




United Nations Development Programme
Country: Global
Project Document

Title	EU-UNDP Climate Change Capacity Building Programme	
Goal	To assist developing countries in the design of low-emissions development strategies within the context of national development needs.	
Overall Programme Objective	To build capacities in the Public Sector and Industry* on Low-Emission Development Strategies (LEDS), Measurement, Reporting, and Verification (MRV), Nationally Appropriate Mitigation Actions (NAMAs), including the identification of mitigation actions in both private and public industries.	
Expected Outcomes of the Overall Programme	Expected Output/Activities of the Global Support Component	
<p><u>Outcome 1.</u> Robust national systems for preparation of GHG emission inventories have been established at a national level.</p> <p><u>Outcome 2.</u> NAMAs and LEDS have been formulated in the context of national development priorities.</p> <p><u>Outcome 3.</u> MRV systems to support implementation and evaluation of NAMAs and LEDS have been developed.</p> <p><u>Outcome 4.</u> Mitigation actions in selected industries have been established.</p> <p><u>Outcome 5.</u> MRV systems have been created to support and monitor mitigation actions.</p>	<p><u>Outcome:</u> Technical expertise and capacity-development support provided to 15 countries.</p> <p>Output 1. Appropriate tools and training are made available to support GHG Inventory Systems, NAMAs and in the context of national priorities.</p> <p>Output 2. Targeted technical support is provided as necessary to national teams for the implementation of project activities.</p> <p>Output 3. Support provided for the identification of innovative policy and financing options for low-emission development and in order to facilitate partnerships between the Public Sector and Industry.</p> <p>Output 4. Knowledge and lessons learned disseminated to raise awareness, engage stakeholders, and inform decision-makers.</p>	
Executing Entity:	UNDP (DIM) - Global Component ; UNDP (NEX) – National Components	
Implementing Agency:	UNDP	


Agreed by UNDP:


 Olaf Kjørven, Director, Bureau for Development Policy



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 Veerle Vandeweerd, Director, Environment and Energy Group

23/05/2011
 Date

~~Angkan S.
 BDP/PSU~~

*Traditional documentation tends to distinguish between the Public Sector—usually executive/administrative entities operated by the State—and the Private Sector, primarily private industry. In an effort to include countries in which industries may be operated by the State, privately, or both, this document generally refers to "Industry" rather than to the "Private Sector." "Public Sector" here refers to executive/administrative entities that are public, and "Industry" refers to industrial entities that are either public or private.

Brief Description

As a result of the commitment of all parties to support climate change efforts at the national level, UNDP has developed with the European Union (EU) a collaborative Programme focused on capacity building for climate change. The Programme will be carried out in fifteen countries over a four-year period, with funding received from the EU and the German Government. A portion of the overall budget will be allocated to implement a Global Support Component.

The Overall Programme will strengthen national capacities to do the following: 1) Develop/establish greenhouse gas inventory management systems; 2) Measure, report on, and verify greenhouse gas emission inventories; 3) Identify opportunities for Nationally Appropriate Mitigation Actions (NAMAs) in the context of national development; 4) Design low-emission development strategies (LEDS); and 5) Facilitate the design and adoption of mitigation actions by selected industries in a few countries. The Programme will target the Public Sector mainly in the areas of GHG inventory systems, NAMAs, and LEDS, and Industry in the areas of mitigation actions and MRV systems.

A Global Support Component will be established to provide technical assistance to countries in the design and implementation of project activities at the national level. Following a six-month inception phase, the Global Support Component, located at UNDP HQ, will assist participating developing countries by:

1. Providing appropriate tools and training to support LEDS in the context of national priorities
2. Making targeted technical support available to national teams for implementation of project activities on the basis of countries' needs
3. Facilitating linkages with national development priorities and processes
4. Providing support to help identify innovative policy and financing options for low-emissions development
5. Facilitating partnerships between the Public Sector and Industry
6. Developing and disseminating informative products and lessons learned to raise awareness, engage stakeholders, and inform decision makers

The EU-UNDP Climate Change Capacity Building Programme is in response to the need for capacity development at the country level, as well as to opportunities that have been identified for engaging Public Sector and Industry support and participation in addressing the issue of climate change. The Programme seeks to build on various initiatives already developed by UNDP and the EU, such as the National Communication Support Programme (NCSP), the EC "Scoping Study: Developing Countries Monitoring and Reporting of Greenhouse Gas Emissions, Policies and Measures", the UNDP Territorial Approach to Climate Change (TACC) programme, and the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD). It also draws on the insight of the African Adaptation Programme in terms of Programme design and implementation, and it will build on private initiatives that are being conducted with a sectoral approach. The Programme will operate at the global and national levels and will seek to engage relevant stakeholders at all levels.

<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Programme Period:</td> <td>4 years</td> </tr> <tr> <td>Key Result Area:</td> <td>Capacity Develop</td> </tr> <tr> <td>Atlas Award ID:</td> <td>00061165</td> </tr> <tr> <td>Project Number:</td> <td>00077376</td> </tr> <tr> <td>Start Date:</td> <td>15 Feb 2011</td> </tr> <tr> <td>End Date:</td> <td>14 Feb 2015</td> </tr> <tr> <td>PAC Meeting Date:</td> <td>11 Feb 2011</td> </tr> <tr> <td> Management Arrangements</td> <td> UNDP</td> </tr> </table>	Programme Period:	4 years	Key Result Area:	Capacity Develop	Atlas Award ID:	00061165	Project Number:	00077376	Start Date:	15 Feb 2011	End Date:	14 Feb 2015	PAC Meeting Date:	11 Feb 2011	 Management Arrangements	 UNDP	<table style="width: 100%; border-collapse: collapse;"> <tr> <td>Total Resources Needed:</td> <td style="text-align: right;">\$ 25,000,000</td> </tr> <tr> <td>Total Resources Allocated:</td> <td style="text-align: right;">\$ 17,082,786(*)</td> </tr> <tr> <td>• Regular</td> <td style="text-align: right;">0</td> </tr> <tr> <td>• Other:</td> <td></td> </tr> <tr> <td> o European Commission</td> <td style="text-align: right;">€8,000,000</td> </tr> <tr> <td> o German Government</td> <td style="text-align: right;">€5,000,000</td> </tr> <tr> <td>Unfunded Budget:</td> <td style="text-align: right;">\$7,917,214</td> </tr> <tr> <td>In-kind Contribution:</td> <td style="text-align: right;">0</td> </tr> <tr> <td> Global Support Programme</td> <td style="text-align: right;"> \$ 5,029,000</td> </tr> <tr> <td>National Project Implementation</td> <td style="text-align: right;">\$19,971,000</td> </tr> <tr> <td> (€13,000 = Est. US Dollar Value:</td> <td style="text-align: right;"> \$17,082,786)</td> </tr> <tr> <td>(*) Inclusive of 7% GMS</td> <td></td> </tr> </table>	Total Resources Needed:	\$ 25,000,000	Total Resources Allocated:	\$ 17,082,786(*)	• Regular	0	• Other:		o European Commission	€8,000,000	o German Government	€5,000,000	Unfunded Budget:	\$7,917,214	In-kind Contribution:	0	 Global Support Programme	 \$ 5,029,000	National Project Implementation	\$19,971,000	 (€13,000 = Est. US Dollar Value:	 \$17,082,786)	(*) Inclusive of 7% GMS	
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I. SITUATION ANALYSIS

Climate change has an ever-increasing impact on the ways national governments define their development strategies. This impact involves not only the need to understand and manage a tremendous amount of technical information, but also the need to bring a wide range of stakeholders together to address climate change concerns in a coherent manner. A primary challenge in developing countries is the effective allocation of scarce resources in order to ensure that climate change activities, programmes, and projects are not isolated from other pressing development needs. With this in mind, the EU-UNDP Programme provides countries with substantive input and support for their efforts to integrate climate change into strategies and plans, ensuring appropriate linkages between policy making and options for financing. UNDP works with national governments while collaborating with other UN agencies in order to help United Nations Country Teams and governments integrate climate risk into the formulation and implementation of key UN cooperation frameworks such as the United Nations Development Assistance Framework (UNDAF).

However, integration at this level is not enough; climate change cannot be tackled by national governments alone. Industry (petrochemical, cement, iron and steel, fertilizers, etc.) plays an equally important role in any concerted effort to reduce GHG emissions and adapt to climate change. It is commonly accepted that responding to climate change and achieving low-carbon growth and development will be a major challenge for the international community, one which will require significant action and cooperation from both the Public Sector and Industry.

Industry's enormous role in meeting this challenge consists of spearheading the investment and technological innovation that will underpin low-carbon growth, of providing financing for mitigation and adaptation, of adopting low-carbon production processes, and of encouraging and facilitating more climate-conscious purchasing decisions by consumers. Nevertheless, reporting tools and technical expertise must be made available and public, and there must be state-led action to create incentives. This Programme will act as a liaison between Industry and the Public Sector to achieve this cooperation.

Yet, even with increased action and cooperation on the parts of the Public Sector and Industry, the capacity of the Measurement, Reporting and Verification (MRV) systems for greenhouse gas emissions remains weak in developing countries. Countries also face obstacles in defining Nationally Appropriate Mitigation Actions (NAMAs) and designing low-emission development strategies (LEDS). Industry's participation in adopting mitigation actions, particularly in carbon-intensive sectors, has been limited. In order to fulfil their MRV actions under the UNFCCC, developing countries must improve their capacities to establish national MRV systems for GHG emissions and national mitigation actions. The Global Support Component of the overall EU-UNDP Climate Change Capacity Building Programme will help countries develop these capacities.

Furthermore, a number of common capacity constraints can be identified in the following areas:

- *Development and establishment on GHG inventory management systems:* Although countries have made significant improvements in carrying out GHG inventories through their national communications (NCs), very few attempts, if any, have been made for developing GHG inventory systems. Most common constraints in this area includes: design of adequate archiving and management of the data required for the regular updates of GHG inventories; application of quality assurance and quality control procedures in inventory compilation; design of procedures to fill data gaps; use of methodologies to assess uncertainties of GHG inventories, among others.
- *Design of nationally appropriate mitigation actions (NAMAs):* Through their NCs countries have also developed technical capacity to carry out mitigation studies in a number of sectors (e.g. energy, industries, agriculture). However, these studies tend to provide a rather general overview of the possible mitigation options without the detailed analysis required to implement them, as appropriate. More detailed mitigation assessments will require addressing capacity gaps, as identified by countries in their NCs, in the following areas: use of specific models for mitigation analysis at the sectoral level; development of baselines and mitigation scenarios to estimate

- emission reduction potentials; development of socio-economic scenarios; and feasibility analysis of the mitigation options identified, including cost assessments.
- *Low emission development strategies (LEDS)*: as a new area of work emerging under the Climate Change Convention, countries have yet to develop their capacities and experiences in the design of LEDS. As technical capacity is developed for mitigation analysis, there is a need to enhance countries' understanding and skills to bring mitigation actions into a coherent strategy that is adequately linked to national development. Preliminary capacity constraints in this area include: use of appropriate tools to assess and prioritize LEDS in the context of development needs; design of institutional frameworks to ensure appropriation of strategies by the relevant stakeholders; and estimation of resources (financial and technical) required for the implementation of LEDS.
 - Monitoring, reporting and verification (MRV) systems: New methodologies are being developed by different organizations for the development and adoption of MRVs. Complex procedures will need to be designed and adopted by countries that choose to include MRV under the project. Common capacity constraints include: use of tools to track and assess impacts of actions adopted to address GHG emissions; design of mechanism for coordination and regular reporting of mitigation and other related actions in the context of NAMA or LEDS; use of approaches to develop verification procedures for actions that countries may implement under NAMA or LEDS; and design of organizational structure required for MRV systems.
 - In addition to these technical constraints countries also face challenges with engaging diverse stakeholders in policy discussions regarding climate change (especially around mainstreaming climate change into national planning and creating an enabling environment for private sector involvement), and advocating for increased budget allocation for NAMAs, LEDS, MRVs, etc.

Not entirely unrelated, the outcomes of the UNFCCC Conference of the Parties (COP), held in Cancun in December 2010, brought up important opportunities and challenges UNDP faces if it is to strengthen its support to countries in the area of climate change. From a development policy perspective, the Cancun package affirmed "that addressing climate change requires a paradigm shift towards building a low-carbon society that offers substantial opportunities and ensures continued high growth and sustainable development." Indeed, the entire agreement is infused with statements that stress the importance of sustainable development and poverty eradication. This is a welcome development for UNDP and a platform for further growth.

With these challenges and opportunities in mind, this Programme has been designed to support countries by providing technical expertise and assistance in developing Public Sector and Industry capacities in terms of LEDS, MRV, and NAMAs, including the identification of potential mitigation actions in relevant industries.

Capacity development is central to countries' efforts to tackle climate change. The EU-UNDP Programme can play an important role in strengthening both technical and functional capacities of key climate change institutions so they are able to engage stakeholders, assess climate change risks and opportunities, design strategies, plan, implement, and monitor and evaluate programmes to address the challenges of climate change. This includes strengthening capacity in the following areas: establishing institutional mechanisms to coordinate management of climate risk; improving technical knowledge to better understand and make use of climate change information; strengthening data collection and management systems for planning and decision making.

The EU-UNDP Climate Change Capacity Building Programme has been developed with these things in mind. It is a collaborative initiative between the EU and UNDP, which will be implemented under UNDP rules and procedures. Through the Global Support Component, the Programme will allow participating countries to identify capacity development needs (during the inception/scoping phase) and to implement national-level activities specific to the needs and capabilities of each country and region. A national-level project will be developed within each country, with global-level oversight and through a process of stakeholder participation that will ensure linkages with relevant development agendas and planning processes. Both the overall Programme and each national-level project will use the various tools

developed by UNDP to support capacity assessment needs. Country-level monitoring activities will be tailored in order to track the impacts of the Programme on each country's capacity development, always taking into account other ongoing relevant initiatives.

Relationship to Other Projects and Programmes

The United Nations, the EU, and UNDP are not new to providing technical and financial support to developing countries for the building of technical and institutional capacities in various areas having to do with climate change. This Programme will build on several existing initiatives, including the National Communications Support Programme (NCSP), UNDP's Territorial Approach to Climate Change (TACC) programme, capacity development conducted for the Clean Development Mechanism (CDM) and Designated National Authorities (DNAs), and the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD). It will also draw on lessons learned from the UNDP's Africa Adaptation Programme.

The EC has initiated a "Scoping Study: Developing Countries Monitoring and Reporting of Greenhouse Gas Emissions, Policies and Measures" in five developing countries (Kenya, Indonesia, Mexico, Peru, and Thailand, the first four of which have been engaged in discussions for action). This study aims to identify detailed capacity-building needs in these countries in the areas of LEDS/NAMAs/MRV. The EU-UNDP Programme will build in particular on the lessons learned and the needs identified in this scoping study. The Programme will also build on the results of other EC studies, which include:

- "Proof of Concept" study, which assessed the merits of "global sectoral approaches as part of a post-2012 framework"
- Governance study on "a business and government consultative body as part of the future international climate change framework," which assessed the values of different options for establishing a mechanism that brings the Public Sector, Industry, and other stakeholders together.

The Programme will also build upon industry-led, voluntary initiatives for capacity building from selected industries in Non-Annex I (NAI) countries. It will exploit synergies with complementary actions (between the Public Sector and Industry) that have been promoted by international organisations and national agencies of EU Member States. Some prominent examples are the Cement Sustainability Initiative (CSI) of the World Business Council for Sustainable Development (WBCSD), the Global Sustainability Initiative of the International Aluminium Institute (IAI), and the technology cooperation initiatives that form part of the Asia Pacific Partnership (APP) on Clean Development and Climate.

