REQUEST FOR CLIMATE CHANGE ENABLING ACTIVITY

PROPOSAL FOR FUNDING UNDER THE GEF Trust Fund

PART I: PROJECT IDENTIFIERS

EA Title:	Third National Comunication (3NC) and First Biennial Update Report (BUR)		
Country(ies):	Ecuador	GEF Project ID:[1]	
GEF Agency(ies):	UNDP (select)	GEF Agency Project ID:	5213
Other Executing Partner(s):	Ministry of Environment	Submission Date:	2013-05-29
GEF Focal Area (s):	Climate Change	Project Duration (Months)	27
Check if applicable:	NCSA ☐ NAPA ☐	Agency Fee ($):	80,940

A. EA FRAMEWORK*

EA Objective: Preparation of the Third National Communication (3NC) and First Biennial Update Report (BUR)					
EA Component	**Grant Type**	**Expected Outcomes**	**Expected Outputs**	**Grant Amount ($)**	**Confirmed Co-financing ($)**
National Circumstances	TA	Reviewed and updated National Circumstances	1. Review and update of geographical and sociocultural conditions and population. 2. Collection and analysis of updated data about social and economic aspects. 3. Descriptive analysis of socio-economic disaggregated data linked to "risk groups" (gender, indigenous people, etc.) 4. Progress on institutional arrangements focused on the institutional framework and current policies.	30,000	
National Greenhouse Gas Inventory	TA	1. Elaboration of National Greenhouse Gas Inventory (NGHGI) for the TNC and BUR, 2. Description of synergies achieved between the TNC/BUR and LECB projects achieved, 3. Adjustments description and organizational arrangements adopted for the periodic	1. Verification of the NGHGI 2010, based on LECB's draft and the NGHGI calculation for 2012 2. (If required) The inventory for preceding years will be updated (calculations would involve 1990, 1994, 2000 and 2006) 3. Description of the LECB project achievements in relation to the development of the National Inventory: inter institutional agreements/workplans, coordination/harmonization in data collection and submission, capacity building, technological platform for data management, and others 4. Development of the interface that links the database platform with the	178,500	

[1] Project ID number will be assigned by GEFSEC.

		preparation of the National Inventory.	software selected for calculating the NGHGI 5. Development of the functional scheme and management model of the National Inventory System and the Procedure Guidebooks required for the replicability and institutionalization of the NGHGI		
Vulnerability and Adaptation	TA	1. Update on climate monitoring, climate studies and vulnerability analysis, carried out in the country 2. Progress on activities, programs and projects referred to adaptation to climate change, developed or in process of execution 3. Presentation of the National Adaptation Plan (NAP) and institutional arrangements related to the Vulnerability & Adaptation unit	1. Update of climate information of the Ecuador 2. Update of climate change models (PRECIS, ETA y TL959), whose complement discoveries of SNC and running of other IPCC climate change models 3. Analysis of consensus regarding climate models obtained from the aforementioned products. 4. Review of the situational conditions of vulnerability on different areas, prioritized in the NSCC 5. Progress on executed measures and goals to facilitate adaptation, through different analysis approaches and measures (based on communities and ecosystems, among others) 6. Improvement of adaptation policies and tools designed for the implementation of specific actions, their integration into the local land development plans and incorporation of new approaches for political implementation. 7. Presentation of the National Adaptation Plan (NAP) and the agreements made linked to the new process – based management model 8. Strengthening of climate – related knowledge made available in the level of technical skills and understanding of its impacts (hydrometeorology, vulnerability. etc.).	170,000	

Mitigation	TA	1. Update of information on activities, programs and/or projects for climate change mitigation (which are developed or in process of execution) 2. Summary of the National Mitigation Plan (NMP) elaborated by the LECB project 3. Description of institutional arrangements related to mitigation context	1. Progress on the implementation of mitigation actions by priority sectors (agricultural, forestry, energy, industrial processes and waste). 2. Presentation of the National Mitigation Plan (NMP), its scope, objectives and goals. 3. Agreement description linked to the new process – based management model for the Mitigation Unit, within the framework of the NSCC and the NMP. 4. Strengthening of capacity building and stakeholders involvement for the design and diffusion of NMP 5. Summary of the prioritized NAMAs by mitigation sector (agricultural, energy and waste) including methodological aspects 6. Politics, programs and/or projects design based on selected NAMAs 7. Progress made on MRV system related to NAMAs and REDD+ 8. Progress related to the REDD+ National Program (PNREDD+) 9. Advance in the updating and institutionalization of the Electrical Sector Emission Factor (calculated under the ACM 002) 10. Growth and progress in the CDM participation, specially the energy sector	174,945	
Biennial Update Report	TA	First Biennial Update Report of Ecuador developed	1. Updated information on institutional arrangements undertaken for ongoing reports 2. Summary report of the National Greenhouse Gases Inventory 3. Synthesis of improvement on mitigation actions (their effects, methodologies and assumptions) 4. Description of constraints, gaps and related financial, technical and capacity needs, including information of support required and received 5. Updated information about national MRV systems adopted for NAMAs and REDD+ 6. Identification of level of support provided for the preparation and submission of the BUR.	132,400	

Other relevant information	TA	Other relevant information (technological transfer, climate observation system, education and dissemination) updated and described	1. Advances on climate change information and modeling linked to studies on climate impacts. 2. Results of "Technology Needs Assessment for Climate Change" in four sectors (2 for adaptation and 2 for mitigation) 3. Progress towards "Strategic National Guidelines for Environmental Research 2013 – 2018" framed on the knowledge – generation in coordination with university sector and research institutes / centers. 4. Report on participatory process reinforcement at community levels to create public awareness, to facilitate diagnosis, design and implementation of measures on adaptation and mitigation. 5. Information on in-kind contribution provided for the project success	20,800	
Restrictions, gaps and needs, financial, technical and capacity.	TA	Restrictions, gaps and needs evaluated in a consensual and participative manner.	1. Updated information on Financial, technical and capacity requirements and restrictions for the fulfillment of the UNFCCC 2. Progress on actions expected or implemented to address the restrictions, gaps and needs identified for the achievement of the Convention goals, on the basis of the FNC and SNC 3. Financial resources and technical support provided by The GEF and the country to prepare the Third National Communication	21,900	
Compiling, editing and publishing	TA	Compiling, editing and publishing	Documents published and submitted	31,000	
Monitoring & Evaluation	TA	Monitoring, reporting, and preparing of financial audits	Project financial and progress reports prepared and submitted	15,000	
	(select)				
Subtotal				774,545	0
EA Management Cost[2] **(Direct Project Costs)**				77,455	
Total EA Cost				852000	0

[a] List the $ by EA components. Please attach a detailed project budget table that supports all the EA components in this table.

[2] This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources.

B. CO-FINANCING FOR THE EA BY SOURCE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount ($)
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
Total Co-financing			0

C. GRANT RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	EA Amount (a)	Agency Fee (b)[2]	Total (c)=(a)+(b)
UNDP	GEF TF	Climate Change	Ecuador	852,000	80,940	932,940
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total Grant Resources				852,000	80,940	932,940

D. EA MANAGEMENT COST

Cost Items	Total Estimated Person Weeks/Months	Grant Amount ($)	Co-financing ($)	EA Total ($)
Local consultants*	**98.00**	**75,754**		**75,754**
International consultants*				**0**
Office facilities, equipment, vehicles and communications*				**0**
Travel*				**0**
Others**	Miscellaneous	**1,701**		**1,701**
	Specify "Others" (2)			**0**
	Specify "Others" (3)			**0**
Total		**77,455**	**0**	**77,455**

* Details to be provided in Annex A. **For Others, to be clearly specified by overwriting fields (1)-(3)

ADDITIONAL INFORMATION FOR TABLE D, IF APPLICABLE:

If costs for office facilities, equipment, vehicles and communications, travels are requesting for GEF financing, please provide justification here:

