



Georgia

## Georgia's Self-assessment for the preparation of the Third National Communication to the UNFCCC

Country: Georgia

UNDAF Outcome(s): 5. Progress towards environment sustainability demonstrated

Expected UNDAF CP Outcome(s): 5.1 National and local capacity for sustainable environmental and natural resources management enhances

Expected UNDAF CP Output(s): 5.1.3 national capacity for the implementation of UN global environmental conventions addressing climate change, biodiversity protection, land degradation and ozone layer protection global challenges, enhanced

Programme Period: 2006-2010  
Programme component: Energy and Environment for Sustainable Development  
Project Title: PIMS 4458 Georgia's Self-assessment for the preparation of the Third National Communication to the UNFCCC  
PIMS 4458: Award ID: 00060254  
Project ID: 00075790  
Project duration: 4 months  
Management arrangements: NIM

Total budget: USD 20,000  
GEF Allocation: USD 20,000

**AGREED BY UNDP RESIDENT REPRESENTATIVE**

Inita Paulovica

Signature: 

Date: 06/08/2010

UNITED NATIONS DEVELOPMENT PROGRAMME  
GLOBAL ENVIRONMENT FACILITY

*Funding request for the self-assessment exercise -  
Expedited Financing of Georgia's Third National Communications to the UNFCCC*

Country:	Georgia
Project Title:	Self-assessment for the Third National Communication to the UNFCCC
GEF Focal Area:	Climate Change (Enabling Activity)
Country Eligibility:	Eligible under a financial mechanism of the UNFCCC
GEF Financing of self-assessment exercise	US\$20,000
Implementing Agency:	UNDP
Executing Agency:	Ministry of Environment Protection and Natural Resources of Georgia
Date of submission of Second National Communication to UNFCCC:	02 October 2009
Estimated Starting Date of activities of Third National Communication:	ASAP subject to the funds availability
Duration of self-assessment and preparation of Project Proposal for Third National Communication:	4 months

## **1. OBJECTIVE OF THE SELF-ASSESSMENT EXERCISE**

The overall objective of the self-assessment is to undertake a highly consultative and participatory process of needs assessment to identify and validate the priorities for the Third National Communication (TNC) in Insert Country Name. The self-assessment will assist the national team responsible for the preparation of the TNC project proposal to conduct a systematic analysis of work carried out in the previous NCs. Through this self-assessment national teams will identify and validate priorities for further in-depth studies during the preparation of its TNC.

In this context, and in accordance with the Global Environment Facility (GEF)'s Operational Procedures for the Expedited Financing of National Communications, the Government of Insert Country Name is requesting UNDP to provide GEF funding in the amount of US\$20,000 for the self-assessment exercise.

This self-assessment will involve:

1. A stocktaking of activities, results, gaps, lessons learned of the SNC; and
2. Stakeholders' consultations to identify priority areas, strategies and institutional arrangements for the TNC.

The self-assessment will thus generate the information and process required for the preparation of a project proposal for the TNC and will seek to ensure consultations with a wider range of relevant stakeholders. On this basis, Insert Country Name will allocate the self-assessment funds provided by GEF for the formulation and submission to UNDP of the TNC project proposal.

## **2. BRIEF DESCRIPTION OF OVERALL ACTIVITIES TO BE CARRIED OUT FOR THE SELF-ASSESSMENT EXERCISE**

### **The stocktaking work**

The stocktaking will help to ensure that the TNC builds on the activities, studies, outcomes, experiences and institutional settings of the SNC. The stocktaking is expected to include the following:

- Preparation of a detailed workplan: The stocktaking should be based on a detailed workplan of activities to be carried out, including the approaches that will be used for conducting the stocktaking. It will include the strategies that the national team will use to include broad and effective consultations so that the TNC project enhances ownership of the national communication process at different levels.
- Assessment of work carried out under previous National Communications: This assessment is the central element of the stocktaking, as it will ensure that proposals for the TNC build upon lessons learned and previous findings and achievements of previous National Communications. It will consist of a thorough assessment of results achieved in the different components of the national communications, namely greenhouse gas inventories, vulnerability and adaptation assessments, mitigation analysis, national circumstances, other information relevant to the implementation of the Convention. The stocktaking of the NC components will identify gaps and uncertainties, which will provide the basis for discussions on the work to be carried out in the TNC. Ultimately the key objective of the stocktaking is to improve the quality of the studies and assessments and the quality of the TNC report submitted to the UNFCCC.
- Identification of new studies and areas of work: The stocktaking may identify new studies to be carried out in order to cover areas or sectors not addressed under the previous NCs. New areas of work may be based on emerging priorities at the country level, the need to improve the reliability of previous studies or to expand the scope of work in order to fill gaps. This could also extend to identifying strategies to enhance the sustainability of work under the NCs, such as Greenhouse Gas Inventories. The new areas of work will be specifically identified and validated during the stocktaking exercise. In doing so, the team will seek to