During the inception phase, the results of all projects mentioned above will be further considered and other potential synergies identified. Throughout the implementation of the Programme, UNDP will seek to cooperate and coordinate with other projects, in particular those registered under the International Partnership for Mitigation Action and MRV, as well as other relevant activities funded by the EC and Germany in the countries involved the Programme. The aim is not only to avoid duplication of effort, but also to maximise learning and exchange across projects.

Furthermore, in its Communication on "Stepping Up International Climate Finance: A European Blueprint for the Copenhagen Deal" (COM(2009)475), the EC suggested that climate change capacity-building in developing countries should focus on the following areas: (a) National GHG inventories; (b) LEDS; (c) performance indicators (e.g. emissions intensity); (d) data collection, analysis, reporting, and verification; (e) integrating climate change with other policies; (f) knowledge of impacts and mitigation options; (g) domestic cap and trade systems; (h) set up of public-private partnerships and sectoral approaches in a multilateral context; and (i) demonstration and adoption of low-carbon technologies. This Programme addresses many of these topics.

These prior and ongoing projects and studies demonstrate the environment within which this Programme resides and illustrates the potential synergies that will be capitalised upon as it moves forward.

Relevance of the Programme to Target Groups

The Programme will improve national governance by establishing and maintaining national MRV systems, thus strengthening the capacity of selected countries to monitor and enforce national requirements. The

improvement of MRV systems for GHG emissions, and the design of NAMAs and LEDS will increase countries' abilities to improve and design strategies to reduce GHG emissions.

The Programme will address country constraints in MRVs, NAMAs, and LEDS, that include the following:

- In Kenya, large uncertainties in GHG inventories remain, due to gaps in the activity data, the lack of a comprehensive inventory system, and capacity constraints to improve GHG calculations. In addition, environmental mitigation is constrained by high costs, lack of quality data and information, inadequate technical capacities, inappropriate technologies, inadequate policies, and lack of economic incentives. The Programme will support a country-level project which will build Kenya's capacity to develop inventory and MRV systems and to design and implement NAMAs.
- In the Democratic Republic of Congo (DRC), data collection is one of the key constraints in the preparation of GHG inventories. The main difficulties include the lack of appropriate and relevant studies to support GHG inventories, difficulties within the organisations responsible for data collection in various sectors, an incompleteness of data both spatial and temporal, the inaccessibility of some national data, an insufficient level of detail required to apply standard methodologies, and the unreliability of sources. The Programme will support capacity-building measures in DRC to develop inventory and MRV systems and the capacity to design and implement NAMAs.
- South African industries face a number of obstacles that prevent the implementation of appropriate measures to address GHG emissions there. Some of the obstacles are directly related to the adoption of technologies to improve energy efficiency and industrial processes and include: intellectual property payments that limit technological adoption in many industries; the high cost of more environmentally friendly technologies; the lack of technical capacity to establish and maintain new technologies; inadequate macro-economic policies and incentives to promote technology transfer; the lack of appropriate financial systems, especially for medium-size industries, to improve their production schemes; insufficient government support to Industry's involvement in GHG emissions reduction; and a lack of local data (e.g. technological performance, financing, insurance) for the adequate design of investment projects and for appraisal (monitoring, assessment, and evaluation). The Programme will assist South Africa in building Industry's capacity to implement mitigation actions.
- In Brazil, the government has proposed a comprehensive climate change strategy that gives priority to the country's GHG inventory. The strategy relies strongly on external resources for financing, and limits the involvement of institutions and specialists in inventory development and UNFCCC discussions. The Programme will support a country-driven project that will a) provide incentives for federal institutions, private companies, and sectoral associations to participate in the climate change strategy, b) mobilize capacities, resources, and partnerships to tackle GHG emissions reduction in key economic sectors, c) enable a greater share of domestic financing to be allocated to strategy implementation, and d) assist Industry in Brazil in the development of capacities to implement mitigation actions.

II. STRATEGY

Based on the challenges outlined above, including weak monitoring guidelines and a lack of capacities, the adopted Programme strategy is to develop a Global Support Component in order to support the formulation and implementation of a smaller, more pointed projects at the national level in each country. **This project document is specific to the Global Support Component (GSC), although it includes some details of the outcomes and activities which are meant to take place at the national project level.** As a point of clarification, "Programme" refers to the overall Programme, or specifically the Global Support Component which oversees the overall Programme. When the term "project" is used, it refers to an individual project at the country level.

This document provides details about the strategies and expectations of the overall Programme, the strategies and expected outcomes of the Programme's Global Support Component, which will oversee its

implementation, and some information about outcomes and activities which are expected to take place at the national project level.

The Global Support Component will begin with a 6-month inception phase. (See Appendix IV) During this inception phase, guidelines and templates will be developed by the GSC to assist countries in carrying out their stocktaking and stakeholder consultations for the design of the national projects. Once stocktaking reveals the needed scope and nature of a given country project, and identifies its potential synergies with ongoing projects and/or policy matters, an individual project document will be drawn up and submitted to a PAC at the country level. This process ensures that all national projects comply with UNDP processes, align with interests and needs identified at the country level, and avoid supply driven priorities and actions. This approach was adopted in order to allow for the flexibility required due to varying country resources, capacities, and interest. It will also further ensure the inclusion of cross-cutting practices such as gender, poverty reduction, and capacity development and will identify links with UNDAF focus in participating countries, as appropriate.

The Global Support Component is designed to draw on a portion of the overall budget (\$4.7 million) and will operate for four consecutive years, overseeing all national projects for their duration. The remaining portion of the budget (\$20.3 million) will be allocated to individual countries based on capacities, resources, and needs. These allocations will be determined through discussions with relevant UNDP Regional Bureaux as well as EU and German Government counterparts. Final financial allocations for national projects will be decided upon during the inception phase, taking into consideration other projects in the region, each country's capacities, the potential impact of the project, and each country's need. Should additional funding be secured, it will be allocated at the country level, in consultation with the Regional Bureaux, to expand the number of participating countries.

Understanding Programme Linkages

As a central strategy to the implementation of the Programme, UNDP will ensure the necessary linkages with the UNDAF in close coordination with national governments. These linkages will be identified during the preparatory phase of the national projects, based on the guidance note *Integrating Climate Change Considerations in the Country Analysis and the UNDAF* prepared by UNDG in 2010, more specifically by¹:

- Understanding both the beneficial and detrimental linkages between climate change and development;
- Using this knowledge to strengthen the national development framework and UNDAF priorities;
- Addressing climate change related risks and opportunities as early as possible in UN-supported programmes and projects; and
- Tracking progress towards achievement of UNDAF outcomes, including their contribution to climate resilience and low-carbon development at the national level.

As stated earlier, climate change initiatives—specifically, national projects within the Programme—will be designed and carried out in such a way that they are effectively incorporated into coherent and balanced sets of development policies. Economic growth, poverty reduction, and climate change are closely interlinked, and as such, UNDP's implementation strategy for the Programme will avoid fragmented responses and duplicated efforts. With the help of the regional bureaux and UNDP COs, entry points for linking the Programme with UN country programming will be identified during the design of the project scope and activities, thereby ensuring synergies and complementary actions.

Overall Programme Strategy

The Programme strategy follows a country-driven, multi-stakeholder framework. The common framework ensures coherence on methodological approaches and lessons learned in the selected countries. In this framework, each selected country uses a menu approach, in order to reflect its focus and scope of action. This approach is illustrated in Figure 1.

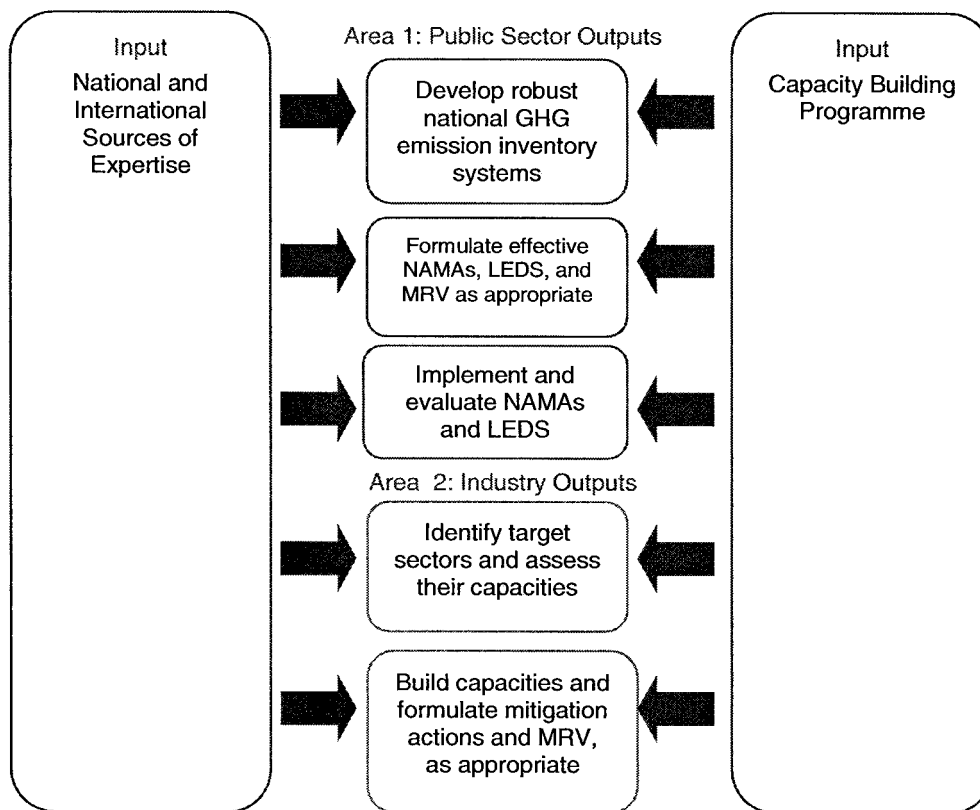
¹ Integrating Climate Change Considerations in the Country Analysis and the UNDAF (UNDG, 2010)

The menu approach includes the Programme’s two areas of activity: the Public Sector and Industry. Projects will be implemented in two sets of selected countries and within either of these two areas of activity. The most appropriate project will be selected for each country in each set. Note that the order of outputs and activities is open, like a menu, and does not have to be the same as that shown in Figure 1.

Project Level Strategy

During the inception and design phase of projects, each country will be expected to develop proposed activities within one of the two areas, including identification of sectors within the area. This is especially true for countries selected to take part in the area of Industry. A maximum of three sectors will be selected for each country on the basis of clear criteria, which will be established and developed by the GSC. It is important to note that flexibility will be required. Countries will no doubt request to participate to varying degrees in both areas, and this is acceptable, inevitable, and even desirable, given the need and importance of coordination between the two areas. The focus of any one country-level project must clearly target one area, however. The final determination of scope of work and specific activities will be made during a project’s inception phase, resulting in a formal project document that will undergo PAC vetting at the country level.

Figure 1: The Menu Approach and a Country-driven, Multi-stakeholder Framework



The projects will be categorised under either of two areas: a) Public sector capacity building on GHG inventory management systems, NAMAs, LEDS, and MRV or b) Industry capacity building for mitigation actions. Each area, described below, covers a set of activities, with the aim of enabling a flexible menu from which a country can choose when adopting its project. Table 1 illustrates the two Programme areas and the two country sets.

Table 1: Menu Areas and Participating Country Sets*

Programme Areas	Participating Countries			
Area 1: Public Sector capacity building on MRV, NAMAs and LEDS	Africa	Asia/Pacific	LAC	North Africa
	Kenya	Philippines	Peru	Egypt
	Zambia		Colombia	Morocco
	DRC		Ecuador	
	Uganda		Chile	
Area 2: Industry capacity building for developing mitigation actions	Africa	Asia/Pacific	LAC	North Africa
	South Africa	China	Mexico	Egypt
			Brazil	
	Potential sectors: Cement, iron and steel, petrochemicals, fertilizers			

A preliminary selection of countries was based on discussions between UNDP, EU and German Government. Consultations with national governments were carried out through UNDP COs and EU delegations in the pre-selected countries. Further discussions took place with the Regional Bureaux which indicated the need for earlier involvement in the selection process to ensure the necessary coordination and consultation processes. Countries that have been contacted include Brazil, Chile, China, Colombia, Democratic Republic of Congo, Ecuador, Egypt, India, Indonesia, Kenya, Mexico, Morocco, Peru, the Philippines, South Africa, Tanzania, Uganda, and Zambia. Of these countries, India displayed a lack of interest while Indonesia had a number of on-going initiatives with potential overlap. Three countries (Brazil, China, and South Africa) are yet to confirm through the COs. The number of participant countries may increase as additional co-financing is secured. In such a case, consultations with the Regional Bureaux will be carried out to identify potential countries to be added.

Project Formulation

During the inception phase, the country completes a needs assessment as follows:

- Gap identification based on desk research from key input sources, such as the latest NCs and the scoping study conducted by the EC
- Results from complementary actions and programmes
- Information from NC focal points, practice groups, and government representatives
- Meetings with local (Public Sector and Industry) stakeholders

Based on the above assessment, a project will be selected for the country, to be implemented as part of the Programme. Each project document that comes out of the inception phase will cover activities, timelines, and budgets for the particular project and be subject to the PAC process at the country level.

For planning purposes, a preliminary assessment was carried out to identify how the EU-UNDP Programme would mesh with the relevant priorities of the Country Programme Documents (CPD). A summary of this assessment is provided in Table 2. The table shows that in all countries, the Programme provides opportunities for synergies, and these will represent valuable opportunities for progress in addressing agreed upon priorities. During the preparation of the EU-UNDP project in each country—including the inception phase—national teams, led by the respective UNDP COs, will have the opportunity to elaborate on how the project can effectively contribute to their CPD by designing specific activities as well as indicators to monitor such contributions.

Table 2: Identified Synergies with Country Priorities as Communicated through CPD

Country	Area 1: Public Sector Capacity Building on MRV, NAMAs, and LEDS	Area 2: Industry capacity building for mitigation actions
Kenya	Relates to CPD proposed programme priority 3b	
Zambia	Related to CPD proposed programme priorities 3a and 3 b *	
DRC	Capacity building and poverty reduction * DRC has included climate change and sustainable development as key elements of poverty reduction.	
Uganda	Related to CPD proposed programme priority A4 *	
South Africa		CPD proposed programme priority B(e)
Philippines	Relates to CPD proposed programme priorities 3b and 3c	
China		CPD proposed programme priority 6
Peru	Relates to CPD proposed programme priorities in the areas of social and economic development and environmental strategies and policies *	
Colombia	Relates to CPD proposed programme priority A	
Ecuador	Relates to CPD proposed programme priority 4	
Chile	Relates to CPD proposed programme priority 4	
Mexico		Relates to CPD proposed programme priorities 1 and 4
Brazil		Related to proposed programme priority E
Egypt	Related to CPD Outcome 6	Related to CPD Outcome 6
Morocco	Relates to CPD proposed programme priority F	

*CPD was valid until 2010. A more current CPD has not been posted for public record.

Project Scope

As mentioned earlier, country selection was based on engagement levels, capacity requirements, and resource constraints. Least developed countries were selected for Area 1, in order to address their efforts to establish solid data management and inventory systems for GHG emission reporting under UNFCCC requirements. More advanced developing countries were selected for Area 1 to consolidate their data management and inventory systems, and to formulate effective LEDS and NAMAs. Area 2 is intended for countries with a more developed Industry sector and therefore greater potential for participating in emissions reduction strategies. The main criteria used to select countries for Area 2 were the level of development of the Industry sector, and the potential of the Industry sector to strengthen its capacities to play a pro-active role in future mitigation actions.