PART II: ENABLING ACTIVITY JUSTIFICATION

A. ENABLING ACTIVITY BACKGROUND AND CONTEXT (Provide brief information about projects implemented since a country became party to the convention and results achieved):	Ecuador has been part of the United Nations Framework Convention on Climate Change since its foundation during the United Nations Conference on Environment and Development in Rio de Janeiro in 1992. Likewise, it ratified the Kyoto Protocol in 1999 as a Non-Annex I (NAI) Country. The Ministry of Environment (MAE) is the National Environmental Authority, while the Inter-Institutional Climate Change Committee (CICC), whose president is the MAE, (established in 2010), coordinates, dictates and facilitates the integral execution of pertinent National Policies on Climate Change, the National Strategy of Climate Change (NSCC), and commitments made under the UNFCCC. Due to its geographical location, natural characteristics and an economy largely dependent on oil exportation, Ecuador is a country susceptible to external factors. One of these factors is related to the frequency of extreme climate events; such as "El Niño /La Niña –Southern Oscillation" (ENSO), the sealevel increase, and retreat of glaciers among others. The Government of Ecuador, aware of the challenge posed by climate change, has been adapting its policy and institutional framework in order to accomplish all the commitments established at the Convention, and its main objective of dealing with climate change following the principle of *common but different responsibilities and the respective capacities of States*. After remarkable progress, in 2008 Ecuador was the first country in the world to adopt the rights of nature in its Constitution. It established a chapter dedicated to rights of nature, under the precept of comprehensive respect to its existence and the maintenance and regeneration of its life cycle, structure, changing roles and processes. This event represented a historic landmark on climate change and a new approach in which climate change means a threat to the Rights of Mother Earth. In 2009, the Government of Ecuador declared mitigation and adaptation on climate change as a State Policy (through the Executive Order Nº 1815), with the endorsement of its commitment to reducing the Greenhouse Gas Emissions, in spite of the fact that it is not an obligation under the UNFCCC. The same year, the Ministry of Environment approved the Ministerial Resolution Nº 104. On the basis of this document, it decided to readjust its organizational structure through the creation of the Under Secretary of Climate Change (SCC) as the entity in charge of executing the climate change policy. Today, it is made up of two directions, the National Direction of Mitigation of Climate Change and the National Direction of Adaptation to Climate Change. Later, by means of the Executive Order Nº 495 of 2010, the creation of the CICC was introduced as a mechanism for inter-institutional coordination, to reinforce political conditions, helping to undertake the cross-cutting approach on climate change. The National Plan for Good Living 2009 - 2013 is the public management instrument establishing the guidelines for planning and public investment guidelines at a government level. Its policy 4.5 ("to guarantee the rights of nature and promote a healthy and sustainable environment.") considers adaptation and mitigation actions through several guidelines. Simultaneously, a set of actions has been adopted to achieve the objectives of the Convention. Some of these actions are briefly described:

1. **First National Communication - FNC** (2001), which emerged as the first approach to compile efforts on climate change, developed by different actors in a fragmented manner, but introducing the topic of adaptation and mitigation on climate change at a formal level and from an institutional perspective.
2. **Second National Communication – SNC** (2011) developed not only because of the need for compliance with reporting commitment under the UNFCCC, but also because it would become a milestone for the *continuity* of achievements reached along with the FNC, in a context of a much more elaborated agenda, based on the National Plan for Good Living. The targets were focused on systematizing ongoing actions in the country. Moreover, this National Communication permitted the promotion of the management of climate change on the basis of scientific evidence.

Recently, (2012) the Ministry of Environment, as the National Environmental Authority and as the CICC President, launched the **National Strategy on Climate Change 2012 - 2025** (NSCC). This policy instrument will act as an integrating tool for the different sectors by guiding the arrangements, coordination, planning and actions, promoting the internalization of climate change in different public and private partnerships in national territory. The document takes into account the current political, institutional and regulatory framework. This strategy was focused on the main impediments for the achievement of an effective management of climate change: the knowledge, generation, communication and dissemination of that knowledge, capacity building, technological transfers, and the determination of policies on climate change. In addition, the document covers a planning horizon from 2012 to 2025, which establishes specific *Outcomes for 2013* and *Action Guidelines for 2017 and 2025*, which fit into the government planning frequency of four years. For its implementation, *priority areas for adaptation* were identified (1.Agriculture, livestock and food sovereignty, 2.Fishing and aquaculture, 3.Health, 4.Water resources, 5.Natural ecosystems, 6.Vulnerable population groups, 7. Tourism, 8. Infrastructure and 9. Human Settlement) and *strategic sectors for mitigation* (1. Agriculture, 2. Use of land, changes on land uses and forestry; 3. Energy, 4. Solid and liquid wastes and 5. Industry processes). Finally, the defined *Implementation Mechanism* of the strategy consists of the application of three instruments: 1.The *National Plan for the Creation and Reinforcement of Conditions*, considered as the starting instrument in charge of preparing the scenario for the implementation of two further plans: 2.The *National Adaptation Plan* and 3.The *National Mitigation Plan*.

Since 2006 several projects have been ongoing. Their success is briefly described in the following part. Some of them are linked to the climate change agenda mentioned in the Second National Communication; whereas others have been driven by different stakeholders:

Actions on Mitigation

Energy Sector: Ecuador shows significant progress of mitigation actions in the energy sector. The Ministry of Electricity and Renewable Energy (MEER), as the regulatory entity of the energy sector, has been executing successful activities in the context of a progressive regulatory dynamic. Some of the advances are related to technical studies such as the "Solar Atlas of Ecuador" (2008), and the "Wind Atlas of Ecuador" (2012). In relation to the *decarbonization* of the energy mix, the document entitled "Energy Matrix by 2020" compares the actual situation versus a planned scenario. In such document some premises are described: the primary production of crude oil would be reduced from 92% to 80%, due to the depletion of oil reserves, the renewable energy would increase to 10% equivalent to 15 million of BEP (currently, the total energy supply is for about 213 millions of BOE), and it reaches a participation of 18% in the global matrix.

	Based on this scenario, some priority actions contributing to sustainable national development have been undertaken: 1. Seven hydroelectric plants called Coca Codo Sinclair, Mazar, Toachi,- Pilatón, Baba, Sopladora, etc.; 2. The recent approval (January 2012) of Enabling Titles and Licenses undersigned by the National Council of Electricity (CONELEC), on behalf of private companies for un-conventional energy generation (such as photovoltaic and biomass, for a total of 287,7 MW of power); 3. The substitution of incandescent light bulbs with compact fluorescent lamps, which is expected to reduce 250 MW during the peak energy demand (executed as a CDM project); 4. The maximization of natural gas use in the domestic sector; the Renewable Energy project for Galápagos (ERGAL), implemented in a join effort with MEER, MAE, CONELEC, PNUD, and Provincial Electric Company of Galápagos (EEPG) with the financing of multiple actors (tax funds, as well as funds from the GEF, KfW and AECID, and many others). In the *Transportation Sub Sector*, initiatives aimed to reduce GHG emissions have been promoted in the cities with the largest amount of vehicles, traffic and public transportation quality demand. The state of Guayaquil is executing a pilot project consisting of anhydrous-ethanol with extra gasoline combination; and the installation of the *Integrated System of Urban Mass Transport of Guayaquil–METROVÍA System*. The Municipality of Quito is in charge of the *Quito Subway*, for the capital city. This transport system project started in 2010, and will end in 2016. It will integrate the city from North to South, transporting approximately 400.000 passengers by means of the 15 stations along 22 km. The project is being carried out with the technical support of the Madrid Subway, and the financing of the National Government (50%), the Development Bank of Latin America (CAF) and the European Investment Bank (EIB). Additionally, this local government has designed the Mobility Plan. In such case has launched the *Bici-Q* which is a program that seeks to support processes of enhancement in urban transportation. In the same way, the state of Cuenca (third city in the country) is under execution of the *Cuenca Subway*, as part of the project *Cuenca Trolley* which is carried out with the same objectives as the previously mentioned. ***Forestry Sector:*** according to what has been stated in the SNC, significant progress is made on sustainable forestry management. It is the case of the designed *Forest Governance Model* (which started in 2000, in the context of the *National Strategy for the National Sustainable Development*). Specifically, three important projects are ongoing, to reinforce the *Forest Information System* and produce primary information: - *Historic Deforestation Map (MHD)*, which considers three measure points: 1990, 2000 and 2008; it was prepared based on the IPCC - GPG/2003. The map reaches 86% of coverage of the national territory and provides cartographic information about deforestation. An updated annual average deforestation rate of 89.944 ha/year and 77.647 ha/year for each period, respectively, has been calculated. Nowadays, the MHD project is working on the definition of a deforestation rate for 2012/2011 based on sampling methods. - *National Forest Assessment (NFA)*, developed with a multipurpose standpoint, is going to supply updated and solid information to enhance decision making, and the development of policies related to sustainable forest management. Moreover, it will provide a reply to all the requests to gain access to the international markets of carbon under the REDD+ mechanism. It has been built from three components: biophysical, spatial and socioeconomic. - *The Ecosystem Map of Continental Ecuador* is going to provide the *National Database of Vegetation* (which will be culminated in April 2013). Through the support of a scientific committee, a methodology has been defined for field work and a national model of cartographic representation of ecosystems have permitted the identification of 91 ecosystems for Ecuador.