identify opportunities for linkages between climate change and national development processes in the context of the NC preparation.

- Identification of synergies with related programmes: The Stocktaking will also identify how the TNC will build on and/or establish linkages with relevant projects or initiatives at the national level. These may include linkages with projects in the areas of mitigation of greenhouse gases, adaptation to climate change, climate risks management, among others. It would also identify linkages with other national activities carried out under relevant international conventions (Ozone Layer protection, POPs, Biodiversity and Land Degradation). Through this analysis, the stocktaking will identify possible coordination between these initiatives and the TNC process so that opportunities for collaboration are included in the TNC project proposal.
- Agreement on priorities for TNC: The analysis carried out through the above activities will be the basis for identifying and agreeing on the list of priority areas to be addressed in the TNC in a cost effective manner. The prioritisation will be made through a consultation process with key stakeholders. The priority areas will be consistent with the UNFCCC Guidelines for the preparation of NCs in non-Annex I Parties and will ensure that the reporting requirements are fully met.
- Selection of methodologies and identification of expected results: The stocktaking will be used to select the methodologies and approaches for the studies to be carried under the different components of the TNCs. The proposed methodologies and expected results will be discussed in the stakeholders' consultations and will be reflected in the TNC project proposal.
- Analysis of institutional arrangements: The stocktaking will include a thorough assessment of the institutional arrangements put in place for the preparation of the previous NCs. This will include an analysis of the institutional framework, if any, that has been established in the country to specifically deal with climate change issues. Through these assessments, and in consultation with the relevant authorities, the team responsible for the preparation of the TNC project proposal will propose the institutional structure and coordination mechanisms for the TNC. This may include: i) adjustments to strengthen previous institutional arrangements (e.g. addressing any gaps or weaknesses identified during the stocktaking); ii) the continuation of a similar structure if the previous institutional set-up proved to be effective and successful; or iii) the development of new institutional arrangements which may be needed to significantly improve the NC process or to respond to new political contexts at the national level.
- Good practice and lessons learned: Identifying lessons learned and best practices from previous NC projects will be an important part of the stocktaking exercise. This will include not only technical issues, but also experiences of implementation/execution and process/arrangements adopted under previous NCs that could provide lessons or best practices for the preparation of the TNC.
- Preparation of draft project proposal for TNC: The stocktaking (along with the stakeholders' consultations discussed below) should be conducive to a sound TNC Project Proposal, which will be discussed with the relevant stakeholders before submission to UNDP for review and approval. Please note that consultations with the key stakeholders should take place throughout the stocktaking to ensure adequate support and ownership of the TNC. The section below provides a brief description of the activities for the consultation process.

### **Stakeholders' consultations**

- Definition of stakeholders' involvement: Identify and review the key stakeholders and their role under previous national communications. This analysis will help the teams identify the contributions and levels of involvement of such stakeholders, if any, in order to improve their participation for the preparation of the TNC. This analysis will also enable teams to identify the possible need to expand the number of players in-line with the scope of work and enhancement of national ownership of the TNC process.

- Development of strategies for stakeholders' participation: The stocktaking will identify strategies for keeping the stakeholders involved throughout the process of the TNC. This will include understanding the opportunities that the participation of stakeholders in the TNC bring to incorporate climate change concerns in the institutions and policy process they represent or can influence
- Awareness raising and mainstreaming. The stocktaking can also be used as an opportunity to assess the level of awareness of national institutions, NGO's, government and general public in the area of climate change, and to design specific activities to identify major challenges and opportunities to mainstreaming climate change into National Development processes.
- Ensuring adequate consultations for the preparation of TNC project proposal and its implementation: Stakeholders' consultations may take place at 3 critical benchmarks in the preparation of the project proposal: i) at the initiation of the stocktaking work; ii) at the stage where identification of priorities for the TNC, and the proposed methodologies are set out; and iii) during discussions of the draft TNC project proposal. Depending on the scope of the discussions, different stakeholders may be brought in at different times of the stocktaking work.

