ New Persistent Organic Pollutants	
		☐ Polychlorinated Biphenyls	
		☐ Plastics	
		☐ Eco-Efficiency	
		☐ Pesticides	
		☐ DDT – Vector Management	
		☐ DDT – Other	
		☐ Industrial Emissions	
		☐ Open Burning	
		☐ Best Available Technology / Best Environmental Practices	
		☐ Green Chemistry	
	☒ **Climate Change**		
		☒ **Climate Change Adaptation**	
			☐ Climate Finance
			☐ Least Developed Countries
			☐ Small Island Developing States
			☐ Disaster Risk Management
			☐ Sea-level rise
			☒ Climate Resilience
			☒ Climate information
			☐ Ecosystem-based Adaptation
			☐ Adaptation Tech Transfer
			☐ National Adaptation Programme of Action
			☐ National Adaptation Plan
			☐ Mainstreaming Adaptation
			☐ Private Sector
			☐ Innovation
			☐ Complementarity
			☐ Community-based Adaptation
			☐ Livelihoods
		☒ **Climate Change Mitigation**	
			☐ Agriculture, Forestry, and other Land Use
			☐ Energy Efficiency
			☐ Sustainable Urban Systems and Transport
			☐ Technology Transfer
			☐ Renewable Energy
			☐ Financing
			☒ Enabling Activities
		☐ **Technology Transfer**	

			☐Poznan Strategic Programme on Technology Transfer
			☐Climate Technology Centre & Network (CTCN)
			☐Endogenous technology
			☐Technology Needs Assessment
			☐Adaptation Tech Transfer
		☒**United Nations Framework on Climate Change**	☐Nationally Determined Contribution
	☒ **Rio Markers**		
		☒Paris Agreement	
		☐Sustainable Development Goals	
		☐Climate Change Mitigation 0	
		☐Climate Change Mitigation 1	
		☐Climate Change Mitigation 2	
		☐Climate Change Adaptation 0	
		☐Climate Change Adaptation 1	
		☐Climate Change Adaptation 2	

Annex 14: Partners Capacity Assessment Tool and HACT assessment

Separately attached.

Annex 15: UNDP Project Quality Assurance Report

To be completed in UNDP online corporate planning system. Link to be added.

Annex 16: End of Project Report Template

REPORT TEMPLATE

Monitoring and Evaluation plans of climate change enabling activities for the preparation of **National Communications on Climate Change and/or Biennial Transparency Reports** do not require the production and publication of Terminal Evaluation Reports.

Therefore, a number of intended purposes of such terminal exercises are not captured in full, including:

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

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

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

National project teams in charge of the future enabling activity for the preparation of the National Communication and/or Biennial Transparency 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.

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 Transparency 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.

A. Details of the project

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

B. Project identification phase

Duration of preparatory phase (expressed in months)

_____

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

_____

_____

_____

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

_____

_____

_____

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

	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?

_____

_____

_____

_____

What were the major challenges faced during this phase?

_____

_____

_____

_____

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

_____

_____

_____

_____

C. Project implementation phase

Technical components

1. GHG inventory

Base year of the GHG inventory:

Base years used in previous GHG inventories:

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	

Final outcome	
Final output 1	
Final output 2	

Final output 3	
…	

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

_____

_____

_____

_____

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

_____

_____

_____

_____

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

_____

_____

2. NDC tracking

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

_____

_____

_____

_____

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

_____

_____

_____

_____

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

_____

_____

3. Climate Change Impacts & 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 climate change impacts and adaptation component and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

_____

_____

_____

_____

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

_____

_____

_____

_____

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

_____

_____

4. Financial, technology development and transfer and capacity-building support needed and received and other information (if applicable)

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 financial, technology development and transfer and capacity-building support needed and received and other information (if applicable) component and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

_____

_____

_____

_____

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

_____

_____

_____

_____

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

_____

_____

Capacities and use of capacities

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

_____

_____

_____

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

_____% national consultants. _____% international consultants and _____% national staff.

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

_____

_____

_____

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

_____

_____

_____

Additional remarks

_____

_____

_____

Institutional arrangements

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

_____

_____

_____

Please, describe the composition of the project team.

_____

_____

_____

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

_____

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

_____

_____

_____

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

_____

_____

_____

What suggestions have you to make regarding the institutional arrangements for future NC and BTR work?

_____

_____

_____

Additional remarks

_____

_____

_____

Technical support from **Consultative Group of Experts** *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 and/or BTR project could not be addressed by any of the above-mentioned bodies?

_____

_____

_____

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

_____

_____

_____

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

_____

_____

_____

D. Next steps

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

_____

_____

_____

Are balance funds available under the NC and/or BTR 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 and/or BTR?

_____

_____

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

_____

_____

E. Additional information

Date	
Name and e-mail address of person who completed this template	

Others involved in completion of this template (names of individuals and their institutions)	
In case a terminal evaluation report has been produced, please link it here.	
Other attachments	