	Based on the projects mentioned, several complementary research programs are under development; such as an analysis on deforestation drivers and trend, the establishment of the methodological protocol to settle the reference scenario of emissions caused by deforestation, among others. Furthermore, another relevant objective is to maintain and institutionalize the creation of capacities and technical skills, already gained in those projects. In such case, it is under creation the *Unit of Forest Monitoring* that shall be part of the National Forestry Department. This dependency, created under a process-based approach, includes the monitoring of greenhouse gas emissions caused by deforestation. For its part, the "Socio Bosque" Program (PSB) has reported important improvements since it started. Up to October 2012, 2,002 agreements had been signed (involving 34.973 families, equivalent to 123,431 beneficiaries) corresponding to 1,116,215 hectares, which have allowed for approximately USD 7.7 million to be awarded as incentives (under the modality of *incentive payment for voluntary conservation*). Regarding the REDD+ mechanism, Ecuador is in the second stage of preparation and creation of adequate conditions for REDD+ operations. Moreover, the *National Program REDD+* (PNREDD+) is part of the *National Strategy on Climate Change* (NSCC). Also, the PNREDD+ counts with four principle components harmonized with the *Forest Governance Model* and four cross components which are going to make the program sustainable. ***Agricultural Sector*:** a pilot project is being designed to be implemented in an indigenous community (Saraguro – province of Los Ríos) based on the use of an optional fertilizer to the urea called *"anabena azolla*" (micro-algae, a kind of cyanobacteria), often used as a green manure for rice crops. Its initial application is under discussion with a local department of environment, and the following phase consisting in capacity building of rice producers. ***Neutral Carbon Project:*** it started in April 2011, as a project that seeks to assure the replicability of the Greenhouse Gas Emission Estimations at a corporate level, through the development of a *Quality Management Information System*. Its final objective would be the generation of massive public policies contemplating the systematization of information; legal framework, certification, etc. As a first step, the Ministry of Environment approved the Ministerial Agreement Nº 131 seeking to promote *Good Practices in Entities of the Public Sector to Support the Reduction of Environmental Contamination.* ***Clean Development Mechanism:*** the achievements reached until now are related to activities aiming for the reinforcement of institutional capacities and the participation of Ecuador in the CDM carbon markets, in which the MAE has played the role of the National Authority since 2004. By March 2013, the country had 21 projects registered against the Executive Board of CDM, which means an inter annual increase from 14% (2011) to 19% (2012) for registered projects. The aggregation of projects leads to a reduction of emissions of approximately 1,2 $TCO_{2\text{-}eq}$/year.

Adaptation to the climate change

Climatic Monitoring: the National Institute of Meteorology and Hydrology (INAMHI) reports as the main advances, the upcoming creation of a *Data Center* which will allow for the management of information through a dynamic and cooperative interaction process involving different stakeholders (INOCAR, DAC, among others). This initiative is financed by the Spanish Cooperation Agency, with the technical support of the World Meteorological Organization (WMO). Likewise, there is a significant advance in methods, as well as technological progress, which have allowed for the readjustment of certain climate monitoring processes, in accordance with a higher density and quality of information. A participatory scheme has been designed and implemented with the purpose of creating a "meteorological culture" through *Climate Forums*, taking place at national level (around 60 forums, with the participation of approximately 5,000 people). Regarding the involvement of academic participants, it has been a more effective institutional approach and joint work mechanisms, promoted by the National Secretary of High Education, Science, Technology and Innovation (SENESCYT).

Climate Models: In the Second National Communication the results generated through three dynamic models were summarized, with high spatial resolution for Climate Change Scenarios: PRECIS, ETA and TLC 959. The Ministry of Environment and the National Institute of Meteorology and Hydrology signed (in 2009) an agreement of collaboration for the execution of several projects, focused on the generation of information and climate scenarios. In that context, the "Statistic Analysis with FClimdex for Ecuador" was developed, and its results (which will be presented in the TNC) are complementary to the ones submitted in the SNC.

Food sovereignty:

One of the latest initiatives from the National Government is the following one, which considers not only sovereignty but has also a strong gender approach:

"***Strengthening the communities' resilience to adverse effects of climate change with emphasis on food security and gender approach" (FORECCSA***), is an ongoing project carried out by the MAE in coordination with MAGAP, a local consortium and the assistance of the World Food Program such as the multilateral implementation agency, and the Adaptation Fund as a financial agency. The intervention areas include 4 provinces of the country (Pichincha, Azuay, Loja, and El Oro). However, it is focused on cantons, municipalities and specific communities according to the vulnerability level (it covers a total of 760 communities). The expectation is to involve 15,000 families during the project life based on the framework of the following targets: 1) to increase the knowledge, prioritize local communities, manage associated risks with climate change affecting nutritional and alimentary security; and 2) to reinforce the adaptive capacity of the communities exposing high levels of food insecurity.

Risk Management: The National Secretary of Risk Management (SNGR) was created in 2008. It is focused on the integral management of risk reductions and emergency and disaster management. Is included in the context of the articles 389 and 390 of the Political Constitution of Ecuador. The secretary has established National Situation Rooms and Province Units of Risk Management to rapidly transfer information about emergencies and disasters, allowing for timely action. Its job is developed along with the MAE, SENAGUA, INAMHI, CIIFEN, and other entities. Different progress in the regulatory framework will be reported.

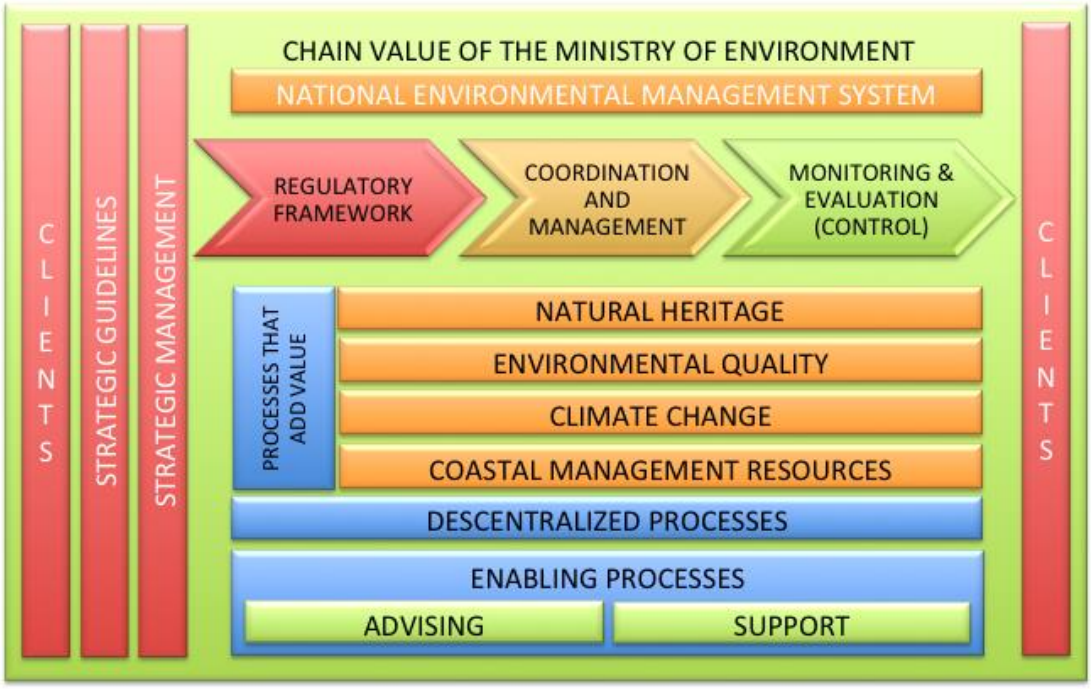
Health: Since 2010 some training sessions, dialogues, meetings, etc., conformed by several actors and focusing on health is on the agenda. Open the discussion with the aim of raising, and disseminating knowledge about the impacts of several climatic changes in public health, is a priority activity. Starting from the interrelation of health problems with climate change, the

	Ministry of Public Health (MSP), - along with the Pan American Health Organization -, began (2011) to implement a strategic plan in order to reduce health vulnerability of citizens and health services towards climate change. Meanwhile, in 2012, the Ministry of Environment, under the initiative of the Biomedicine Center of the Central University of Ecuador and the Emory University of the United States, organized the *First International Symposium on Climate Change and Health*. The objective was to raise the issue but also to launch the set-up of an inter institutional and interdisciplinary work, both short and long term with a systematic approach, giving the attention and priority to the specific needs. Currently, the work is in the stage of general national diagnosis and scope to conceptualize the health system *vis a vis* climate change. ***Progress on specific projects:*** The Ministry of Environment, via the National Direction of Adaptation to Climate Change, has implemented several measures which facilitate adaptation to climate change, under the modality of projects and programs. These initiatives cover, in a cross – cutting manner, the adaptability of human systems, based on priority work areas: ecosystems, water resources, climate monitoring, food sovereignty, gender equity/participation, etc. The progress made by each is as follows: ***Adaptation Project to Climate Change through an effective Water Governability (PACC).*** It started in 2006 (configuration period from 2006 – 2008, implementation was extended to 2010) through co-funding from the Global Environmental Facility (GEF) and the Ministry of Environment, with the assistance of the United Nations Development Program (UNDP) as the implementing agency. Its purpose is to increase the capacity of adaptation of Ecuador, through an efficient management of water resources at both a local and national and scale. It is focused on six hydrographical catchment areas (Chone, Porto Viejo, Babahoyo, Jubones, Paute and Catamayo) according to the research on present vulnerability developed in 2008. The project has been carried out in two stages; the first one from 2010 consists of a total of thirteen implemented projects, and the second stage starting in 2012 with seven more projects. All of these are expected to close by approximately 2014. Some of the relevant achievements are the following: research on future vulnerability, the application of the CRiSTAL tool to mainstream climate change into the local planning process, the promotion of gender equity and participation, among others. ***Projects of adaptation to the impact of accelerated retreat of Glaciers in the Tropical Andean Region (PRAA)***. This started in 2007 with the aim of reinforcing the resilience of local ecosystems and economies to the impacts of glacier retreat, through the implementation of pilot adaptation activities, showing the costs and benefits of adaptation to climate change. It is a regional project developed simultaneously in four countries of the Andean region. Funds come from the GEF, the World Bank acting as an implementation agency, the management of resources is charged to the General Secretary of the Andean Community (CAN) and the leadership is carried out by the Ministry of Environment in each country. It is a strongly participative project whose interest is in the analysis of glacier monitoring, quantitative assessment of impacts in water, energy and agricultural sectors – highly vulnerable to glacier retreat. At present they are in the closing activities stage. The achievements are framed in the generation of high quantities of information about weather and climate change, studies and research, reinforcement of the hydro-meteorological monitoring network, promotion of participatory community processes, and insertion of adaptation to climate change criteria in the local planning process.

