



United Nations Development Programme

Project Document template for projects financed by the various GEF Trust Funds

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Execution Modality: National Implementation Modality (NIM).	
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Brief project description: The project will assist the Government of Tonga to fulfil reporting requirements under the United Nations Framework Convention on Climate Change (UNFCCC) by preparing its Fourth National Communication (4NC) in accordance with its commitments as a non-Annex 1 Party. Furthermore, the project will strengthen human and institutional capacities in preparing National Communications (NCs), on a continuous basis, while also raising general knowledge and promoting awareness on climate change issues. Within the 4NC component of the project, information will be compiled on national circumstances, inventories of greenhouse gases (GHG) up to 2022, programmes containing measures to mitigate climate change and facilitate adequate adaptation, constraints, gaps and related financial, technical, and capacity-building needs and any other information. Information generated under the project will be used to support the development and implementation of policies and actions for achieving the government's national and international climate change commitments.

FINANCING PLAN

GEF Trust Fund grant	USD 500,000
(1) Total Budget administered by UNDP	USD 500,000

CO-FINANCIERS THAT WILL DELIVER PROJECT RESULTS INCLUDED IN THE PROJECT RESULTS FRAMEWORK (FUNDS NOT ADMINISTERED THROUGH UNDP ACCOUNTS)

(2) Total confirmed co-financing	-
(3) Grand-Total Project Financing (1) +(2)	USD 500,000

SIGNATURES:

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LIST OF ACRONYMS

AD	Activity Data
ADB	Asian Development Bank
AFOLU	Agriculture, Forestry and other Land Use
AWP	Annual Workplan
BUR	Biennial Update Report
BUR1	First Biennial Update Report
BTR	Biennial Transparency Report
BPPS	Bureau for Policy and Programme Support
CBD	Convention on Biological Diversity
CC	Climate Change
CCTF	Climate Change Trust Fund
CCTO	Climate Change Technical Officer
CH4	Methane
CMIP	Coupled Model Intercomparison Project
CO₂e	Carbon Dioxide equivalent
COP	Conference of Parties
CSO	Civil Society Organizations
DIM	Direct Implementation Modality
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EA	Enabling Activity
EIA	Environmental Impact Assessment
ENSO	El Nino Southern Oscillation
GCF	Green Climate Fund
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
GEF -TNA	Global Environment Facility Technology Needs Assessment
Gg	Giga Gram
GGGI	Global Green Growth Institute
GHG	Greenhouse Gas
GHGI	Greenhouse Gas Inventory
GIZ	Gesellschaft für Internationale Zusammenarbeit (German Society for International Cooperation)
GSP	Global Support Programme on National Communications and Biennial Update Reports
HCFC	Hydrochlorofluorocarbons
ICA	International Consultation and Analysis
INC	Initial National Communication
INDC	Intended Nationally Determined Contributions
IP	Implementing Partner
IPCC	Intergovernmental Panel on Climate Change
IPPU	Industrial Processes and Product Use
IUCN	International Union for Conservation of Nature
JNAP	Joint National Action Plan on Climate Change and Disaster Risk Management
LT-LEDS	Long-Term Low Emissions Development Strategy

LULUCF	Land use, land use change and forestry
MAFF	Ministry of Agriculture, Food and Forestry
MEIDECC	Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications
MIA	Ministry of Internal Affairs
MLNR	Ministry of Lands and Natural Resources
MORC	Ministry of Revenue and Customs
MRV	Measurement, Reporting and Verification
MTED	Ministry of Trade and Economic Development
M&E	Monitoring and Evaluation
MW	Megawatt
NC	National Communication
NCCC	National Climate Change Coordinator
NDA	National Designated Authority
NDCs	Nationally Determined Contributions
NEMO	National Emergency Management Office
NGOs	Non-Governmental Organizations
NIM	National Implementation Modality
NIR	National Inventory Report
NOx	Oxides of Nitrogen
N₂O	Nitrous Oxide
NSPAO	National Spatial Planning Authority Office
PFMA	Public Finance Management Act 2002
PICs	Pacific Island Countries
PMU	Project Management Unit
POPP	Programme and Operations Policies and Procedures
QA	Quality Assurance
QC	Quality Control
SBAA	Standard Basic Assistance Agreement
SDG	Sustainable Development Goals
SESP	Social and Environmental Screening Procedures
SIDS	Small Island Developing States
SNC	Second National Communication
SPREP	South Pacific Regional Environment Programme
SSTrC	South-South and Triangular Cooperation
TASP	Tonga's Agriculture Sector Plan
TERM	Tonga Energy Road Map 2010-2020
TFP	Tonga Forest Products
TNA	Technology Needs Assessment
TNC	Third National Communications
TSDF	Tonga Strategic Development Framework 2015-2025
WG	Working Group
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
UNDAF	United Nations Development Assistance Framework

UNDP	United Nations Development Program
UNEP	United Nations Environment Programme
UNPS	United Nations Pacific Strategy 2018 - 2022
V&A	Vulnerability and Adaptation
WEM	With Existing Measures
WAM	With Additional Measures
4NC	Fourth National Communication

II. DEVELOPMENT CHALLENGE

Tonga ratified the United Nations Framework Convention on Climate Change (UNFCCC) on 20 July 1998, the Kyoto Protocol on 14 January 2008 and the Paris Agreement on 21 September 2016. In accordance with relevant provisions of the Convention, Tonga as a non-Annex 1 party has submitted its Initial National Communication (INC) to UNFCCC on 21 July 2005, its Second National Communication (SNC) on 2 May 2012 and its Third National Communication (TNC) on 12 February 2020.

Since the ratification of the Convention, Tonga has achieved significant progress in developing key policies and sound institutional arrangements to guide its work on addressing climate change issues.

Based on the recommendation of the INC, Tonga has formulated and approved its Climate Change Policy in 2006. Following an extensive consultation process, the document was revised in 2015 and provides now a vision and an overarching framework for direct response to climate change with clear policy objectives to achieve a 'Resilient Tonga by 2035'.

Tonga as a Small Island Developing State (SIDS) is extremely vulnerable to the adverse impacts of climate change and disaster risks. Recognizing that these risks and impacts are posing great threat to the sustainable development of the country, the Government of Tonga has integrated them as high priorities into national planning and development processes and documents including the Tonga Strategic Development Framework 2018-2028 (TSDF II).

As an integrated part of Tonga's SNC project, the first Joint National Action Plan on Climate Change and Disaster Risk Management (JNAP 1) was developed and released in 2010 with the aim of supporting the implementation of the Climate Change Policy and addressing the serious threats and impacts climate change and natural disasters are posing on the environment and lives of peoples of Tonga. It highlights national and community priority goals and activities to be implemented to enable the people and environment of Tonga to adapt to the impacts of climate change and to mitigate disaster risks.

Tonga's Second JNAP (JNAP2) was endorsed by the Government in 2018 providing a coherent approach to building disaster resilience and strategic actions for climate change and disaster management initiatives for the period of 2018-2028. The JNAP2 is aligned with relevant sector policies and plans, as well as community and island strategic development plans and consistent with regional and international development frameworks and agreements such as the Framework for Resilient Development in the Pacific, the Sendai Framework, the Paris Agreement, and the Sustainable Development Goals.

To support the fulfilment of the objectives of the Convention, Tonga has submitted its Intended Nationally Determined Contributions (INDC) on 4 December 2015, which recognizes that climate change is the single biggest issue that will determine the future of Tonga over the coming decades and will require a '*whole of Tonga*' level of cooperation and coordination. As 2020 was the year to communicate a new or updated NDC per request of the Paris Agreement, Tonga was among the few countries, that has already fulfilled its obligation and submitted a second NDC to UNFCCC on 9 December 2020.

Although Tonga's contribution to the global greenhouse gas emissions is negligible (total of 310.4 Gg CO₂-equivalent in 2006 according to the TNC), the country has pledged ambitious targets in its second NDC to limit the negative effects of climate change in context of both mitigation and adaptation:

- "Energy: 13% (16 Gg) reduction in GHG emissions by 2030 compared to 2006 through a transition to 70% renewable electricity as well as energy efficiency measures.
- AFOLU: establishment of a forest inventory as prerequisite to identify a GHG emission target for the 2025 NDC and planting one million trees by 2023.
- Waste: expansion of the formal waste collection system as prerequisite to identify a GHG emission target for the 2025 NDC.
- 30% of land in Tonga utilized for agro-forestry or forestry by 2025,

- Prevent any permanent loss of land to rising sea levels on Tonga’s four main islands (i.e., Tongatapu, Ha’apai, Vava’u, and ‘Eua),
- Maintenance of the existing stocks of fish and other marine species through a commitment to expand the area covered by Marine Protected Areas (MPAs) and Special Management Areas (SMAs) to 30% of the Tonga’s Exclusive Economic Zone (EEZ).¹”

In line with its second NDC, Tonga has also been developing its first Long Term – Low Emissions Development Strategy (LT – LEDS) aiming to support the shift of the country to a low-carbon pathway, while setting up realistic and achievable targets and actions. It is expected that the LT-LEDS will be submitted to UNFCCC in 2021.

Further to the above, sectoral policies and plans have already been in place and supporting the achievement of Tonga’s climate objectives including the Tonga Energy Road Map (TERM) 2010-2020. Tonga, like many other SIDS in the Pacific is heavily reliant on imported diesel in meeting its energy demands. In line with Tonga’s NDC targets, the Government has formulated TERM as a ten-year road map to reduce Tonga’s vulnerability to oil price shocks and to achieve an increase in quality access to modern energy services in an environmentally sustainable manner.

To provide a policy framework and plans of actions to “increase and sustain resilient agriculture livelihoods” Tonga’s Agriculture Sector Plan (TASP) was launched in 2016 with four strategic objectives of 1) developing a climate resilient environment; 2) improving the enabling environment; 3) developing diverse, resilient farming systems for the Kingdom’s islands; and 4) increasing and sustaining rural incomes across the Kingdom.

Since becoming a party of UNFCCC, Tonga has also implemented a wide range of climate change mitigation and adaptation programmes and projects throughout its islands. These include the construction of photovoltaic (PV) power plants, the rehabilitation of electricity distribution networks, implementing energy efficiency measures, climate proofing of schools, building evacuation roads, coastal protection works, Tsunami risk management and education, training and awareness programmes.

The Climate Change Trust Fund (CCTF) of Tonga was established by the Cabinet on 17 May 2013, pursuant to the Public Finance Management Act 2002 (PFM Act) and is currently managed by the Department of Climate Change, MEIDECC. The purpose of the CCTF is to finance small community-based climate adaptation and mitigation projects and fund the climate component of non-community-based projects. The vision through the CCTF is to enable all communities to strengthen their coping capacities by ensuring they have completed ownership of their projects, and to ensure that all communities are given the flexibility to design, implement, and steer the priorities, and future development of their communities. The CCTF was initially endowed with a Strategic Climate Fund (SCF) grant in the amount of USD \$5 million, disbursed by Asian Development Bank (ADB), then evolved as an important component of the ADB funded Climate Resilience Sector Project, which targeted the achievement of specific sectors and goals for community resilience prioritized under Tonga’s JNAP1.

To facilitate the implementation of the Climate Change Policy, JNAP and NDC and to coordinate all climate change programmes and projects the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC) was established in 2014. MEIDECC is also the designated operational focal point to the UNFCCC, Global Environment Facility and the Kyoto Protocol.

The process of developing National Communications in Tonga throughout many years has strengthened institutional arrangements, national capacities, partnerships, and cooperation with related sectors. It has raised general knowledge, increased involvement of all relevant stakeholders and enhanced awareness on climate change and its impacts. Furthermore, the preparation of the TNC report also contributed with significant data and information to the formulation of Tonga’s INDC, second NDC, Climate Change Policy 2016, JNAP 2, Tonga GCF Country Programme and various project proposals.

¹ Government of Tonga: Tonga’s Second Nationally Determined Contribution (NDC). December 2020.

On the other hand, the recently completed TNC work and the review process of Tonga's NDC have also identified several gaps and challenges in the climate change reporting process including lack of reliable data in several sectors (e.g., AFOLU and Waste) that should be addressed by the 4NC project and other initiatives based on the following recommendations:

- To improve the quality of the AFOLU (LULUCF in TNC) inventories, the TNC has recommended to enhance data collection methods (e.g., Agriculture Census, weekly market survey templates to include wood utilization such as firewood) and human capacities especially in the Ministry of Agriculture, Food and Forestry (MAFF) and Tonga Forest Products (TFP) to manage and analyse AFOLU data along with the establishment of an AFOLU database. Furthermore, Tonga's second NDC included a non-emission target of establishing a forestry inventory to improve clarity and transparency for the sector and to support the inclusion of a quantifiable GHG emission target for AFOLU in Tonga's 2025 NDC.
- To minimize the level of uncertainties and gaps in the waste sector, it has been recommended that: 1) waste studies should be done on an annual basis and include outer islands; 2) the Department of Environment should coordinate data collection and storage with relevant stakeholders; 3) long/short term trainings are required to address capacity needs in data collection and management. Furthermore, Tonga's second NDC has set a target of expanding the formal waste collection system that would also improve the transparency and clarity regarding assumptions and methodologies used to calculate GHG emissions from waste.
- Considering the absence of high-emitting industries in Tonga and lack of reliable data, the Industrial Processes and Product Use (IPPU) sector was not part of the Inventory of the TNC, but it has been recommended to improve the data collection process of the IPPU sector and include it in the inventories of the 4NC.
- To allow easier monitoring, archiving, dissemination of data on key hazards and vulnerabilities, information systems shall be developed at sector and at national levels. Mapping of tools in use and the application of multi-risk assessment should inform policy support of cost-effective approaches of V&A assessment.
- One of the major issues relating to better understanding the impacts of climate change on water resources in rural and outer Islands is the lack of knowledge regarding the extent (magnitude, size and behaviour) of the groundwater systems. There is a critical need to carry out a water resource assessment for all islands in Tonga to establish the amount of water that is available and accessible.
- Very little information is available on the impacts of climate change on human health in Tonga, thus it is recommended to undertake research on the impacts of extreme weather events, temperature changes, floods on health and the connection to vector borne diseases, diseases related to air pollution and diarrheal diseases and identify current and future adaptations options to reduce the burden of disease.

III. STRATEGY

The primary objective of the project is to assist the Government of Tonga in the preparation and submission of its Fourth National Communication (4NC) for the fulfilment of the obligations under the United Nations Framework Convention on Climate Change (UNFCCC).

In accordance with Article 12, paragraph 1 of the Convention and consistent with the revised UNFCCC guidelines (decision 17/CP.8²), the Fourth National Communication will provide the following elements of information:

- A national inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, to the extent its capacities permit, using comparable methods to be promoted by the Conference of the Parties.
- A general description of steps taken or envisaged by the non-Annex I Party to implement the Convention.
- Any other information the non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its communication.

Overall goal of the project is to strengthen technical and institutional capacities of Tonga in preparing and submitting national communications and biennial update/transparency reports on a continuous basis in line with the GEF7 climate change objective CCM3: Foster enabling conditions to mainstream mitigation concerns into sustainable development strategies.

The expected outcomes of the project are:

1. Tonga's Fourth National Communication is prepared and submitted to UNFCCC September 2025.
2. Improved awareness and understanding of project results and transparent project execution realized.

The activities under the 4NC project will strongly build on the work that had been carried out during the preparation of TNC and addresses concerns, gaps and difficulties encountered under the TNC work.

The project will continue to raise general knowledge and promote awareness on climate change and its effects. It will also enhance the visibility of climate change on the national agenda through strengthened cooperation and increased involvement of all relevant stakeholders in the process. The information generated through the project will assist strategy and policy development and to facilitate policy dialogue, capacity building, mainstreaming climate change mitigation and adaptation in sectoral policies and national development plans and the design of climate change programmes and projects. Moreover, the proposed project will further strengthen the capacity of national institutions in related research and analysis eventually contributing to Tonga's efforts to reducing the impacts of the global environmental threat of climate change. Documents (reports, analyses, studies etc.) produced under the project will be used by the decision-makers for preparing and implementing guidelines and policy action framework for achieving the government's national and international commitments. It will also assist Tonga to prepare for transitioning to the Enhanced Transparency Framework and create an enabling policy environment for a domestic Measurement, Reporting and Verification system essential for the implementation of the Paris Agreement.

² <https://unfccc.int/resource/docs/cop8/07a02.pdf#page=2>

IV. RESULTS AND PARTNERSHIPS

Expected Results:

Fourth National Communication (4NC)

1.1. National circumstances and institutional arrangements in relation to climate change and national development priorities assessed with gender disaggregated data provided.