### **Self-assessment report and TNC Project Proposal**

- Final Report of the self-assessment exercise: A report on the self-assessment exercise will be prepared to highlight the key gaps and lessons learned from the SNC and identify priorities for the TNC. The report will also briefly explain the process adopted for the stakeholders' participation and the consultations carried out for the preparation of the TNC project proposal. The brief report will be included as an annex to the TNC Project Proposal (following the guidance and template provided by UNDP)
- Preparation of the TNC Project proposal: The key output of this exercise is the Project Proposal for the TNC. After final consultations with the key stakeholders and Government approval, a draft TNC Project Proposal will be submitted to UNDP for review and comments, as appropriate. Final approval of the TNC Project Proposal by UNDP will take place after suggested adjustments, if any, are addressed by the national team.

### **3. PRELIMINARY LIST AND DESCRIPTION OF STAKEHOLDERS AND CONSULTATION PROCESS ENVISIONED**

Stakeholder consultation is important for the preparation of the proposal for the TNC. The process for the consultation will be based on a multi-sectoral approach similar to the process undertaken for national consultations under the previous NC preparation. The identification and verification of relevant stakeholders will be one of the key tasks to be undertaken. The identification exercise will be based on the direct and relevant involvement of each stakeholder in producing the work required towards the preparation of the TNC.

The stakeholder consultations will help to ensure national ownership of the TNC process. In particular, the consultation will be used as a means to:

- Ensure adequate linkages between the priority areas of the NC and the relevant sectoral priorities and planning processes
- Validate the stocktaking exercise and national priorities to be addressed by the TNC
- Agree on the institutional arrangements proposed for the preparation of the TNC
- Clarify the roles and responsibilities of the stakeholders to be involved and the likelihood that the stakeholder will play this role.
- Engage all the relevant stakeholders and ensure an adequate consultation mechanism for the TNC

The Stocktaking Consultant will conduct stakeholder consultations initially on an individual basis [or groups of experts on the basis of expertise, e.g. GHG inventory, mitigation, adaptation] with relevant stakeholders and

facilitate a national stakeholder consultation to finalise the proposal. The National Stakeholder Consultation will gauge input from the stakeholders on key aspects of the TNC process, objectives of the TNC proposal, roles and responsibilities during implementation, and other issues pertinent to the TNC. Further, the stocktaking consultant will also liaise closely with members of the Project Executive Board (PEB).

UNDP- Georgia will monitor the progress of the stocktaking exercise in accordance with the agreed budget and outputs and disburse funds to facilitate implementation.

The following stakeholders are envisaged as participants during the stakeholder consultations:

All relevant departments of the Ministry of Environment Protection and Natural Resources (Department of Integrated Environmental Management, Forestry Department, Agency of Protected Areas, National Environmental Agency, Environmental Policy and International Relations Department, Biodiversity Service); representatives of the Ministry of Energy, Ministry of Agriculture, Ministry of Economic Development (Department of Tourism and Resorts), Department of Transport, Ministry of Education and Science, Ministry of Labour, Health and Social Affairs, Ministry of Refugees and Settlement, Ministry of Regional Development and Infrastructure (United Transport Administration); representative of National Security Council of Georgia; National Statistic Office of Georgia; representatives of Tbilisi State University, Institutes of Hydrometeorology, Geography and Geophysics; Municipality of Tbilisi and other big cities; Georgian Gas and Oil Corporation (GGOC); representatives of private sector (farmers, industrial enterprises, etc).

#### **4. BRIEF DESCRIPTION OF THE INSTITUTIONAL ARRANGEMENT FOR THE SELF-ASSESSMENT EXERCISE AND PROPOSAL PREPARATION**

The national lead agency responsible for the oversight and implementation of the self-assessment exercise and project proposal is the Ministry of Environment Protection and Natural Resources through its Climate Change Division under the Department for Integrated Environmental Management. The involvement of the relevant stakeholders, and their support and commitment to the implementation of the proposed activities, will ensure the achievement of the overall outcome of the assessment.