	Management Adaptation to Climate Change Project (GACC). It is a public investment project established in 2010 with a cross-sectorial approach, designed with the purpose of giving support to the Under Secretary of Climate Change. Its activities are focused on public awareness, capacity building, technical skills, reinforcement of local and national Government and Civil Society coordination. Its main objective is to generate appropriate conditioning aimed at the reduction of natural systems vulnerability against the impacts of climate change. Nowadays, the project has a technical team distributed around the country, dealing with prioritized intervention areas. It is in the process of supporting the design and implementation policy in local governments, in order to include adaptation criteria on its local planning process. Significant progress has been made in public awareness, capacity building, and involvement at community levels and local governments. The component of research on vulnerability (some of these studies through consultancies) has permitted the design and proposal of a *Methodology on Socio Economic Vulnerability toward Climate Change*, with a strong participative approach of diagnosis from communities, alongside a solid engagement from universities and the general public. ***Other information*****:** the Information, Monitoring and Assessment Department of the Ministry of Environment (with the collaboration of some others units and local and institutional stakeholders) designed the *National Strategic Guidelines of Environmental Research 2013-2018*. The objective is to prioritize and plan environmental research, contributing to the reinforcement of knowledge – generation, enhancement of the environmental quality support to the sustainable development and good living. The current status of this document is under review for distribution and consensus.

B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES (The proposal should briefly justify and describe the project framework. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender dimensions are considered in project design and implementation.)	The FNC enabled a milestone in the environmental policy of the country – which consisted of the first formal systematization of climate change information and efforts made in a fragmented manner, but introducing climate change into the national debate. The 2NC marked the continuity of the UNFCCC's commitment of reporting requirements, but already contextualized a national development plan (National Plan of Good Living 2009 – 2013). It laid the basis for a solid institutional platform. The Supreme Decree Nº 1815 (from 07/2009) declared adaptation to and mitigation of climate change as State Policies. Subsequently, the importance of the Third National Communication (TNC) lies in the progress towards its institutionalization as part of a national process, leaded by the Undersecretary of Climate Change. In relation to the BUR, the relevance of the project consists of the consolidation of a process-based approach, ensuring the regularity of the submission report. The relevance of the project goes well beyond complying with reporting requirements. It will allow the country to reinforce several institutional arrangements, necessary for the consolidation - at a higher level - of interrelations, of coordination and cooperation among stakeholders, including the political and technical level of support. Due to the dynamics of the work that underly the preparation process of national communications, the project implementation will act as a precursor for the internalization of a long-term process .The perspective suggests that the TNC/BUR is going to generate the basis to reinforce the decision making process and networking, unified around a common goal. It will create the opportunity to link complementary and interrelated project milestones, in a much more efficient way, coordinating the schedules of expected products and outcomes. Furthermore, the support to the TNC/BUR will allow for the achievement of expected outcomes and outputs, which are aligned to the *Strategic Objectives* of the Global Environment Facility, for the specific *Focal Area* (*Climate Change*), according to the "*GEF-5 Programming Document*". It refers to the following enabling activities: support which enables activities and builds capacities within the Convention, whose output is: completed enabling activities in climate change within the Convention framework. According to this, the submission of the Third National Communication is estimated for March 2016, while the First Biennial Update Report will be ready for submission by December 2014. The project will partner with the following: 1. **National Strategy of Climate Change 2012 - 2025 (NSCC)** will integrate different sectors, guiding concerted, organized, planned and recurrent actions, and promote the internalization of climate change in different public and private entities of the national territory based on the current policy, regulatory and institutional framework. **2. Low–Emission Capacity Building (LECB)**, to be implemented from 2012 to 2015, and has the following product outcomes: a) ***National Mitigation Plan (NMP)*** elaborated, b) ***MRV systems*** and a system of GEI inventories for the three priority sectors developed (agriculture, energy and residues) and c) short-term ***NAMAs***, based on the NMP for the mentioned sectors designed. 3. **National Adaptation Plan (NAP)**, whose participative elaboration is in process of execution, with the purpose of establishing patterns for creating and reinforcing the capacity of social, economic and environmental systems, to face climate change impacts according to what has been prioritized by the NSCC. 4. **The National Program for REDD+ (PNREDD+),** this program is part of the *National Strategy on Climate Change*, and contains four principle components harmonized with the *Forest Governance Model*, and four cross - components which are going to provide sustainability to the program.

	The elaboration of the Third National Communication and the First Biennial Update Report will permit the establishment and operationalization of synergies and joint efforts between different projects, in light of the ongoing activities and others that are planned as part of the management of National Government. The execution of the Third National Communication will facilitate the following: 1. Encourage progress in consolidating institutional arrangements. They must contribute to the internalization of the related management process, from the designation of a work team, determination of a work plan, identification of constraints, gaps and needs for the successful implementation, collection of data in a coordinated manner, harmonization of efforts, cooperation, coordination, etc. 2. Setting the institutional basis to integrate and to gear the expected outcomes and products of complementary and related projects. This means the search, design and implementation of conditions that need to be offered by the Ministry of Environment. 3. Consolidate the reporting process, from lessons learned in the elaboration of the First and Second National Communications. This will facilitate overcoming weaknesses, constraints and needs, identified during its elaboration. 4. The systematization of progress made in initiatives, programs and/or projects implemented by the country up to the reporting date, launching a monitoring and evaluation process to assess the achieved goals, as part of a continuous improvement process. So that the project aims to evaluate the continuity of some of the started programs in terms of the impacts they have had. 5. Address capacity building needs, involvement of stakeholders and generation of information within the context of a shared vision on adaptation and mitigation of climate change. It is expected that this public awareness process will help a national appropriation sense of the NC and BUR processes. 6. Address the gaps, update and/or enhance the scope of the studies on climate patterns and climate baseline, which will permit feedback of vulnerability analysis in prioritized areas. 7. Make use of relevant climate studies by interpreting the results of said studies, thus proposing specific applications for the country. 8. Coordinate the participation and interaction between civil society and local, provincial and national governments, in such a way that the network takes the same direction, and is focused on common goals; 9. Create and implement a stronger National Inventory Management System, ensuring frequent achievements on compilation, calculation and reporting, according to the UNFCCC reporting requirements and country MRV system. 10. Contribute to the consolidation of the management model of the Undersecretary of Climate Change.

C. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION (discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A).	**Institutional Infrastructure:** For the development of the Third National Communication and First Biennial Update Report project, The Ministry of Environment will act as the *Executing Agency*. The *provision of financial support* will be held by the Global Environment Facility, while the United Nations Development Program (UNDP) will play the role of *Implementing Agency*. The task force in charge of the management project, will consist of two people: a Project Manager and a Project Assistant. A technical team will give specific support according to the needs of project outcomes and products. In this context it must be pointed out that Ecuador is currently in a transitional phase to a new four years term of Government. Despite the fact that this transition means an *administrative continuity*, some changes are expected to occur, bringing new information to be reported on in national circumstances. One such aspect is the review, update and/or redefinition and implementation of the Good Living National Plan for the period 2013 – 2019. Additionally, the National Secretary of Public Administration (a secretary office depending on the Presidency), has the role of establishing goals and tools looking to enhance the efficiency in public administration. One of its targets is to improve the efficiency in the public management. In that sense, it promotes the process – based management model, better practices, integrated monitoring and evaluation mechanisms, among others. This means a considerable need for institutional arrangements oriented to efficiency. It is within this context that the Undersecretary of Climate Change (SCC) is reviewing its management model. This would permit the streamlining of internal processes, synergies, functions, description profiles, job approach, and a more integrated vision focused on a process – based strategy. The proposed organizational structure under review would count on several units matching different project execution stages (giving emphasis to the monitoring and evaluation phase). This will imply strong adequacy on the scope and the reporting mechanisms, based on results. 