Information will be collected and analysed on national and regional development priorities, objectives and circumstances that serve as the basis for addressing climate change. Such information on the national circumstances is critical for understanding a country's vulnerability and its adaptive capacity to the adverse effects of climate change, as well as its capabilities for addressing its GHG emissions within the broader context of sustainable development.

More specifically, information will be presented on features of the national geography (e.g., climate, forests, land use and other environmental characteristics), population (e.g., growth rates, distribution and density) economy (key sectors of energy, transport, industry, tourism, agriculture, fisheries, waste and health) education (including scientific and technical research institutions), which may affect Tonga's ability to deal with mitigating and adapting to climate change. The policy framework pertaining to climate change in Tonga, relevant strategies, policies, sectoral plans, and legislations (including Tonga's Climate Change Policy, NDC, JNAP2 and Tonga LT-LEDS) will also be assessed and presented.

In addition, information on institutional arrangements relevant to the preparation of national communications including the distribution of responsibilities and working arrangements within government departments and other relevant organizations, the roles and responsibilities of technical working groups, climate change coordinating bodies (e.g., Standing Committee on Environment and Climate Change) will be collected. Furthermore, arrangements and processes on stakeholder participation and involvement in the preparation of national communication and climate change policies and measures will be compiled.

Gender aspects will be captured through presenting gender and climate change relevant information based on various gender disaggregated data and activities arising from National Gender Policy, GSP Gender guidelines, as well as COP23 adopted Gender Action Plan.

1.2 National GHG Inventory updated from 2007 to 2022 for the Energy, AFOLU, IPPU and Waste sectors and human, scientific, technical, and institutional capacity to undertake a GHG inventory strengthened.

Under the TNC, a National GHG Inventory for the period of 2000 – 2006 was prepared by using the Non-Annex 1 Inventory software (NAIIS) web application, the revised 1996 IPCC and 2006 IPCC guidelines and IPCC Inventory Software. The Inventory has covered the sectors of Energy, Agriculture, Land Use, Land Use Change and Forestry (LULUCF) and Waste.

The 4NC will extend the timeframe of the GHG Inventory up to 2022 for the Energy, AFOLU, Waste sectors and include IPPU as a new sector that has not been part of previous inventories, in accordance with the 2006 IPCC Guidelines and with the 2019 Refinement of the 2006 IPCC Guidelines to the extent possible.

More specifically the following activities are envisaged under this Output:

- Establishment of a network of contacts for accessing data and designing a system for data management for each sector of the inventory.
- Undertaking Key Source Analysis to determine priority areas of inventory work (e.g. those sources and sinks are more significant in terms of their contribution to national GHG emissions so that resources and efforts are prioritized).

- Reviewing and improving previous GHG Inventory through the introduction of country-specific TIER II and TIER III methodologies including improved documentation and archiving.
- Identifying and collecting activity data for the preparation of inventory up to 2022 for the following sectors: Energy, AFOLU, IPPU and Waste and selecting the emission factors to be utilized.
- Selection of emission factors to be utilized and determining if establishment of country specific emission factors for Tonga is feasible.
- Undertaking surveys for the base year and the years to be considered if no activity data is available and developing methods for overcoming inventory data gaps. Specific institutions and/or individuals may be interviewed for the purpose of getting of compiling data and ensure support
- Carrying out greenhouse gas emission calculation as per 2006 IPCC Guidelines and 2019 Refinement of the 2006 Guidelines for National GHG Inventory in the four sectors of emissions and removals for period of 2007 – 2022 by using the 2020-updated version of the IPCC GHGI software.
- Calculating the level of uncertainty associated with the inventory data for each considered sector using the IPCC Good Practice Guidance, to help prioritize efforts to improve the accuracy of future inventories and guide decisions on methodological choice.
- Developing and Implementing Quality Assurance/Quality Control (QA/QC) procedures based on the IPCC Good Practice Guidance on National GHG Inventories and Uncertainty Management.
- Assessment of existing mechanisms for data collection, harmonization, and centralization of GHG relevant data and the preparation of GHG inventories.
- Compiling recommendations for improving existing mechanisms and strengthening institutional frameworks and data management systems including archiving systems for all the four sectors.
- Establish a regular GHG Inventory-cycle to support the institutionalization of the inventory process in the work of relevant ministries, agencies and technical working groups and to ensure its long-term sustainability.
- Preparation of the National Inventory Report

To implement the abovementioned activities the following methodologies and sources of information will be considered under the preparation of 4NC:

- 2006 IPCC Guidelines for National Greenhouse Inventories and the 2019 Refinement of the 2006 IPCC Guidelines.
- IPCC Inventory Software and User Manual Version 2.691 (2020 Edition).
- Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventory (2000) as the reference and standards for performing inventory estimates in the present work.
- IPCC Emission Factor Database (EFDB).
- The 2003 UNFCCC User manual for the guidelines on national communication from non-Annex I Parties.
- UNFCCC Resource Guide for the preparation of national communications from non-Annex 1 Parties - Module 3 National Greenhouse Gas Inventories.
- Field surveys, depending on need to compile or verify data for the inventory calculation.
- Self-Completion Questionnaire to be sent to concerned institutions that can provide activity data.
- Default IPCC spread sheets of GHG inventory.

1.3 Tonga's vulnerability to the adverse impacts of climate change assessed and disaggregated by sectors, socio-economic categories and gender and information on programmes containing measures to facilitate adequate adaptation compiled.

In the TNC, Tonga has presented detailed information on specific climatic parameters and risks (rainfall, temperature, wind, tropical cyclones, sea surface temperature, sea level and El Niño Southern Oscillation (ENSO) and results of vulnerability assessment for the following sectors: Agriculture, Fisheries, Coastal areas, Water Resources, Lands and GIS, Disasters, Infrastructure, Biodiversity and Health. Furthermore, information on adaptation measures for each vulnerable sector were provided.

Based on the work carried out under the TNC, the impacts of climate change on socio-economic sectors, natural and physical environment, ecosystems and human health will be further assessed in the 4NC, taking into account revised climatic scenarios, projections and risks for Tonga. Furthermore, detailed information on the activities, measures and programmes that are being undertaken or planned in the country to adapt to climate change at national and community levels will be presented.

More specifically the following activities will be carried out under this output:

- Review and update of climatic scenarios for Tonga including past, present and future projections and climate risks up to 2030, 2055 and 2090 for air and sea surface temperature, intensity and variability of seasonal rainfalls, sea level, ocean acidification, frequency of tropical cyclones by using CMIP3 climate models.
- Identification of the most critical vulnerable areas and sectors based on the exposure and sensitivity to the climate risks.
- Assessment of the impacts of climate change on the vulnerable sectors and analysis of their current adaptive capacities.
- Assessment of vulnerability and recommendation for greater resilience of women and men to climate change, including the mainstreaming of gender in risk assessments, ensuring that the analyses on vulnerability and adaptation highlight differentiated impacts on women and men, monitoring gender representation in capacity-building activities on Vulnerability and Adaptation (V&A) and the implementation of the Gender Analysis and Action Plan.
- Conducting sector specific vulnerability studies and impact assessments responding to the recommendation of the TNC (e.g., water resource assessments, impacts of climate change on health, food security, infrastructure, and coastal protection).
- Identification of adaptation options including relevant technological applications in the vulnerable sectors and their cost-benefit analysis, barriers, and opportunities for the identified adaption measures.
- Synthesis of existing analyses on policy frameworks, such as the Climate Change Policy, JNAP2, second NDC and other sectoral and community development plans and policies for developing and implementing adaptation strategies and measures.
- Outlining the steps and concrete actions taken by the government, NGOs, and communities to facilitate adaptation in different sectors.

The IPCC technical guidelines on vulnerability and adaptation assessment and the following derived methodologies will be considered while implementing the abovementioned activities:

- The UNEP Handbook on Methods for Climate.
- Change Impacts Assessment and Adaptation Strategies.
- International Handbook on Vulnerability and Adaptation Assessment.
- The 2003 UNFCCC User manual for the guidelines on national communication from non-Annex I Parties.
- UNFCCC Resource Guide for the preparation of national communications from non-Annex 1 Parties - Module 2 Vulnerability and Adaptation to Climate Change.
- UNDP Adaptation Policy Framework.

The activities of the V&A assessment will be strongly coordinated with and rely on other climate change adaptation projects especially the GCF NAP project that is supporting capacity building for effective adaptation planning in Tonga at national, sectoral, community levels including in Outer Islands. Beyond strengthening institutional framework and coordination of the NAP process, the project is also focusing on developing methodologies for analysing impacts and vulnerabilities and improving data management systems for adaptation planning.

1.4 Tonga's mitigation potential assessed and information on programmes containing measures to mitigate climate change compiled in alignment with relevant national priorities and Nationally Determined Contribution (NDC) cycle.

The TNC has provided detailed analysis of past and on-going mitigation activities and potential mitigation options for Tonga with 2006 as base year of information. The mitigation assessment was strongly linked to the NGHGI and provided mitigation analysis for the four sectors presented in the Inventory: Energy, Agriculture, LULUCF and Waste. The 4NC will assess the mitigation potential of Tonga in key sectors including IPPU that was not part of previous assessments and analyse on-going and planned programmes and measures which contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol.

More specifically, the following activities will be carried out under this Output:

- Reviewing and analysing national and sectoral targets, policies and programmes containing measures to mitigate climate change (e.g., Climate Change Policy, Tonga's Second NDC, TERM+, Tonga Energy Efficiency Master Plan, National Forest Policy, Agriculture Sector Plan, Waste Management Plan and HCFC Phasing Out Management Plan) and their progress.
- Identifying additional mitigation options and planned measures in the four key sectors of Energy, AFOLU, IPPU and Waste and additional areas including seagrasses and other coastal plants with barriers and opportunities presented for each identified option and planned measures.
- Assessing available technologies for the different mitigation options in various sectors, including cost-benefit analysis.
- Revising and updating the mitigation scenarios (baseline, WEM and WAM) for the period of 2022– 2030 for the four key sectors of Energy, AFOLU, IPPU and, Waste by using available data from the GHG inventory, mitigation options and measures identified, as well as socio-economic parameters.
- Assessing Tonga's mitigation potential in the four key sectors of Energy, AFOLU, IPPU, Waste and in additional areas including seagrasses and other coastal plants.
- Preparing financially sound mitigation project profiles for implementation in the four key sectors of Energy, AFOLU, IPPU and Waste to attract public and private interest.

1.5 Constraints, gaps, and related financial, technical, and capacity building needs are identified.

In this section of the 4NC, constraints, gaps, and related financial, technical and capacity building needs associated with the implementation of climate change activities, measures and programmes, and with the preparation and improvement of national communications will be analysed and presented.

Moreover, existing and proposed activities for overcoming the above gaps and constraints, as well as financial resources and technical support needed for the preparation of the national communications and for the implementation of climate change activities including the need for technology needs assessment for mitigation and adaptation building will be analysed.

Finally, while identifying financial, technical, and capacity building needs a pipeline of project proposals for financing will also be developed under this output.

1.6 Other information relevant to the achievement of the objective of Convention compiled.

Any other information relevant to achievement of the objective on the Convention will be collected and presented within this output including:

- Steps undertaken to integrate climate change into relevant social, economic, and environmental policies and actions including:
 - Linkages between the national communication process and national development priorities.
 - Efforts to integrate climate change considerations into social, economic, and environmental policies and actions.

- Enhanced institutional arrangements to create a sustainable national communication process.
- Indicators to evaluate the impacts of the national communication process at different levels.
- Activities relating to technology transfer and development including:
 - Technology needs assessment and deployment of technologies.
 - Database established on environmentally sustainable technologies.
 - Technology information networks established.
 - Human, scientific, technical, and institutional capacity strengthened.
- Climate change research and systematic observation programmes and activities including:
 - Measures and recommendations to improve national programmes for research and systematic observation.
 - Activities related to participation in global research and observation systems.
 - Identification of needs and priorities for climate change research and systematic observations.
 - Research programmes containing measures to mitigate climate change; facilitating adequate adaptation to climate change; and containing activities related to the development of emission factors and activity data.
- Education, training, and public awareness related to climate change including:
 - Initiatives to increase awareness and understanding of climate change issues.
 - Initiatives and programmes for education, training, and public awareness.
 - Institutional framework for public participation in climate change activities.
 - Co-operation to promote education, training, and public awareness.
 - Gaps, needs and priorities identified in climate change education, training, and public awareness.
- Capacity building activities and efforts to promote information-sharing among and within countries and regions including:
 - Identification of specific needs, options, and priorities for capacity building to address climate change issues.
 - Participation of wide range of stakeholders (including youth and disadvantaged group) in issues related to climate change.
 - Activities related to co-ordination and sustainability of capacity building activities.
 - Dissemination and sharing of information on capacity building activities.
 - Capacity building activities aimed at integrating adaptation into medium and long-term planning, policies, and legislations.
- Measures to promote information exchange and networking including:
 - Activities to promote information sharing.
 - Participation in, and contribution to information networks.

1.7 Training and capacity building workshops organized for institutional actors, technical working groups, national and local stakeholders targeting at least 50% female participation and including women only consultations.

To strengthen institutional capacities, skills and knowledge of national staff and stakeholders in measuring and reporting climate change actions and with the aim of easing reliance of external experts, training and capacity building activities will be integrated part of the project. In relation to the GHG inventory process, trainings will be organized on data collection, analysis, indicators, the use of 2006 IPCC guidelines on national greenhouse gas inventories, the 2019 refinement of the 2006 IPCC guidelines, the IPCC good practice guidance on the National GHG inventories and Uncertainty Management, the IPCC Good Practice Guidance on Land use, land-use change and forestry and implementing and maintaining a National Greenhouse Gas Inventory system.

Furthermore, specific capacity building activities will be implemented to support vulnerability analyses and the inclusion of gender in climate change policies and actions.

Training and capacity building will be envisaged in the use of appropriate technologies, methodologies, and tools for assessment of mitigations and adaptation options and development of mitigation scenarios particularly in sectors with significant mitigation potential. All trainings and capacity building activities will aim to reach at least 50% female participation.

Upon finalization of the relevant outputs, the Fourth National Communication on Climate Change will be compiled according to the requirements and formats established by the UNFCCC Secretariat and will be submitted to UNFCCC September 2025.

Knowledge Management, Monitoring and Evaluation

2.1 The project regularly monitored, financial and narrative reports prepared, and lessons learned compiled.

In line with its M&E Plan, the project will be regularly monitored. Beyond evaluating the performance of the project and preparing financial and narrative reports, it will be also assessed how new procedures, methodologies and skillset learned through the project have been institutionalized.

2.2 Inception Workshop organized.

A Project Inception Workshop will be held within the first two months of the project start with national partners that have assigned roles in the project organization structure and other key national and regional stakeholders. The Inception Workshop will build ownership among stakeholders by involving them in project implementation and will also facilitate the planning of the first-year annual work plan.

2.3 Regular stakeholder consultations organized to increase public awareness and transparency on project activities and validate project outputs.

The project will regularly disseminate project results, through various outreach materials, networks (leaflets, newsletters, TV, radio, newspaper, internet) and by the awareness raising programme of the Department of Climate Change. Furthermore, the project will organize regular stakeholder consultations to ensure that the project is being implemented in a transparent way, establish feedback-mechanism, and validate project outputs. To support the participation of a wide-range of stakeholders and reflect possible restrictions of movement, it is envisaged to develop a digital platform to enable virtual consultation and focus-group discussions over project implementation and results.

2.4 Gender Analysis and Action Plan prepared.

During the Inception phase of the project, a detailed Gender Analysis and Action Plan will be prepared with the aim of identifying steps and actions to integrate Gender in project activities and outputs. The Gender Analysis and Action Plan will also clarify roles and responsibilities of the project management team, technical working groups, institutional actors, and other stakeholders.

2.5 End of Project report prepared, and lessons learnt compiled.

To summarize project results, lessons-learned, challenges and constraints, a Project Terminal Report will be prepared during the last three months of the project. The Project Terminal Report will also compile recommendations for the subsequent National Communication and Biennial Transparency Report projects.

Partnerships:

The project will seek to explore synergies with other on-going and planned climate change projects and initiatives to increase effectiveness and enhance consistencies and complementarity while contributing to the achievement of various national development priorities.

Furthermore, the project will build on other GEF support received for the preparation of national reports under various Conventions (CBD, UNCCD), as well as other initiatives, such as the UNEP GEF 7 – Technology Needs Assessment (TNA) process. It is expected that knowledge, capacity, and information generated from these initiatives will greatly assist and facilitate the completion of this project. Furthermore, the activities and the outputs of 4NC project will also support the development of new strategies, policies, programmes and projects and the implementation of existing initiatives.