Countries selected for Areas 1 and 2 will then be engaged to formulate a project that falls within one of these two Areas. In addition, for Industry capacity building in Area 2, contacts will be made with representatives of EU as well as industrial organisations of the developing country in order to select a number of activities. A maximum of three industrial sectors will be chosen in each country on the basis of clear criteria, such as emissions intensity or the potential for cost-effective emissions reduction. Cement, iron & steel, petrochemicals, and fertilizers are the industries that have so far shown interest in Area 2. Country, sector, and activity selection will take place during the Programme's inception phase.

Again, it is important to note that there will be some flexibility to accommodate selected countries' requests to participate, to some degree, in activities in both Areas, as long as the focus of the national-level project is clearly specific to one Area. This flexibility will ensure that, where feasible, countries can benefit from this capacity-building support to the full extent. Furthermore, countries will be encouraged to identify the potential linkages and synergies between the two Areas, by identifying opportunities for public-private partnerships to address key climate change priorities under the project in a coordinated manner. In this context, countries will be able to identify the most suitable options to engage the private

sector in the formulation and implementation of the projects, as appropriate. For instance, the public sector can play a key role in the design of policies, regulations and incentives to facilitate the active engagement of the private sector in efforts to address climate change concerns. On the other hand, the private sector can identify and implement concrete actions on the ground, at the sectoral or industrial level, to reduce GHG emissions while ensuring linkages with development needs and economic growth.

The approach to individual project design will be customized in order to take into account countries' particular circumstances and needs. However, within the context of linking the project with UNDAF at the national level, the following entry points, as identified in the UNDAF Guidance Note, will be given special consideration:

- Climate Change Perspective in the Review of Existing Country Analytical Work
- Climate Change Perspective on Supporting Country Analysis and Prioritization
- Engagement with Relevant Stakeholders in Mapping the National Planning Process
- Climate Change Perspective on Setting Priorities of the UNDAF
- Climate Risk Screening (Mainstreaming) of Agency Programmes and Projects
- Potential Indicators for Monitoring and Evaluating Inclusion of Climate Change Considerations in the Country Analysis and the UNDAF

These entry points will be adjusted to ensure that they are applicable within the context of the Programme and its potential contribution to the UNDAF at the country level. With support from the UNDP CO, each country will identify the most suitable opportunities to ensure appropriate UNDAF linkages.

Country Approach

The overall approach to initiating work at the country level will be based on stocktaking and review of relevant strategy and policy documents by the national institutions designated for the formulation and implementation of the projects at the country level. During the preparatory phase of the national projects, and through a country-driven process, emphasis will be given to the identification of capacity building needs. The Programme will adopt UNDP CD approach, including the five step process (engage partners and build consensus, assess capacity assets and needs, formulate CD strategies, implement CD strategies, and monitor and evaluate CD) in order to ensure appropriate and coherent design of CD development activities responsive to countries' needs. Given the strong focus of the Programme on CD, the national projects will not only focus on the delivery of specific outcomes (e.g. GHG systems, NAMA, LEDS) but also on the impacts of the CD activities designed under the projects to strengthen the institutional and technical capacities in the priority areas identified by the projects.

The design of the project proposals by the relevant government institutions in participating countries will include consideration of the following:

An assessment of work carried out under previous relevant initiatives: This assessment is the central element of the work, as it will ensure that a framework for LEDS, GHG inventory systems, NAMAs, and MRV schemes build upon results and lessons learned from relevant work, such as the NCs, mitigation and adaptation projects, UNDAFs, CCAs, CAS, other national and regional plans, etc. To this end, an analytical summary of activities and results achieved under past and ongoing initiatives will be prepared. It will identify gaps and uncertainties, and provide justification for additional studies/assessments in order to improve the quality of information critical to the development of the work under the project at the national level.

New studies and areas of work: The process will also identify new assessments/analyses that need to be carried out in order to cover areas or sectors not addressed under previous work, but which are critical for the articulation of a LEDS, GHG inventory, NAMA, and MRV work. The experiences gained through the GHG emissions inventories and mitigation analyses under the NCs will be an important basis to identify gaps and new areas of work.

Methodologies and approaches: The stocktaking will identify necessary emphases within the overall approach and the potential methodologies (and information requirements) that must be adopted in order to carry out the various analytical exercises needed for the development of a robust LEDS and related work.

Synergies with related programmes and key policies processes: The process will identify how the LEDS will build on and establish linkages with relevant initiatives, such as NCs, UNDAF, CCAs, various practice groups such as gender, governance, etc., and existing policy frameworks. Experience in producing NCs can provide a solid base of studies, experiences, and other information attained during coordination processes, and this base will be critical when determining activities within a national-level project.

Capacity-building needs: Strengthening institutional and technical capacities will be a key element of a framework for the development of LEDS, NAMAs, and GHG inventory and MRV systems. Identification of capacity-building needs will take into account existing expertise for applying the proposed methodologies in the various areas of work. The design of projects will follow the UNDP CD approach to ensure that a coherent CD strategy is developed and implemented at country level. As a country-driven process, national teams will adjust UNDP approach to their needs in the design of their CD strategy. UNDP will support countries during the design process and monitoring of national CD strategies under the project.

Stakeholder mapping: The stakeholder mapping will include a preliminary list of the government institutions, academia, NGOs, research institutions, private organizations, and others as relevant, which will need to participate in the preparation of a LECRDS Strategy. This list will include not only the institutions that will directly participate in this work, but also those that could be asked to contribute to this process through multi-stakeholder consultations.

Priorities for LEDS, MRV, NAMAs, and GHG inventory management systems: The process is expected to identify key priorities to be addressed under the project at the national level. The prioritisation will be made through consultative processes with key stakeholders involving both the public and private sectors. Strong national leadership will be a critical aspect in the design and implementation of the project. Thus the designated Government institution will be responsible for bringing together the relevant stakeholders so that they are fully engaged from the very beginning of the project. UNDP COs will play a key role in supporting the Governments in the prioritization and consultation process, and will advice on approaches that may be adopted to ensure the necessary linkages with relevant initiatives at the country level. The final outcome of the stocktaking and consultations will be a project proposal that each participating country will submit to UNDP for review and approval.

It is expected that the preparation of the project proposals will take up to 6 months to complete. However, recognizing that countries may require longer periods for the design of the projects, the timeframes for the preparatory phase will be discussed with each country to ensure the necessary flexibility depending on countries' needs. UNDP HQ, through the GSC, Regional Service Centres and COs will work very closely to support countries during this preparatory phase and will provide the necessary guidance to the government institutions responsible for the preparation of the project proposals. Potential bottlenecks will be identified to ensure that they are addressed in an effective and timely manner. It also important to note that countries will use the preparatory phase to identify lessons and initiate coordination among the relevant institutions to ensure that the project responds to countries' needs.

Stakeholder Attitudes

This Programme involves two principal types of stakeholders. On one hand there are primary stakeholders who are directly responsible for climate policy, monitoring, and reporting. This includes Ministries of Environment (or ministries responsible for environmental issues) and their national climate change teams, as well as other ministries (e.g. Industry, Energy, Finance) involved in climate change activities. On the other hand, it involves Industry: business organisations, small and medium sized enterprises, and state-owned enterprises.

Secondary stakeholders include a broader range of institutions working locally on climate change. These include donors, other government institutions, NGOs, civil society organizations, and academic and research institutions. Each project's inception phase will determine which of these institutions becomes a

stakeholder in the project and how. The aim is to ensure sound project planning and promote local ownership.

To date, attitudes of primary stakeholders have been preliminarily assessed in each country during extensive consultation processes conducted by UNDP and EU personnel (Appendix III). A further analysis of stakeholders and a plan for managing communication and expectations will be detailed during the inception phase of the Programme.

III. OBJECTIVES OF THE OVERALL PROGRAMME

Programme Organization

As mentioned, the Programme will have two distinct components – the Global Component, made up of the Global Management Steering Committee, Global Support Component and the Global Resource Team and the National Components, made up of National Steering Committees, UNDP COs, Core project Teams. It should be noted that National Components will be carried out at the national level and will not be directly driven by the Global level or UNDP COs. Rather, the National Components will be country driven. Priorities will be identified at the country level and will be supported by the Global Component through targeted technical backstopping, guidance material, programme networking and regional expertise. For further illustration of this organization refer to Figure 2. The objectives listed below are in reference to work that will take place at the country level and will be supported by the GSC. It is important to remember that all national projects will have their own project document, thus further ensuring further consistency with UNDP project formulation guidelines.

National Components

UNDP's experience in supporting sustainable development over the past decades shows that the most important success factor is alignment of proposed activities with national and local priorities. To be effective, the EU-UNDP Climate Change Capacity Building Programme should support efforts to address socio-economic and human development challenges. The Programme should also maximise potential benefits for energy access, security, health, employment, mobility, and competitiveness. This Programme addresses both socio-economic and human development challenges because it assists countries in the design and adoption of climate change strategies that will contribute to the overall goal of sustainable development while simultaneously establishing upstream linkages in order to ensure sustainability and resiliency.

The Programme builds on UNDP's commitment to build country-level capacities to address climate change in the context of the Millennium Development Goals (MDGs). The Programme is closely aligned with the following types of UNDP support:

- Assessing climate change concerns and realistic response strategies; developing and implementing policies, regulatory/market-based instruments and institutional change; and accessing additional resources in order to obtain financing for solutions and make sound investment decisions.
- Complementing policy change and capacity development efforts at the national level by facilitating action at the provincial, municipal, and community levels.
- Addressing both mitigation and adaptation, recognizing that the window of opportunity to help countries to adapt to climate change is as narrow as that for mitigation, if we are to reach the MDGs.
- Diversifying the funding sources that countries can access and enable them to effectively combine and sequence these different financing sources;
- Promoting public-private partnerships, especially in efforts to reduce GHG emissions.
- Mainstreaming climate change into all core development areas, including energy, agriculture, health, water resources, and infrastructure, with emphasis on the fact that climate change is not only an environmental issue, but a core developmental concern.

The Programme is also aligned with the European Consensus on Development, which states that the “primary and overarching objective of EU development cooperation is the eradication of poverty in the context of sustainable development, including pursuit of the (MDGs).” Ensuring environmental sustainability and developing a global partnership for development are particularly relevant for EU and UNDP support to developing countries.

Programme Areas and Outcomes At the project level, meaning the National level, the Programme consists of two areas with three modules in the first area and two modules in the second. The Programme intends to create the infrastructure and the experience for possible expansion to other countries. This will depend on future funding availability, lessons learned, and interest from countries. (See Results and Resource Framework for areas and modules.)

Area 1: Public Sector Capacity Building on GHG Inventory systems, NAMAs, LEDS, and MRV

This area intends to support technical and institutional capacities to develop MRV systems and LEDS initiatives. All co-financing contributed by the German Government will support actions in Area 1. Three outcomes are included in this area, as described below.

Outcome 1: Robust national systems for preparation of GHG emission inventories have been established at a national level.

Efforts to establish national GHG emissions inventory management systems are weak or absent in the majority of developing countries. Although the UNFCCC Guidelines for NCs encourage parties to report national initiatives in this area, developing countries have no obligation under the Convention to develop such systems. Thus, the process of drafting NCs has not provided an incentive for countries to create sound inventory management systems. This represents a significant barrier to their efforts to establish a sustainable inventory process and to eventually develop MRV systems for GHG emissions. The Programme will support technical and institutional capacity development geared toward improving GHG inventories for MRV-related activities. The technical advice should facilitate the establishment and long-term sustainability of national technical teams for the preparation of national communications, including GHG inventories, on a continuous basis.

The Programme’s expected outputs under Outcome 1 of Area 1 are:

- Understanding of the requirements for GHG inventories and NCs and a description of institutional arrangements
- Well designed and established national systems for the preparation of GHG inventories and NCs
- Appropriate institutional frameworks established to ensure regular updates of GHG inventories and NCs

These outputs can easily be replicated for countries other than those selected, through standardized publication of toolkits and templates, as well as workshops and training sessions. Examples of such publications and training sessions include: GHG inventory management system toolkit, high-level GHG inventory institutional framework, and GHG inventory management system case studies (from selected countries). Besides regional/global exchange workshops for the sharing of lessons learned and good practices, targeted training will be provided in relevant areas, including:

- Design of GHG inventory management systems at the national/sectoral level
- Use of appropriate tools to determine mitigation potential at the sectoral level, such as the Mitigation Training Workshop Long-Range Energy Alternative Planning (LEAP)
- Cost analysis and identification of barriers for the implementation of mitigation actions
- Policy analysis and institutional support required for the design and implementation of low-emission development strategies
- Identification of market mechanisms and financial opportunities for the implementation of mitigation actions and LEDS

Under this Outcome the Programme will focus on developing national capacities to assist countries in carrying out the following activities:

- *Activity 1 Create national systems for the preparation of GHG inventories and NCs.* This must take into account the potential requirement for more frequent GHG inventory reporting. Work includes training in understanding requirements, analysing key emitters, and describing institutional arrangements.
- *Activity 2 Design and establish national systems for the preparation of GHG inventories and NCs.* This includes training in the use of tools, the use of enhanced documentation formats, QA/QC, the use of archiving systems, and planning inventory improvement. The IPCC Good Practice Guidelines will be used as the basis for the design of the inventory systems.
- *Activity 3 Establish institutional frameworks and coordination mechanisms that ensure periodic GHG inventory and NC updates.* This will entail the creation of the institutional structure and appropriate mandates to ensure that activity data required for GHG inventories is compiled on a regular basis and in the required format. A coordinated structure will seek to integrate GHG inventory work into the institutions responsible for the relevant sectors.

Outcome 2: NAMAs and LEDS have been formulated within the context of national development priorities.

The Programme will support selected countries' planning, design, implementation, and evaluation of mitigation strategies and programmes. Support will be provided in the areas of a) developing methodologies and tools to carry out mitigation analysis, b) prioritising mitigation measures in accordance with development priorities, c) designing the institutional mechanisms to support adoption of mitigation measures, and d) setting up the reporting structure for monitoring the implementation of mitigation measures and evaluating their effectiveness, including the design of indicators to measure progress. In order to build synergies with national priorities, national policies that can be "upgraded" to NAMAs will be identified, taking into account different potential sources of financing, such as domestic, international, or carbon market financing. An example of this type of "upgrade" is a National Energy Efficiency program being reformulated as a NAMA. UNDP is already assisting governments in the development of area-based, low-emission, climate-resilient development strategies through a comprehensive capacity development methodology within the framework of its Territorial Approach to Climate Change (TACC). This five-step, multi-stakeholder, participatory methodology aims to link the mitigation of climate change risks to poverty reduction and sustainable development by empowering local governments to scale up climate change actions. The EU-UNDP Programme will incorporate lessons learned from this programme into appropriate activities

The Programme's expected outputs under Outcome 2 of Area 1 are:

- Understanding of the coordination, planning, design, implementation, and evaluation of NAMAs and LEDS
- Creation of NAMAs and LEDS roadmaps at the national level
- Establishment of NAMAs and LEDS policy instruments, technology options, and funding strategies
- Establishment of dialogue platforms for stakeholders and interested actors

Outcome 2 of Area 1 is expected to produce substantive lessons learned for replication in future activities or as useful examples for other countries. These lessons learned will be related to a high-level coordination framework for mitigation programs, a NAMA and LEDS roadmap toolkit, and NAMA and LEDS roadmap case studies.