Implementation Project Activities

1. ***National Circumstances:***

- *Statistical data gathering, revision, update and analysis*: the geographic, population, sociocultural, economic and social conditions will be updated, based upon the revision of the most recent databases and information systems. It is important to mention that since the release of the most recent National Communication in 2011, Ecuador performed the Population and Housing Census 2010, which allowed the update of social, cultural and economic data. Also the Central Bank of Ecuador's Annual Reports are available to complement the current economic and structural analysis for the report.
- *Inclusion of disaggregated information*: following the objective of the report and the availability of information, statistical data may be presented following a series of disaggregation types, highlighting gender-related and vulnerable groups: femenine versus masculine, rural versus urban, indigenous populations, or any other which may result pertinent according to the country's particular aspects.
- *Characterization of the situation of "risk groups"*: a descriptive analysis of the climate-change-related socioeconomic conditions of these groups will be carried out, following the compilation of disaggregated information about the risk groups.
- *Collection, revision, update and analysis of institutional aspects*: the series of laws, sectoral agendas, plans and any other regulatory and/or policy instruments will be compiled, updated, analyzed and included in the country report. This data includes national, regional and international instruments and laws that have been issued in topics that concern climate change mitigation/adaptation directly or indirectly.

In brief, all the thematical components that define the National Circumstances will be updated and revised for their inclusion in the documents that will be developed.

2. ***Greenhouse Gas Inventory:***

The National Greenhouse Gas Inventory must be developed jointly with the LECB Project, following a multidimensional approach, since it will result in the simultaneous implementation of two projects. For this reason, the TNC/BUR Project seeks to close the gaps between this project and LECB for the development of the National Inventory. This comprises several activities:

- *Coordination and consensus*: an initial meeting will be held between the TNC/BUR team and the LECB team in order to harmonize criteria, delivery timetables, synergies, and other aspects. It aims to optimize the use of human, technical and financial resources. Special attention will be given to the coordination in the product delivery schedule of projects, and the National Greenhouse Gas Inventory calculation and reporting requirements for the TNC/BUR.
- *Specifying methodological aspects*: the IPCC guidelines which best apply to the national circumstances (1996 versus 2006) will need to be determined, considering the criteria used by other simultaneous processes. This is the case for the *Historic Map of Deforestation*, which has been elaborated on the basis of the IPCC/GPG-2003 document. Availability of data for 2010 and 2012 will be an important factor. Moreover, depending on the selected guidelines, the GHG inventory entry data will be updated for the years of the latest reports (1990, 1994, 2000 and 2006).

Verification process of the NGHGI: Inventory verification for 2010 draft made by the LECB project will take place consequently with the quality assurance process (QA/QC). It will be tackled in a participative manner since it involves several participants: ministries, universities, research institutions, expert network, etc. This will help to consolidate technical skills, but also to reinforce the involvement of stakeholders.

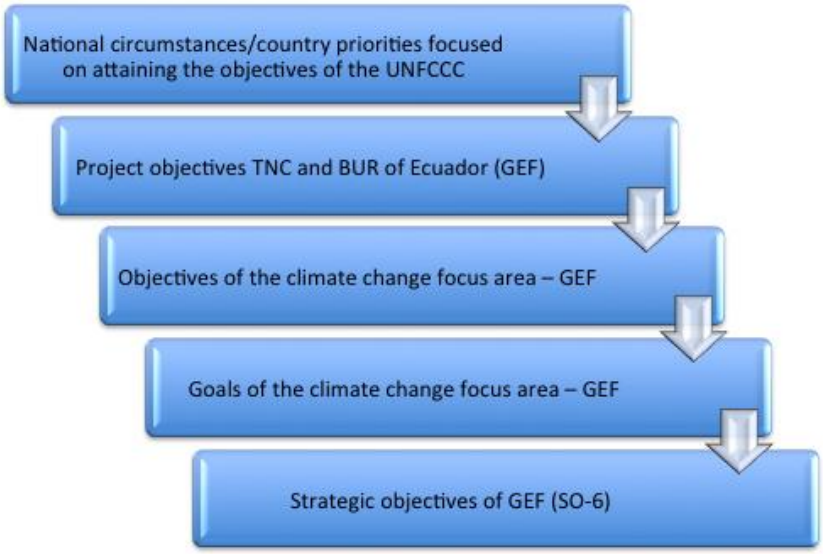
	- *Calculation of the NGHGI:* The calculation of inventory for 2012 will be carried out with the support of trained staff involved with the LECB project. These could be incorporated into the taskforce structure of the proposed Inventory Management System of GHG of the Undersecretary of Climate Change, as determined during the project development. - *Description of achievements*: considering the LECB project objectives and its importance in capacity building for the generation of NGHGI, the project will report progress in each of its components: agreements, institutional arrangements promoted, stakeholder engagement, submission schedule of expected output, capacity building, knowledge transfer, technological tools, etc. - *Achieving technological synergies*: the technological data base platform must match with the selected software, for the inventory calculation, through an interface. This will enable an automatic and more efficient calculation procedure to obtain National Greenhouse Gas Inventory for years 2010 and 2012 and subsequent years. - *Defining the National Inventory System:* the NIS will consist of the integration, coordination and implementation of a set of human, technical, technological and financial resources (coming from the fusion of different projects), to assist and develop the regular and ongoing preparation of the national inventory. Based on the design of a functional scheme of the generation process of NGHGI, a NIS management model will be defined to document the process description, data flows, calculation, monitoring and verification, and their representation. - *Institutionalizing the NGHGI generation process:* the TNC/BUR project considers the elaboration of *Procedure Manuals*, which will be part of the *National Inventory System*, ensuring the integration of this regular reporting and calculating activity with processes of the Undersecretary of Climate Change. The purpose is to ensure that the related activities contribute to the institutionalization of the NGHGI calculation process, occurring in a periodic and systematic manner, with an efficient application of resources. ***3. Vulnerability and Adaptation Assessment:*** The TNC focuses its attention on closing some of the gaps between the obtained results and the ones reported during the SCN, and/or the achievements identified to date. It should be noted that the financing needs for adaptation & vulnerability studies are considerable, starting by measuring & monitoring climate, climatic characterization, the running-through of many climate models, the development of vulnerability assessments, the documented adaptation policy design, to name but a few. The activities below are based on the prioritization of V&A studies needs, referred in expected outputs: - *Improvement of climate monitoring:* describing the progress made by the INAMHI, INOCAR, IGM and other related entities (independently, or in conjunction with the Ministry of Environment). Specifically those related to the quantity and quality of climate information generated and reported. In the progress report, the advance in the implementation of a hydro-meteorological monitoring network for the Amazon region and the south border of the country, planned to start the reporting of information for the next few years, will be considered among others. - *Update climate models and running of new ones*: compiling information and updating climate models based on the SNC achievements. In addition, it will include the running of other IPCC models that complement the findings. Additionally, INAMHI (in conjunction with Central University of Ecuador and SENESCYT) plans to determine weather patterns of extreme events. In any case, to cover this component of the project the hiring of international experts in hydrometeorology and other related studies, who will assist in the process of knowledge transfer of INAMHI and/or MAE specific employees will be required.

	- *Interpretation of climate models:* another great "step forward" for the TNC in relation to the SNC is related to the *interpretation of the "outputs" or the results of climate models*, making comparisons between results, establishing patterns and/or trends, strengthening the understanding of the climate of Ecuador, formulating conclusions and consensus. Capacity building for selected employees should be included among the products generated for this activity. - *Elaboration and/or revision of vulnerability studies*: the first step will consist of a compilation process of information related to vulnerability assessment, already realized for a wide range of stakeholders, since the last SCN. Then, should continue in a similar manner to any research project; compile the information, select the methodology, develop the study and formulate conclusions regarding the vulnerability country situation. Studies should also involve MAE's employees, for the sake of their expertise and the strengthening of their technical skills. - *Description of adaptation achievements*: it will consist of the collection of information on ongoing and executed projects to facilitate adaptation and evaluate their impacts. Then it will describe the progress or specific impacts considering both prioritized areas and cross components. - *Review of adaptation policies*: will be based on the review of the existing policy toolkit to promote and reinforce adaptation processes. This includes their design at a national scale to their effective incorporation into land management plans on provincial and local scale. Additionally, based on the vulnerability studies elaborated by the project, an adaptation policies proposal will be carried out consisting of specific actions to promote adaptation. This will consider the PNA, objectives and goals pointed out by the NSCC. To do this, it will be necessary to have available the inputs generated by the participatory process of the National Adaptation Plan (NAP). Additionally, the project shall promote a participatory agenda in the context of the TNC that will strengthen joint work of the actors and technical skills, further high-lighting the role of Regional Governments in this context. - *Presentation of the PNA:* will consist of a description of the relevant topics, and tools derived (such as the Vulnerability Guide) or the Updated Climate Information System. There will be a review of changes or improvements motivated by the new management approach derived from the NAP. - *Draft proposal of M&E*: considers both the PNA and the new management model implemented in the Undersecretary of Climate Change. In this context, a set of climate change management indicators, applicable to adaptation measures, will be elaborated, together with the design of a monitoring system and the definition of strategies for evaluating these measures. - *Description of other INAMHI's achievements and other entities (such as INOCAR, IGM, DAC, etc.)*: this point refers to the progress or results on studies of climate issues, climate monitoring, ocean-atmospheric indices, and other aspects which these institutions are in charge of. ***4. Mitigation Analysis:*** - *Progress in mitigation actions: advances made in implementing mitigation measures according to the prioritized sectors (Energy, Waste, Industrial Processes, AFOLU), starting from the compilation and review of all the relevant initiatives, undertaken by different national actors, especially since SNC. Then, summarize the achievements.* - *Institutional arrangements*: two factors play an essential role in the management approach to climate change mitigation: the design and implementation of the National Mitigation Plan and the renewed vision of the new climate change management model, which is in the design phase by Undersecretary of Climate Change. In this context, the TNC will review and summarize the main agreements reached and implemented.