In more detail, the implementation of the 4NC project will have strong linkages with and build on the information generated by the following development strategies and plans and on-going and planned climate change projects:

Development strategies and plans:

- Tonga’s Strategic Development Framework (TSDF II) for 2015-2025.
- Tonga’s Second Nationally Determined Contribution (NDC, 2020).
- Tonga’s Climate Change Policy 2016
- Second Joint National Action Plan on Climate Change and Disaster Risk Management 2018-2028 (JNAP 2).
- Tonga Climate Change Fund Bill, 2021
- Tonga Low Emission Development Strategy 2021-2050.
- Tonga NDC Implementation Roadmap and Investment Plan with Project Pipeline.
- HCFC Phasing Out Management Plan (HPMP).
- Tonga Energy Road Map (TERMPLUS), 2021-2035
- Tonga’s Energy Efficiency Master Plan (TEEMP), 2020.
- National Women’s Empowerment and Gender Equality Tonga Policy and Strategic Plan of Action 2019 - 2025.
- Tonga Agriculture Sector Plan (TASP) 2016 - 2020.
- National Health Strategic Plan 2015 - 2020.
- National Forest Policy 2009.
- National Water Policy 2011.
- Integrated Water Resources Management Plan.
- National Infrastructure Investment Plan 2013 – 2023 (NIIP 2).
- National Emergency Management Plan 2009.
- National Drought Response Plan 2015
- National Tsunami Plan 2012.
- Tropical Cyclone Emergency Response Plan.
- National Biodiversity Strategy and Action Plan (NBSAP).
- National Marine Spatial Plan
- Nuku’alofa Urban Development Plan.
- Tonga Tourism Sector Roadmap
- Fisheries Management Act.
- Fisheries Sector Plan.
- Integrated Waste Management Strategy.

- Community Development Plans.
- District Development Plans.
- Island Development Plans.
- United Nations Pacific Strategy 2018-2022.

On-going and planned climate change projects:

- EU – GCCA+ SUPA Project: scaling up climate change adaptation efforts in the following sectors: water, food, health, marine resources, and coastal protection in nine PICs.
- Tonga-GCF NDA Strengthening and Country Programming Phase 2 Project: delivering medium and long-term programmatic capacity building targeting the National Designated Authority (NDA) towards strengthened institutional capacity and coordination mechanisms to govern and coordinate climate action and finance in Tonga, including monitoring climate finance flows.
- Tonga-GCF National Adaptation Planning (NAP) Project: supporting the Government of Tonga to advance its NAP planning process through its JNAP2 framework by building on existing capacities and enhancing institutions already in place at national, sectoral, community levels as well as the outer islands for adaptation planning.
- Pacific Adaptation to Climate Change and Resilience Building project (PACRES): supporting regional and national adaptation and mitigation responses to climate change challenges by improving information sharing and developing national capacity to address climate change and build disaster resilience through enhanced training, studies and research opportunities.
- Pacific ICLIM: supporting the implementation of a regional approach to climate change information and knowledge management (IKM) throughout the Pacific.
- EU-GIZ - Adapting to Climate Change and Sustainable Energy (ACSE) Programme: strengthening PICs capacities to adapt to the adverse effects of climate change and enhance their energy security at the national, provincial, and local/community levels.
- USAID Climate Ready Project: supporting the drafting and implementation of policies to achieve national adaptation goals, to access and manage international sources of financing for resilience projects and improve capacities and systems to better manage and monitor resilience projects.
- Pacific Resilience Program (PREP) – World Bank: strengthening early warning, resilient investments, and financial protection.
- ClimateWorks Australia (CWA) and Global Green Growth Institute (GGGI) supporting the development of Tonga's Long-Term Low Emission Development Strategy (LT-LEDS).
- Outer Islands Renewable Energy Project (OIREP) to construct solar photovoltaic (PV) power plants in outer islands in Tonga and rehabilitate electricity distribution networks in some of the main islands.
- Climate Technology Centre and Network Projects (CTCN): Revision of Tonga's Energy Efficiency Master Plan and Biogas Feasibility Study.
- Pacific Appliance Labelling and Standard Project (PALS): drafting a Minimum Energy Performance Standards and Labelling (MEPSL) Regulation to standardize appliance imports to Tonga.
- Tonga Village Network Upgrade Project (TVNUP): upgrading power distribution networks on Tongatapu.
- Pacific Environment Community Fund Project (PEC Fund): supporting the use of renewable energy powered facilities in remote communities including the establishment of solar powered water pumping systems for rural villages and solar powered freezers for remote islands.
- PIGGAREP PLUS Project: establishing and operating 14 solar water pumps in rural villages of Ha'apai thus improving the accessibility to clean energy resources and reducing carbon emissions from fossil fuels.
- Promoting Energy Efficiency in the Pacific Phase 2 (PEEP 2) Project: implementing energy efficiency measures in order to reduce energy consumption in the residential, commercial and public sectors, and to

establish the policy and implementation frameworks to move towards the goals of reducing fossil fuel imports and GHG emissions.

- Tonga Renewable Energy Project (TREP) under the Pacific Islands Renewable Energy Investment Program (project funded by the Green Climate Fund): delivering utility-scale storage systems to provide base load response and grid stability paving the way for more renewable energy integration in the main island, while installing green mini-grids in outer islands.
- GEF 7 - Technology Needs Assessments (TNA) Phase IV: supporting the preparation of new or updated and improved TNAs for prioritized technologies that reduce GHG emissions and facilitate adaptation to climate change in line with Nationally Determined Contributions and national sustainable development objectives.

Risks:

Several challenges that have been identified during the national communication process including the lack of data availability, technical and institutional capacity constraints, insufficient consultations and coordination among sectors and stakeholders are posing potential risks to the timely completion of the project and achieving project results. Furthermore, it is expected that restrictions imposed by COVID-19 may also affect at least the early phase of project implementation.

Over the past years, Tonga has been taking significant efforts to mitigate technical and institutional constraints by increasing its capacities to plan, implement and monitor its climate change actions, including the establishment of a Mitigation and Climate Change Reports Division under the Department of Climate Change with dedicated staff supporting the preparation of NCs, and BTRs in the future. Furthermore, while working on a wide range of climate change projects, Tonga has established an extensive network of national and international partners and experts available to support the 4NC project with relevant technical assistance. The PMU and MEIDECC will also strongly coordinate with all the stakeholders that have been identified during the project preparation phase and involve them in the operation and consultations of thematic working groups and project capacity building activities. To mitigate COVID-19 related risks, the project will prioritize the recruitment of national experts and local companies and apply on-line methods and tools to support information sharing, project management and virtual consultations.

With regards to social and environmental risks, it should be noted that project is exempted from the Social and Environmental Screening Procedure (SESP) as its function and activities correspond to the following exemption criteria of the SESP guidelines:

- a) Preparation and dissemination of reports, documents, and communication materials (preparation, printing and submission of Fourth NC to the UNFCCC) and
- b) Organisation of an event, workshop, training (Inception Workshop, stakeholder consultations, validation workshops, etc.).

Even without screening, UNDP's Social and Environmental Standards remain relevant. The implementation of the project will not imply any stress or damage to the environment, marginalized groups, neither will cause deterioration of the social and/or environmental situation in Tonga. The design of the trainings and workshops will reflect application of human rights principles, gender equality and women's empowerment, and environmental sustainability in order to meet UNDP's Social and Environmental Standards.

For further information on project related risks, please refer to the detailed risk log included in Annex 6.

Stakeholder engagement and South-South cooperation:

Stakeholder involvement and consultation processes are critical to the success of the project. An effective engagement of key stakeholders is envisaged during project preparation, implementation, monitoring and evaluation to enhance ownership of the NC processes and make these reports more responsive to national needs.

The project intends to strengthen stakeholder's involvement to collectively participate in addressing climate change issues and challenges in Tonga.

The project design phase has been building on existing institutional and stakeholder consultation mechanisms established during the TNC project and development of national and sectoral policies and plans (e.g., Climate Change Policy, Second NDC, JNAP2, TERPLUS). The stakeholders that have already been identified are coming from a wide range of backgrounds, including line ministries and agencies, community development organizations, NGOs, private sector, regional and international organizations. Furthermore, the project will seek to identify and engage new stakeholders during the inception and implementation phases.

For more information on stakeholders that have been identified and their roles in the project, please refer to the preliminary stakeholder engagement plan included in Annex 8.

Learning opportunities and technology transfer from peer countries will also be explored during project implementation. To present opportunities for replication in other countries, the project will codify good practices and facilitate dissemination through global ongoing South-South and global platforms, such as the UN South-South Galaxy knowledge sharing platform and PANORAMA.

UNDP has a strong role to play as knowledge broker, capacity development supporter and partnership facilitator when developing countries work together to find solutions to common development challenges. South-South and Triangular Cooperation (SSTrC) is a necessity to ensure an inclusive global partnership towards sustainable development. The project will support and encourage SSTrC to ensure knowledge exchanges, technology transfers, peer support, and neighbourhood initiatives, as well as countries forming common development agendas and seeking collective solutions.

The project will explore possibilities for South-South cooperation within the framework of the sectoral and intergovernmental networks in which Tonga participates, both related to adaptation and mitigation, and to the elaboration of National Inventories of Greenhouse Gases. In particular, through South-South cooperation, the country will be able to optimise the development of national capacities and/or the incorporation of specific technologies that contribute to a significant improvement in the implementation of adaptation and mitigation actions. In return, Tonga may support other countries in the implementation of other initiatives.

Under the guidance and exchanges facilitated via the Global Support Program for National Communications, Tonga will participate on the South-South learning and capacity building via webinars, regional workshops and networks on NC specific topics.

In addition, to bring the voice of Tonga to global and regional platforms, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on national communications and biennial update reporting. The project will furthermore provide opportunities for regional cooperation with countries that are implementing initiatives on national communications and biennial update reports in the Pacific region.

Gender Equality and Women's Empowerment:

The project will put great emphasis on integrating gender aspects in the preparation of the 4NC and facilitating a gender-inclusive climate change reporting process to get a better understanding on gender-differentiated risks, the representation of men and women in the process and the types of support men and women need to influence climate change mitigation and adaptation actions, policymaking and reporting in Tonga.

The project will rely on existing policies and gender analysis conducted during previous programmes and projects, including the first Gender Statistics ("Gender Equality: Where do we stand?") and the Gender Action Plan of the Tonga Renewable Energy Project under the Pacific Islands Renewable Energy Investment Program. Furthermore, the project will follow the guidelines of the National Gender Policy (National Women's Empowerment and Gender

Equality Tonga Policy and Strategic Plan of Action 2019 – 2025). The policy proposes priorities and guidelines for the government and civil society to improve their capacity to address gender issues and enhance the well-being of the families by integrating a gender perspective in the process of developing laws, policies and programmes which will serve to ensure equal rights, opportunities and benefits for women and men.

A preliminary Gender Action Plan under Annex 9 outlines the objectives and specific actions envisaged to promote gender equality during project implementation and the reporting process. In addition, in line with the GEF SEC's policy on gender equality³ and guidance to advance gender equality in GEF projects and programs⁴, a more comprehensive Gender Analysis and Action Plan⁵ will be developed in the beginning of the project with the involvement of a Gender Specialist⁶.

Part of this, an initial stocktaking and analysis across all areas – and inclusion of stakeholders who understand gender issues in relation to their sectors – will be conducted to assess and understand where deeper analysis and action is required. The areas where data and information on gender and climate change is not available will be identified with priorities and steps to fill gaps.

The gender analysis will follow the structure of five priority areas of UNFCCC Gender Action:

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

The project will support the active participation of women and men in decision-making processes. Gender balance will be considered in project management structures and capacity building actions (trainings, workshops, etc.). The guidance on gender integration through the NCs developed by the Global Support Programme (GSP) through UNDP and in collaboration with UNEP and GEF will be applied.

All analysis conducted within the project, including the update of national circumstances will disaggregate relevant data by sex with the objective to better understand how the social and economic differences between men and women affects the capability of dealing with mitigating and adapting to climate change. Seeing that women are being acknowledged as agents of change who make important contributions to climate change adaptation and

³ http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.53.04_Gender_Policy.pdf

⁴ http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.54.Inf_05_Guidance_Gender_0.pdf

⁵ Guide to Conducting a Participatory Gender Analysis and Developing a Gender Action Plan for projects supported by UNDP with GEF financing: https://intranet.undp.org/unit/bpps/sdev/gef/_layouts/15/WopiFrame.aspx?sourcedoc=/unit/bpps/sdev/gef/Gender%20Library/UNDP%20GEF%20Guidance.%20How%20to%20conduct%20gender%20analysis%20and%20gender%20action%20plan.pdf&action=default

⁶ The GEF Enabling Activities and policy/strategy work 33. Enabling Activity projects provide financing for the preparation of a plan, strategy, or national program to fulfill the commitments under the Conventions that the GEF serves, including national communication or reports to the Conventions. Similarly, many GEF-financed medium- and full-size projects include activities that focus on developing and preparing national policies or strategies and, as such, do not work directly with beneficiaries on the ground. These plans and strategies provide an essential opportunity to recognize, build capacity, and to develop actions to advance GEWE. Some possible actions to include in these national documents include the following:

- request that gender experts review draft plans and strategies.
- ensure that any background and stocktaking exercises associated with development of the plans and strategies adequately account for the different roles for women and men.
- ensure that women are effectively engaged as members of stakeholder groups consulted during development of the strategies and plans.
- consider including gender-disaggregated data collection and/or gender-specific indicators; and
- consider how national gender policies can be incorporated into sectoral strategies and action plans.

mitigation, a gender perspective will be incorporated in the V&A assessment and preparation of mitigation actions.

Furthermore, the project will provide capacity building in relation to NC purpose and content, gender issues in environment and their role in the NC processes and organize training on how to mainstream gender in climate change issues, policies, programmes and projects.

Innovativeness, Sustainability and Potential for Scaling Up:

The project will build on the work that has been done under the Initial, Second and Third National Communication projects and will involve key national institutions, partners, stakeholders, and experts responsible for specific sections and topics of NCs, in order to maintain continuity of the process.

Preparation and submission of the National Communications is a commitment of the Government of Tonga under the UNFCCC. The process is sustained in the future through the use of results, practice, knowledge, and lessons, which have been accumulated during the project implementation. Enhanced capacity of the Government and its principal stakeholders, who are supposed to implement the project, will contribute to the effective decision making and policy formulation at all stages of the climate-resilient development in the country.

The project, within the framework of its capacity building interventions, will support the development of the GHG emission data collection and MRV system. This will be done via analysing opportunities for establishment of such system, development of institutional arrangements and frameworks for MRV and GHG Inventory. To ensure sustainability of the project impacts, this work will be complemented by rigorous capacity building undertaken throughout the project duration to build the critical mass of expertise among stakeholders.

The sustainability of the project's outcomes is built into the project learning-by-doing approach. Throughout the project, participatory workshops will be organized to collect and update data with relevant stakeholders (including the private sector). In particular, mitigation scenarios will be collectively discussed to ensure that all parties are comfortable with the options to be described in the 4NC.

As a result of the 4NC project, Tonga will have a strengthened institutional framework and improved MRV process that will be essential for transitioning towards the Enhanced Transparency Framework and preparing its first Biennial Transparency Report (BTR).

V. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): Goal 13: Take urgent action to combat climate change and its impacts

This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD): United Nations Pacific Strategy 2018 – 2022 (UNPS), Outcome 1: Climate Change, Disaster Resilience and Environmental Protection

	Objective and Outcome Indicators (no more than a total of 20 indicators)	Baseline	End of Project Target
Project Objective: To assist the Government of Tonga in the preparation and submission of its Fourth National Communication (4NC) for the fulfilment of the obligations under the United Nations Framework Convention on Climate Change (UNFCCC).	Mandatory Indicator 1: # of direct project beneficiaries disaggregated by gender (individual people)	0	20 individuals (at least 10 women) from relevant ministries and government institutions have strengthened capacities in collecting, managing, and analysing climate change data and preparing national communications and biennial update/transparency reports on a continuous basis.
	Mandatory Indicator 2: # of indirect project beneficiaries disaggregated by gender (individual people).	0	50 individuals (at least 25 women) from the stakeholder list representing civil society, private sector and Youth-related NGOs have a better understanding of climate change and its effects as a result of participating in the operations of thematic working groups and the project's capacity building activities.
	<i>Indicator 3:</i> # of National Communications (NC) prepared and submitted by Tonga to UNFCCC.	3 NC	4 NC
Project component 1	Fourth National Communication (4NC)		
Project Outcome 1 Tonga's Fourth National Communication endorsed and submitted to UNFCCC by March 2025.	<i>Indicator 4:</i> Consistent, accurate and timely national inventory of anthropogenic emissions by sources and removal by sinks of all GHGs available.	The inventory data of the TNC was prepared for the period of 2000-2006 by using the 2006 IPCC guidelines and covering the sectors of Energy, Agriculture, Land Use, Land Use Change and Forestry (LULUCF) and Waste. The IPPU sector was not part of the inventory.	National GHG Inventory presented in the 4NC up to 2022 for the Energy, AFOLU, IPPU and Waste sectors by using the 2006 IPCC guidelines and its 2019 refinement to the extent possible.
	<i>Indicator 5:</i> # of sector specific vulnerability studies and impact assessments completed.	0	3

	Objective and Outcome Indicators (no more than a total of 20 indicators)	Baseline	End of Project Target
Outputs to achieve Outcome 1	<p>1.1 National circumstances and institutional arrangements in relation to climate change and national development priorities assessed with gender-disaggregated data provided.</p> <p>1.2 National GHG Inventory updated from 2007 to 2022 for the Energy, AFOLU, IPPU and Waste sectors using 2006 IPCC guidelines and its 2019 refinement to the extent possible and human, scientific, technical, and institutional capacity to undertake a GHG inventory strengthened.</p> <p>1.3 Tonga’s vulnerability to the adverse impacts of climate change assessed and disaggregated by sectors, socio-economic categories and gender and information on programmes containing measures to facilitate adequate adaptation compiled.</p> <p>1.4 Tonga’s mitigation potential assessed and information on programmes containing measures to mitigate climate change compiled in alignment with relevant national priorities and Nationally Determined Contribution (NDC) cycle.</p> <p>1.5 Constraints, gaps, and related financial, technical, and capacity-building needs are identified.</p> <p>1.6 Other information relevant to the achievement of the objective of Convention compiled.</p> <p>1.7 Training and capacity building workshops organized for institutional actors, technical working groups, national and local stakeholders targeting at least 50% female participation and including women only consultations.</p>		
Project component 2	Knowledge management, Monitoring, and Evaluation		
Outcome 2 Improved awareness and understanding of project gender inclusive results and transparent project execution realized.	<i>Indicator 8: # of stakeholder consultations organized through in person workshops and/or virtual platforms.</i>	0	10
	<i>Indicator 9: # of Gender Analysis and Action Plan available to integrate gender aspects across project components, activities, and outputs.</i>	0	1
Outputs to achieve Outcome 2	<p>2.1 The project regularly monitored, financial and narrative reports prepared, and lessons learned compiled.</p> <p>2.2 Inception Workshop organized.</p> <p>2.3 Regular stakeholder consultations organized to increase public awareness and transparency on project activities and validate project outputs.</p> <p>2.4 Gender Analysis and Action Plan prepared.</p> <p>2.5 End of Project report prepared, and lessons learnt compiled.</p>		

VI. MONITORING AND EVALUATION (M&E) PLAN

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP \(including guidance on GEF project revisions\)](#) and [UNDP Evaluation Policy](#). **The UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.**

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the [GEF Monitoring Policy](#) and the [GEF Evaluation Policy](#) and other [relevant GEF policies](#)⁷. The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed – including during the Project Inception Workshop - and will be detailed in the Inception Report.

Additional GEF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within 2 months from the First disbursement date, with the aim to:

- a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
- b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
- c. Review the results framework and monitoring plan.
- d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
- e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
- f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
- g. Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.
- h. Formally launch the Project.

The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be prepared in one of the official UN languages, duly signed by designated persons, cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

Annual progress:

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

⁷ See https://www.thegef.org/gef/policies_guidelines

Final/End of Project report:

During the last three months, the project team will prepare the End of Project Report (Annex 14). This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results. The End of Project Report shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information:

To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy⁸ and the GEF policy on public involvement⁹.

Monitoring and Evaluation Plan and Budget:		
GEF M&E requirements	Indicative costs (US\$)	Time frame
Inception Workshop	USD 5,000	Inception Workshop within 2 months of the First Disbursement
Inception Report	None	No later than one month after the inception workshop
M&E of indicators in project results framework	None	Annually and at mid-point and closure.
Supervision missions	None	Annually
Project Terminal Report (End of project report)	None	At least three months before the end of the project
TOTAL indicative COST	USD 5,000	

⁸ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

⁹ See https://www.thegef.org/gef/policies_guidelines

Monitoring Plan: The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually, and will be reported every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹⁰	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project objective: To assist the Government of Tonga in the preparation and submission of its Fourth National Communication (4NC) for the fulfilment of the obligations under the United Nations Framework Convention on Climate Change (UNFCCC).	Indicator 1 # of direct project beneficiaries disaggregated by gender (individual people)	20 individuals (at least 10 women) from relevant ministries and government institutions have strengthened capacities in collecting, managing, and analysing climate change data and preparing national communications and biennial transparency reports on a continuous basis.	Mandatory GEF indicator to represent the number of individual people who receive targeted support from a project. The target value was derived based on the experiences of TNC project and the composition of thematic working groups.	The baseline data is 0. Data will be collected on the participation in thematic working groups and climate change coordination platforms.	Annually	Project Manager, Technical Officers	Member lists of thematic working groups. Attendance sheets. Meeting reports.	Risks: Insufficient consultations and coordination with project beneficiaries. Assumptions: Existing climate change coordination mechanisms and thematic working groups will be utilized to assist project implementation.
	Indicator 2 # of indirect project beneficiaries disaggregated by gender (individual people).	50 individuals (at least 25 women) from the stakeholder list representing civil society, private sector and Youth-related NGOs have a better understanding of climate change and its effects as a result of participating	Non-mandatory GEF indicator to represent the number of all individuals benefiting from the project's capacity building support including the participation in trainings and workshops and being targeted by awareness raising activities. The target value was derived based on the experiences	The baseline data is 0. Data will be collected on the participation in the project's capacity building and awareness raising activities and the operation of thematic working groups.	Annually	Project Manager, Technical Officers	Training materials. Attendance sheets. Workshop reports.	Risks: Project stakeholders have competing priorities and do not actively participate in project activities. Assumptions: Climate change has a high degree of consensus as a top priority development issue for Tonga,

¹⁰ Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹⁰	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		in the operations of thematic working groups and the project's capacity building activities.	of TNC project and the number of actively engaged stakeholders throughout the project implementation.					and thus project beneficiaries will be keen to actively engage in project activities.
	Indicator 3 # of National Communications (NC) prepared and submitted by Tonga to UNFCCC.	4 NC	Non-Annex 1 parties to UNFCCC are required to submit National Communications (NC every four years	According to information available on the UNFCCC website, Tonga has submitted 3 NC. The TNC was submitted by Tonga in February 2020. Once completed, the 4NC will be submitted to UNFCCC which will publish them on its website. The status of the specific 4NC chapters will be monitored regularly.	Annually	Project Manager, Technical Officers, MEIDECC, Thematic Working Groups	Project reports. UNFCCC website.	<p>Risks:</p> <p>Technical and institutional capacity constraints.</p> <p>Restrictions imposed by infectious diseases (e.g., COVID 19).</p> <p>Natural disasters.</p> <p>Assumptions:</p> <p>Strong political commitment for climate change issues.</p> <p>Technical and human capacities built during the TNC process will be retained.</p> <p>Virtual platforms will be applied if needed to facilitate consultations and project implementation.</p>
Project Outcome 1: Tonga's Fourth National Communication endorsed	Indicator 4 Consistent, accurate and timely national inventory of anthropogenic	National GHG Inventory presented in the 4NC up to 2022 for the Energy, AFOLU, IPPU and Waste sectors by	All parties of the Convention are requested to report on their anthropogenic emissions by sources and removal by sinks of all GHGs on a	The latest GHG Inventory is part of the TNC document. The updated GHG Inventories will be included in the 4NC.	Annually	Project Manager, Technical Officers Thematic Working Group	Technical review. 4NC available at UNFCCC	<p>Risks:</p> <p>Data availability and reliability.</p> <p>Technical capacities available for preparing the GHG Inventory.</p>

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹⁰	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
and submitted to UNFCCC by March 2025.	emissions by sources and removal by sinks of all GHGs available.	using the 2006 IPCC guidelines and its 2019 refinement to the extent possible.	periodic basis. The latest GHG Inventory covers the period of 2000-2006 and the following sectors: Energy, Agriculture, Land Use, Land Use Change and Forestry (LULUCF) and Waste. The IPPU sector was not part of the inventory.			on GHG Inventory	website.	<i>Assumptions:</i> Existing human capacities in MEIDECC and a network of external technical experts available to support the project.
	Indicator 5 # of sector specific vulnerability studies and impact assessments completed	3	According to the TNC, there is a need for a better understanding of climate change impacts on several sectors including water resources, health, coastal protection, food and agriculture and infrastructure. The project will conduct at least three sector specific vulnerability studies to support the preparation of the V&A analysis and the V&A chapter of the 4NC.	Results of the vulnerability studies will be integrated in the V&A chapter of the 4NC.	Annually	Project Manager, Technical Officers, Thematic Working Group on V&A	UNFCCC website.	<i>Risks:</i> Lack of adequate climate relevant data, information, and appropriate analytical tools to support the preparation of vulnerability studies. <i>Assumptions:</i> Information system will be developed to support impact assessments and V&A analysis.
Project Outcome 2: Improved awareness and understanding of project gender inclusive results and transparent	Indicator 6 # of stakeholder consultations organized through in person workshops and/or virtual platforms.	10	To raise awareness of project results, establish a feedback-mechanism and validate project outputs, regular stakeholder consultations will be organized.	The baseline data is 0.	Annually	Project Manager, Technical Officers,	Attendance sheets. Workshop reports.	<i>Risks:</i> Competing priorities of stakeholders. <i>Assumptions:</i> Stakeholders are willing to be involved actively in project implementation and consultations.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹⁰	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project execution realized.	Indicator 7 # of Gender Analysis and Action Plan available to integrate gender aspects across project components, activities, and outputs.	1	Gender Analysis and Action Plan will be developed following the recommendations of the National Gender Policy, the guidance on gender integration through the NCs developed by the Global Support Programme (GSP), the GEF Secretariat's policy on gender equality and guidance to advance gender equality in GEF projects. Furthermore, gender analyses will be carried throughout the project to support gender mainstreaming into project activities and relevant policies.	The baseline data is 0. The Gender Analysis and Action Plan will be developed during the project inception phase and made available to the public.	Annually	Gender Specialist, Project Manager, Technical Officers	MEIDE CC website.	<i>Assumptions:</i> Based on the National Gender Policy (National Women's Empowerment and Gender Equality Tonga Policy and Strategic Plan of Action 2019 – 2025), ensuring equal rights and benefits for women and integrating gender perspectives in the process of developing policies, programmes and national laws are priorities for the Government of Tonga and its line ministries.

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

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

Implementing Partner: The Implementing Partner for this project is the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC).

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation, and reporting. This includes providing all required information and data necessary for timely, comprehensive, and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear workplan.
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

Director of the Climate Change Department: The Director of the Climate Change Department under the MEIDECC, mandated to implement CC related projects, will provide operational oversight to the project. The Director will supervise the work of the PMU and regularly monitor and verify project results.

Mitigation & Climate Change Reports Division: The Mitigation Division under the Climate Change Department of the MEIDECC will support the PMU on the implementation of the project activities on a daily basis.

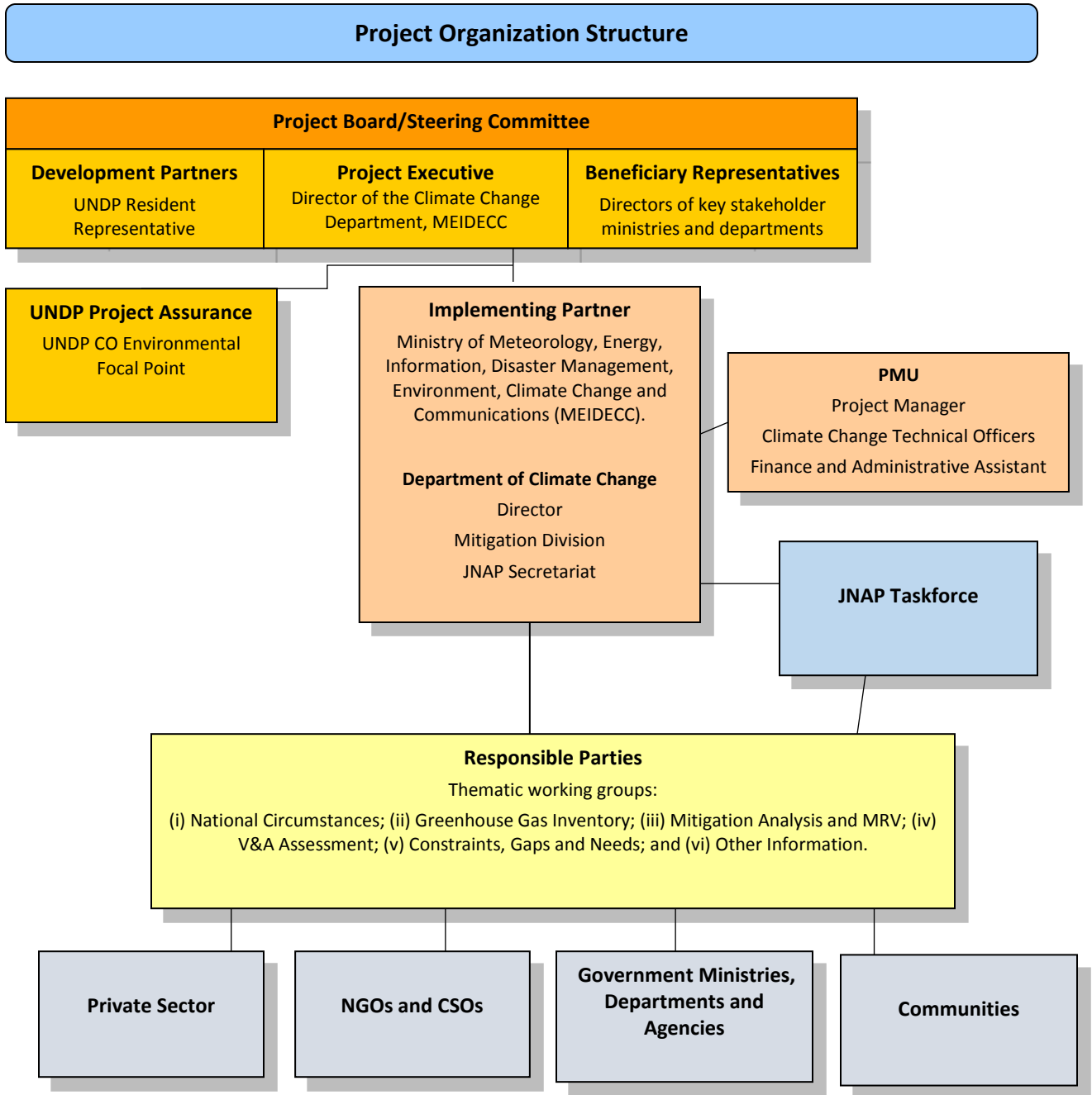
Responsible Parties: The following thematic working groups have been identified as responsible parties who will participate in the project implementation and contribute to the achievement of the project outcomes: (i) National Circumstances; (ii) Greenhouse Gas Inventory; (iii) Mitigation Analysis and MRV; (iv) V&A Assessment; (v) Constraints, Gaps and Needs; and (vi) Other Information.

Project stakeholders and target groups: The primary stakeholder and target groups of the project will consist of experts of relevant ministries and agencies involved in the preparation of 4NC. As members of thematic Working Groups, they will have the opportunity to directly support the project's decision-making processes. Moreover, representatives of civil society, the academia and business sphere as indirect beneficiaries of the project will have the opportunity to increase their knowledge in specific areas of climate change by participating in capacity building activities of the project.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project.** UNDP is

responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

Section 2: Project governance structure



Second line of defense:

- Regional Bureau oversees RR and Country Office compliance at portfolio level.
- BPPS NCE RTA oversees technical quality assurance and GEF compliance. BPPS NCE PTA oversees RTA function.
- UNDP GEF Executive Coordinator and Regional Bureau Deputy Director can revoke DoA/cancel/suspend project or provide enhanced oversight.

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

Section 3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board:

As noted in the [Minimum Fiduciary Standards for GEF Partner Agencies](#), in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and execution functions.

In this case, UNDP is only performing an implementation oversight role in the project vis-à-vis our role in the project board and in the project assurance function and therefore a full separation of project implementation oversight and execution duties has been assured.

