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 The Federal Democratic Republic of Ethiopia
 ENVIRONMENTAL PROTECTION AUTHORITY

ቀን 2 JUN 2010
 Date
 ቁጥር 3/3.5/1224
 Ref. No.

Resident Representative
 UNDP Ethiopia
 Addis Ababa

Dear Madam/Sir,

Re: Request of funding for the self-assessment exercise to prepare a Project Proposal for Second National Communication

On behalf of the Government of Ethiopia and, in my capacity as GEF Operational Focal Point, I hereby endorse the request of GEF funding for US \$500,000 that includes \$20,000 for the preparation (self-assessment exercise) of Ethiopia's Second National Communication (SNC) to the UNFCCC.

By requesting this assistance, the Government of Ethiopia expresses its interest in receiving UNDP support for the preparation of the above proposal following the appropriate templates and procedures, as provided by UNDP. We understand that the initial funding of \$20,000 will be allocated for the self-assessment and stakeholders consultations required for the preparation of the Second National Communication Project Proposal, and that the remaining \$480,000 will be assigned upon approval of the SNC Proposal by UNDP.

We look forward to your kind consideration in this matter.

Sincerely,


 Tewolde Berhan G/Egziabher
 Director General



UNDP Registry Addis Ababa	
Received Date	3 June 2010
FILE	PRO/300/EPA
ACTION	INFO
A.T.	
Dereje Ababou	
Dereje Ababou	
ACTION COMPLETED	

Ababou
thanks



[Country's Name]' Self-assessment for the preparation of the Second National Communication to the UNFCCC¹

UNDAF Outcome(s)	Country
Expected CP Outcome(s):	
Expected Output(s):	

Programme Period: XXXX
Programme Component: Climate Change -
Project Title: PIMS XXX [Country's Name]' Self-
assessment for the preparation of the Third National
Communication to the UNFCCC
PIMS XXXX: Award ID: XXXX;
Project ID: XXXX
Project Duration: 3 months
Management Arrangement: NEX

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

AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:

Resident Representative

Signature

Date:

¹ This cover page to be completed by UNDP Country Office

**UNITED NATIONS DEVELOPMENT PROGRAMME
GLOBAL ENVIRONMENT FACILITY**

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

Country:	Ethiopia
Project Title:	Self-assessment for the Second National Communication to the UNFCCC
GEF Focal Area:	Climate Change (Enabling Activity)
Country Eligibility:	Eligible under a financial mechanism of the UNFCCC
GEF Financing of self-assessment exercise	US\$20,000
Implementing Agency:	UNDP
Executing Agency:	Environmental Protection Authority of the FDRE
Date of submission of First National Communication to UNFCCC:	
Estimated Starting Date of activities of Second National Communication:	July 2010
Duration of self-assessment and preparation of Project Proposal for Third National Communication:	4 months

1. OBJECTIVE OF THE SELF-ASSESSMENT EXERCISE

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

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

This self-assessment will involve:

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

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

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

The stocktaking work

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

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

the scope of work in order to fill gaps. This could also extend to identifying strategies to enhance the sustainability of work under the NCs, such as Greenhouse Gas Inventories. The new areas of work will be specifically identified and validated during the stocktaking exercise. In doing so, the team will seek to identify opportunities for linkages between climate change and national development processes in the context of the NC preparation.

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

Stakeholders' consultations

- Definition of stakeholders' involvement: Identify and review the key stakeholders and their role under previous national communications. This analysis will help the teams identify the contributions and levels of involvement of such stakeholders, if any, in order to improve their participation for the preparation of the SNC. This analysis will also enable teams to identify the possible need to expand the number of players in-line with the scope of work and enhancement of national ownership of the SNC process.
- Development of strategies for stakeholders' participation: The stocktaking will identify strategies for keeping the stakeholders involved throughout the process of the SNC. This will include understanding the opportunities that the participation of stakeholders in the SNC bring to incorporate climate change concerns in the institutions and policy process they represent or can influence
- Awareness raising and mainstreaming. The stocktaking can also be used as an opportunity to assess the level of awareness of national institutions, NGO's, government and general public in the area of climate change, and to design specific activities to identify major challenges and opportunities to mainstreaming climate change into National Development processes.
- Ensuring adequate consultations for the preparation of SNC project proposal and its implementation: Stakeholders' consultations may take place at 3 critical benchmarks in the preparation of the project proposal: i) at the initiation of the stocktaking work; ii) at the stage where identification of priorities for the SNC, and the proposed methodologies are set out; and iii) during discussions of the draft SNC project proposal. Depending on the scope of the discussions, different stakeholders may be brought in at different times of the stocktaking work.