	- *Addressing National Mitigation Plan (NMP):* As part of the activities carried out by project TNC/BUR, participatory processes for the preparation and dissemination of PNM throughout the country will be promoted. This action aims to strengthen capacity building and reinforce the involvement of stakeholders (universities, research groups, NGOs, community-based organizations, etc.) with the National Mitigation Plan (NMP). These will be held in conjunction with the LECB project. This activity will have as a start the mapping of stakeholders, a defined participatory plan based on identified training needs. To complete the expected output, the PNM will be described with emphasis on its essential aspects. - *Description of NAMAs*: expected outputs of the LECB project include the designing of a set of NAMAs (one for each priority sector). For the purposes of the TNC a summary will address core issues related to methodology, generation process and the prioritization of technical criteria (based on cost - effectiveness studies). Those that support the prioritization of the recommended measures for its implementation - *Policy design:* considering the foreseen designed and prioritized NAMAs, generated by the LECB project, an Action Plan or toolkit will be defined. This shall consist of a set of options among policies, programs and / or projects, based on technical criteria. The objective of this activity will be the selection of the best NAMAs implementation instruments, within the National Mitigation Plan framework. - *Review of MRV schemes:* in terms of Measurement, Report and Verification systems, will take a descriptive approach of the progress made by the country in its configuration. It should be clear that the TNC shall address the general issues about MRV, leaving the specific information on technical and methodological details to be developed by the BUR. - *CDM progress:* in relation to the participation in the flexibility mechanisms (CDM projects), there will be a review of progress in every aspect of the project cycle as well as of cross-cutting issues. Activities will include compiling relevant information, analyze and systematize, giving particular attention to the country's progress in terms of the implementation of major hydroelectric projects. - *REDD+ National Program (PNREDD+)*: Currently the government is developing the PNREDD+ jointly with the Ministry of Environment, UN-REDD Program, the support of the German Cooperation (KfW and GIZ) related to REDD+ and the national initiative, "Programa SocioBosque" (PSB). The project's objective is to complete the preparation of the country for the implementation of REDD+, so it covers four main components harmonized with the Forest Governance Model, and four cross components that will give sustainability to the program. The four main components are: (1) information and monitoring system for REDD+, (2) involvement of key stakeholders, safeguards and multiple benefits, (3) the strengthening of forest governance and (4) incentive system. PNREDD+ cross components are: (1) financial mechanisms and benefit sharing (2) coordination and policy development, (3) research and capacity building, and (4) communication. - *Emission Factor from Electricity Sector*: in this sense information will include all the achievements of the country in terms of increasing quality information, stakeholder participation, capacity building and methodologies. The institutionalization of procedures for the regular production of the electricity sector emission factor and its certification, are listed as the main benefit. This is because of the dynamic promoted by the electricity sector that seeks to diversify the energy mix, through carbon markets. ***5. Synthesis report for the BUR:*** - *Institutional arrangements*: using the findings of the SNC as the baseline, a synthesis of the information referring to institutional arrangements, which have influenced the mechanisms and country organization to assume the reporting frequency of the National Communications, will be made. Considering the relevance of the regular calculation of the inventory for the BUR (every two years), the progress made in the institutionalization of this complex process (involving: forms, spreadsheets, database platform, compile of information, tracking tasks

	of data generation, periodic reporting, etc.) shall be mentioned. - *Coordinating delivery of products*: together with the expert on NGHGI, the specialist in charge of BUR will be attentive to the development and harmonization of planned updates in the data collection process for the National Inventory (launched by the LECB project), which will ensure efficient generation of inventory calculations. Also, it must set out the delivery on progress that allows both the verification of the inventory 2010 that will be reported in the BUR. - *Updating of mitigation measures*: there will be a systematization of the achievements in the measures, program, and/or projects, pointing out the advanced status on mitigation actions and NAMAs. This will consider the expected effects, methodologies and / or assumptions made (if applicable). - *MRV country systems (NAMAs and GHG)*: it is planned to describe the two major initiatives on MRV; for NAMAs and NGHGI and REDD+. The MRV for NAMAs and GHG is addressed by the LECB project. The proposal consists of a generic MRV, setting out (pre) conditions that are applicable or to which different stakeholders may adhere to: public or private, energy, industry, services, etc. It also implies the following: i) creating a culture of MRV, ii) awareness from each sector on emissions generation, iii) need for a MRV team (under the oversight body scheme, control and compliance goals reduction, an MRV program supervisor by sector, among others), iv) creation of an "appeals scheme", v) establishment of standards or verification procedures (as required by NAMAs), among other (pre) conditions that could be determined. - *MRV country systems (REDD+)*: additionally, the country has made relevant progress on the preparation of REDD+ conditions for implementation. One of the four strategic actions is related to MRV national system to ensure the consistency of the monitoring process. This MRV system is based on three projects already described: *National Forest Assessment* (ENF), *Historic Map of* Deforestation and a *Vegetation Map*. The methodological protocol for the scenario of the Emission Reference by Deforestation (ERED) and its validation in a pilot area will be established throughout the entire country during 2013 and 2014. - *National Mitigation Plan*: Special attention will be given to briefly describe the achievements in the participative process of the National Mitigation Plan (PNM) preparation, as well as the implementation mechanisms. - *Barriers, gaps and needs: a* prioritization of barriers and gaps on technical, financial and capacity building aspects will be made. In that sense, an evaluation matrix based on key resources (capacity building, financial and technological) will be fulfilled. - *Description of the obtained support for the development of BUR:* a synthesis will be made detailing the support received for BUR submission. ***6. Other relevant information to fulfill the objectives of the UNFCCC:*** - *Technology transfers*: a comparative analysis will be carried out to compare the achievements obtained in the study entitled "*National Priorities of Technology Transfer on Climate Change*", submitted at the SNC, versus additional findings raised in the recent "*Technological Need Assessment*". In addition, this analysis will include a description of technological requirements for two prioritized sectors for mitigation and the other two of adaptation. This TNC will contribute to closing the gaps between the two studies through the design of pilot projects, financial estimating on applicability of those projects, or other prioritized topics. - *Climate information and studies on climate change impacts:* Apart from the updating of climate information (in charge of INAMHI, INOCAR; DAC, among others), it will be a discussion about climate impact studies considering the findings obtained in the SCN for each prioritized sector of adaptation. There will be a brief description that shows the link between climate change and its impacts, from socio-economic and physical-environmental approaches, as addressed in the component of V&A. Special attention will be given to the *Methodology for studies on climate change impact in every prioritized sector for adaptation*

	- *actions*, carried out for the adaptation unit. - *Knowledge generation*: the generation of knowledge for the climate change approach, will be addressed in the context of the *National Strategic Guidelines of Environmental Research 2013 – 2018*. This will require input from the interaction process among stakeholders, by means of workshops, talks, interviews or other participatory techniques. For this reason it must consider a social program to help communicate the themes. - *Stakeholders networking*: Progress in consolidating the *University networking for the research on climate change and risk management* (created in 2010) will be reported on; making clear the fact that financial support is needed, as well as monetary and technical sponsorship required for specific projects. 7. ***Constraints, Gaps and Needs related to Financial, Technical & Capacity building topics:*** According to the guidelines established by the UNFCCC, it may be relevant to deepen those restrictions, gaps and / or needs associated with the implementation of the activities, actions and programs under the Convention, and the preparation and improvement of national communications in a frequent manner. In order to print the dynamism required this reporting process is expected: - *Prepare a mapping of the main* participants involved in each information field - *Schedule participatory activities* through which it seeks to identify, prioritize and agree on the main financial, technical and capacity building constraints, gaps and needs to fulfill Convention objectives, - *Identify response actions* to determine a set of actions, measures or programs to correct or overcome the constraints, gaps and needs. Finally a description of the contribution provided by the GEF is expected to develop for the preparation of the TCN.
D. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:	It is expected that the cost-efficiency of the project is justified based on the results generated by the project and 1BUR 3CN. This to the extent that the report focuses on the group of country prioritized activities in several areas (mitigation and adaptation). Interventions that have allowed to further facilitate adaptation to climate change, while also reducing GHG emissions. All expected activities are aligned with the objectives of the Convention, which in turn are integrated into the Strategic Objectives published by the GEF, in the programming guide.