Section 4: Roles and Responsibilities of the Project Organization Structure:

- a) **Project Board:** All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The two main (mandatory) roles of the project board are as follows:

- 1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the ["Provide Oversight"](#) section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
- 2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the ["Manage Change"](#) section of the POPP).

Requirements to serve on the Project Board:

- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

Responsibilities of the Project Board:

- ✓ Consensus decision making:

- The project board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
- Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;
- The project board is responsible for making management decisions by consensus.
- In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
- In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.
- ✓ **Oversee project execution:**
 - Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
 - Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
 - Address any high-level project issues as raised by the project manager and project assurance.
 - Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies).
 - Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
 - Track and monitor co-financed activities and realisation of co-financing amounts of this project.
 - Approve the Inception Report, GEF annual project implementation reports, mid-term review and terminal evaluation reports.
 - Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.
- ✓ **Risk Management:**
 - Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
 - Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
 - Address project-level grievances.
- ✓ **Coordination:**
 - Ensure coordination between various donor and government-funded projects and programmes.
 - Ensure coordination with various government agencies and their participation in project activities.

Composition of the Project Board: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with

representatives of another category, it typically does so with a development partner representative. The Project Executive is: Director of the Climate Change Department, MEI/DECC.

2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are: *Directors of key stakeholder ministries and departments.*
3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) is/are: Resident Representative of the UNDP Pacific Office in Fiji.

- b) **Project Assurance:** Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is/are: *Environmental Focal Point*

- c) **Project Management – Execution of the Project:** The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: Project Manager

The PMU cannot be located in the UNDP Country Office.

VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 500,000. This is financed through a GEF grant of USD 500,000 administered by UNDP. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources only.

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board.

Should the following deviations occur, the Project Manager/IP through UNDP Country Office will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is **strongly encouraged** to maintain the expenditures within the approved budget at the budgetary account and at the component level:

- a) Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
- b) Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the [GEF and UNDP policies](#).
- c) Project management cost (PMC): budget under PMC component is capped and cannot be increased.

Any over expenditure incurred beyond the available GEF grant amount must be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Project extensions: The UNDP Resident Representative and the UNDP-GEF Executive Coordinator must approve all project extension requests. Note that all extensions incur costs and the GEF project budget cannot be increased. A single extension may be granted on an exceptional basis and subject to the conditions and maximum durations set out in the UNDP POPP; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs will be covered by non-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with UNDP's guidance set out in UNDP POPP.

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. **Operational closure must happen at the end date calculated by the approved duration after the Project Document signature or at the revised operational closure date as approved in the project extension. Any expected activity after the operational date requires project extension approval.** The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the project should have completed the transfer or disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project (it is strongly encouraged to be done before the operational closure date). In all cases of transfer, a transfer document must be prepared and kept on file¹¹. The transfer should be done before Project Management Unit complete their assignments.

Financial completion (closure): The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed **within 6 months of operational closure or after the date of cancellation**. If Operational Closure is delayed for any justified and approved reason, the Country Office should do all efforts to Financially Close the project within 9 months after TE is completed. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the BPPS/NCE-VF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the BPPS/NCE-VF Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GEF Trustee.

¹¹ See

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

IX. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Atlas Award ID:	00139516	Atlas Output Project ID:	00129147
Atlas Proposal or Award Title:	Fourth National Communication		
Atlas Business Unit	FJI10		
Atlas Primary Output Project Title	Fourth National Communication		
UNDP-GEF PIMS No.	6588		
Implementing Partner	Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC)		

Atlas Activity (GEF Component)	Atlas Implementing Agent (Responsible Party, IP, or UNDP)	Atlas Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Account Description	Amount Year 1 - 2022 (USD)	Amount Year 2 - 2023 (USD)	Amount Year 3 - 2024 (USD)	Amount Year 4 - 2025 (USD)	Total (USD)	See Budget Note:
COMPONENT 1 Fourth National Communication (4NC)	MEIDECC	62000	GEF Trustee	71200	International Consultant	5,000	20,000	20,000	7,500	52,500	1
				71300	Local Consultant	12,000	68,250	68,250	-	148,500	2
				71800	Contractual Services--Imp Partn	12,441	14,671	27,362	21,132	75,606	3
				71600	Travel	7,000	7,000	7,000	7,000	28,000	4
				72200	Equipment and Furnitures	1,770	-	-	-	1,770	5
				72800	Information Technology Equipment	10,000	10,000	10,000	8,000	38,000	6
				72500	Supplies	230	4,000	3,990	400	8,620	7
				74200	Audio Visual & Print Prod	3,000	4,000	5,000	9,000	21,000	8
				75700	Training, Workshops and Conference	10,000	15,000	14,000	7,004	46,004	9
	Total Outcome 1			61,441	142,921	155,602	60,036	420,000			
COMPONENT 2: Knowledge Management, Monitoring, and Evaluation	MEIDECC	62000	GEF Trustee	71300	Local Consultants	7,000	6,000	6,000	5,000	24,000	10
				74200	Audio Visual and Print Prod	500	500	500	500	2,000	11
				75700	Training, workshop, conference	5,000	1,100	1,100	1,350	8,550	12
					Total Outcome 2			12,500	7,600	7,600	6,850
PROJECT MANAGEMENT UNIT	MEIDECC	62000	GEF Trustee	71800	Contractual Services--Imp Partn	8,230	11,940	11,940	8,940	41,050	13
				74100	Professional Services	2,200	-	-	2,200	4,400	14
					Total Management			10,430	11,940	11,940	11,140
				PROJECT TOTAL		84,371	162,461	175,142	78,026	500,000	

Summary of Funds:	Amount Year 1 - 2022 (USD)	Amount Year 2 - 2023 (USD)	Amount Year 3 - 2024 (USD)	Amount Year 4 - 2025 (USD)	Total
GEF grant administered by UNDP	84,371	162,461	175,142	78,026	500,000
TOTAL	84,371	162,461	175,142	78,026	500,000

Component	Budget note number	Comments: Budget note should be output based rather than input based. Even for individual consultants' outputs of the consultants must be clear. Include cost breakdown and calculation basis (e.g., daily fee and number of days/weeks, unit cost and number), as well as a total amount for the budget line.
4NC	1	<p>International Consultants: Total: \$ 52,500.</p> <p><i>International GHG Inventory Expert:</i> to verify GHG Inventory data and calculations and conduct training on improving GHG Inventory management systems. Rate: \$500/day. Time input: 30 days. Total: \$ 15,000.</p> <p><i>International Climate Change Adaptation Expert:</i> to provide technical guidance to the preparation of sector specific vulnerability studies and provide training on V&A analysis. Rate: \$500/day. Time input: 30 days. Total: \$ 15,000.</p> <p><i>International Climate Change Mitigation Expert:</i> to support and verify mitigation analysis, assess available technologies for the different mitigation options in various sectors, conduct cost-benefit analyses, provide capacity building trainings on mitigation assessment, and contribute to the preparation of mitigation project profiles. Rate: \$500/day. Time input: 30 days. Total: \$ 15,000.</p> <p><i>International Climate Change Specialist:</i> to review, quality check and verify the completed 4NC document. Rate: \$500/day. Time input: 15 days. Total: \$ 7,500.</p>
4NC	2	<p>National/Local Consultants: Total: \$ 148,500.</p> <p><i>National GHG Inventory Experts (4 Consultants):</i> to collect activity data in four sectors (Energy, AFOLU, IPPU and Waste), to prepare the GHG Inventory and to support the delivery of Output 1.2. Rate: \$300/day. Time input: 4 X 30 days. Total: \$ 36,000.</p> <p><i>National Climate Change Adaptation Experts (4 Consultants):</i> to review climatic scenarios, conduct V&A assessment in specific sectors, assess programmes containing measures to facilitate adaptation and support the delivery of Output 1.3. Rate: \$300/day. Time input: 4 X 30 days. Total: \$ 36,000.</p> <p><i>National Climate Change Mitigation Experts (4 Consultants):</i> to support mitigation assessment in specific sectors, identify additional mitigation options, review mitigation scenarios, and contribute to the delivery of Output 1.4. Rate: \$300/day. Time input: 4 X 30 days. Total: \$ 36,000.</p> <p><i>Climate Change Specialist 1:</i> to research and compile information on national circumstances and institutional arrangements pertaining to climate change and to contribute to the delivery of Output 1.1. Rate: \$300/day. Time input: 45 days. Total: \$ 13,500.</p>

Component	Budget note number	Comments: Budget note should be output based rather than input based. Even for individual consultants' outputs of the consultants must be clear. Include cost breakdown and calculation basis (e.g., daily fee and number of days/weeks, unit cost and number), as well as a total amount for the budget line.
		<p><i>Climate Change Specialist 2</i>: to assess constraints and gaps and related financial, technical, and capacity needs and contribute to the delivery of Output 1.5. Rate: \$300/day. Time input: 45 days. Total: \$ 13,500.</p> <p><i>Climate Change Specialist 3</i>: to collect data, research and analyse any other information relevant to the achievement of the Convention and contribute to the delivery of Output 1.6. Rate: \$300/day. Time input: 45 days. Total: \$ 13,500.</p>
4NC	3	<p>Contractual Services--Imp Partn: Total: \$ 75,606</p> <p><i>Technical Officer (Adaptation)</i>: to lead the V&A analysis of the 4NC and to coordinate the work the V&A TWG, national and international consultants. Rate: \$ 10,441/year. Total: \$ 31,323 (3 years from May 2022 until May 2025).</p> <p><i>Technical Officer (Mitigation)</i>: to lead the mitigation assessment of the 4NC and coordinate the work of the mitigation TWG, national and international consultants. Rate: \$ 10,441/year. Total: \$ 24,843 (2.4 years, from February 2023 until May 2025).</p> <p><i>Project Manager</i>: to support the preparation of the 4NC including the development and revision of thematic chapters, compilation and editing of the document. \$ 6,480/year (40% of the salary rate of \$ 16,200/year). Total: \$ 19,440 (3 years, from May 2022 until May 2025). The remaining salaries (60%) of the Project Manager for these years are charged under PMC.</p>
4NC	4	Travel expenses related to data collection and attending training/capacity building workshops. Total: \$ 28,000.
4NC	5	Purchase of office equipment: Total: \$ 1,770.
4NC	6	IT equipment and software to support project implementation, the preparation and maintenance of GHG inventory system, the development of specific 4NC chapters and creating a digital platform to raise awareness about project results and enable virtual consultation. Total: \$ 38,000.
4NC	7	Supply costs for various office expenses related to project implementation (e.g.: stationery, publications, etc.) Total: \$ 8,620.
4NC	8	Design, production/printing, and translation to Tongan of the 4NC document and other communication materials. Total: \$ 21,000.
4NC	9	Costs related to the organizations of trainings, capacity building workshops and technical working group meetings related to the preparation of 4NC and its specific thematic areas including V&A, Mitigation Analysis, data collection and the use of the 2006 IPCC guidelines, national circumstances, Gender, etc. and lessons learnt workshop upon completion of the 4NC. Total: \$ 46,004.
KM - M&E	10	<p>National/Local Consultants: Total: \$ 24,000</p> <p>Gender Specialist: supporting the preparation of the Gender Analysis and Action Plan and the integration of Gender aspects in all analysis and project outputs. Rate: \$300/day. Time input: 40 days. Total: \$ 12,000.</p> <p>Knowledge Management and Communication Specialist: supporting the generation and dissemination of knowledge products and communication materials. Rate: \$300/day. Time input: 40 days. Total: \$ 12,000.</p>
KM - M&E	11	Printing materials related to KM/M&E activities. Total: \$2,000.
KM - M&E	12	Organization of the Inception Workshop, stakeholder consultations and validation workshops. Total: \$ 8,550.
PMC	13	<p>Salary costs of PMU: Total: \$ 41,050.</p> <p>Project Manager: \$ 9,720 (60% of the salary rate of \$ 16,200/year). Total: \$ 29,160 (3 years, from May 2022 until May 2025)</p> <p>Part-time Finance and Administrative Assistant: \$ 3,963/year. Total: \$ 11,890 (3 years, from May 2022 until May 2025)</p>

Component	Budget note number	Comments: Budget note should be output based rather than input based. Even for individual consultants' outputs of the consultants must be clear. Include cost breakdown and calculation basis (e.g., daily fee and number of days/weeks, unit cost and number), as well as a total amount for the budget line.
		As the Project Manager will also carry out technical tasks, the remaining parts of his/her salary will be charged under the 4NC components.
PMC	14	Spot check and Audit: Total: \$ 4,400.

X. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement (SBAA) between the Government of Tonga and UNDP, signed on 28 January 2013. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC) (“Implementing Partner”) in accordance with its financial regulations, rules, practices, and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XI. RISK MANAGEMENT

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried.
 - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/qa_sanctions_list.shtml.
4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
 - (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
 - (b) Moreover, and without limitation to the application of other regulations, rules, policies, and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile or offensive work environment.
5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities) and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures to be able to take effective preventive and investigative action. These should include policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

- i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA.
 - ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP.
 - iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof.
 - iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
 - b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
 7. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
 8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
 9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud, or corruption, by its officials, consultants, responsible parties, subcontractors, and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption, and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
 10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of

the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies, and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

13. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

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

14. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover, and return any recovered funds to UNDP.
16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XII. MANDATORY ANNEXES

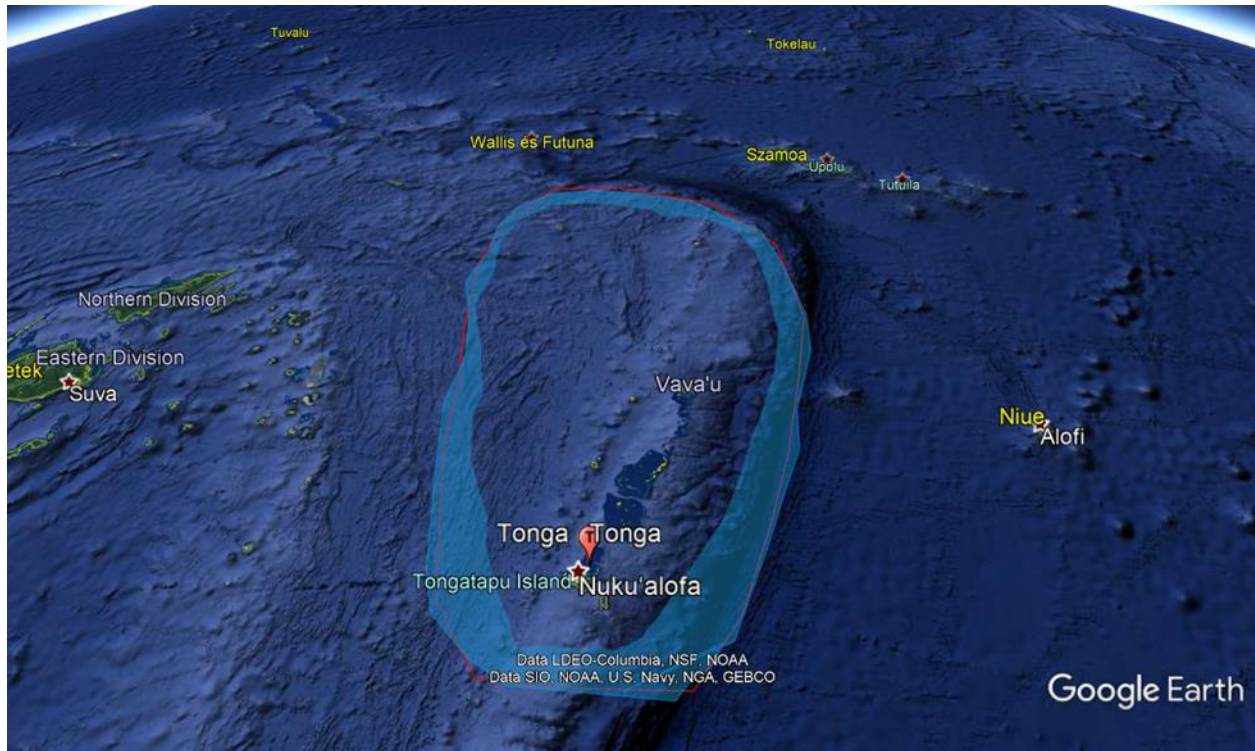
1. GEF Budget Template
2. Project Map and geospatial coordinates of the project area
3. Multiyear Workplan
4. UNDP Social and Environmental Screening Procedure (SESP)
5. UNDP Atlas Risk Register
6. Overview of technical consultancies/subcontracts
7. Stakeholder Engagement Plan
8. Gender Analysis and Gender Action Plan
9. Procurement Plan – for first year of implementation especially
10. GEF Taxonomy (see template below)
11. [Partners Capacity Assessment Tool and HACT assessment](#)
12. UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system)
13. Final report (End of project report template for NC projects.)