The Project Executive Board (PEB) will be established directly both for the project preparatory and follow-up implementation phases of the TNC project, and will be an ultimate decision-maker for it. It will ensure that the project remains on course to deliver the desired outcomes of the required quality. The PEB will make management decisions for the project when guidance is required by the Project Executive or when project tolerances have been exceeded. More specifically, the PEB will set up tolerance levels for project stages in terms of duration and disbursement of financial resources. The PEB will review and clear the project Work Plan (WP), which will include budget and final document for submission to the GEF. The final PD will be sent to the RCU in Bratislava for clearance by the Regional Technical Advisor on Climate Change National Communications. It will review and approve the project document. The PEB will meet twice: for the initiation of stocktaking exercise and for adoption the final PD.

The responsibilities of the PEB will be divided into the Executive, Senior User/Beneficiary ("Senior User") and Senior Supplier components.

The Executive component is ultimately responsible for the project, supported by the Senior User and Senior Supplier components. The Executive component's roles are to ensure that the project is focused throughout its life cycle on achieving its outputs and that the project has a cost-conscious approach, balancing the demands of the user (or beneficiary) and supplier. For the project purposes, the Ministry of Environmental Protection and Natural Resources through the National Project Director representing the mid/high level official of the Department of Integrated Environmental Management will assume the Executive Role in the Board

The Senior User is responsible for specification of the needs of all those who will be primarily using or benefiting from the project outputs, for user liaison with the project team and for monitoring that the solution

will meet those needs. The Senior User role commits user resources and monitors project outputs against agreed requirements. Mid-level/high officials representing the Ministries, including Ministry of Environmental Protection and Natural resources, Ministry of Agriculture, Ministry of Energy, etc. will assume the senior user role.

The Senior Supplier represents the interests of those committing resources either financial or human to the project. The Senior Supplier is accountable for the quality of the outputs delivered by the supplier(s). The Senior Supplier role must have the authority to commit or acquire supplier resources required. Thus, UNDP management, e.g. Assistant Resident Representative will represent the senior supplier role.

**Project Assurance** – this is one of the key roles in the project management structure. The Project Assurance will act as an independent and objective quality monitoring agent, avoiding the potential “self-serving bias”. In addition, the project assurance will verify the products’ or outputs’ quality. UNDP Energy and Environment Team Leader and Regional Technical Advisor for Biodiversity at RCU will play the Project Assurance role.

Short-term consultant (Team Leader) will be recruited to coordinate stocktaking exercise, lead the experts’ team and prepare the TNC proposal. He/She will be provided with all the relevant sets of information gathered directly from concerned stakeholders (sources of information about relevant studies or activities), and from the consultative workshops, and from all available reports (e.g., INC, SNC Report). The Team Leader will prepare a draft report of the self-assessment and will assist the team in the preparation of the draft TNC project proposal. These drafts will be presented to the stakeholders and the Project Executive Board before finalization.

## **5. GEF OUTCOMES/ACTIVITIES AND OUTPUTS/ACTIONS**

The project has only one outcome/activity, which considers the preparation of a project proposal in accordance with TNC development guidelines. The expected outcome and corresponding actions to be carried out under the stocktaking exercise are the following:

### **GEF Output/Action 1: Planning and management of the stocktaking exercise**

- 1.1: Preparation of a detailed workplan and scope of work
- 1.2: Execution of an Inception workshop/consultation
- 1.3: Preparation of TOR including the expected results and deliverables for the individual experts and Country Team, including the approach and methodology to use during the stocktaking exercise.

### **GEF Output/Action 2: Stocktaking exercise**

- 2.1: Implementation of the stocktaking exercise and preparation of the stocktaking matrix describing all previous and on-going activities under the UNFCCC, as well as other related project and programmes
- 2.2: Identification /review of gaps and uncertainties under the TNC and proposition of new studies/areas of work
- 2.3: Development of prioritisation criteria and identification of priority areas to be addressed under the TNC
- 2.4: Identification of potentials for linkages and synergies with other projects
- 2.5: Preparation of the stocktaking report

### **GEF Output/Action 3: Stakeholder consultation**

- 3.1: Stakeholder analysis. This analysis will list all possible individuals and institutions that may be involved in the stocktaking exercise. It should list their possible role, the benefits of their involvement, and any possible challenges to their involvement.