Self-assessment report and TNC Project Proposal

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

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

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

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

- Ensure adequate linkages between the priority areas of the NC and the relevant sectoral priorities and planning processes

- Validate the stocktaking exercise and national priorities to be addressed by the SNC
- Agree on the institutional arrangements proposed for the preparation of the SNC
- Clarify the roles and responsibilities of the stakeholders to be involved and the likelihood that the stakeholder will play this role.
- Engage all the relevant stakeholders and ensure an adequate consultation mechanism for the SNC

The Stocktaking Consultant will conduct stakeholder consultations initially on an individual basis [or groups of experts on the basis of expertise, e.g. GHG inventory, mitigation, adaptation] with relevant stakeholders and facilitate a national stakeholder consultation to finalise the proposal. The National Stakeholder Consultation will gauge input from the stakeholders on key aspects of the SNC process, objectives of the SNC proposal, roles and responsibilities during implementation, and other issues pertinent to the SNC. Further, the stocktaking consultant will also liaise closely with members of the National Climate Change Task Force/Committee.

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

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

Stakeholder Institutions

- National Meteorological Agency (NMA)
- Ministry of Water Resources
- Ministry of Agriculture and Rural Development
- Rural Energy Development and Promotion Center
- Addis Ababa University
- Christian Relief and Development Association (CRDA)
- Ministry of Science and Technology
- Institute of Bio-diversity Conservation
- Ethiopian Agricultural Research Institute
- Ministry of Finance and Economic Development
- Civil society Organizations
- Ethiopian Mapping Agency
- Ethiopian Chamber of commerce

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

The national lead agency responsible for the oversight and implementation of the self-assessment exercise and project proposal is the *Environmental Protection Authority*. The involvement of the relevant stakeholders, and their support and commitment to the implementation of the proposed activities, will ensure the achievement of the overall outcome of the assessment.

5. PROJECT MANAGEMENT

The Project Management Unit Will be within the Environmental Protection Authority (EPA). There will be Technical Report Preparation Team (TNA) established by the project management unit. The Deputy Director of the EPA will be in charge of coordination of the project activities in close consultation with the Task Force/ Committee, Stocktaking Consultant and UNDP-(Ethiopia). The Deputy Director will provide over all project management and supervision to ensure that the stocktaking activities are in line with what were agreed /

approved by UNDP to facilitate the preparation of the SNC project proposal.(See enclosed guidance for the self assessment exercise)

A short-term consultant will be recruited to assist in carrying out the stocktaking exercise and prepare the SNC proposal. He/She will be provided with all the relevant sets of information that were gathered directly from concerned stakeholders (sources of information about relevant studies or activities), from the consultative workshops and from all available reports (e.g., INC, First NC Report etc.). The short-term consultant will prepare a draft report of the self-assessment and will elaborate to assist the team in the preparation of the draft SNC project proposal. These drafts will be presented to the stakeholders and the National Climate Change Task Force before finalization.

6. OUTPUTS

The main output of the stocktaking exercise is a project proposal for the preparation of the SNC. The expected specific outputs and corresponding activities to be carried out under the stocktaking exercise are the following:

Output 1: Planning and management of the stocktaking exercise

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

Output 2: Stocktaking related activities

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

Output 3: Stakeholder consultation

- Activity 3.1: Stakeholder analysis. This analysis will list all possible individuals and institutions that may be involved in the stocktaking exercise. It should list their possible role, the benefits of their involvement, and any possible challenges to their involvement.
- Activity 3.2: Stakeholder consultation. This consultation should be used to validate the methodology of selection for priority issues and new areas of action.
- Activity 3.3: Execution of a Workshop to validate the project proposal on SNC.
- Activity 3.4: Presentation of the National Communications process, issues and concerns for the self-assessment exercise. Reactions, comments and suggestions will be taken according to the proposed component of the SNC.
 - Drafting of a tentative workplan, with scheduled meetings to be held with stakeholders or tools to be used to keep them informed and involved.
 - Preparation of a report from the stakeholder consultation.

Output 4: Develop a project proposal for SNC

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

7. SUGGESTED TIMETABLE

Output /Activity	Weeks															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Output 1: Planning and management of the stocktaking exercise																
1.1 Preparation of a detailed workplan, including scope of work																
1.2 Inception workshop/consultation																
1.3 Preparation of TOR including expected results and deliverables, for the individual experts and Country Team, including approach and methodology to use during the stocktaking exercise.																
Output 2: Stock-take of the related activities																
2.1 Take stock of activities relevant to the National Communication and prepare a stocktaking matrix																
2.2 Identify gaps and uncertainties and propose new studies/ areas of work																
2.3 Development of prioritisation criteria and identification of priority areas to be addressed under the TNC																
2.4 Identify linkages and synergies with other projects																
2.5 Write a stocktaking report																
Output 3: Stakeholder consultation																
3.1 Stakeholder analysis: List of the stakeholders																
3.2 Meeting with stakeholders to validate the methodology, and areas of priority																
3.3 Workshop to validate the project proposal for the TNC																
3.4 Process of taking into account reactions, comments and recommendations <ul style="list-style-type: none"> • Drafting of a tentative workplan, with scheduled meetings to be held with stakeholders or tools to be used to keep them informed and involved • Preparation of the report from the stakeholder consultation. 																
Output 4: Develop the project proposal for the TNC																
4.1 Write the draft project document																
4.2 Circulate to stakeholders for comments, and additional workshop, if needed																
4.3 Submission of the project document for TNC to UNDP for comments																
4.4 Incorporation of UNDP comments into the TNC Project Document																