Under Outcome 2 the Programme will focus on developing national capacities to assist countries in carrying out the following activities:

- *Activity 1 Coordinate, plan, design, and implement mitigation actions and low-emissions strategies.* This activity will be built on the results of the mitigation analysis carried out under the NCs. It will include the definition of the business-as-usual and mitigation scenarios for the selected sectors and involve the

participation of key stakeholders. This includes training courses and workshops in which mitigation measures are formulated jointly and action plans are specified for implementation and monitoring.

- *Activity 2 Identify and prioritise mitigation actions and low-emissions strategies in key areas/sectors.* This will include alignment with the target country's short- and long-term national development goals. In workshops, roadmaps will be formulated for NAMAs and LEDS at the national level, involving public and private actors for both autonomously implemented NAMAs as well as those requiring international support. The work includes joint specification of clear indicators to identify priority actions.
- *Activity 3. Identify policy, financing, and technology instruments to implement mitigation actions and low-emissions strategies.* This will involve the development of financing strategies, with priority given to efforts to secure funding for short- to medium-term activities. In more advanced developing countries, a policy-ready and investment-ready portfolio of activities will be developed.
- *Activity 4 Establish and facilitate dialogue platforms for mitigation actions and low-emissions strategies.* These platforms will provide the basis for continuous interaction with stakeholders and for the monitoring of the project's activities.

Outcome 3: MRV systems have been created to support implementation and evaluation of NAMAs and LEDS.

In selected countries where the creation of GHG inventories and/or the preparation of NCs are still in their early stages, the Programme will concentrate on supporting technical and institutional capacity development for these ends. In selected countries where the focus is on formulation of effective NAMAs and LEDS, attention will be paid to improving MRV systems. This will be done by establishing appropriate indicators for monitoring mitigation actions, as well as by helping to create conditions necessary to support future investment in mitigation measures. The focus will be on establishing scopes, metrics/indicators, reporting mechanisms, verification mechanisms, and time frames. An improved MRV system will take into account whether NAMAs are implemented autonomously, through support from developed countries, or through an international crediting mechanism. Suggested criteria for the MRV systems include: credibility, cost-effectiveness, timeliness, and a simple and clear procedure which provides enough flexibility for a wide range of mitigation actions.

The Programme's expected outputs under Outcome 3 of Area 1 are:

- Training of local personnel in MRV tools for NAMAs and LEDS
- MRV systems for NAMAs and LEDS developed
- Assessment of technology needs to develop a national information system

Outcome 3 could result in a set of publications, examples of which include: a MRV system training toolkit and compilations of case studies of MRV Protocol, LEDS Protocol, and MRV system work.

Under Outcome 3 the Programme will focus on developing national capacities to assist countries in carrying out the following activities:

- *Activity 1 Create awareness and understanding in MRV-related activities in order that high government officials can support mitigation actions and low-emissions strategies.* This includes Ministries such as those of Environment and Finance. Activities will consist primarily of tailor-made information sessions.
- *Activity 2 Design a MRV system to support the implementation of mitigation actions and low-emissions strategies.* Among other things, work here includes the selection of appropriate methodologies and monitoring protocols; training for the use of protocols and tools; establishment and organisation of a reporting process; and selection of verification bodies.
- *Activity 3 Develop national technology systems for information and monitoring.* This activity will be built on current initiatives with GEF funding to help countries conduct their technology needs assessments.

Area 2: Industry Capacity Building for Mitigation Actions

National and regional policies translate into specific requirements for private and/or public Industry, which trigger performance improvements in production processes. Area 2 focuses on the aims and needs of Industry, and the intent is to help Industry prepare itself for implementation of selected mitigation actions. The work under this area will not only address capacity building to support industries in mitigation actions, but will look at ways to assist countries in creating an enabling environment, such as strengthening the policy and legal framework, to support industry engagement in mitigation.

During the inception phase, contacts will be made with representatives of the EU and industrial organisations in the developing country in order to identify high priority mitigation actions. China, Mexico, South Africa, Egypt, and Brazil have been identified as the countries to participate in this area of the programme, and cement, iron & steel, petrochemicals, and fertilizers are the industries.

When appropriate, coordination with capacity building in the Public Sector will be possible in Area 2 (in the form of workshops or seminars, for example) in order to promote synergies and cooperation between the Public Sector and Industry. (Of course, this is also true in the opposite direction: activities in the Public Sector in Area 1 countries may coordinate with Industry.) Synergies will also be sought and exploited through the work carried out by various UN agencies or practice groups. In particular the joint UNEP/UNIDO programme for National Cleaner Production Centres may be involved, where appropriate. The work proposed in Area 2 is complementary to activities underway in the SWITCH initiative, and so experience gained from SWITCH as well as from the Cleaner Production Centres will be taken into account.

Outcome 4: Mitigation action plans in selected industries have been established.

Industry in developing countries is increasingly involved in the climate debate, especially in emissions reduction efforts. Industry plays a central role in sectoral approaches, either in that certain industries are sectoral targets or in relation to the sectoral carbon-finance model. Each of these approaches has similar requirements in terms of GHG emissions inventories, solid data management systems, and effective MRV systems. Work will start from the industry's perspective of enhancing profitability by means of energy efficiency improvements and cost savings. The Programme will focus on energy-intensive industries and SMEs, taking into account their upstream and downstream value chains. It will also design and implement capacity building in selected developing country industries to participate in GHG emission reduction efforts. Activity in this outcome will identify mitigation actions, facilitate carbon market access, level the playing field for sectors competing in global markets, provide incentives for technology cooperation, and create export opportunities for environmental industries. The experience from such activities will also increase knowledge about effective capacity building in the selected industrial sectors.

The Programme's expected outputs under Outcome 4 of Area 2 are:

- Creation of a shortlist of target industries, including key private or public stakeholders and mitigation opportunities for each industrial sector
- Creation of a mechanism for knowledge and data sharing across industries
- Undertaking of a detailed analysis of NAMA potential by industrial sector

Outcome 4's publications may cover private sector data collection, a survey template for capacity assessment, and a data-sharing mechanism.

Under Outcome 4 the Programme will focus on developing national capacities to assist countries in carrying out the following activities:

- *Activity 1 Identify target industrial sectors and mitigation potential.* Key private stakeholders will also be identified and workshops organised to reach them. The workshops will take into account the opportunities provided to these stakeholders—through the international carbon market, among other things. Stakeholders will be given clear guidance on how to increase their access to funding opportunities.

- *Activity 2 Assess data collection capacities of private sector stakeholders.* This will include the establishment of a regional knowledge exchange network of industrial associations. This network will include relationships with peers in other countries, the aim being to support access to and exchange of data. Relevant industrial associations from EU member states may be invited to share their experiences with efforts to reduce GHG emissions in various industrial sectors.
- *Activity 3 Analyze NAMA possibilities and applicability in the selected industrial sectors.* The aim here is to meet industry objectives and country-based needs and take capabilities for implementation into account. Special attention will be paid to formulating NAMAs for SMEs. Experiences from EU member states and other countries will be used to identify means of collaboration and apply lessons learned in the development and implementation of NAMAs.

Outcome 5: MRV systems have been created to support and monitor mitigation actions.

Sectoral mitigation approaches have similar requirements in terms of GHG emissions inventories, solid data management systems, and effective MRV systems. However, a number of barriers exist to involvement in this area on the part of Industry. The first is the lack of understanding of the value, in terms of business, of projects geared toward cleaner production and mitigation, including the additional opportunities that international carbon markets provide. The second is Industry's limited ability to identify, assess, deploy, and operate low-carbon solutions. The third is Industry's lack of skills and competencies in the collection of data on emissions and energy efficiency. This hampers Industry's ability to understand and set indicators, targets, and objectives for MRV. Enhancing the knowledge and capabilities of Industry is thus a crucial element in aiding the adoption of mitigation actions. Activities in this outcome will foster the use of synchronised procedures for providing reliable, comparable information on mitigation needs, action, and results. This will aid in obtaining financial support and assessing progress in meeting efficiency goals in terms of energy and emissions. Besides capacity building for Industry, the Programme will create networks for the exchange of data and best practices. These networks will empower and qualify focal points and industrial organisations to deliver necessary training and technical support on international standards.

The Programme's expected outputs under Outcome 5 of Area 2 are:

- Creation of a MRV training toolkit/handbook for Industry
- Creation of a shortlist of pilot companies for implementation of MRV systems
- Creation of outreach frameworks for optimal data and reporting

Outcome 5's publications may include a training toolkit for Industry and framework tool for exchanging optimal data and reporting.

Under Outcome 5 the Programme will focus on developing national capacities to assist countries in carrying out the following activities:

- *Activity 1 Identify appropriate measurement tools for Industry and the means of disseminating these tools.* This will be done via templates, handbooks, toolkits, or spreadsheets, as well as through training programmes and workshops. Besides developing the capacities of selected industries for the use of tools to assess GHG emissions and mitigation potential, this activity will seek to identify the most feasible options for reducing GHG emissions while improving production efficiency.
- *Activity 2 Establish data collection frameworks and distribute MRV methodologies and guidelines.* Pilot companies will be selected for the implementation on site, after which implementation lessons will be distributed to the larger group of relevant stakeholders via fact sheets and information sessions.
- *Activity 3 Communicate frameworks for optimal data and reporting conditions.* The reporting here will be to government bodies, the UNFCCC, and international business peers. MRV strategies will be designed to assist participating industries in the tracking of proposed measures.

IV. OBJECTIVES OF THE GLOBAL SUPPORT COMPONENT

Expected Outputs/Activities of the Global Support Component

As stated earlier, the Programme is a collaborative initiative between the EU and UNDP, which will be implemented under UNDP rules and procedures. This section provides details on that implementation. UNDP will support national project teams through a Global Support Component in order to bring about overall Programme outcomes. This component is designed to provide guidance and capacity-development support to project actors in the participating countries. This will be achieved through the following:

Outcome: Technical expertise and capacity-development support is provided to fifteen countries.

Output 1 Appropriate tools and training are made available to support GHG Inventory Systems, NAMAs and in the context of national priorities.

Given the growing relevance of LEDS, and taking into account the complexity of the technical needs and the coordination necessary to support such strategies, the Global Support Component will work closely with national project teams starting from the inception phase to support LEDS development. Training will ensure that existing climate change and development related strategies are unified through integrated planning. The tools used for LEDS development will be designed to suit a range of purposes at the national level for government, other institutions, Industry, and other stakeholders, including the general public. This support will ensure that the process of establishing LEDS is coordinated among various ministries, that good communication exists with other stakeholder groups, such as businesses and civil society, and that public awareness of climate change science and policy is increased.

The GSC will assist countries in the development of LEDS within the overall framework of the UNFCCC negotiations. More importantly, however, it will ensure the existence of necessary linkages with national development goals. Thus, support will be provided through exercises that promote country-driven, multi-stakeholder processes for the identification of mitigation actions that are aligned to a country's short and long-term development priorities. The GSC will work closely with UNDP COs to ensure that necessary linkages with the UNDAF are created and maintained during project formulation and implementation phases (i.e. during the drafting of the project document at the country level). Tools used in the past for consultations with stakeholders and for prioritising by UNDP and national governments will be adjusted as necessary in order to be well synchronised with ongoing planning processes.

The GSC will make necessary tools available to countries for the design and adoption of GHG inventory management systems and MRV systems. Many of these tools are either already available or under development by UNDP. They include:

Guidance Materials	Date Available
Charting a New Carbon Route to Development	Available
Human Development in a Changing Climate	Available
Guidebook on Preparing a Low-emission, Climate-resilient Development Strategy (LECRDS)	Mar 2011
LECRDS and Multi-stakeholder Dialogue Planning Processes	Feb 2011
Managing the National Greenhouse Gas Inventory Process	Available
Guidebook on Preparing a GHG Emissions Inventory at the Sub-National Level	Mar 2011
Technical Needs Assessments Handbook	Available
Engineering Investibility	Feb 2011
Website on CC Financing (jointly with World Bank)	On-line
International Guidebook for Environmental Finance Tools	Jun 2011
Monitoring, Verification, and Reporting Guidebook	Jul 2011

National Climate Fund Guidebook	Jun 2011
A Guidebook on Legal Climate Instruments	Dec 2011

Through its National Communications Support Programme (NCSP), UNDP has gained extensive experience in assisting countries in the development of national GHG emissions inventories. This assistance was provided during countries' preparations of National Communications to the UNFCCC. GHG inventory management systems and MRV systems are an essential part of the development of sound LEDS, since they are the basis for monitoring the impacts of LEDS strategies and actions. The GSC will adjust as necessary the tools and guidance materials that NCSP has used in the past for this type of support. It will also make use of the technical networks that have arisen out of the NCs, capitalising on things established and avoiding duplication of efforts.

Key activity results:

- Creation of a global resource library
- Creation of a training menu to support individual countries
- Establishment of partnerships with Centres of Excellence to assist countries and provide training

Key activity actions:

- Hiring of experts to draft needed publications
- Development of a training menu based on capacity building needs for use in national-level projects
- Development of a technical training package in coordination with Centres of Excellence
- Providing training in various thematic areas

Output 2 Targeted technical support is provided as necessary to national teams for the implementation of project activities.

The GSC will provide targeted technical assistance that addresses countries' needs for capacity building. In coordination with UNDP COs, the GSC will obtain feedback from countries via various channels (on-line discussions, workshops, surveys, etc.) in order to identify technical and policy issues as they emerge. The GSC will determine whether methods or tools exist to respond to individual country needs and commission the development of any resources needed to fill the gaps. A key strategy of GSC support will be to work with regional Centres of Excellence and UNDP Regional Service Centres to ensure efficient delivery of technical assistance. A roster of experts in various areas will be developed in order to provide countries with a wide range of options for consultations and support.

The GSC will also offer thematic trainings and exchange workshops, their timelines and content based upon country requests. Agendas will be tailored to specific priorities, be they sectoral, private, public, based on levels of national experience, and so on. The output of each workshop will include the preparation of a "best practices" document which will be distributed to participating countries. Workshops and training sessions will also serve to identify and compile emerging issues, and to identify resource gaps and additional training needs. Practice groups will be invited to offer training sessions on specific themes, ensuring that work carried at the project level is well articulated. For instance, particular attention will be paid to ongoing efforts to address gender issues with respect to environmental and development initiatives, poverty reduction programmes, and capacity development activities. Gender issues will be addressed at the outset of the Programme, and their inclusion will be encouraged in country-level project documents.

When working with national teams, the GSC will ensure articulation with efforts by UNDP COs and Regional Service Centres to integrate climate change into UN development assistance at the national level. This will be achieved by:

- Promoting the presence of the theme of climate change in the development perspectives of participating countries.

- Ensuring that information generated by the projects contributes to the efforts of UNDP's Regional Service Centres, Country Offices, and national partners in addressing climate change concerns.
- Contributing to the development of technical and institutional capacity-building work carried out by UNDP and other UN agencies.
- Supporting UN development assistance in order to maximize opportunities for addressing climate change and minimizing climate change risks.

Capacity gaps and training needs will be identified on the basis of available expertise, scope of project, activities undertaken, and national level of capacity. Based on this assessment, a training and support programme will be designed for each country, with specific targets and follow up actions.

Some preliminary areas of technical support that are foreseen at the country level include:

- Design of GHG inventory management systems at the national/sectoral level.
- Use of appropriate tools to determine mitigation potential at the sectoral level.
- Cost analysis and identification of barriers to the implementation of mitigation actions.
- Analyses of policy and institutional support required for the design and implementation of LEDS.
- Identification of market mechanisms and financial opportunities to assist in the implementation of mitigation actions and LEDS.

Key activity results:

- Dissemination of technical support activities and design of a customized assistance approach for each country.
- Efficient, effective provision of necessary technical support to countries, to be evaluated by project coordinators and UNDP COs.
- Communication of lessons learned from support activities among all projects.