- 3.2: Stakeholder consultation. This consultation should be used to validate the selected methodologies for studies and priority issues and new areas of action.
- 3.3: Execution of a Workshop to validate the project proposal on TNC.
- 3.4: Presentation of the National Communications process, issues and concerns for the self-assessment exercise. Reactions, comments and suggestions will be taken according to the proposed component of the TNC.
  - Drafting of a tentative workplan, with scheduled meetings to be held with stakeholders or tools to be used to keep them informed and involved.
  - Preparation of a report from the stakeholder consultation.

**GEF Output/Action 4: Development of a project proposal for TNC**

- 4.1: Writing of the project proposal on TNC should include (as an annex) a brief report on the stocktaking and stakeholder consultation containing the following information: (i) Description of the methodology used; (ii) Stakeholders and institutions consulted; (iii) Results and findings of the stocktaking exercise; (iv) Results and findings of the stakeholder consultation.
- 4.2: Circulation of the project proposal for comments by stakeholders.
- 4.3: Submission of the project proposal for TNC to UNDP (a final consultation workshop may be scheduled on the basis of needs for additional discussions and approval processes).
- 4.4: Incorporation of the comments on the project proposal into the TNC Project Document.

**6. BUDGET**

<b>Award ID:</b>	00060254					
<b>Project ID:</b>	00075790					
<b>Award Title:</b>	PIMS No. 4458 Georgia "Self-assessment for the preparation of the Third National Communication to the UNFCCC"					
<b>Business Unit:</b>	GEO10					
<b>Project Title:</b>	PIMS No. 4458 Georgia "Self-assessment for the preparation of the Third National Communication to the UNFCCC"					
<b>Implementing Partner (Executing Agency)</b>	Ministry of Environmental Protection and Natural Resources					
<b>GEF Outcome/Atlas Activity</b>	<b>Responsible Party/Implementing Agent</b>	<b>Fund ID</b>	<b>Donor Name</b>	<b>Atlas Budgetary Account Code</b>	<b>ATLAS Budget Description</b>	<b>Amount (USD)</b>
<b>OUTCOME 1</b> Third National Communication Project Proposal	<b>GoG</b>	<b>62000</b>	<b>GEF</b>	71300	Local Consultants	<b>13,000</b>
				74200	Audio Visual & Printing Production Costs	<b>1,000</b>
				72100	Contractual Services Companies	<b>1,000</b>
				72400	Communication & Audio visual Equip.	<b>2,400</b>
				74500	Misc. operation expenses	<b>2,600</b>
					<b>Sub-Total</b>	<b>20,000</b>



## 7. SUGGESTED TIMETABLE

Output /Action	Weeks													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14
<b>Output 1: Planning and management of the stocktaking exercise</b>														
1.1 Preparation of detailed workplan, including scope of work														
1.2 Inception workshop/consultation														
1.3 Preparation of TOR and expected results and deliverables, for the individual experts and Country Team, including approach and methodology to use during the stocktaking exercise.														
<b>Output 2: Stock-take of the related activities</b>														
2.1 Take stock of activities relevant to the National Communication and prepare a stock taking matrix														
2.2 Identify gaps and uncertainties and propose new studies/ areas of work														
2.3 Development of prioritisation criteria and identification of priority areas to be addressed under the TNC														
2.4 Identify linkages and synergies with other projects														
2.5 Write a stocktaking report														
<b>Output 3: Stakeholder consultation</b>														
3.1 Stakeholder analysis. List of the stakeholders														
3.2 Meeting with stakeholders to validate the methodology, areas of priority														
3.3 Workshop to validate the project proposal for the TNC														
3.4 Take into account reactions, comments and recommendations														
3.5 Drafting of a tentative workplan, with scheduled meetings to be held with stakeholders or tools to be used to keep them informed and involved														
3.6 Preparation of the report from the stakeholder consultation.														
<b>Output 4: Develop the project proposal for the TNC</b>														
4.1 Write the draft project document														
4.2 Circulate to stakeholders for comments, and additional workshop, if needed														
4.3 Submission of the project document for TNC to UNDP for comments														
4.4 Incorporation of UNDP comments into the TNC Project Document														