E. DESCRIBE THE BUDGETED M&E PLAN:	The Monitoring and Evaluation Plan will follow the monitoring and assessment document of The GEF entitled "*Report – Based Management System: Process to Ensure the Quality Of Objectives, Baselines, and Results Indicators*" – from April 2011 (RBM). Also, the procedures and reporting methods established by the UNDP to follow-up the project implementation, consisting of the ATLAS system. This is based on an *Enterprise Resource Planning* system (ERP), focused on the financial, human resources, purchase requisitions, among other project activities. Complementarily, and considering the established guidelines for the public administration of Ecuador, the M&E plan will need to consider the guidelines of the *Government for Results – GPR*. This is a tool framed for public institutions, created to manage plans, program, projects and/or processes according with institutional goals and targets. The suggested M&E overall approach will then consider three levels of reporting: The GEF, UNDP and Ministry of Environment. In all the cases, M&E link to different levels of monitoring, whose consistency is related to the alignment between strategies – policies – objectives (general and specifics) – and targets. The purpose of this integration on M&E method is to show the consistency of the progression with the contribution to the strategic objectives of the Focal Area (Climate Change), settled by The GEF. Those of which are linked to the achievement of the Convention goals, as follows:  The objective is to ensure the completion of a management process based on results, with realistic goals. This will allow for the establishment of responsibilities, accountability, efficiency, correction/preventive actions, and actors involved. Thus the project will create a Steering Committee, which is going to develop a work plan which will consider: schedule of activities according to the Annual Agenda of project implementation process, establishment of operational and general targets (medium and long term) and specific targets (short term) which allows the team to derive expected outcomes. Also, the definition of monthly targets due to monthly monitoring required by GPR will be considered. Thus, the activities of the M&E plan will constitute the following elements: a. *Initial Report*. It will include agreements about the work plan of the project, taking into account the most descriptive analysis of activities, tentative dates of culmination, responsibilities, staff roles, assigned budget to each activity, risk factors, etc. The actors to be considered in this initial report are: MAE, UNDP, The GEF and others). b. *Quarterly report of progress*. They are constituted by executive reports to be submitted to the report and decision levels of the project.

	c. *Annual report of progress*. This corresponds to the necessity of a GPR report, considering that during the project execution some achievements of Management Plan targets of the Under Secretary on Climate Change have been established. d. *Mid – term report*. The importance of this document is founded on the fact that it allows the project to determine the advanced percentage of the execution projects based on the work plan, the application of corrective / preventive actions or adjustments focused on the level of challenges, scope, etc. e. *Closing project report*. This will be able to be supported by a Final Independent Assessment according to what has been established by the procedures of the GEF and UNDP. *Technical reports*. These will be included depending on the implementation process. Since they are focused on specific investigation fields, analysis, scientific specializations and/or systematization of information, which are going to be part of the general project.
F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):	N/A

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S):

(Please attach the country endorsement letter(s) with this template).

NAME	POSITION	MINISTRY	DATE *(Month, day, year)*
Lorena Tapia	Ministra	MINISTERIO DEL AMBIENTE	**05/29/2013**

B. CONVENTION PARTICIPATION

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yy)	NATIONAL FOCAL POINT
UNCBD	**02/06/1994**	**MINISTRY OF ENVIRONMENT / NATIONAL DIRECTION FOR ADAPTATION TO CLIMATE CHANGE**
UNFCCC	**02/23/1993**	**MINISTRY OF ENVIRONMENT / UNDERSECRETARY OF CLIMATE CHANGE**
UNCCD	**06/09/1995**	**MINISTRY OF ENVIRONMENT / UNDERSECRETARY OF NATURAL HERITAGE**
STOCKHOLM CONVENTION	**07/06/2004**	**MINISTRY OF HEALTH**

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for Climate Change Enabling Activity approval.

Agency Coordinator, Agency name	Signature	Date *(Month, day, year)*	Project Contact Person	Telephone	E-mail Address
Adriana Dinu Deputy Executive Coordinator UNDP/GEF			Yamil Bonduki Sr. Programme Manager UNDP Green-LECRDs	+1 212 906 6656	yamil.bonduki@undp.org

ANNEX A

CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY

Position Titles	***$/ Person Week***	***Estimated Person Weeks***	***Tasks to be Performed***
For EA Management			
Local			

Project Manager	1,146	49	- Lead, manage and coordinate the daily activities of the team, including the project planning, programming and execution. - Facilitate the establishment of institutional links needed in the achievements, providing conditions for articulation, harmonization, coordination and involvement of stakeholders. - Prepare, coordinate, execute, and supervise the development of the Work Plan approved by the Steering Committee of the project, - Follow up the execution of overall activities as part of a M&E plan of action, which will include the preparation of monitoring reports. - Lead activities needed for the project advancement in its technical aspects, including preparation of hiring terms and conditions, identification and selection of consultants or subcontractors according to the implementation arrangements of the project. - Assist in the design, supervision, and where possible training, capacity building and diffusion activities of the project. - Plan, coordinate and supervise the execution of all the programmed courses and study meetings and agreements. - Compile and integrate the results and supplies at general and sectorial level for the achievement of the final document of the project. - Give support to the Inter Institutional Committee of climate change in activity executions of the Third National Communication. - Support the operation of the Steering Committee and advisory group of the project. - Implement the national or international relationships or links necessary to the project. - Maintain direct relation with the Undersecretary of Climate Change in order to include the main guidelines from the Government, and use the MAE as interlocutor of relations with other national and international institutions. - Give the technical support required for the Undersecretary of Climate Change regarding the issues related to the TNC and BUR

Project Assistant Under direct dependence of the Coordinator, they will work full-time during the project execution. They will be responsible of all the administrative and operative activities related to the project	400	49	- Manage the correspondence system of the project. - Be responsible for the information management systems, which include printed and digital files generated by the project (i.e. FOMS of UNDP) - Manage the petty cash of the project according to administrative arrangements. - Organize and coordinate with the UNDP the accountability and purchasing requisitions according to the approved budget. - Manage transportation requirements of the team (excluding management team), needed for the adequate operation of the project. - Act as an administrative liaison between the Project, the Ministry of Environment, UNDP, subcontractors and external hired consultants. - Maintain control and keep records of holidays, licenses or permits for official activities or health reasons, related to the management team and the consultants hired for the project. - Elaborate communications and documents for the Project operation. - Manage the agenda of the coordinator of the project. - Be responsible for processing documental formalities and procedures needed for the planning of courses, training sessions and meetings. - Take notes of meetings of the Steering Committee, the Scientific Committee, and other relevant activities relevant to the documentation process of the project. - Carry out the purchasing requisition of office materials needed for the adequate project operation. - Give operative support to the administrative and financial operations of the project. - Constantly update the list of stakeholders related to the National Communication and in general with climate change - Give support to the General Manager at the moment of linking the project with relevant entities such as Steering Committee, Inter-Institutional Climate Change Committee, UNDP, UNFCCC Secretary, etc. - Other relevant administrative and supporting activities to the project.

International			
For Technical Assistance			
Local			
Social & Environmental Analysis Specialist	637	24	- Collect bibliographical material and statistical information on vulnerable human groups ("risk groups"): gender approach, and indigenous peoples, among others, in order to know the scope of the existing data. - Review and evaluate the material compiled for the purpose of characterizing the geographic and demographic situation of these human groups in the country. - Establish strategic partnership, based on methodologies for analyzing environmental partners, between climatic variables and social, demographic and cultural aspects, of these "risk groups". - Characterize gender statistics, indigenous peoples, etc., as an extension of National Circumstances component inputs.

National Greenhouse Gas Inventory Specialist: The specialist will be responsible for running day-to-day operation of GHG component. He/She needs to be a competent person in GHG inventory management and shall be able to develop a clear reporting activity of GHG inventories in coordination with the LECB action plan, and among stakeholders. The person will report to the Project Manager.	702	96	- Participate in the preparation of the GHG Inventory Action Plan in close coordination with the FOCAM team, taking care of expected products generation and delivery, ensuring synergies based on an efficient management of the resources allocated for this activity. - Identify specific gaps to ensure the fit between the two projects: i.e. create an interface, design and implementation of the operating diagram of preparation of the inventory, the inventory management model, all within the framework of the consolidation of the national inventory system. - Prepare, review and submit progress on GHG inventory preparation and report for review - Advise the project team and stakeholders on approach to the BUR as per UNFCCC outcomes - Collect activity data, required as per IPCC guidelines, fill data gaps in 2012 inventory, and update data for previous reporting years if required. - Provide an overall technical review and coordinate the verification process of the inventory calculated for 2010, which will be carried out by the LECB project as a first trial exercise for the data base platform. - Elaborate a QA/QC process and uncertainty management, following IPCC technical guidelines in the preparation of inventory, in coordination with LECB team. - Evaluate GHG Inventory results for the TNC and give inputs to the BUR. - Elaborate the National Inventory Report
Software Engineering Specialist	464	24	- Assist in the creation of the technological conditions for the establishment of a national system of automated inventory. - Provide technical support in the achievement of specific products to ensure operational synergy and FOCAM 3NC/1BUR projects. - Evaluate the features of the technological platform used for the database (developed by the FOCAM) and the software used for the calculation of the inventory, in order to determine its operational compatibility. - Develop the interface required to fit both platforms, ensuring the automation of inventory calculation.