Annex 1: GEF Budget Template

The GEF Budget Template is separately attached to the project document.

Annex 2: Project map and Geospatial Coordinates of project sites

N/A. This is a national project addressing country's reporting obligations to the UNFCCC. The project will be implemented by the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC). There are no project sites.



Annex 3: Multi Year Work Plan

Outcomes	Outputs/Activities	Year 1 (2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3- Q4
Outcome 1 Tonga’s Fourth National Communication endorsed and submitted to UNFCCC by March 2025.	1.1.1 Review and update information on features of national geography, population, economy, and education which may affect Tonga’s ability to deal with mitigating and adapting to climate change.															
	1.1.2 Assess the policy framework, including relevant strategies, policies, sectoral plans, and legislation pertaining to climate change in Tonga.															
	1.1.3 Compile information on institutional arrangements relevant to the preparation of national communications including the distribution of responsibilities and working arrangements within government departments and other relevant organizations, the roles and responsibilities of technical working groups and climate change coordinating bodies, and the process of stakeholder participation.															
	1.2.1 Establishment of a network of contacts for accessing data and designing a system for data management for each sector of the inventory.															
	1.2.2 Undertaking Key Source Analysis to determine priority areas of inventory work (e.g.: those sources and sinks are more significant in terms of their contribution to national GHG emissions so that resources and efforts are prioritized)															
	1.2.3 Review and improve the GHG Inventory (2000 – 2006) through the introduction of country-specific TIER II and TIER III methodologies including improved documentation and archiving.															
	1.2.4 Collect activity data for the preparation of inventory up to 2022 for the following sectors: Energy, AFOLU, IPPU and Waste.															
	1.2.5 Carry out greenhouse gas emission calculations for National GHG Inventory in the four sectors for the period of 2007 – 2022 and calculate the level of uncertainty associated with the inventory data for each sector.															
	1.2.6 Develop and Implement Quality Assurance/Quality Control (QA/QC) procedures.															
	1.2.7 Assess existing mechanisms for data collection, harmonization, and centralization of GHG relevant data and the preparation of GHG inventories.															

Outcomes	Outputs/Activities	Year 1 (2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3-Q4
	1.2.8 Compile recommendations for improving existing mechanisms and strengthening institutional frameworks and data management systems including archiving systems for all the four sectors.															
	1.3.1 Review and update of climatic scenarios and climate risks for Tonga up to 2030, 2055 and 2090.															
	1.3.2 Identify the most critical vulnerable areas and sectors and assess the impacts of climate change on these and their current adaptive capacities.															
	1.3.3 Assess the vulnerability of women and men to climate change and provide recommendations for their greater resilience.															
	1.3.4 Conduct sector specific vulnerability studies and impact assessments responding to the recommendation of the TNC (e.g., water resource assessments, impacts of climate change on health, food security, infrastructure, and coastal areas).															
	1.3.5 Identify adaptation options including relevant technological applications in vulnerable sectors and their cost-benefit analysis.															
	1.3.6 Analyse the existing policy frameworks, sectoral and community development plans and policies for developing and implementing adaptation strategies and measures.															
	1.3.7 Outline concrete actions taken by the government, NGOs, and communities to facilitate adaptation in different sectors.															
	1.4.1 Review and analyse national and sectoral targets, policies and programmes containing measures to mitigate climate change and their progress.															
	1.4.2 Identify additional mitigation options and planned measures in the four key sectors of Energy, AFOLU, IPPU and Waste.															
	1.4.3 Assess available technologies for the different mitigation options in various sectors, including cost-benefit analysis.															
	1.4.4 Revise and update the mitigation scenarios (baseline, WEM and WAM) for the period of 2022 – 2030 for the four key sectors by using available data from the GHG inventory, mitigation options and measures identified, as well as socio-economic parameters.															

Outcomes	Outputs/Activities	Year 1 (2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3- Q4
	1.4.5 Assess Tonga’s mitigation potential in the four key sectors based on the mitigation scenarios developed.															
	1.4.6 Prepare financially sound mitigation project profiles for implementation in the four key sectors.															
	1.5.1 Collect and analyse information on constraints, gaps, and related financial, technical, and capacity building needs associated with the implementation of climate change measures and programmes.															
	1.5.2 Propose activities for overcoming the constraints and gaps, as well as financial resources and technical support needed for the implementation of climate change activities and the preparation of national communications.															
	1.5.3. Developing a pipeline of climate change projects for financing.															
	1.6.1 Compile information on steps undertaken to integrate climate change into relevant social, economic, and environmental policies and actions.															
	1.6.2 Present activities relating to technology transfer and development.															
	1.6.3 Identify climate change research and systematic observation programmes and activities.															
	1.6.4 Outline education, training, and public awareness actions related to climate change.															
	1.6.5 Review and update information on capacity building activities and efforts to promote information-sharing among and within countries and regions.															
	1.6.6 Collect information on measures to promote information exchange and networking.															
	1.7.1 Deliver trainings on data collection, analysis, indicators, the use of 2006 IPCC guidelines on national greenhouse gas inventories, the 2019 refinement of the 2006 IPCC guidelines, the IPCC good practice guidance on the National GHG inventories and Uncertainty Management, the IPCC Good Practice Guidance on Land use, land-use change and forestry and implementing and maintaining a National Greenhouse Gas Inventory system.															

Outcomes	Outputs/Activities	Year 1 (2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3-Q4
	1.7.2 Deliver trainings related to mitigation assessment and development of mitigation scenarios.			■	■				■	■	■					
	1.7.3 Deliver trainings related to vulnerability and impact assessment.					■	■	■	■							
	1.7.4 Deliver trainings on integrating Gender in climate change policies and actions.			■	■				■	■						
	Based on Outputs 1.1 – 1.7 compile and edit the chapters of 4NC, circulate it for review within the TWGs and for the stakeholders, organize consultations and finalize the document. Upon finalization and endorsement submit the 4NC to UNFCCC and translate the document to Tongan.												■	■	■	
Outcome 2 Improved awareness and understanding of project gender inclusive results and transparent project execution realized.	3.1 The project regularly monitored, financial and narrative reports prepared, and lessons learned compiled.			■	■	■	■	■	■	■	■	■	■	■	■	
	3.2 Inception Workshop organized.		■													
	3.3 Regular stakeholder consultations organized to increase public awareness and transparency on project activities and validate project outputs.			■	■	■	■	■	■	■	■	■	■	■	■	
	3.4 Gender Analysis and Action Plan prepared.		■	■												
	3.5 End of Project report prepared, and lessons learnt compiled.														■	■
Project Management arrangements.	Contract PMU staff.			■												
	Capacity-building and training of PMU staff.			■	■			■				■				
	Re-establish thematic working groups (TWGs) and update their members.		■													
	Develop Annual Work Plans and revise the Multi-Year Workplan and budgets.		■		■			■				■				
	Develop detailed TORs for technical consultancies and initiate the procurement process.		■				■	■								
	Preparation and submission of Annual Status Surveys		■				■				■				■	
	Project operational closure															■

Annex 4: UNDP Social and Environmental Screening Procedure (SESP) - Exempt

The project is exempted from the Social and Environmental Screening Procedure (SESP) as its function and activities correspond to the following exemption criteria of the SESP guidelines:

- a. Preparation and dissemination of reports, documents, and communication materials (preparation, printing, and submission of Fourth NC to the UNFCCC) and
- b. Organization of an event, workshop, training (inception workshop, stakeholder consultations, validation workshops, etc.).

Even without screening, UNDP's Social and Environmental Standards remain relevant. The implementation of the project will not imply any stress or damage to the environment, marginalized groups, neither will cause deterioration of the social and/or environmental situation in Tonga. The design of the trainings and workshops will reflect application of human rights principles, gender equality and women's empowerment, and environmental sustainability to meet UNDP's Social and Environmental Standards.

Annex 5: UNDP Risk Register

#	Description	Risk Category	Impact & Probability Likelihood (L) based on 1-5 scale (1 = Not likely; 5 = Expected) Impact (I) based on 1-5 scale (1 = Negligible 5 = Extreme)	Risk Treatment / Management Measures	Risk Owner
1	Lack of availability of data and information required for development of 4NC	Operational	Lack of data and information may lead to improper assessments and low-quality project results. L = 2 I = 3 Risk Level: Moderate	Data collection methods will be improved, and information management systems and tools will be developed for specific sectors as part of the project to enhance the availability of quality data. The PMU will also organize regular thematic working group meetings and stakeholder consultations to support coordination, data gathering and information flow.	Project Manager, Technical Officers
2	Technical and institutional capacity constraints in developing the 4NC	Strategic	Limited technical and institutional capacities will affect the realization of project activities and the long-term sustainability of project objectives. L = 2 I = 3 Risk Level: Moderate	The institutional structure of the project will rely on the existing arrangements of the TNC process, including thematic working groups and human capacities with the aim of retaining the knowledge gained during the TNC work and built on it further. The gaps that have been identified under the TNC will be addressed through targeted capacity-building activities and trainings in specific areas of the NC.	Project Manager, MEIDECC
3	Lack of consultations and coordination of stakeholders	Operational	Lack of proper consultations and stakeholder involvement would hinder the obtainment of data and information and could also result in duplication with other initiatives. L = 1 I = 3 Risk Level: Low	An extensive list of stakeholders and their roles in the project has been identified during the project preparation phase. The list will be updated regularly starting at the inception phase. The stakeholders will be involved in the work of the thematic groups, capacity building trainings, validation workshops and will be targeted by the project communication and awareness raising activities to ensure the exchange of information and the incorporation of their inputs in the development of project outputs.	Project Manager, Technical Officers
4	Project Management issues including staff turnover	Organizational	High staff turnover could compromise the timely completion of project activities and outputs. L = 2 I = 3 Risk Level: Moderate	Over the past years, MEIDECC has significantly increased its capacities to plan, implement and monitor climate change actions. Among others a Mitigation and Climate Change Reports Division was established under the Department of Climate Change with dedicated and qualified staff supporting the preparation of NCs in the future. In terms of the PMU, MEIDECC is planning to retain the existing staff involved in the preparation of the TNC and further strengthening their capacities. The PMU will also maintain a regularly updated electronic filing system with all projects related documentation to be available for new recruits in case of changes in PMU staff.	MEIDECC, Project Manager, Finance and Administrative Assistant
5	Infectious diseases (e.g., Covid-19) and natural disasters	Other	State emergencies and travel restrictions can delay the delivery of project outputs and the timely completion of the project. L = 4 I = 3 Risk Level: Moderate	The recruitment of national experts will be prioritized wherever possible. Virtual consultation and on-line support methods and tools will be developed and applied throughout the project implementation.	Project Manager, Technical Officers

#	Description	Risk Category	Impact & Probability Likelihood (L) based on 1-5 scale (1 = Not likely; 5 = Expected) Impact (I) based on 1-5 scale (1 = Negligible 5 = Extreme)	Risk Treatment / Management Measures	Risk Owner
6	Harmonised cash transfer	Financial	The ability of the IP to receive and report cash transferred during the implementation of the project within the common operational framework of UNDP. L = 3 I=3 Risk Level: Low	A HACT Assessment has been conducted for the IP. An assurance plan will be developed and monitored to ensure risk are addressed accordingly	MEIDECC, Project Manager, UNDP

Annex 6: Overview of Project Staff and Technical Consultancies

The following table provides an overview of the PMU staff and expected technical consultancies. Detailed TORs will be developed during the project inception and implementation phases.

Consultant	Time Input	Tasks, Inputs and Outputs
For Project Management		
Local / National contracting		
Project Manager \$ 16,200/year	3 years	<p>The Project Manager will be responsible for the overall management of the project, including the mobilization of all project inputs, supporting the preparation of the 4NC reports, supervision over project staff, consultants, and sub-contractors.</p> <p><u>Duties and Responsibilities:</u></p> <p><u>Project Management tasks (60%):</u></p> <ul style="list-style-type: none"> • Manage the overall conduct of the project. • Plan the activities of the project and monitor progress against the approved workplan. • Execute activities by managing personnel, goods and services, training, including drafting terms of reference and work specifications, and overseeing all contractors' work. • Monitor events as determined in the project monitoring plan, and update the plan as required. • Provide support for completion of assessments required by UNDP, spot checks and audits. • Manage requests for the provision of UNDP financial resources through funding advances or reimbursement using the FACE form. • Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports. • Monitor progress, watch for plan deviations, and make course corrections when needed within project board-agreed tolerances to achieve results. • Ensure that changes are controlled, and problems addressed. • Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities. • Prepare and submit financial reports to UNDP on a quarterly basis. • Manage and monitor the project risks initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks register. • Capture lessons learnt during project implementation. • Prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required. • Prepare the inception report no later than one month after the inception workshop. • Prepare the annual reporting (NC survey). • Assess major and minor amendments to the project within the parameters set by UNDP-GEF. • Monitor implementation plans including the gender action plan and stakeholder engagement plan.

Consultant	Time Input	Tasks, Inputs and Outputs
		<ul style="list-style-type: none"> • Monitor and track progress against the PRF indicators. <p><u>Technical tasks under component 1 (40%):</u></p> <ul style="list-style-type: none"> • Undertake tasks requested by the Head of the Mitigation Division and the Director for Climate Change Department, in relation to the objective of this project and deliverables. • Support the preparation of the 4NC including the development and revision of thematic chapters, compilation and editing of the documents. • Ensures that project activities are in line with guidance provided by the CoP of the UNFCCC and contributes to the improvement of the UNFCCC reporting process and decisions relevant to Article 13 of the Paris Agreement, institutional strengthening and building capacities towards ETF • Follows the process of international negotiations in the UNFCCC and respective decisions related to reporting of Non-Annex 1 Parties, Parties to the PA, particularly in relation to the Paris Rulebook/MPGs • Provide strategic orientation and technical guidance and assistance to the TWG work plans and activities • Participate and contribute to the knowledge exchange through peer-to-peer activities and regional/sub-regional networks, present opportunities for replication in other countries, codify lessons learnt, good practices and facilitate dissemination through ongoing South-South and global platforms, such as the CBIT Global Coordination Platform
<p>Finance and Administrative Assistant</p> <p>\$ 3,963/year(part-time)</p>	<p>3 years</p>	<p>Under the guidance and supervision of the Project Manager, the Finance and Administrative Assistant will carry out the following tasks:</p> <p><u>Duties and Responsibilities:</u></p> <ul style="list-style-type: none"> • Assist the Project Manager in day-to-day management and oversight of project activities. • Assist in matters related to M&E and knowledge resources management. • Assist in the preparation of progress reports. • Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, UNDP, project consultants and other PMU staff. • Provide PMU-related administrative and logistical assistance. • Keep records of project funds and expenditures and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager. • Review project expenditures and ensure that project funds are used in compliance with the Project Document and UNDP and donor financial rules and procedures. • Validate and verify FACE forms before the certification of the CEO and submission to UNDP. • Provide necessary financial information as and when required for project management decisions. • Provide necessary financial information during project audit(s). • Review annual budgets and project expenditure reports and notify the Project Manager if there are any discrepancies or issues. • Consolidate financial progress reports submitted by the responsible parties for implementation of project activities. • Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports.

Consultant	Time Input	Tasks, Inputs and Outputs
		<ul style="list-style-type: none"> Maintain project asset inventory and update regularly. Undertake any tasks requested by the Project Manager, the Head of the Mitigation Division and the Director for Climate Change Department.
For Technical Assistance		
International / Regional and Global contracting		
International GHG Inventory Expert Rate: \$500/day	30 days	<u>Duties and Responsibilities:</u> <ul style="list-style-type: none"> Support the review, update, and quality improvement of GHG Inventory (2000 – 2006) and methodologies used. Provide trainings on the use of IPCC guidelines on national greenhouse gas inventories, the 2019 refinement of the 2006 IPCC guidelines, the IPCC good practice guidance on the National GHG inventories and Uncertainty Management, the IPCC Good Practice Guidance on Land use, land-use change and forestry and improving GHG data collection and management systems. Develop methods for overcoming inventory data gaps where no activity data is available. Develop and apply QA/QC protocols. Assess existing mechanisms for data collection, harmonization, and centralization of GHG relevant data and the preparation of GHG inventories and provide recommendations for improving existing mechanisms and strengthening institutional frameworks and data management systems. Verify GHG Inventory data and calculations for 4NC.
International Climate Change Adaptation Expert Rate: \$500/day	30 days	<u>Duties and Responsibilities:</u> <ul style="list-style-type: none"> Review and verify climatic scenarios developed and climate risk identified for Tonga. Provide training on methodologies and tools of vulnerability and impact assessments. Provide technical guidance to the preparation of sector specific vulnerability studies and identification of adaptation options.
International Climate Change Mitigation Expert Rate: \$500/day	30 days	<u>Duties and Responsibilities:</u> <ul style="list-style-type: none"> Develop methodologies to assess the effects of mitigation actions. Conduct capacity building trainings on methodologies, processes, and tools of mitigation assessment. Support the development of mitigation scenarios and the assessment of available technologies for the different mitigation options in various sectors including cost-benefit analyses. Contribute to the preparation of mitigation project profiles. Support and verify mitigation analysis within 4NC.
		<ul style="list-style-type: none">
International Climate Change Specialist Rate: \$500/day	15 days	<u>Duties and Responsibilities:</u> <ul style="list-style-type: none"> Review, quality check and verification of the completed 4NC documents.