Key activity actions:

- Establishment of effective means of communication on what technical support is available and how to access it.
- Monitoring of technical support and its impacts on project implementation and the quality of deliverables.
- Reporting on results and lessons learned from technical assistance via widely distributed GSC newsletters and brochures.

Output 3 Support provided for the identification of innovative policy and financing options for low-emission development and in order to facilitate partnerships between the Public Sector and Industry.

Countries will be encouraged to consider carefully how LEDS, GHG inventory management systems, and MRV systems are coordinated with existing planning tools and strategies, in order to minimize duplication of effort and overlapping or conflicting strategies. The GSC will provide guidance on how the activities and consultations carried out under a project can integrate and expand on existing national strategies, including those focused on sustainable development, climate change, and technology needs assessment. Given the critical roles of both the Public Sector and Industry in the development of LEDS and specific mitigation actions, the GSC will guide teams in identifying policy incentives and financial opportunities for the implementation of actions and necessary prioritisation. Attention will be paid to how information generated by the projects (e.g. mitigation actions, policy priorities, funding, and capacity-building needs) can be communicated to the international community in order to obtain financial support.

An important component of GSC assistance involves financial tools and mechanisms, including knowledge on how to access, integrate, and sequence various sources of climate change funding. The GSC will investigate and share knowledge on innovative financing options available to support climate risk management and help countries establish partnerships with relevant regional and international organizations. It will also support countries in developing effective strategies for engaging with industries such as iron and steel, petrochemicals, and cement, and develop ways to leverage additional financing for the implementation of mitigation actions and supporting efforts targeted at low-emissions development.

In addition to forging partnerships with regional and international Centres of Excellence, the GSC will solicit cooperation with relevant UN agencies and other development partners at national and regional levels in order to offer broader support for strengthened resilience and sustainability. The GSC will endeavour to ensure that partners are geographically and technically diverse. Within this framework, the GSC will call upon practice group managers to ensure the best use of internal resources and expertise and to guarantee that practice group priorities are considered and understood.

Key activity results:

- Development of policies and plans for LEDS, GHG inventory systems, NAMAs, and mitigation actions, based on the scope of countries' individual projects.
- Incorporation of financing strategies and Public Sector and/or Industry partnerships into planning or decision-making processes.
- Design of strategies to assess how well projects contribute to mainstreaming of climate change issues in national processes.

Key activity actions:

- Conducting of studies and development and adoption of plans at the country level.
- Identification of potential sources of funding and institutional arrangements for the implementation of LEDS and priority activities.
- Identification of mainstreaming opportunities by key stakeholders under the guidance of a National Steering Committee.

Output 4 Knowledge and lessons learned disseminated in order to raise awareness, engage stakeholders, and inform decision makers.

One of the GSC's primary roles will be to disseminate lessons learned and best practices on a continuous basis. At the centre of this information exchange will be knowledge networks and electronic bulletin boards, on which national teams can share their experiences and results. The GSC will periodically gather and disseminate any useful resources posted on the networks. Best practice documents will be prepared for thematic areas.

Other exchanges of information will be outlined in a communications and outreach strategy. This strategy will aim to disseminate information about GSC activities through newsletters and to filter and disseminate relevant news from the international arena via a list-serve.

In order to benefit from lessons learned early on and from insights, experiences, challenges, and approaches adopted in the preparation of national climate change strategies and LEDS, the GSC will compile preliminary results from participating countries and other relevant initiatives worldwide and distribute these to all parties. This compilation will represent a wide range of national circumstances and stages in the process of preparing national climate change strategies and LEDS. Given that a primary role of the component is to support the integration of economic, development, and climate change planning, the following criteria will be applied to help assess how well this integration is occurring:

- extent to which the strategy of LEDS and mitigation actions relates to development plans;
- extent to which policy makers are involved in preparing the strategy
- extent to which policy priorities are incorporated into the national budget or aligned with other sources of financing

A summary will be made available of the technical, institutional, and policy lessons learned while preparing such strategies among the various countries. Such information can provide insight on how to better structure LEDS preparation and make it more effective, and on how to improve coordination when advancing national-level climate change policy.

Another important strategy of the GSC is to ensure that country projects are not carried out in isolation. Given that climate change is a cross-cutting issue which should be mainstreamed into pertinent initiatives of UN agencies and national governments, the component will promote mainstreaming. Gender and poverty reduction are two UNDP areas that offer opportunities for climate change mainstreaming. The Human Development Report of 2007-08 highlighted the potential of climate change to undermine

attainment of the MDGs. In light of this, UNDP strives to harmonise human development and attempts at addressing the climate change issue by promoting mitigation and adaptation measures that can hasten socio-economic progress (UNDP, 2008b). This overarching rationale will provide a backdrop for the implementation of this Programme.

In terms of taking gender concerns into account when planning and adopting mitigation actions, the GSC will provide guidance on actions that include measuring impacts on sustainable growth and local livelihoods, especially impacts on job opportunities for women. In this way, the GSC will involve national and local stakeholders who can incorporate gender concerns into the design of activities under the Programme. This will avoid a top-down approach that may focus solely on opportunities for large-scale emission reduction and neglect potential benefits to sustainable development at the local level. The GSC will facilitate access to support and expertise, including UNDP strategies, so that initiatives with a gender focus are given appropriate consideration in the design of national-level projects. This will include:

- Supporting institutions in the design of activities and policies that take into account the needs of women and men in a balanced manner.
- Ensuring that the monitoring framework developed under each project identifies indicators that can serve to monitor gender issues.
- Identifying country-level women's networks that can help better incorporate gender concerns into climate change mainstreaming strategies.
- Capitalising on lessons learned from other initiatives that have successfully integrated gender and climate change issues.
- Identifying opportunities to incorporate into project designs local knowledge that strengthens the roles of women.
- Providing access to and promotion of resources that are developed by UNDP's Gender Team

Similarly, a strong emphasis will be placed on how climate change actions, specifically mitigation actions, can contribute to reducing poverty. For instance, the GSC will assist countries in assessing GHG emissions reduction technologies that address development needs such as access to safe, clean energy. It will also identify ways in which access to carbon finance can be effectively used for low-carbon development at the national or local level. The GSC will provide support to private and public partnerships in finding more effective financial options with a focus on cleaner investments—in energy efficiency and forest protection, for example—that will bolster countries' efforts to achieve a green, sustainable future while simultaneously addressing poverty and livelihood concerns.

Key activity results:

- Effective communication of project strengths and lessons learned that can garner support and be replicated at the national and global levels.
- Effective communication of GSC efforts, including synergies with other initiatives that focus on gender issues and poverty eradication.

Key activity actions:

- Recording and tracking of activities taking place at the project level.
- Development of a communication and dissemination strategy to publicize efforts.

Capacity Development Strategy under the GSC

The GSC will put in place a comprehensive Capacity Development (CD) Strategy to ensure that the support (i) engages and is driven by the national teams/institutions responsible for the projects; focuses on the key capacity challenges identified through capacity assessments at the country level; is delivered with a long-term vision and concrete results in mind; monitors progress at both the output and outcome levels.

In this context, the CD strategy will target activities for the global and country level, ensuring that support activities are designed in the most cost-effective manner while addressing the common and specific needs of countries.

At the Global level, the strategy could include:

- Identification of key capacities required for the development and implementation of GHG inventories, NAMAs, LEDS, and MRV systems;
- Compilation of a set of guidelines and tools tailored to above on a) engaging stakeholders (including political and development partner engagement), b) conducting capacity assessments, c) designing capacity development plans, d) mobilizing resources and implementing the plans, and e) monitoring and evaluating changes in capacities / capacity development results ;
- Global /regional workshops and training sessions on the use of these guidelines and tools;
- Development of knowledge products on best practices and lessons learned, including through case studies;
- Establishment of global/regional Communities of Practices (CoPs) and knowledge exchange platforms, including south-south learning; and
- Establishment of global/ regional roster of experts who would be able to provide in-country capacity development support.

At the National level, the strategy could include:

- Direct country support in a) engaging stakeholders, b) conducting capacity assessments, c) designing capacity development plans, d) mobilizing resources and implementation of the plans, and e) setting up M&E systems;
- Country level (or sub-regional) workshops and training sessions on the use of the guidelines and tools;
- Establishment of national (or sub-regional) Communities of Practices (CoPs) and knowledge exchange platforms, including south-south learning; and
- Establishment of national roster of experts who would be able to provide in-country capacity development support.

The GSC will coordinate with the CDG to ensure alignment of support activities with the UNDP CD framework and to further discuss the feasibility of the suggested CD strategies. At the same time the GSC will work with regional centers of excellence, regional service centers, and international experts to provide targeted support to countries, including training on specific tools, as appropriate.

V. RESULTS AND RESOURCES FRAMEWORK:

NOTE: THIS RESOURCE FRAMEWORK REFERS TO THE GLOBAL SUPPORT COMPONENT OF THE OVERALL PROGRAMME

Intended Outcome as Stated in the Country Project Results and Resource Framework:

Technical expertise and capacity-development support provided to 15 countries.
(Intended outcomes and related indicators will be developed by each project at the national level during the preparatory phase of the projects based on the stocktaking and stakeholder consultations.)

Applicable Key Result Area (from Strategic Plan of 2008-11): Capacity Development

Partnership Strategy – European Union

Project Title and ID (ATLAS Award ID): EU-UNDP Climate Change Capacity Building Programme (Award ID 00061165)

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 1</p> <p>Appropriate tools and training are made available to support GHG Inventory Systems, NAMAs and in the context of national priorities.</p> <p>Baseline: 5 of 13 guidance documents published.</p> <p>Indicators: Publication and utilization of existing and future guidance documents and trainings.</p>	<p>Targets (year 1)</p> <ul style="list-style-type: none"> - Publication of 8 additional guidance documents. <p>Targets (year 2-4)</p> <ul style="list-style-type: none"> - Designation of specific Centres of Excellence and technical experts to produce training resource menu. 	<p>1 Activity Result – Creation of a resource library.</p> <ul style="list-style-type: none"> ▪ Action – hiring of specific experts to create needed publications. <p>2 Activity Result – Creation of a training menu to be used as support to individual projects.</p> <ul style="list-style-type: none"> ▪ Action – Development of a training menu for individual projects to use in order to request support as needed <p>3 Activity Result: Partnerships with Centres of Excellence to assist countries and carry out training activities.</p> <ul style="list-style-type: none"> ▪ Action: Development of technical training package in coordination with Centres of Excellence. ▪ Action: Delivering training in different thematic areas. 	<p>UNDP Support Component)</p> <p>(Global</p>	<p>\$ 1,302,250.00</p>

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 2 Targeted technical support provided to national teams for implementation of project activities on the basis of countries' needs. Baseline: Dependent on Country capacity and resources. Indicators: Progress and/or completion of NCS, NAMAs, LEDS, and MRVs.</p>	<p>Targets (year 1) - Targeted technical support provided to 5 of the 16 projects. Targets (year 2-4) - Targeted technical support provided to at least 12 of the 16 projects (if deemed necessary, this is a country driven process.)</p>	<p>1 Activity Result: Technical support activities disseminated and customized assistance approach for each country designed. ▪ Action 1: Effective communication established regarding what technical backstopping is available and how to access it. 2 Activity Result – Satisfactory support provided as rated by the individual projects. ▪ Action – Monitoring of technical support and its impacts on project implementation and quality of deliverables. 3 Activity Result – Lessons learned and support activities available and communicated to all projects. ▪ Action 1 – Results and lessons learned from technical assistance included in the Programme newsletters and additional publications.</p>	<p>UNDP Support Component) and National Teams</p>	<p>\$ 1,412,250.00</p>
<p>Output 3 Support provided to identify innovative policy and financing options for low-emission development and to facilitate partnerships with Public Sector and Industry. Baseline: Dependent on individual country background, capacity, and resources. (To be determined during the inception phase of the Programme.) Indicators: Developed partnerships and financing.</p>	<p>Targets (year 1) - TBD based on scoping study in each country. Targets (year 2-4) - Receipt of additional financing and/or public or private partnerships in at least 50% of the projects.</p>	<p>1 Activity Result: Policies and plans for LEDS, GHG inventory systems, NAMAs, and mitigation actions developed by countries based on scope of individual projects. ▪ Action: Studies conducted and plans developed and adopted at the country level. 2 Activity Result – Financing and partnerships with public and/or private sector partners incorporated at a national level. ▪ Action – Identification of potential sources of funding and institutional arrangements for implementation of LEDS and priority actions. 3 Activity Result - Frameworks designed to assess contribution of projects in mainstreaming climate change issues in relevant national processes. ▪ Action: key stakeholders identify mainstreaming opportunities strategies under the guidance of National Steering Committee.</p>	<p>UNDP Support Component) for direction and oversight and National Steering Committees for implementation.</p>	<p>\$ 927,250.00</p>

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 4 Knowledge and lessons learned disseminated to raise awareness, engage stakeholders, and inform decision makers. Baseline: Dependent on country. Indicators: successful publication of lessons learned at national and global levels in multiple languages and delivery formats.</p>	<p>Targets (year 1) - Implement actions in order to produce lessons learned. Targets (year 2) - Development of a map of lessons learned, by country, including a communication and dissemination strategy.</p>	<p>1 Activity Result – Successfully and effectively communicate the strengths and lessons learned of the individual projects in order to garner support and replicate at national and global levels. ▪ Action – Track and record individual actions taking place at the project level. 2 Activity Result - Effectively communicate work of the Global Support Component including synergies with gender and poverty eradication programming. ▪ Action – Develop a communication and dissemination strategy to publicise the work.</p>	<p>UNDP <i>(Global Support Component)</i></p>	<p>\$ 1,058,250.00</p>
<p>Note: The Global Support Component allocation of \$4.7 million represents 19% of the total Programme budget. Remaining funds will be allocated at the national level for project implementation. This figure does not include 7% GMS.</p>			<p>Total</p>	<p>\$4,700,000.00</p>

VI. ANNUAL WORK PLAN

The Programme's Inception Phase will take place Q1 and Q2 of 2011. (See Appendix IV.) During this time, individual projects will be established at the national level. The activities outlined below are those the Global Support Component offers to these projects.