Mitigation Expert (for BUR preparation)	774	40	- Prepare the First Biennial Report Update (BUR) for Ecuador, considering the UNFCCC guidelines. - Collect, analyze and prioritize relevant information for the development of the BUR, along the lines. - Analyze mitigation measures adopted in Ecuador, especially since the Second National Communication (2010), taking into account their implications for sustainable national development. - Describe the actions (programs, projects, etc.) undertaken by sector prioritized, documenting the methodology and assumptions used. - Prepare the First Biennial Report Update (BUR) for Ecuador, considering the UNFCCC guidelines. - Collect, analyze and prioritize information relevant to the preparation of BUR, according to the guidelines. - Analyze mitigation measures adopted in Ecuador, especially since the Second National Communication (2010), taking into account their implications for sustainable national development. - Describe the actions (programs, projects, etc.) undertaken by sector prioritized, documenting the methodology and assumptions used. - Compile information on the level of support to enable the preparation, editing and submission of BUR - Conduct workshops broadcast on the BUR. - Translate the BUR to English. - Prepare the publication and submission of BUR

Strategic planning and management models Specialist	607	32	- Act as liaison between the LECB and 3CN/1BUR during the development of the technical study - Check the products defined as synergies or "bridging activities" between both projects, in the context of National Inventory GHG development. Document the processes related to the preparation of the GHG inventory. - Propose a procedure for quality management approach based on a QA / QC task. - Integrate various elements involved in the inventory preparation, to design an operating diagram along with a management model oriented to the implementation of a National Inventory System. The document must contemplate all resources required for its startup: workloads, information flows, process description, calculation aspects, monitoring and verification, according to international benchmarks. - He or she will need to generate a Standards and Procedures Manual for this National Inventory System, to ensure the institutionalization of the process, the internalization of knowledge and replicability of its preparation at any time.

Mitigation Specialist (for prioritized sectors Energy and Waste)	637	48	- Analyze the information on programs, projects and initiatives ongoing or completed nationwide in energy and waste sectors, and their impact on the country's sustainable development. - Organize participatory activities necessary to achieve the objectives of the project, with participants from prioritized energy and waste sectors, considering the public awareness and involvement of stakeholders. - Give support, if needed, in the development of 3CN through the synthesis report prepared according to the guidelines of the UNFCCC. - Link LECB project achievements in the context of the TNC complementary objectives, describing what is relevant to studied sectors. - Describe advances in systems Measurement, Reporting and Verification (MRV) of GHG in the field of prioritized NAMAs. - Assist in the development of complementary technical studies and provide advice regarding the context of the objectives of the project report TNC. - Assist in the identification of constraints, gaps and needs related to climate change mitigation in the energy and waste sectors. • Perform other activities to be defined for the fulfillment of the expected products of the project.

Mitigation Specialist (for prioritized sectors Agriculture and Forestry)	637	48	- Analyze the information on programs, projects and initiatives ongoing or completed nationwide in Agriculture and Forestry sectors, and their impact on the country's sustainable development. - Organize participatory activities necessary to achieve the objectives of the project, with participants from prioritized Agriculture and Forestry sectors, considering the public awareness and involvement of stakeholders. - Give support if needed in the development of 3CN through the synthesis report prepared according to the guidelines of the UNFCCC. - Link LECB project achievements in the context of the TNC complementary objectives, describing what relevant to studied sectors. - Describe advances in systems Measurement, Reporting and Verification (MRV) of GHG in the field of prioritized NAMAs. - Assist in the development of complementary technical studies and provide advice in the context of the objectives of the project report TNC. - Assist in the identification of constraints, gaps and needs related to climate change mitigation in the Agriculture and Forestry sectors. • Perform other activities to be defined for the fulfillment of the expected products of the project.

Socio – Economic Adaptation Specialist	737	32	- Develop socio-economic scenarios to be used in the climate change impact and vulnerability analysis, - Ascertain assessment of current socio-economic conditions and vulnerability related to TNC - Recommend and develop a framework for improved efficient communication on V&A - Train stakeholders (public and private sectors) considering IPCC and UNFCCC guidelines and documents, related to socio economic assessment. - Promote research on critical sectors on the basis of a socio – economic approach in order to be discussed with the local academics and researchers. - Review and ascertain about V&A inputs for the 3NC report. - Conduct uncertainties analysis and present situation of the climate change from socio - economic impact perspectives. - Colaborate in the preparation of the vulnerability and adaptation report.
Physics - Environment Adaptation Specialist	737	32	- Carry out climate change impact analysis in agriculture, water resources, natural heritage, biodiversity and health. - Conduct analysis of vulnerability and adaptation to climate variability and extreme events in at least two flood and drought persistent areas - To colaborate in the preparation of the report .on vulnerability and adaptation
Adaptation Technician and Compiler	403	40	- Organize the information related to the initiatives, projects and / or programs for adaptation, considering the National Adaptation Plan (NAP). - To safeguard the physical and digital information that serves as input for the development of the 3CN content. - Assist in the research, development and review of technical reports on issues related to Vulnerability & Adaptation. - Collect and analyze information on topics related to Vulnerability & Adaptation, especially since the 2CN (2010). - Systematize the information to generate the contents of the 3CN. - Collaborate and participate in the technical and logistical preparation of workshops and other related diffusion products on V&A. - Meet other activities prompted to ensure the development of the 3CN

Mitigation Technician and Compiler	403	40	- Synthesise the relevant reports about measures and mitigation actions taken in Ecuador, especially since the Second National Communication (2010) to prepare the First Biennial Update Report, following the BUR Guidelines of the UNFCCC. - Organize the information linked to initiatives, projects and / or programs for adaptation, considering the National Mitigation Plan (PNM) - Assist in the research, development and review of technical reports on issues related to mitigation. - Collaborate with the organization of training and dissemination workshops about expected products on Mitigation actions, if required. - Meet other activities prompted to ensure the development of the 3CN
Technology Analysis Specialist	607	16	- Identify the major developments of the document "Technology Needs Assessment" versus the "Program Development and Transfer of Technology" presented at the Second National Communication - Determine relevant information gaps between both documents. - Prepare project proposals for each of prioritized technologies for adaptation & mitigation sectors, - Under a selected convenient methodology, prepare a study on financial feasibility for an implementation process, related to previous findings, establishing priority factors
International			
Expert on Hydro-Meteorology	1,039	40	- Prepare the downscaling of climate models to reduce gaps in terms of formulating assessment of climate change scenarios. - Provide national climate change scenarios and all information derived from the formulation used scenarios. - Prepare documentation for training support provided throughout the study. - Conduct training workshops for a group of Ecuadorian technicians modules by performing general and specific training in the use and interpretation of results of selected models. - Perform information gathering initiatives related to climate change mitigation in the energy sector and waste, analyzing and summarizing the progress in these two sectors

Annex B

OPERATIONAL GUIDANCE TO FOCAL AREA ENABLING ACTIVITIES

Biodiversity

- GEF/C.7/Inf.11, June 30, 1997, *Revised Operational Criteria for Enabling Activities*
- GEF/C.14/11, December 1999, An *Interim Assessment of Biodiversity Enabling Activities*
- October 2000, *Revised Guidelines for Additional Funding of Biodiversity Enabling Activities (Expedited Procedures)*

Climate Change

- GEF/C.9/Inf.5, February 1997, *Operational Guidelines for Expedited Financing of Initial Communications from Non-Annex 1 Parties*
- October 1999, *Guidelines for Expedited Financing of Climate Change Enabling Activities – Part II, Expedited Financing for (Interim) Measures for Capacity Building in Priority Areas*
- GEF/C.15/Inf.12, April 7, 2000, *Information Note on the Financing of Second National Communications to the UN Framework Convention on Climate Change*
- GEF/C.22/Inf.15/Rev.1, November 30, 2007, *Updated Operational Procedures for the Expedited Financing of National Communications from Non-Annex 1 Parties*

Persistent Organic Pollutants

- GEF/C.17/4, April 6, 2001, *Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants*
- GEF/C.39/Inf.5, October 19, 2010, *Guidelines for Reviewing and Updating the NIP under the Stockholm Convention on POPs*

Land Degradation

- (ICCD/CRIC(5)/Inf.3, December 23, 2005, *National Reporting Process of Affected Country Parties: Explanatory Note and Help Guide*

National Capacity Self-Assessment (NCSA)

- Operational Guidelines for Expedited Funding of National Self Assessments of Capacity Building Needs, September 2001

- A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management, September 2001

National Adaptation Plan of Action (NAPA)

- GEF/C.19/Inf.7, May 8, 2002, Notes on GEF Support for National Adaptation Plan of Action,