Consultant	Time Input	Tasks, Inputs and Outputs
Local / National contracting		
Technical Officer (Adaptation) \$ 10,441/year	4 years	<u>Duties and Responsibilities:</u> <ul style="list-style-type: none"> • Provide leadership and technical guidance to the V&A analysis of the 4NC. • Facilitate effective communication and adequate information flow with relevant stakeholders including authorities, institutions government departments, NGOs, private sector, Youth Groups, etc. in close collaboration with the TWG on V&A. • Facilitate information sharing on climate change adaptation to all government, private and public sector programmes, and activities, which impact on climate change capacity development. • Establish and maintain database and information on various activities and programmes on climate change adaptation and on the implementation of the UNFCCC at the national level. • Develop TORs of technical consultancies and support the recruitment process of international/local consultants. • Coordinate, manage and monitor the implementation of the project activities/tasks undertaken by the V&A and other technical working groups, local experts, consultants, sub-contractors, and co-operating partners. • Support the organization of TWG meetings, capacity building trainings and lessons learned workshops. • Undertake any tasks requested by the Head of the Mitigation Division and the Director for Climate Change Department.
Technical Officer (Mitigation) \$ 10,441/year	2 years	<u>Duties and Responsibilities:</u> <ul style="list-style-type: none"> • Provide leadership and technical guidance to the mitigation assessments of the 4NC. • Facilitate effective communication and adequate information flow with relevant stakeholders including authorities, institutions government departments, NGOs, private sector, Youth Groups, etc. in close collaboration with the GHG Inventory and Mitigation and MRV TWGs. • Facilitate information sharing on climate change mitigation and MRV to all government, private and public sector programmes, and activities, which impact on climate change capacity development. • Establish and maintain database and information on various activities and programmes on climate change mitigation and MRV and on the implementation of the UNFCCC at the national level. • Develop TORs of technical consultancies and support the recruitment process of international/local consultants. • Coordinate, manage and monitor the implementation of the project activities/tasks undertaken by the Mitigation and MRV and other technical working groups, local experts, consultants, sub-contractors, and co-operating partners. • Support the organization of TWG meetings, capacity building trainings and lessons learned workshops. • Undertake any tasks requested by the Head of the Mitigation Division and the Director for Climate Change Department.
National GHG Inventory Experts (4 Consultants) Rate: \$300/day	4 X 30 days	<u>Duties and Responsibilities:</u> <ul style="list-style-type: none"> • Review and improve existing time series of GHG Inventories (2000 – 2006 and 2007 – 2022 for 4NC) through the introduction of country-specific TIER II and TIER III methodologies. • Identify and collect new activity data for estimates of GHG emissions for the Energy, AFOLU, IPPU and Waste sectors and select emission factors to be utilized. • Calculate greenhouse gas emission and prepare the GHG inventory for the period of 2007 – 2022 for the 4NC for the sectors of Energy, AFOLU, IPPU and Waste and calculate the level of uncertainty associated with the inventory data.

Consultant	Time Input	Tasks, Inputs and Outputs
		<ul style="list-style-type: none"> • Implement Quality Assurance/Quality Control (QA/QC) protocols. • Identify constraints and gaps of the inventory process and areas where further technical support is needed. • Prepare a National Inventory Report.
<p>National Climate Change Adaptation Experts (4 Consultants) Rate: \$300/day</p>	4 X 30 days	<p><u>Duties and Responsibilities:</u></p> <ul style="list-style-type: none"> • Review and update of climatic scenarios and climate risks for Tonga up to 2030, 2055 and 2090. • Conduct V&A assessments in specific sectors including water, health, food, infrastructure, and coastal areas. • Identify adaptation options including relevant technological applications in vulnerable sectors and their cost-benefit analysis. • Assess the vulnerability of women and men to climate change and provide recommendations for their greater resilience. • Analyse the existing policy frameworks, sectoral and community development plans and policies for developing and implementing adaptation strategies and measures. • Outline concrete actions taken by the government, NGOs, and communities to facilitate adaptation in different sectors.
<p>National Climate Change Mitigation Experts (4 Consultants) Rate: \$300/day</p>	4 X 30 days	<p><u>Duties and Responsibilities:</u></p> <ul style="list-style-type: none"> • Review and analyse national and sectoral targets, policies, programmes, and actions to mitigate climate change and their progress. • Identify additional mitigation options and planned measures in the four key sectors of Energy, AFOLU, IPPU and Waste. • Develop mitigation scenarios for the period of 2019 – 2030 for the four key sectors of Energy, AFOLU, IPPU and Waste including a baseline scenario, whereby current trends continue and two other scenarios showing how emissions may decrease if existing mitigation actions are taken (WEM) and if additional mitigation actions are implemented (WAM). • Assess available technologies for the different mitigation options in various sectors, including cost-benefit analysis. • Prepare financially sound mitigation project profiles for implementation in the four key sectors.
		<ul style="list-style-type: none"> •
<p>Climate Change Specialist 1 Rate: \$300/day</p>	45 days	<p><u>Duties and Responsibilities:</u></p> <ul style="list-style-type: none"> • Review and update information on national circumstances, including on features of national geography, population, economy, and education, national development priorities, and sustainable development objectives. • Compile information on institutional arrangements relevant to the preparation of national communications including the distribution of responsibilities and working arrangements within government departments and other relevant organizations, the roles and responsibilities of technical working groups and climate change coordinating bodies, and the process of stakeholder participation. • Assess the policy framework, including relevant strategies, policies, sectoral plans, and legislation pertaining to climate change in Tonga.

Consultant	Time Input	Tasks, Inputs and Outputs
<i>Climate Change Specialist 2</i> Rate: \$300/day	45 days	<u><i>Duties and Responsibilities:</i></u> <ul style="list-style-type: none"> • <i>Collect and analyse information on constraints, gaps, and related financial, technical, and capacity building needs associated with the implementation of climate change measures and programmes.</i> • <i>Summarize the results of technology needs assessments conducted in Tonga for climate change actions and identify areas and sectors in which further assessments are needed.</i> • <i>Collect and present information on support received for the implementation of climate change activities in Tonga, including capacity building and technology transfer from various donors.</i> • <i>Compile information on support received for the preparation of NCs.</i>
<i>Climate Change Specialist 3</i> Rate: \$300/day	45 days	<u><i>Duties and Responsibilities:</i></u> <ul style="list-style-type: none"> • <i>Support the preparation of the 4NC by researching, analysing and presenting any other information relevant to the achievement of the Convention including: 1) steps undertaken to integrate climate change into relevant social, economic, and environmental policies and actions, 2) activities relating to technology transfer and development, 3) research and systematic observation programmes and activities, 4) education, training, and public awareness actions related to climate change, 5) capacity building activities and efforts to promote information-sharing among and within countries and regions, 6) measures to promote information exchange and networking.</i>
<i>Contractual services (Company)</i>	<i>Deliverable based assignment</i>	<u><i>Duties and Responsibilities:</i></u> <ul style="list-style-type: none"> • <i>Develop processes and methodologies to improve the data collection, management, and archiving system of the AFOLU sector and establish an AFOLU database.</i>
KM and M&E		
Local / National contracting		
<i>Gender Specialist</i> Rate: \$300/day	40 days	<u><i>Duties and Responsibilities:</i></u> <ul style="list-style-type: none"> • <i>Oversee/develop/coordinate implementation of all gender-related work.</i> • <i>Prepare a detailed Gender Analysis and Action Plan, review and update it annually, and revise corresponding management plans, as necessary.</i> • <i>Monitor progress in implementation of the project Gender Action Plan ensuring that targets are fully met, and the reporting requirements are fulfilled.</i> • <i>Work with the Project Manager to ensure reporting, monitoring and evaluation fully address the gender issues of the project.</i> • <i>Develop training materials on gender and climate change and deliver capacity building workshops on how to integrate gender into climate change policy policies and programming.</i>
<i>Knowledge Management and Communication Specialist</i> Rate: \$300/day	40 days	<u><i>Duties and Responsibilities:</i></u> <ul style="list-style-type: none"> • <i>Support the generation and dissemination of knowledge management products, communication and outreach materials to raise awareness about project results.</i> • <i>Support the organization of stakeholder consultations and verification workshops.</i> • <i>Support the development of a digital platform to enable virtual consultation and focus-group discussions.</i> • <i>Oversee the design and printing of the, 4NC and communication materials.</i>

Annex 7: Stakeholder Engagement Plan

Considering the volume and complexity of data and information needed for the preparation of national communications and biennial update reports, the engagement and active participation of wide range of stakeholders are essential through the project cycle.

The project design phase has been building on existing institutional and stakeholder consultation mechanisms established during the TNC project and development of national and sectoral policies and plans (e.g., Climate Change Policy, JNAP2, TERPLUS). Furthermore, Tonga has recently completed a broader set of stakeholder consultation in relation to the revision of its NDC which have also provided opportunities to raise awareness about the 4NC project and engage additional stakeholders.

The 4NC project will reinforce collaboration among various actors and help to integrate climate change aspects into existing planning processes across different thematic areas. Stakeholders will fulfil wide range roles in the project starting from participating in technical working groups, contributing to project outputs, research studies, data collection, V&A and mitigation analysis, technology needs assessments and validation workshops.

To facilitate consultations and inclusive participation, the preliminary stakeholder engagement plan envisages the following meetings:

- Inception workshop to discuss conceptual framework and design for each chapter; and to highlight any prevailing challenges to data acquisition and sharing, monitoring assessment and reporting.
- Individual meetings with technical working groups and sectoral representatives.
- Group discussions to solicit ideas, create synergies and opportunities for networking, knowledge sharing and joint actions.
- Trainings and capacity building workshop on specific thematic areas of NC and gender and climate change.
- Validation workshops to discuss results and validate accuracy of the analyses.
- Final dissemination workshop to discuss findings, raise awareness and reinforce collaboration and networking.
- Awareness programs for difference audiences.

The following list represents the stakeholders that have already been identified during the project design phase and the previous TNC work. The list will be updated regularly. Roles and responsibilities of the stakeholders will be also further discussed and clarified during the Inception Workshop.

	Stakeholder	Role in 4NC project
Government and Government Institutions/Coporations		
MEIDECC	Department of Climate Change Mitigation Division Policy & Planning Division, JNAP Secretariat V&A Division Ozone Layer Protection Division Climate Finance Division Information & Communcation Division Outer Island Division	Implementing agency and overall coordination. Assist with project data and activities Ozone Layer Protection Divison, IPPU Sector Lead, provide AD and other information on IPPU

	Stakeholder	Role in 4NC project
	Other Existing Projects Division	
	Department of Energy Policy & Planning Division Energy Efficiency Division Renewable Energy Division	Energy Sector Lead for GHG inventory and mitigation analysis. Participating in technology needs assessment.
	Department of Environment Waste and Pollution Control Division Biodiversity & Ecosystem Management Division Environmental Monitoring & Compliance Division	Technical lead on Biodiversity and Waste sectors and providing technical assistance for V&A.
	Tonga Meteorological Service (Meteorology Department)	Responsible for operation and maintenance of the key climatic stations, climate data and information and provide AD and other information on climatic parameters, conditions, scenarios
	National Emergency Management Office (NEMO) / Disaster Management Department	Provide AD and information for V&A
Ministry of Agriculture, Forestry and Food (MAFF)	Agriculture Division Forestry Division Livestock Division Quarantine Division	Sector lead for AFOLU Provide technical assistance and AD for GHGI, Mitigation and V&A
Ministry of Infrastructure	Land Transport Division	Providing Activity Data (AD) and other information on transport and road infrastructure.
	Civil Aviation Division	Providing AD and other information on transport.
	Marine and Ports Division	Providing AD and other information on transport.
	Building Division	Providing AD and other information for Energy Sector and V&A analysis on infrastructure related matters.
Ministry of Fisheries	Policy & Planning Division (SMA)	Provide information for National Circumstances. Participating in V&A analysis.

	Stakeholder	Role in 4NC project
Ministry of Health	Policy & Planning Division Public Health Division	Providing AD and other information on IPPU and waste sector. Supporting to assessing climate change impacts on health and water.
Ministry of Lands and Natural Resources (MLNR)	Natural Resources Division	Participating in V&A analysis.
	GIS Division	Participating in V&A analysis.
	National Spatial Planning Authority Office (NSPAO)	Participating in V&A analysis.
Ministry of Internal Affairs (MIA)	Women's Affairs Division	Supporting the preparation of the Gender Analysis and Action Plan an integration of Gender aspects into project activities and outputs.
	Community Development and Local Governance Division	Participating in mitigation assessment and V&A analysis.
	Youth Division	Participating in V&A analysis
	Disability Division - check	Participating in V&A analysis
Ministry of Tourism	Cruise Ship and Beautification Division	Participating in V&A analysis.
Cabinet	Members of Parliment	Approval of the final 4NC document which will then be submitted to UNFCCC
Ministry of Revenue and Customs (MORC)	Customs Department	Providing AD and other information on Energy
Ministry of Trade and Economic Development (MTED)	Consumer Affairs & Fair Trading Division	Providing AD and other information on Energy
Department of Statistics	Census & Survey Division Social Statistics Division	Supporting data collection and provide demographic information
Government Public Enterprises	Tonga Water Board (TWB)	Supporting water resource assessment in V&A
	Tonga Waste Authority Limited (WAL)	Providing AD and other information on Waste Sector. Participate in mitigation analysis
	Tonga Power Limited (TPL)	Providing AD and other information on Energy. Participate in mitigation analysis.
	Tonga Airports Limited (TAL)	Providing AD and other information on air transport.
	Ports Authority Tonga	Providing AD and other information on sea transport.
NGOs and Private Sector		
NGOs	Tonga Community Development Trust (TCDT)	Participating in mitigation assessment and V&A analysis
	Langafonua 'a Fefine Tonga	Participating in V&A analysis

	Stakeholder	Role in 4NC project
	Civil Society Forum of Tonga (CSFT)	Participating in mitigation analysis and V&A assessment.
	Caritas Tonga	Participating in V&A analysis
	Tonga Red Cross Society (TRCS)	Participating in V&A analysis
	Tonga National Council of Churches	Provide information for National Circumstances and Other Information chapters.
	MORDI Tonga	Participating in mitigation assessment and V&A analysis.
	Live & Learn Tonga	Participating in V&A analysis.
Youth-related NGOs	350 Tonga	Participating in mitigation analysis and V&A assessment.
	Tonga Youth Leaders	Supporting the inclusion of Youth aspects into project activities and outcomes.
	Talitha Project	Supporting the inclusion of Youth aspects into project activities and outcomes.
	Tonga National Youth Congress (TNYC)	Supporting the inclusion of Youth aspects into project activities and outcomes.
	Tonga Youth Employment and Entrepreneurship (TYEE)	Supporting the inclusion of Youth aspects into project activities and outcomes.
Private Sector	Tonga Chamber of Commerce and Industry	Participating in mitigation analysis and V&A assessment.
	Raeworx Limited	Providing AD and other information on IPPU
	Nishi Trading Co Ltd	Providing AD and other information for IPPU and AFOLU
Regional Organizations		
	Pacific Centre for Renewable Energy and Energy Efficiency	Providing technical inputs to the GHGI and Mitigation
	Pacific Tsunami Warning Center	Supporting data collection and mitigation analysis.
	Secretariat of the Pacific Community (SPC)	Providing technical inputs to V&A analysis.
	South Pacific Applied Geoscience Commission	Providing technical inputs to climatic scenarios and DRM measures.
	South Pacific Regional Environment Programme (SPREP)	Providing technical inputs for V&A analysis.
	Pacific MRV Network	Providing technical inputs in relation to Tonga's domestic MRV system
	Pacific NDC Hub	Providing technical guidance for GHG Inventories, mitigation and V&A assessments and MRV.
International Organizations		

	Stakeholder	Role in 4NC project
	International Union for Conservation of Nature (IUCN)	Providing technical assistance on environmental issues and supporting V&A analysis.
	Global Green Growth Institute (GGGI)	Providing technical guidance for GHG Inventories, mitigation and V&A assessments and MRV.
	ClimateWorks Australia	Providing technical guidance for GHG Inventories, mitigation and V&A assessments and MRV.
	GIZ	Providing technical guidance for GHG Inventories, mitigation and V&A assessments and MRV.
	Inter-governmental Panel on Climate Change (IPCC)	Providing technical guidance for GHGI, V&A and Mitigation
	Consultative Group of Experts (CGE)	Providing technical guidance for implementation of project activities
	Global Support Program for NCs and BURs	Providing technical guidance and trainings for implementation of project activities

Annex 8: Gender Analysis and Gender Action Plan

This preliminary Gender Action Plan provides an overview of the objectives and actions envisaged to support a gender-inclusive project implementation and national communication process. The development of a comprehensive gender analysis and the preparation of a more detailed Gender Action Plan is expected during the inception phase of project implementation with the involvement of a Gender Specialist.