Expected Outputs	Planned Activities	Timeline												Planned Budget							
		2011				2012				2013				2014				Responsible Party	Funding Source	Budget Description	Amount
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4				
Output 1. Appropriate tools and training are made available to support GHG Inventory Systems, NAMAs and in the context of national priorities. Baseline: 5 of 13 guidance documents available. Indicators: Publication and utilization of existing and future guidance documents and trainings.	1. Activity Result: Creation of a global resource library. - Activity action: hiring of experts to create needed publications. 2. Activity Result: Creation of a training menu to be used as support to individual countries - Activity action: Development of a training menu for individual projects to use based on capacity building needs.			X			X											UNDP (Global Support Component)	EU/German Govt Contribution	See budget	
Targets: 1. Full set of guidance docs; 2. Customized training strategy for each country; and 3. Training activities in 15 countries. Related outcome: CP LEDS developed at country level, influenced or made possible by guidance documents. Capacity building activities monitored.	3. Activity Result: Partnerships with Centres Excellence to assist countries and carry out training activities. - Activity action: Development of technical training in coordination with Centres Excellence. - Activity action: Delivering training in different thematic areas.			X			X											UNDP (Global Support Component)	EU/German Govt Contribution	See budget	\$ 1,302,250.00

Expected Outputs	Planned Activities	Timeline												Planned Budget															
		2011				2012				2013				2014				Responsible Party	Funding Source	Budget Description	Amount								
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4												
Output 2. Targeted technical support provided to national teams for implementation of project activities on the basis of countries' needs. Baseline: Dependent on scope of individual projects, country's capacity and resources. Capacity needs assessments to be carried out in each country. Indicators: Progress and/or completion of studies and activities as per individual projects. Targets: 1. Technical support provided to 15 countries. Related outcome: Utilization of support activities in completion of NCOs, LEDS, MRVs, etc.	1. Activity Result: Technical support activities disseminated and customized assistance approach for each country designed. -Activity action: Effective communication established regarding what technical support is available and how to access it.			X																						UNDP Support Component); National teams UNDP Support Component) UNDP Support Component)	EU/German Govt Contribution EU/German Govt Contribution EU/German Govt Contribution	See budget See budget See budget	\$ 1,412,250.00
	2. Activity Result: Satisfactory support provided as rated by project coordinators and UNDP COs. -Activity action: Monitoring of technical support and its impacts on project implementation and quality deliverables.					X	X	X	X	X	X	X	X	X	X	X	X												
	3. Activity Result: Lessons learned from support activities available communicated to all projects. -Activity action: Results and lessons learned from technical assistance included in the Programme's newsletters and brochures to be further disseminated.						X	X	X																				

Expected Outputs	Planned Activities	Timeline												Planned Budget											
		2011				2012				2013				2014				Responsible Party	Funding Source	Budget Description	Amount				
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4								
Output 3. Support provided to identify innovative policy and financing options for low-emission development and to facilitate partnerships with Public and Industry sectors. Baseline: Dependent on individual Country background, capacity and resources. To be determined during the inception phase of the Programme. Indicators: Developed partnerships and financing. Targets: 1. TBD based on scoping study in each country. 2. Receipt of additional financing and/or public or industry partnerships in at least 50% of the projects participating. Related CP outcome: Successful policy and financing options identified and partnerships established.	1. Activity Result: Policies and plans for GHG inventory systems, NAMAs, and mitigation actions developed by countries based on scope of individual projects. Activity action: Studies conducted and plans developed and adopted at the country level. 2. Activity Result: Financing and partnerships with public and/or private sector partners incorporated into appropriate planning or decision making processes. Activity action: Identification of potential sources of funding and institutional arrangements for implementation of LEDS and priority actions 3. Activity Result: Strategies designed to assess contribution of projects in mainstreaming climate change issues in relevant national processes.																					National teams with support by UNDP COs and UNDP Support Component UNDP Global Support Component for direction and oversight and National Steering Committees for implementation. National teams, guided by National Steering Committees and with support from UNDP Global Support Component	EU/German Govt Contribution EU/German Govt Contribution EU/German Govt Contribution	See budget See budget See budget	\$ 927,250.00

VII. TOTAL BUDGET AND WORK PLAN FOR THE GLOBAL SUPPORT COMPONENT

Award ID:	00061165
Award Title:	PIMS XXXX EU-UNDP Climate Change Capacity Building Programme
Business Unit:	BDP/EEG
Project Title:	PIMS XXXX EU-UNDP Climate Change Capacity Building Programme
Project Objective:	To build public sector capacity on MRV, NAMAs and LEDS (11 projects) as well as industry capacity for mitigation actions (5 projects)
Implementing Agency (Executing Agency)	UNDP

Output/Atlas Activity	Responsible Party	Fund ID	Donor	Atlas Account Code	Atlas Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)
Output 1. Appropriate tools and training are made available to support GHG Inventory Systems, NAMAs and in the context of national priorities.	UNDP	tbd	EU and German Govt.	61300	Project Staff	161,812.50	161,812.50	161,812.50	161,812.50	647,250
				74200	Audio Vis & Print Production	15,000	27,500	27,500	20,000	90,000
				71400	Contractual services - Indiv	15,000	20,000	25,000	15,000	75,000
				71600	Travel	15,000	35,000	35,000	25,000	110,000
				72100	Contractual services	75,000	100,000	100,000	75,000	350,000
				72200	Equipment, materials, etc	1,250	1,250	1,250	1,250	5,000
				73100	Rental & Maintenance	6,250	6,250	6,250	6,250	25,000
					Total Activity 1	289,313	351,812.50	356,812.50	304,312.50	1,302,250
					Project Staff	161,812.50	161,812.50	161,812.50	161,812.50	647,250
					Audio Vis & Print Production	5,000	5,000	5,000	5,000	20,000
Output 2. Targeted technical backstopping provided to national teams for implementation of project activities on the basis of countries' needs.	UNDP	tbd	EU and German Govt.	71400	Contractual services - Indiv	25,000	75,000	75,000	25,000	200,000
				71600	Travel	25,000	45,000	45,000	30,000	145,000
				72100	Contractual services	75,000	110,000	110,000	75,000	370,000
				72200	Equipment, materials, etc	1,250	1,250	1,250	1,250	5,000
				73100	Rental & Maintenance	6,250	6,250	6,250	6,250	25,000
					Total Activity 2	299,312.50	404,312.50	404,312.50	304,312.50	1,412,250
					Project Staff	161,812.50	161,812.50	161,812.50	161,812.50	647,250

Output 3. Support provided to identify innovative policy and financing options for low-emission development and to facilitate partnerships with public and private sectors.	UNDP	tbd	EU and German Govt.	61300	Project Staff	161,812.50	161,812.50	161,812.50	161,812.50	647,250	
				74200	Audio Vis & Print Production	2,500	2,500	2,500	2,500	10,000	
				71400	Contractual services - Indiv	15,000	15,000	15,000	15,000	60,000	
				71600	Travel	10,000	20,000	20,000	15,000	65,000	
				72100	Contractual services	25,000	35,000	35,000	20,000	115,000	
				72200	Equipment, materials, etc	1,250	1,250	1,250	1,250	5,000	
				73100	Rental & Maintenance	6,250	6,250	6,250	6,250	25,000	
					Total Activity 3	221,812.50	241,812.50	241,812.50	221,812.50	927,250	
					61300	Project Staff	161,812.50	161,812.50	161,812.50	161,812.50	647,250
					74200	Audio Vis & Print Production	25,000	40,000	45,000	30,000	140,000
Output 4. Knowledge and lessons learned disseminated to raise awareness, engage stakeholders, and inform decision-makers.	UNDP	tbd	EU and German Govt.	71400	Contractual services - Indiv	15,000	15,000	15,000	21,000	66,000	
				71600	Travel	2,500	2,500	2,500	2,500	10,000	
				72100	Contractual services	35,000	55,000	45,000	30,000	165,000	
				72200	Equipment, materials, etc	1,250	1,250	1,250	1,250	5,000	
				73100	Rental & Maintenance	6,250	6,250	6,250	6,250	25,000	
					Total Activity 4	246,812.50	281,812.50	276,812.50	252,812.50	1,058,250	
					61300	Project Staff	647,250	647,250	647,250	647,250	2,589,000
					74200	Audio Vis & Print Production	47,500	75,000	80,000	57,500	260,000
					71400	Contractual services - Indiv	70,000	125,000	130,000	76,000	401,000
					71600	Travel	52,500	102,500	102,500	72,500	330,000
Totals	UNDP	tbd	EU and German Govt.	72100	Contractual services	210,000	300,000	290,000	200,000	1,000,000	
				72200	Equipment, materials, etc	5,000	5,000	5,000	5,000	20,000	
				73100	Rental & Maintenance	25,000	25,000	25,000	25,000	100,000	
					Total	1,057,250	1,279,750	1,279,250	1,083,250	4,700,000	
					GMS (7%)	74,007.50	89,582.50	89,547.50	75,827.50	329,000	
					GRAND TOTAL	1,131,257.50	1,369,332.50	1,369,332.50	1,159,077.50	5,029,000	

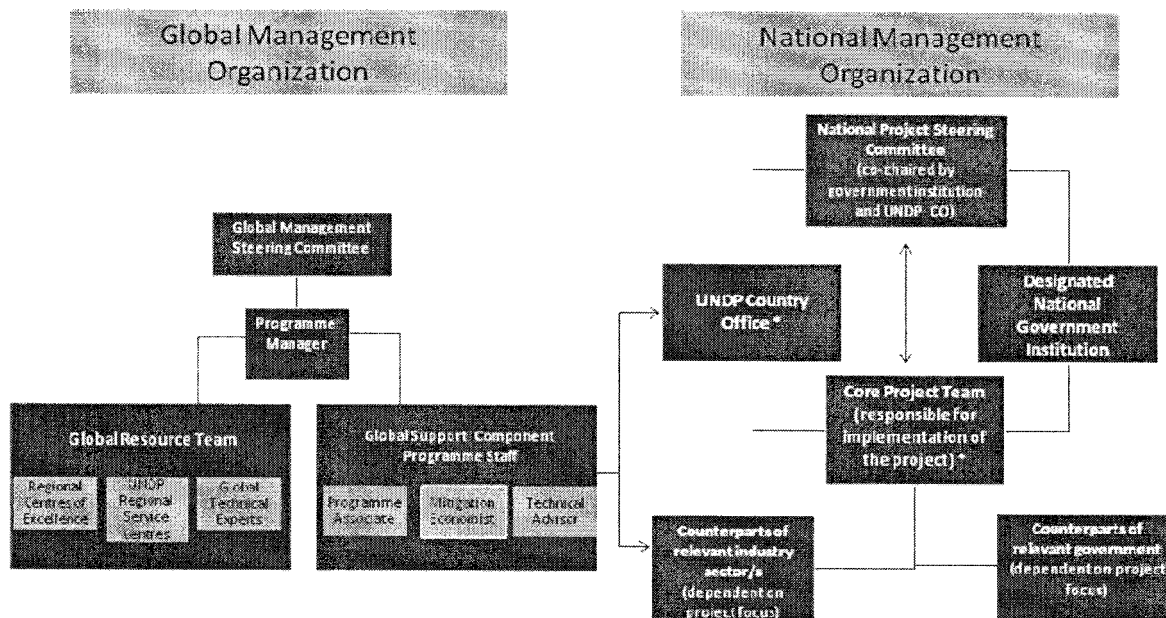
VIII. MANAGEMENT ARRANGEMENTS

The Programme will be carried out through a collaborative effort between EU, UNDP and the German government, with the potential involvement of other partners and donors. UNDP relies on a long and outstanding record on capacity-building activities and general support to developing countries, a network of local partners in most countries of the world, and access to all UN implementation mechanisms. Technical support will be provided through local and international experts and designated regional Centres of Excellence, while management support will be provided by the Global Support Component and through Regional Service Centres.

As a collaborative initiative, the EU-UNDP Climate Change Capacity Building Programme will be overseen by a Global Management Steering Committee, comprised of the UNDP Programme Manager, EU and German Counterparts, additional donors (as necessary), and practice experts. The Global Management Steering Committee will be responsible for the overall guidance of the Programme, but as the implementing agency management structures, procurement policies, and recruitment practices of UNDP will be followed at all times.

The Programme will have two main management levels: Global and National, as illustrated in Figure 2. The flow between the Global level and the National indicates the support provided by the GSC to project implementation at the country level.

Figure 2. Programme Organization



* Indicates direct line of communication and support as the SSP

Global Component

The global management level is comprised of three main components: the Global Management Steering Committee, the Global Support Programme Manager and Global Support Component, and the Global Resource Team. Each component represents an integral part of the overall management and resource structure.

Global Management Steering Committee (GMSC)

The GMSC will include UNDP, the European Commission (representatives of different services, such as AIDCO, CLIMA and ENTR), the German Government, and any additional co-financers that are secured. Its focus will be on oversight, synergies, and visibility. The GMSC will be co-chaired by UNDP and the EU. The GMSC will meet in person at least twice a year, and via teleconference as required. The committee will provide a platform for donors to participate in the Programme, and an informal venue for discussing relevant issues under the UNFCCC or other negotiations related to Programme implementation. GMSC duties will include:

Overall Responsibilities

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

Project-Level Responsibilities

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

Outreach and Communication

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

Global Support Component (GSC) (to which this project document refers)

The GSC will be composed of a Programme Manager (P5), a Programme Associate (G7), a Climate Change Technical Specialist (P4), and a Mitigation Economist (P4). The GSC will report to the Principal Advisor of the Low-Emission, Climate Resilience Development Strategies Unit of BDP/EEG and will provide regular updates to the EC, donor countries, UNDP COs, and UNDP Regional Bureaux. The GSP will communicate directly with UNDP COs and Core Project Teams at the national level.

Specifically, the GSC will:

- Provide technical support to national teams for project implementation, including methodologies and tools
- Organize and conduct exchange workshops/thematic training sessions based on countries' needs
- Provide guidance on monitoring of Programme progress at the country level
- Develop and oversee the Programme's communication and outreach strategy
- Facilitate dissemination of lessons learned across countries
- Recruit Regional Centres of Excellence and monitor their support to countries
- Coordinate with EC counterparts and UNDP COs to identify technical support needs
- Manage, plan, prioritise, and monitor progress of Programme implementation in close coordination with UNDP COs
- Monitor risk and recommend risk mitigation measures
- Update Global Management budget and time plans
- Report to Steering Committee and UNDP HQ on Programme progress

GSC Programme management will be located in New York, while the Climate Change Technical Advisor and the Mitigation Economist may be located in Bonn in order to be strategically close to the UNFCCC secretariat and the unit for the new funding mechanisms to be established under the Convention. This decision is still to be confirmed and will be decided based on further discussion with senior management.

In order to ensure appropriate coordination between the GSC manager in New York and the staff located in Bonn, reporting arrangements will be put in place, including regular monitoring of deliverables. The GSC Manager will hold daily communication via email, telephone, and Skype, as appropriate. Weekly staff teleconferences will be carried out to facilitate exchange of information, discuss issues which require the participation of the team, provide guidance on issues that may arise from implementation of the Programme, and identify follow-up actions.

Global Resource Team (GRT)

The GRT, coordinated and overseen by the GSC, will be comprised of UNDP Regional Service Centres, designated Regional Centres of Excellence, and Individual Technical Experts (as part of a roster/network of experts).

UNDP Regional Service Centres will be available, at the request and discretion of the GSC and/or National Teams, to provide regional support and technical guidance to national teams. As an additional resource, the GSC, in coordination with the respective Regional Service Centre, will identify and contract Regional Centres of Excellence (such as Fundación Bariloche in Argentina or ENDA in Senegal) to provide targeted

technical support to national teams. The third pillar of support offered via the GRT will be **Individual Technical Experts** who may be contracted by the GSC or directly contracted by national teams to further develop capacity at the project level. GRT members will work directly with national projects but will be overseen via the GSC. Efforts will be made to ensure South-South Cooperation by identifying regional centres and consultants from developing countries to provide technical assistance to national teams.

An important component of the GRT, **Regional Centres of Excellence** will be responsible in part for the technical support to national teams. The needs of selected countries will identify specific areas of support from Centres of Excellence. Broadly, they will be responsible for developing technical capacities at the country level, including providing necessary training, providing on-line support to countries, answering specific queries from national teams, advising on methodological issues, and carrying out technical reviews of draft studies and reports, among other things. RCEs will regularly report to COs and the GSC on the outcomes of technical support activities on a country-by-country basis, identify follow-up actions to ensure the quality of studies, and provide recommendations as needed on additional technical support. RCEs will also be responsible for the compilation of lessons learned and good practices under the guidance of the GSC and COs.

National Project Management

The National Project Management scenario is envisioned as a multilateral system, comprised of the designated government institutions at a lateral level with the UNDP Country Office. The designated government institution will co-chair the National Steering Committee, which in turn provides guidance and direction to the respective Core Project Team and relevant government or industry counterparts.

Designated Government Institution

The designated government institution endorsing the project will be tasked with overseeing its implementation and co-chairing the National Steering Committee. More specifically, it will be responsible for ensuring on-the-ground implementation of the project through collaboration between government ministries and UNDP. In each country a high-level official will be appointed as the project focal point, thus ensuring country ownership and the steering of the project towards findings that are of relevance and interest to the country.