Outputs	Objectives	Actions	Timeline	Responsible Party
Component 1 - Fourth National Communication (4NC)				
<p>1.1 National circumstances and institutional arrangements in relation to climate change and national development priorities assessed with gender-disaggregated data provided.</p> <p>1.2 National GHG Inventory updated from 2007 to 2022 for the Energy, AFOLU, IPPU and Waste sectors using 2006 IPCC guidelines and its 2019 refinement to the extent possible and human, scientific, technical, and institutional capacity to undertake a GHG inventory strengthened.</p> <p>1.3 Tonga's vulnerability to the adverse impacts of climate change assessed and disaggregated by sectors, socio-economic categories and gender and information on programmes containing measures to facilitate adequate adaptation compiled.</p> <p>1.4 Tonga's mitigation potential assessed and information on programmes containing measures to mitigate climate change compiled in alignment with relevant national priorities and Nationally Determined Contribution (NDC) cycle.</p> <p>1.5 Constraints, gaps, and related financial, technical, and capacity-building needs are identified.</p>	Supporting the development of gender-responsive national communications and improving the availability of sex-disaggregated data in climate change reporting.	Collecting sex-disaggregated data, statistics and research done to date on gender issues in relation to climate change, resource use, natural resource management and women's and men's roles in each area of the economy.	Q3/Y2 – Q4/Y3	Thematic Working Groups Technical Experts/Consultants Gender Specialist
		Collecting baseline information on gender balances in decision-making by sector, e.g., in energy, coastal management, forestry and outline different roles, needs and priorities of women and men in the reporting process.	Q3/Y2 – Q4/Y3	Thematic Working Groups Technical Experts/Consultants Gender Specialist
		Collecting sex-disaggregated data and including analysis of male/female (M/F) differences in all reports and assessments.	Q3/Y2 – Q2/Y4	Thematic Working Groups Technical Experts/Consultants Gender Specialist
		Assessing how climate change impacts men and women in sectors such as energy, agriculture, and waste management, as well as their different vulnerabilities to climate risks and the ways in which they seek to adapt to climate change.	Q3/Y2 – Q2/Y4	Thematic Working Groups Technical Experts/Consultants Gender Specialist
		Assessing how men and women are innovating and adopting both new and old technologies to mitigate climate change and to adapt to its adverse effects.	Q3/Y2 – Q2/Y4	Thematic Working Groups Technical Experts/Consultants Gender Specialist
	Strengthening institutional and human capacities on integrating	Training on collecting and analysing sex-disaggregated data in specific sectors.	Q4/Y1 – Q4/Y1	Gender Specialist

Outputs	Objectives	Actions	Timeline	Responsible Party
1.6 Other information relevant to the achievement of the objective of Convention compiled. 1.7 Training and capacity building workshops organized for institutional actors, technical working groups, national and local stakeholders targeting at least 50% female participation and including women only consultations.	gender into climate change policies and MRV framework.	Training on mainstreaming gender into climate change policies and programming and the development of national communications.	Q4/Y1 – Q2/Y4	Gender Specialist
		Targeting at least 50% female participation in all trainings and capacity building activities.	Q4/Y1 – Q2/Y4	Gender Specialist Project Manger Technical Officers
Component 2 - Knowledge management, Monitoring, and Evaluation				
2.1 The project regularly monitored, financial and narrative reports prepared, and lessons learned compiled. 2.2 Inception Workshop organized. 2.3 Regular stakeholder consultations organized to increase public awareness and transparency on project activities and validate project outputs. 2.4 Gender Analysis and Action Plan prepared. 2.5 End of Project report prepared, and lessons learnt compiled.	Mainstreaming gender aspects into project components and outputs.	Engaging a gender expert to support the inclusion of gender issues in the development of 4NC.	Q4/Y1	Project Manager
		Conducting comprehensive gender analysis to assess how differences in gender roles, activities, needs, opportunities, and rights/entitlements affect men, women, girls, and boys in the context of climate change planning, implementation, and reporting.	Q4/Y1	Gender Specialist
		Developing criteria to ensure data and information collection includes gender issues for each sector and NC thematic areas.	Q4/Y1	Gender Specialist
		Identifying a set of indicators to monitor gender issues and include them in the project progress reports and End of Project Report.	Q4/Y1 – Q4/Y4	Gender Specialist
		Monitoring, reviewing and regular update of the Gender Action Plan.	Q4/Y1 – Q4/Y4	Gender Specialist
		Promoting gender-inclusive stakeholder consultations and improved awareness of gender-responsive project results.	Targeting of at least 50% female participation in project meetings (Inception Workshop, Project Board meetings) and stakeholder consultations and organize women only consultations.	Q4/Y1 – Q4/Y4
	Developing and disseminating awareness raising and knowledge products on gender and climate change using different communication channels suitable for men and women.	Q4/Y1 – Q4/Y4	Project Manger Technical Officers Gender Specialist	

Outputs	Objectives	Actions	Timeline	Responsible Party
				Knowledge Management and Communication Specialist
		Collaborating with the ministry responsible for gender equality and gender-based NGOs to identify stakeholders from government, private sector, civil society, and academia to be included in the consultative processes for the preparation of 4NC.	Q4/Y1 – Q4/Y4	Project Manger Technical Officers Gender Specialist
Project Management				
	Promoting gender equality and women's participation in project implementation.	Promoting gender balance while recruiting project management staff and national/international consultants.	Q4/Y1 – Q4/Y4	MEIDECC Project Manger Technical Officers
		Ensuring equal pay for equal work between male and female staff.	Q4/Y1 – Q4/Y4	MEIDECC
		Ensuring at least 40% female participation in project decision-making committees and thematic working groups.	Q4/Y1 – Q4/Y4	MEIDECC Project Manger Technical Officers
		Nominating Gender Focal Points in each thematic working groups.	Q4/Y1	Project Manger Technical Officers

Annex 9: Procurement Plan

#	Title of Procurement Action	Type of Procurement Action	Procurement Category	Estimated Contract Value (USD)	Procurement Method	Planned Contract Start Date
Individual Contracts/Consultancy Services						
1	Project Manager	Individual Contract	Contractual Services - Individual	48,600	Open Tender	Month 1
2	Finance and Administrative Assistant	Individual Contract	Contractual Services - Individual	11,890	Open Tender	Month 1
3	Technical Officer (Mitigation)	Individual Contract	Contractual Services - Individual	24,843	Open Tender	Month 1
4	Technical Officer (Adaptation)	Individual Contract	Contractual Services - Individual	31,323	Open Tender	Month 1
5	Gender Specialist	Individual Contract	Individual Consultants - National	12,000	Open Tender	Month 2
6	Knowledge Management and Communication Specialist	Individual Contract	Individual Consultants - National	12,000	Open Tender	Month 2
7	International GHG Inventory Expert	Individual Contract	International Consultants	15,000	Open Tender	Month 4
8	International Climate Change Adaptation Expert	Individual Contract	International Consultants	15,000	Open Tender	Month 25
9	International Climate Change Mitigation Expert	Individual Contract	International Consultants	15,000	Open Tender	Month 4
10	International Climate Change Specialist	Individual Contract	International Consultants	7,500	Open Tender	Month 6
11	National GHG Inventory Experts (4)	Individual Contract	Individual Consultants - National	36,000	Open Tender	Month 3
12	National Climate Change Adaptation Experts (4)	Individual Contract	Individual Consultants - National	36,000	Open Tender	Month 25
13	National Climate Change Mitigation Experts (4)	Individual Contract	Individual Consultants - National	36,000	Open Tender	Month 3
14	Climate Change Specialist 1	Individual Contract	Individual Consultants - National	13,500	Open Tender	Month 3
15	Climate Change Specialist 2	Individual Contract	Individual Consultants - National	13,500	Open Tender	Month 3
16	Climate Change Specialist 3	Individual Contract	Individual Consultants - National	13,500	Open Tender	Month 25

#	Title of Procurement Action	Type of Procurement Action	Procurement Category	Estimated Contract Value (USD)	Procurement Method	Planned Contract Start Date
Goods and Non-Consultancy Services						
17	Workshops (incl. Inception and Lessons Learned), Trainings, Meetings of Technical Working Groups, Stakeholder Consultations	Services	Workshop / Seminar Cost (Location and/or Catering)	54,554	Direct Procurement/Request for Quotation	Month 2
18	Travel Costs	Services	Travel	28,000	Direct Procurement/Request for Quotation	Month 2
19	IT Equipment (computers, software, and other equipment to support project implementation, GHG Inventory process, domestic MRV system and virtual consultations)	Goods	Computer Hardware and Software	38,000	Request for Quotation	Month 1
20	Audio Visual & Print Production (design and production of communication and awareness raising materials and the 4NC documents)	Services	Printing/Publishing and Design Services	13,000	Direct Procurement/Request for Quotation	Month 4
21	Translation Services (translation of the 4NC documents)	Services	Translation	10,000	Request for Quotation	Month 30
22	Audit Fee	Services	Professional Services - Firms	4,400	Request for Quotation	Month 25
23	Office Supplies	Goods	Office Supplies	8,620	Direct Procurement	Month 1
24	Equipment and Furniture	Goods	Equipment and Furniture	1,770	Direct Procurement	Month 1
TOTAL				500,000		
PROJECT TOTAL				500,000		

Annex 10: GEF 7 Taxonomy

Level 1	Level 2	Level 3	Level 4
<input checked="" type="checkbox"/> Influencing models			
	<input checked="" type="checkbox"/> Strengthen institutional capacity and decision-making		
<input checked="" type="checkbox"/> Stakeholders			
	<input checked="" type="checkbox"/> Indigenous Peoples		
	<input checked="" type="checkbox"/> Private Sector		
	<input checked="" type="checkbox"/> Local Communities		
	<input checked="" type="checkbox"/> Civil Society		
	<input checked="" type="checkbox"/> Type of Engagement		
		<input checked="" type="checkbox"/> Information Dissemination	
		<input checked="" type="checkbox"/> Partnership	
		<input checked="" type="checkbox"/> Consultation	
		<input checked="" type="checkbox"/> Participation	
	<input checked="" type="checkbox"/> Communications		
		<input checked="" type="checkbox"/> Awareness Raising	
<input checked="" type="checkbox"/> Capacity, Knowledge and Research			
	<input checked="" type="checkbox"/> Enabling Activities		
	<input checked="" type="checkbox"/> Capacity Development		
	<input checked="" type="checkbox"/> Knowledge Generation and Exchange		
<input checked="" type="checkbox"/> Gender Equality			
<input checked="" type="checkbox"/> Focal Areas/Theme			
	<input checked="" type="checkbox"/> Climate Change		
		<input checked="" type="checkbox"/> Climate Change Adaptation	
		<input checked="" type="checkbox"/> Climate Change Mitigation	
			<input checked="" type="checkbox"/> Enabling Activities
		<input checked="" type="checkbox"/> United Nations Framework on Climate Change	
			<input checked="" type="checkbox"/> Nationally Determined Contribution
	<input checked="" type="checkbox"/> Rio Markers		
		<input checked="" type="checkbox"/> Paris Agreement	
		<input checked="" type="checkbox"/> Climate Change Mitigation 0	
		<input checked="" type="checkbox"/> Climate Change Mitigation 2	
		<input checked="" type="checkbox"/> Climate Change Adaptation 1	

Annex 11: [Partners Capacity Assessment Tool and HACT assessment](#)

This annex is attached separately to the project document.

Annex 12: UNDP Project Quality Assurance Report

The Project Quality Assurance Report can be reached via this link: <https://intranet-apps.undp.org/ProjectQA/Forms/Design?year=2021&fid=10715&ou=TON&pid=00139516&filtr=PROJECT>

Annex 13: Final Report (End of Project report) for NC project

TEMPLATE

FINAL REPORT OF TONGA'S FOURTH NATIONAL COMMUNICATION'S PROJECT

Monitoring and Evaluation plans of climate change enabling activities for the preparation of National Communications on Climate Change do not require the production and publication of Terminal Evaluation Reports. Therefore, a number of intended purposes of such terminal exercises are not captured in full, including:

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

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

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

National project teams in charge of the future enabling activity for the preparation of the National Communication can therefore rely on a valuable source of information from inception to closure of the project, and UNDP support teams can further disseminate lessons across borders, fully up taking its guiding role as implementing agency and partner within the Global Support Programme (GSP, previously known as National Communications Support Programme).

The template has been designed with the purpose of collecting relevant information, without representing a time-intensive and human resource-intensive burden to the current national project team. It is therefore divided into three core sections – project identification phase, project implementation phase and project follow-up –with for each section a limited number of open questions.

The intention is to have the team leader, project manager or equivalent figure completing the template, in close collaboration with other team members within the last two months of project implementation. It is furthermore the intention of the completion of this Final Report to trigger the discussions of the upcoming National Communication, taking advantage of the momentum created by the ongoing project, the presence of the core of the current national project team, and the renewed interest of national counterparts with the perspectives of an eminent or recent submission to the UNFCCC.

The completion of this template has been made mandatory and has been budgeted for in all projects that received approval post 2013 (3 working days equivalent of project manager's time). You are kindly invited to send the completed template to Damiano Borgogno, damiano.borgogno@undp.org and to Eva Huttova, eva.huttova@undp.org.

A. Details of the project

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

B. Project identification phase

Duration of preparatory phase (expressed in months) _____

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

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

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

<input type="checkbox"/>	Ministry of Finance (or equivalent)	<input type="checkbox"/>	Women's associations
<input type="checkbox"/>	Other Ministries (not being the Ministry in charge of climate change)	<input type="checkbox"/>	Youth movements
<input type="checkbox"/>	Local Governments	<input type="checkbox"/>	Indigenous peoples' representatives
<input type="checkbox"/>	National universities	<input type="checkbox"/>	Environment or climate related NGOs
<input type="checkbox"/>	Domestic Research Centers	<input type="checkbox"/>	Other NGOs/CSOs
<input type="checkbox"/>	Media	<input type="checkbox"/>	Others (specify)

What were the main objectives for the project identified as a result of this preparatory phase?

What were the major challenges faced during this phase?

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

C. Project implementation phase

Technical components

1. GHG inventory

Base year of the GHG inventory:

Base years used in previous GHG inventories:

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	

Outcome	
Final output 1	
Final output 2	
Final output 3	
...	

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



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

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

2. Mitigation actions

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

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

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

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



3. Vulnerability & Adaptation for NC or MRV for BUR

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

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

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

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

4. Constraints and Gaps/Support needed

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome	
Final output 1	
Final output 2	

Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the Constraints and gaps, and related financial, technical, and capacity needs component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g., lack of data, risk of duplication of work done in the context of parallel projects, among others).

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

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

Capacities and use of capacities

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

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

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

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

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

Additional remarks

Institutional arrangements



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

Please, describe the composition of the project team.

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

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

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

What suggestions have you to make regarding the institutional arrangements for future NC/BUR work?

Additional remarks

Technical support from GSP, CGE, or other bodies

Has the project team, or members of the project team, participated in national, regional, or global training events organized by a center of excellence or above-mentioned body during the course of the project? If yes, please, specify the training event(s).

What has been the contribution of this participation to the project results?

What identified knowledge gaps holding back the proper implementation of the NC project could not be addressed by any of the above-mentioned bodies?

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

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

D. Next steps

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

Are balance funds available under the NC/BUR project going to be used to identify the strategy of the next report?

At full project closure, is there a person or institute to whom one can turn in case there are follow-up questions to the NC/BUR?

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

E. Additional information

Date	
Name and e-mail address of person who completed this template	
Others involved in completion of this template (names of individuals and their institutions)	
In case a terminal evaluation report has been produced, please link it here.	
Other attachments	