UNDP Country Offices

The UNDP CO will act as the main liaison between the Core Project Team and the GSC, while at the same time co-chairing the National Steering Committee. The UNDP CO will be responsible for project level administration, progress reporting, budget maintenance, and country-level communication and outreach.

Responsibilities include:

- Providing a Programme counterpart at national level
- Performing stocktaking and due diligence in the inception phase
- Facilitating consultations with Public Sector and Industry stakeholders in the inception phase
- Perform contractual, administrative, and budgetary procedures
- Monitor project implementation
- Communicate technical constraints and support needs from countries to UNDP HQ
- Provide bi-annual progress reports to Steering Committee and bi-monthly state-of-play reports (delivered to GSC)

National Steering Committee (NSC)

The NSC will have overall responsibility for project activities. It will provide strategic guidance and oversight and approve the Project Document following the inception/stocktaking phase. This responsibility includes oversight and approval of subsequent revisions (if necessary) and Annual Work Plans and Budgets. The NSC will be co-chaired by UNDP and the respective government official.

Participants: Composed of members from the national EC delegation, UNDP CO, relevant government officials, visibility focal point (if identified either in the EU delegation or the UNDP CO).

Frequency of meetings: The NSC will meet at least annually. Additional meetings based on the requirements of the Programme may be convened when deemed necessary. These meetings should take place in person and thorough minutes must be kept. Follow-up actions will be identified and concrete recommendations made on how to address specific issues that may arise during the implementation of the project.

Overall Responsibilities

- Provide overall guidance and decision making throughout the duration of the Programme
- Ensure that appropriate consultative processes take place with key stakeholders at the country level, to avoid duplication or overlap between the UN-EU Capacity Building Programme and other funding mechanisms.
- Oversee and approve annual work plans and annual budgets of the project
- Work to ensure positive visibility of the Programme at national levels and, where appropriate, at the international level
- Facilitate and advise on the strategic direction of the project, taking into account new initiatives, programs or policies that are being formulated by the government
- Facilitate the necessary consensus on key policies and activities through stakeholder engagement, as needed
- Disseminate information to national and international audiences on climate change policy and activities nationally and internationally
- Advise in the development of necessary databases and information systems to ensure adequate follow-up to project implementation
- Advise on priorities for capacity-building activities to respond to the needs of project implementation
- Provide advice on the necessary linkages with strategic national or international initiatives that are relevant to the project
- Provide advice on outreach priorities and activities, including recommendations on promotional articles during the duration of the project
- Propose corrective action when necessary

Core Project Team

The Core Project Team is comprised of the Designated Project Coordinator and any other staff or consultants that are directly responsible for implementing the project. The CPT will have direct lines of communication with the GSC as well as the NSC, UNDP CO, Designated Government Institutions and applicable private or industry counterparts.

EU Coordination

The GSC will coordinate with EC counterparts and other donors to identify technical support that can be provided by experts from EU Member States and/or host countries and regions. A roster or database of experts from the EU and from other regional beneficiary countries will be developed to coordinate and facilitate the participation of these experts in project activities as required, but support will not be limited nor preferred by EU member experts.

EU delegations in beneficiary countries will be closely associated to project development and implementation, although projects will remain country with UNDP execution and oversight. Once national projects are developed and support needs identified for each country, a list of areas of collaboration required will be matched against expertise available from EU partners and other counterparts. A strategy to streamline potential support (from EU member states and beneficiary states and regions) to project activities will be developed in order to strengthen technical assistance to countries. This assistance may take the form of capacity building (i.e. training project teams or regional centre personnel), provision of consultants to guide studies at the national level, or transfer of know-how, especially in the Industry area.

IX. MONITORING AND EVALUATION FRAMEWORK

Programme and project monitoring and evaluation will be conducted in accordance with established UNDP procedures and will be performed by a combination of the national project teams, the Regional Programme Manager, and the UNDP COs, with support from EEG Technical Policy and Programme Advisors. The Results and Resources Framework provides *performance* and *impact* indicators for the overall Programme. The reports and reviews prepared will be submitted to the Global Management Steering Committee, comprised of delegations from the EU, the German Government, etc.

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the Programme will be monitored as follows:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods shown in the Quality Management Table below.

- An Issue Log shall be activated in Atlas and updated by the Programme Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (Appendix 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect Programme implementation.
- Based on the above information recorded in Atlas, a Programme Progress Report (PPR) shall be submitted by the Programme Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- A Programme Lessons Learned log shall be activated and regularly updated to ensure ongoing learning and adaptation and to facilitate the preparation of the Lessons Learned Report at the end of the Programme.
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events.

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Programme Manager and shared with the Project Board and the Outcome Board. As a minimum requirement, the Annual Review Report will follow the Atlas standard format for the QPR covering the year's activities. The report will include a QPR and a summary of results achieved.
- **Annual Project Review.** Based on the above report, an Annual Programme Review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the Programme and appraise the Annual Work Plan (AWP) for the following year. In the final year, this review will be a terminal assessment. This report will focus on the extent to which progress is being made towards outputs, and ensuring that these remain aligned to appropriate outcomes.

Additional Monitoring and Evaluation

In addition to UNDP-required monitoring and evaluation, the GSC will report bi-monthly and annually to the Global Management Steering Committee.

M&E at the country level

The country project documents that result from the inception phase and cover activities, timelines and budgets, will also cover performance indicators. These indicators will be monitored and reported by the national teams to the respective COs and GSC. Indicators will measure expected results, specific objectives, and overall objectives, in line with UNDP requirements. Typical indicators will be a combination of output indicators (such as number of people trained, number of inventories, and data systems set in place) and outcome indicators (such as amount of GHG emission reduction identified and increased accessibility to the carbon market). Industry-related indicators will include the number of industry organisations engaged and the number of experts involved, among other things. Primary evaluation tools will consist of logical framework matrices, as specified during the inception phase, and these will appear in each project document. As mentioned, country project documents will undergo a formal PAC meeting at the country level. Project-related evaluations will be undertaken in accordance with the Financial and Administrative Framework Agreement (FAFA) concluded between the European Communities and the United Nations in 2003. In line with the FAFA, financial transactions and financial statements shall be subject to the internal and external auditing procedures laid down in the Financial Regulations, Rules and Directives of UNDP.

Donor visibility will be provided as per the provisions of the FAFA and in line with the "Joint Visibility Guidelines for EU-UN Actions in the Field" endorsed by the institutions in 2008. The Programme will have various layers of communication, both to the direct parties as well as to the broader scope of parties interested in the work. At the Programme's inception, national teams will communicate planned activities and targeted results to a broad group of stakeholders in an effort to create interest in the Programme, encourage further understanding if needed, and foster active involvement.

X. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAA's for the specific countries; or (ii) in the Supplemental

Provisions attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof

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

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. 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. 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 this agreement.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

XI. APPENDICES

Appendix I. Risk Analysis OFFLINE RISK LOG

Project Title: EU-UNDP Climate Change Capacity Building Programme	Award ID: 00061165	Date: 18/1/2011
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Note: The inception phase will identify the main action risks and their likelihood for each selected country. The Project Management Team/Global Steering Committee will define risks associated with the activities, propose risk mitigation measures and follow up on the reduction of these risks at a national level. This log reflects the preliminary risks identified overall.

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mgmt. response	Owner	Submitted, updated by	Last Update	Status
1	Availability, active participation, and retention of government counterparts and basic resources.	12/2010	Financial Organisational	Were needed support not provided by the host government, the national projects run the risk of stalling or lying stagnant. Enter probability on a scale from 1 (low) to 5 (high) P = 3 Enter impact on a scale from 1 (low) to 5 (high) I = 3	In order to mitigate this risk, UNDP COs will assist the designated National Steering Committees to obtain strong buy-in from relevant government bodies to ensure sufficient and capable resources. In addition, an incentive structure will be developed for the government, so they may continue follow-up work after the Programme, thereby contributing to long-term sustainability.	Programme Manager	Global Management Committee	When the status of the risk last checked: N/A	e.g. dead, reducing, increasing, no change: N/A

*Traditional documentation tends to distinguish between the Public Sector—usually executive/administrative entities operated by the State—and the Private Sector, primarily private industry. In an effort to include countries in which industries may be operated by the State, privately, or both, this document generally refers to "industry" rather than to the "Private Sector." "Public Sector" here refers to executive/administrative entities that are public, and "industry" refers to industrial entities that are either public or private.

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mgmt. response	Owner	Submitted, updated by	Last Update	Status
2	Once the process of designing and establishing national GHG inventory management systems is done, establishment of the relevant regulations and institutional coordination will be imperative.	12/2010	Political	If relevant legislation were not passed regarding the establishment of a GHG inventory management system, national projects will have few or no systemized mechanisms for analysis or reporting, thereby producing inconsistency. P = 2 I = 3	In order to mitigate this risk, the GSP will assist national teams in the design of a strategy to obtain buy-in of local stakeholders at large.	Project teams, National Steering Committees	Global Management Committee	N/A	N/A
3	Once target sectors and mitigation potential are identified, there is a risk that the feasibility of mitigation actions may not be realistic.	12/2010	Financial	If unfeasible mitigation actions are developed, the Programme runs the risk of not delivering on the agreed upon actions. This would undermine the Programme as well as individual projects. P = 2 I = 3	Involvement of stakeholders in mitigation action will be of utmost importance in order to ensure feasibility and buy-in.	Global Management Committee and National Steering Committees	Global Management Committee	N/A	N/A

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mgmt. response	Owner	Submitted, updated by	Last Update	Status
4	Once emissions development strategies are developed, there is a risk regarding the adoption of such strategies by the relevant institutions.	12/2010	Financial	If designed strategies are not adopted, the overall credibility of the Programme may be impacted. P = 3 I = 3	Early involvement of key stakeholders and guidance on how to link LEDSD with national development objectives will be conducted at a national level.	Programme Manager in conjunction with National Steering Committees	Global Management Committee	N/A	N/A

Appendix II. Terms of Reference for Key Project Personnel

Programme Manager (P5)

Location: New York, USA

- Ensure proper and effective implementation of all Programme activities, including the preparation of a detailed work plan outlining all activities, outputs, and timeline. Lead the Advisory Committee of the Programme.
- Design and implement a strategy to assist countries in incorporating climate change concerns into national development agendas.
- Assist countries and UNDP in establishing a follow-up mechanism to measure the impacts of the projects at different levels.
- Oversee the creation and implementation of technical assistance and knowledge networks.
- Oversee the implementation of the Programme's Communications & Outreach strategy.
- Design an effective system for preparing and periodically disseminating lessons learned in order to help participating countries learn from each other.
- Manage the Programme's budget and prepare financial reports following UNDP procedures.
- Manage contracts with international experts and organisations, including the preparation of terms of reference for activities or studies to be contracted out, identification of suitable consultants/institutions, and reviewing of outputs.
- Coordinate the work of the NCSP staff and supervise their work plans and deliverables.
- Prepare progress report for submission to the EU, German Government, and UNDP HQ. This will include detailed reporting on substantive issues and expenditures.
- Establish and maintain a strategic understanding of, and engagement with, the substantive technical issues, institutions, and processes within the countries. This includes establishing contact with and developing technical partnerships with relevant organizations, donors, NGO's, the private sector, and scientific institutions to support project implementation.
- Design exchange workshops and training activities in coordination with Programme staff, and on the basis of capacity development needs.
- Establish a trusted technical leadership role within UNDP in the key areas of work under the Programme.
- In coordination with countries, identify required capacity-building activities to measure impacts of the projects and demonstrate linkages with national development strategies in the short and long term.

Climate Change Technical Specialist (P4)

Location: Bonn, Germany (to be confirmed)

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

*Traditional documentation tends to distinguish between the Public Sector—usually executive/administrative entities operated by the State—and the Private Sector, primarily private industry. In an effort to include countries in which industries may be operated by the State, privately, or both, this document generally refers to "Industry" rather than to the "Private Sector." "Public Sector" here refers to executive/administrative entities that are public, and "Industry" refers to industrial entities that are either public or private.

Mitigation Economist (P4)**Location: Bonn, Germany (to be confirmed)**

- Advise on most suitable methodological tools to be used in each country for their mitigation assessments, based on the individual project's scope and activities.
- Provide substantive support to national teams in their assessments of mitigation options and feasibility analyses.
- Assist national teams and consultants in carrying out cost analyses of the mitigation actions and low-emissions development strategies.
- Develop strategies to support countries in identifying innovative financing options for mitigation actions.
- Lead technical discussions on how cost analysis of mitigation measures can be improved to provide countries with more reliable assessments of mitigation potentials at the sectoral or national level.
- Carry out training activities to develop capacities needed in participating countries for mitigation assessment, including cost-benefit analysis.
- Provide on-line assistance to national teams, answering queries and providing guidance/solutions on general technical issues regarding mitigation analysis and related activities.
- Identify and/or respond to technical and emerging issues, and propose technical assistance solutions.
- Keep the national teams informed of trends and issues with respect to the substantive technical areas.
- Evaluate, compile, and synthesise lessons and stimulate the adoption of best practices and knowledge.
- Conduct peer reviews, comment on, and seek to improve the technical quality of project outputs.
- Assist with the preparation of lessons learned and impacts that can be disseminated to other countries and can feed into UNDP programming.

Project Associate (G7)**Location: New York, USA**

- Assist the Programme Manager in implementing the Programme at the global level and monitor progress of projects at the country level in coordination with UNDP COs.
- Organise all logistics and communications with countries for meetings and workshops, including managing travel arrangements, as needed.
- Develop terms of reference for consultants to be hired under the Programme and track agreed schedule of activities to ensure timely deliverables and related payments.
- Support the Programme Manager in the implementation of the communication strategy and dissemination of Programme activities.
- Prepare progress reports to donors, including information on expenditures and activities carried out.
- Maintain events calendar of relevant activities at the global level and under the national projects in coordination with project coordinators and UNDP COs.
- Coordinate the publication of the Programme's newsletter and maintain the Programme's website.
- Monitor administrative actions such as procurement of goods and services, verification of claims, invoices, certification of payment, organising travel for consultants, making travel-related payments, etc.
- Establish and maintain a systematic filing system of key documents within and outside of the Atlas system.
- Liaise with those conducting project audits and ensure access by auditors to project documentation, personnel, and institutions involved in the project.

Appendix III. A Selection of Relevant Programmes and Projects

(Note: The following stocktaking represents only a selection of those countries slated to participate. Stocktaking with additional countries will take place during the inception phase of the Programme. This selection is not considered exhaustive; rather, it is intended to be a starting point.)

Peru

- Within the framework of Peru's Initial National Communication, a very first analysis of mitigation projects was performed. This consisted of an identification and preliminary assessment of project-driven mitigation options such as reforestation projects, a change of fuel in electricity generators, a technical test on transport fleets, and efficiency improvements in boilers. However, these projects did not result in policy options, nor were they analysed in the framework of national and sectoral priorities.
- Peru has developed GHG inventories for various sectors. However, there are important gaps since availability of activity data is not homogeneous among sectors. Quality assurance/quality control procedures need to be improved. The development of a GHG inventory management system is crucial to the sustainability of the GHG inventories process and of capacities to address climate change.
- The mitigation work mainly focused on the development of a National CDM Portfolio, while no national or sectoral mitigation assessment was performed. Some energy projects have been financed by the GEF, but resources have focused on specific topics, such as technical assistance for renewable energy systems to obtain biofuels and non-wood cellulose fibres, and rural electrification projects. These have limited local scope and benefits. In terms of technical capacities for mitigation assessments, some experience exists in the country regarding the use of the LEAP bottom-up model, but its application has been limited to growth in estimated fuel consumption for energy balances from the Ministry of Energy and Mines.
- Peru needs to define its sustainable development path and develop a mitigation strategy closely linked with its political agenda in four prioritized sectors: energy (due to recent development as a result of the introduction of natural gas and urgent energy diversification), industry (identified as the main consumer of natural gas), transport (identified as having the fastest growing share of GHG emissions), and LULUCF (due to ever increasing deforestation).
- There is a need to demonstrate the ancillary benefits of putting mitigation policies in place, as a basis to construct mitigation options that are articulated across sectors and integrated into national development.

Egypt

- Egypt carried out a technology needs assessment and an analysis of scenario development for the energy sector, aimed at estimating the future potential reduction of CO₂ emissions from energy-related activities/sources until 2017. Based on the baseline scenario for energy and CO₂ emissions, the studies tried to identify and assess a number of measures/technologies for mitigating CO₂ emissions. These selected measures and technologies were categorised based on three scenarios: Fuel Substitution Scenario, Use of Renewable Energy in Electricity Production Scenario, and Energy Efficiency Scenario.
- Although these studies have contributed to capacity development for mitigation analysis, important gaps remain in the reliability and potential application of the studies. These gaps are related to the need for feasibility analyses of the proposed options, the reliability of the emission reduction potentials estimated, and the lack of appropriate cost analyses for the mitigation options identified, among other things.
- The energy sector in Egypt is a significant source of emissions. The need to improve GHG emissions estimates relates to the need for developing and establishing a national inventory system to facilitate the regular updating of GHG inventories and to control the quality of the data used for emissions calculations.
- As part of the assessment of policies and measures to mitigate climate change, Egypt identified a number of technologies for more detailed evaluations. The Organization for Energy Conservation and Planning (OECPP), the Energy Conservation and Environment Project (ECEP), and the New and Renewable Energy Authority (NREA) have attempted to incorporate the results of the studies into their activities, but with limited impacts. There is a need to strengthen this assessment in the context of priorities within the relevant institutions to ensure that mitigation options are adopted within a broader strategy of emissions reduction.

Brazil

- The government of Brazil has proposed a strategy that gives priority to the work on the Brazilian inventory of GHG emissions. This would have a dual objective: diagnosis of the current situation, thereby focusing on the main initial commitment under the Convention, and building capacities in Brazil. Also, the intent was that the strategy for the inventory preparation be as comprehensive as possible in terms of gases and sectors analyzed and provide for the capacity building in the country. The capacities acquired by the institutions and specialists involved in the National Communication will assist the implementation of future mitigation analysis.

- The implementation strategy of the Climate Change Program was based on the establishment of partnerships and on the decentralized execution of activities. In terms of financing, the implementation strategy initially relied strongly on external resources. There is a need for involving the private sector more effectively while providing for a gradual transition to a greater share of domestic financing in the implementation of the Climate Change Program.
- A greater involvement of institutions and specialists in the action plan has been sought, both in the development of the inventory and in the discussion of issues relevant to the negotiation and implementation of the Convention and the Kyoto Protocol. One key element to enhance such participation is through the provision of incentives for federal institutions, private companies, and sectoral associations to participate on a voluntary basis. Strengthening of the key private sectors in climate-change-related activities is one of the priorities to be addressed in the future. Discussions on the role of the private sector in possible mitigation actions is to be addressed in the short term in order to mobilize capacities, resources, and partnerships to tackle GHG emissions in key sectors of the economy.

Kenya

- According to its Initial National Communication, Kenya is a net carbon dioxide sink, due to regeneration of forest and non-forest trees. Methane emissions were largely from the agriculture sector, followed by the energy sector, while more than 65% of CO₂ emitted is from the transport sector. The second largest source of CO₂ emission is the industrial sector, mainly cement production. However, large uncertainties in the GHG inventories remain, due to gaps in the activity data, the lack of a comprehensive inventory system, and capacity constraints to improve GHG calculations.
- Kenya carried out a technology needs assessment as a first step towards factoring the development and incorporation of environmentally sound technology into national investment strategies. The assessment was conducted through a concerted consultative process in which experts from government, the private sector and civil society drafted, revised, and approved the report that was presented to a stakeholder forum. However, in spite of the strong involvement of numerous stakeholders, the study did not include a sound analysis of the mitigation potential of the technologies.
- The Initial National Communication determined that there are a number of opportunities for GHG mitigation, for which the country requires international assistance. Kenya has identified mitigation options which, if assistance is obtained for their implementation, would achieve the twin objectives of sustainable economic development and GHG mitigation. The areas studied included energy, transport, industry, agriculture, forestry, and waste management.
- A wide range of measures and policy instruments have been identified aiming at sustainable development and GHG emissions reduction. Apart from technological solutions, mitigation measures identified also include instruments such as subsidies/taxes, regulatory measures, information sharing, and research and development projects. The major constraints to the implementation of mitigation options include high costs, lack of quality data and information, inadequate technical capacity, inappropriate technologies, inadequate policies, and lack of economic incentives. Approaches to overcome these constraints include provision of financial resources, timely dissemination of quality data and information, and formulation of appropriate policies.

Mexico

- Mexico acknowledges the importance of undertaking actions that contribute to the efforts of the international community in matters of GHG emissions mitigation. In light of this, the Mexican government put into force the Special Program on Climate Change, through which it seeks to demonstrate that GHG emissions mitigation is possible without jeopardizing development.
- Numerous activities have been carried out in the areas of GHG inventories and mitigation analysis, with detailed studies at the sectoral level. However a number of gaps still remain to improve GHG inventory work, including the development of national emissions factors in energy and other sectors and the establishment of a national GHG inventory system that can facilitate the compilation, archiving, quality control, and regular updates of GHG inventories.
- In order to improve the next inventories, continued research is necessary in order to determine national emissions factors for key emitters, and to analyse in depth the differences between the reference and the sectoral approach in the energy sector.
- Mexico has identified the following actions for improving its efforts to address climate change: 1) strengthening of the national GHG inventory process, 2) monitoring, reporting, and scenarios development, 3) expanding studies on impacts, vulnerability, and adaptation to new areas and sectors, 4) developing mitigation actions to address GHG emissions, and 5) carrying out economic studies regarding the adoption of measures and policies to address climate change.
- For a more efficient management of mitigation options in Mexico, it is necessary to continue a more in-depth evaluation of the mitigation potential of various technology options for key emitting sectors.

- Furthermore, it becomes necessary to develop emissions mitigation frameworks to measure, report on, and verify them in strategic sectors, particularly the definition of NAMAs.
- The need for better estimates on the potential economic and financial costs of climate change impacts in key productive sectors has also become evident. Likewise, it is important to analyse the social, economic, and environmental impacts arising from the fulfilment of Mexico's international responsibilities on climate change, both present and future.

Democratic Republic of Congo

- DRC has carried out a time series of GHG inventories through its INC and SNC. LULUCF is the main source of CO₂ emissions. Data collection is one of the key constraints in the preparation of GHG inventories. The main difficulties include a lack of appropriate or relevant studies to support GHG inventories; difficulties within the organisations responsible for data collection in different sectors; incompleteness of data, both spatial and temporal, especially in the LULUCF sector; inaccessibility to some national data; insufficient level of detail required to apply the IPCC methodology; and the unreliability of sources.
- In spite of important efforts to develop GHG inventories, DRC has not yet designed a strategy to make the inventory process more participatory and sustainable in the long term. There is a need to provide incentives, resources, and technical capacities to the institutions that are responsible for data collection, archiving, and management, so that the reliability and accessibility of data is improved.
- Despite these constraints, these GHG Inventories represent a good basis to develop mitigation strategies for the main GHG emitters. Reducing dependence on wood fuel and its derivatives is important, since this is the main source of GHG emissions in the country. Therefore, a mitigation priority is to seek alternative energy solutions with a dual objective: improving energy access to the population and reducing GHG emissions from LULUCF, while preserving forests by reducing deforestation.
- The transport sector is also an important source of emissions that should be addressed under a coherent mitigation strategy. The key objective of such a strategy should seek to encourage and increase the access to clean energy technology for both residential and transportation activities.
- Some of the most important challenges identified in the implementation of a mitigation strategy in different sectors include: very high costs of energy production and distribution, making energy prices prohibitive to a great proportion of the population; poor energy infrastructure due in part to territorial vastness and low density; a monopoly on service and coverage; and aging infrastructure. In the transport sector, poor management and control as well as the lack of incentives for alternative options represent an important barrier to improving transportation and reducing GHG emissions. In LULUCF, a comprehensive forest management plan must be established. This should provide incentives, appropriate regulation, and means of implementation to reduce deforestation rates and inadequate forest use. It should involve the participation of the communities whose livelihoods and energy sources depend on the forests.

South Africa

- South Africa has carried out studies to investigate possible mitigating options that could be implemented and the impact of various GHG mitigating options and scenarios on the macro-economic situation in the country. The outcome of the study was intended to assist policy makers in developing future strategies and to highlight opportunities for the development and improvement of efficiency and skills, especially in the area of technology transfer.
- The industrial sector consumes almost 50% of the total energy generated in South Africa. The low cost of energy has given local industries a competitive advantage and encouraged energy-intensive industries. Commercial and residential energy users are, directly and indirectly, responsible for about 2% of South Africa's GHG emissions. This sector is growing rapidly due to urbanization, and its energy consumption is rising even faster (because of rising wealth and a policy of energy service provision). Therefore, there is potential for significant mitigation in this sector.
- The study has considered potential mitigation options for many other sectors. In the industrial sector, cement production was considered. This industry has started to reduce emissions by implementing a strategy of using industrial waste products in combination with cement and reducing energy consumption. The cement industry expects to see the clinker content of all cement binders used in 2030 to be about 60%. In the case of chemicals, it is expected that production technology in the chemical industry will include cleaner technology, which will minimise GHGs. Energy consumption in this sector is receiving attention, and improvements in energy efficiency may be possible, particularly at the level of steam production.
- However, South Africa faces a number of constraints that prevent industries from implementing appropriate measures to address GHG emissions. Some of the constraints are directly related to the adoption of the technologies needed to improve energy efficiency and industrial processes. These include: intellectual property payments that limit technological uptake in many industries; the high cost of more environmentally friendly technologies; the lack of technical capacity to establish and maintain

new technologies; inadequate macro-economic policies and incentives to promote technology transfer; the lack of appropriate financial systems, especially for medium-size industries, to improve their production schemes; insufficient government support to private sector involvement in GHG emissions reduction; and a lack of local data (e.g. technology performance, finance, insurance) for adequate design of investment projects and for appraisal (monitoring, assessment, and evaluation).

Zambia

- GHG inventory in Zambia indicates that although LULUCF is a net negative CO₂ emitter due to the large uptake by forests, emission from deforestation and land clearing is significant. There is also a large uncertainty in emissions calculations as a result of limited data and unreliable data sources. Thus, there is a great need for improving data quality and inventory systems, especially in the LULUCF sector.
- Zambia is one of the pilot countries participating in the UN-REDD Programme. This programme will develop a National REDD strategy and thereby assist in attracting financing for the implementation of REDD activities. The key objective is to address the primary drivers of deforestation and forest degradation.
- A number of gaps exist in Zambia in addressing GHG emissions from LULUCF. These include: a lack of capacities in relevant government institutions and communities involved; weak institutional, policy, and legislative frameworks; weak implementation of policy and enforcement of legislation; limited knowledge-sharing on key areas that address GHG emissions, especially for the LULUCF sector; and a lack of incentives for the adoption of alternative livelihoods and energy sources that could assist efforts to address climate change.
- The success of mitigation options and REDD activities will also require large scale stakeholder engagement across all levels, but specifically at the community level, in order to ensure that communities receive tangible benefits. Moreover, inadequate stakeholder involvement in developing mitigation programmes and projects affect data collection, implementation of mitigation activities, and monitoring of actions.
- In addition to the emissions reduction potential from LULUCF, a study in Zambia shows that mitigation options can include a wide range of negative, zero, and low-cost options. However, there is a sharp increase in positive costs from domestic electrification, cement plant conversion, and electric boiler efficiency improvements. These three options together, though, can comprise up to 44% of all GHG savings, excluding emissions from LULUCF. There is a need for a more detailed and up-to-date study of the mitigation potentials in Zambia, along with a feasibility analysis of mitigation options.

Colombia

- Recognizing GHG mitigation potential, especially in the energy sector, the Colombian government has implemented a variety of policy and regulatory measures to help set the stage for energy efficiency investments throughout the economy. These include creating a legal framework for efficiency and standard-setting mechanisms, establishing a national efficiency commission, developing appliance efficiency standards, carrying out extensive studies on carbon abatement, and developing a national plan for energy efficiency.
- The Colombian government is also considering the establishment of a fund that will specifically target efficiency barriers in the residential sector, and as part of a Clean Technology Fund (CTF) Efficiency Program, will also study regulatory changes to create better market incentives for energy savings. Important momentum and awareness amongst private industry stakeholders has been created through incipient programs, such as lending initiatives and training programs, but so far these have been unsuccessful in reaching the scale and depth necessary to create an efficient and self-sustaining market for efficiency.
- Despite this existing platform, substantial barriers exist in the Colombian market that impedes the potential for scaled-up implementation of energy efficiency technologies and processes. Due to the minimal investment in energy efficiency to date, there is a lack of experience across the economy, scant information about models from other countries, and poor information flow between market players.
- Inexperience in the financial sector has led to difficulty in assessing and structuring investments, and an inflated perception of risk leads to a reticence to provide new efficiency financing. In addition to this lack of credit, end-users face informational barriers that prevent them from making an informed efficiency investment decision. This includes being unaware of the benefits, technological components, and steps required to execute relevant measures. Also lacking in the market are available trained technicians, cohesive national programs, and optimal regulation.

Appendix IV.

2011 Inception Work plan EU-UNDP Capacity Building Programme

Month Week	Period covered: January 1st, 2011 - June 30, 2011 (Inception Phase)																										
	Jan 1	Jan 2	Jan 3	Jan 4	Jan 5	Jan 6	Jan 7	Jan 8	Jan 9	Jan 10	Jan 11	Jan 12	Jan 13	Jan 14	Jan 15	Jan 16	Jan 17	Jan 18	Jan 19	Jan 20	Jan 21	Jan 22	Jan 23	Jan 24	Jan 25	Jan 26	
Announce Programme to UNDP country offices and Regional Bureau																											
Project Document formulation																											
Formulation of Project Document first draft																											
Establish Global Component Budget																											
Project Document draft 2 revision																											
Final Revision and submission to Deputy Administrator																											
Project Appraisal Committee Approval Process																											
PAC comment period																											
PAC Meeting (7/2/2011) and approval																											
Country formulation of Program																											
Individual Country Communication																											
Carrying out consultation with individual countries to confirm interest and begin discussions with governments																											
Develop templates and guidance documents for scoping the work at the country level																											
Finalise country selection																											
Establish formal agreements with responsible institutions, thereby establishing National Steering Committees																											
Disburse preparatory funds for self-assessments																											
Assess country needs and capabilities on an individual basis																											
Identify existing programs that can be leveraged																											

*Traditional documentation tends to distinguish between the Public Sector—usually executive/administrative entities operated by the State—and the Private Sector, primarily private industry. In an effort to include countries in which industries may be operated by the State, privately, or both, this document generally refers to "Industry" rather than to the "Private Sector." "Public Sector" here refers to executive/administrative entities that are public, and "Industry" refers to industrial entities that are either public or private.

Appendix V. Agreements. Relevant agreements signed with the European Union and German Government on file and available upon request.