



**United Nations Development Programme
PROJECT DOCUMENT¹**

Project title: Third National Communication and First Biennial Update Report to the United Nations Framework Convention on Climate Change (UNFCCC)		
Country: Vanuatu	Implementing Partner: Ministry of Climate Change, Government of Vanuatu	Management Arrangements: National Implementation Modality (NIM)
UNDAF/Country Programme Outcome: Outcome 1.1: National, local and community capacities to effectively plan and implement enhanced natural resource management, biodiversity conservation, climate change adaptation and mitigation, and disaster risk reduction are strengthened		
UNDP Strategic Plan Output: 1.4 Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented		
UNDP Social and Environmental Screening Category: Low	UNDP Gender Marker: GEN1	
Atlas Project ID/Award ID number: 00097733	Atlas Output ID/Project ID number: 00101341	
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Brief project description: The enabling activity aims to assist Vanuatu in meeting reporting requirements under the UNFCCC Convention in accordance with its commitments as a non-Annex 1 Party (as mandated by Article 4 and 12 of this Convention and COP 16 and 17 decisions), and to strengthen the technical and institutional capacity of Vanuatu to prepare and submit its TNC and first BUR to the UNFCCC. The TNC will update the information provided regarding national circumstances, inventories of greenhouse gases, policies and measures undertaken to mitigate climate change, assessments of vulnerability to climate change and steps taken to adapt, and information on public awareness, education, training, systematic research and observation, and technology transfer. The BUR component of the project will focus on GHG inventory for 2014; mitigation actions/measures; constraints and gaps related to financial, technical and capacity and support needs and BUR support		

¹ For UNDP supported GEF funded projects as this includes GEF-specific requirements

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Acronyms

CC	Climate Change
CC/DRR	Climate Change and Disaster Risk Reduction
CH ₄	Methane
CO ₂ e	Carbon Dioxide equivalent
CoP	Conference of Parties
CRP	Comprehensive Reform Program
CRM	Country Results Matrix
CSO	Civil Society Organizations
DoE	Department of Energy
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EIA	Environmental Impact Assessment
ENSO	El Nino-Southern Oscillation
FAO	Food and Agriculture Organization
FBUR	First Biennial Update Report
GEF	Global Environment Facility
Gg	Giga Gram
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (German Agency for International Cooperation)
GHG	Greenhouse Gas
INC	Initial National Communication
INDC	Intended Nationally Determined Contributions
IPCC	Intergovernmental Panel on Climate Change
J-PRISM	Project for Promotion of Regional Initiative Solid Waste Management
LDC	Least Developed Countries
MCC	Ministry of Climate Change
MRV	Monitoring, Reporting and Verification
MSG	Melanesian Spearhead Group
M&E	Monitoring and Evaluation
NAB	National Advisory Board
NAPA	National Adaptation Program for Action
NAPs	National Adaptation Plans
NDMO	National Disaster Management Office

NERM	National Energy Road Map
NGOs	Non-Governmental Organizations
NMVOOC	Non-methane volatile organic compounds
NOx	Oxides of Nitrogen
N ₂ O	Nitrous Oxide
PIFS	Pacific Island Forum Secretariat
PMU	Project Management Unit
	SBAA Standard Basic Assessment Agreement
SNC	Second National Communication
SPC	Secretariat of the Pacific Community
SPREP	Secretariat of the Pacific Regional Environment Programme
TNC	Third National Communications
TWG	Technical Working Group
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Program
UNEP	United Nations Environment Programme
URA	Utilities Regulation Authority
USP	University of South Pacific
V&A	Vulnerability and Adaptation
VCAN	Vanuatu Climate Action Network
VANGO	Vanuatu Non-Governmental Organizations
VHT	Vanuatu Humanitarian Team
VMGD	Vanuatu Meteorology and Geo-hazards Department
VTSSP	Vanuatu Transport Sector Support Program

I. SITUATION ANALYSIS

Vanuatu ratified the United Nations Framework Convention on Climate Change (UNFCCC) on 25th March 1993 and the Kyoto Protocol on 17th July 2001. As a party to the convention, Vanuatu officially submitted its Initial National Communication (INC) to the UNFCCC in 1999 (5th COP). The Second National Communication (SNC) has been endorsed by the Council of Ministers and is expected to be submitted to the UNFCCC during second quarter of 2016.

Vanuatu with support from UNDP initiated the INDC preparation activities during July 2015 and has successfully submitted the same to United Nations Framework Convention on Climate Change (UNFCCC) on 29th September 2015. The mitigation contribution for the Vanuatu INDC submission is a sector specific target of transitioning to close to 100% renewable energy in the electricity sector by 2030. The adaptation component provides an opportunity to reiterate the adaptation priorities as identified and prioritized in key national documents such as the National Adaptation Programme of Action (NAPA) and the National Climate Change and Disaster Risk Reduction Policy.

Vanuatu anticipates many impacts from climate change on its society, economy, environment and human health and it is, through the Ministry of Climate Change, actively cooperating with United Nations agencies and international partners to assess these effects and develop appropriate plans through climate change adaptation and mitigation. Vanuatu's NAPA and NAPs (under preparation) intends to support the progress towards the country's national development priorities and the goal of environmental sustainability, by ensuring that a focus on reducing vulnerabilities and risks is incorporated into planning and activities across all sectors of the economy and society. Vanuatu is also keen to reduce its reliance on fossil fuels for the energy needs. The National Energy Road Map, which sets out a clear strategy and action plan for the development and use of alternative and sustainable energy sources, has an ambitious goal of reducing the country's high reliance on imported fossil fuel by meeting 65% of its electricity needs from renewable energy sources by 2020.

Vanuatu has positioned itself as a regional leader in the fields of Climate Change (CC) and Disaster Risk Reduction (DRR) and has been widely applauded for its initiative to establish a National Advisory Board for Climate Change and Disaster Risk Reduction (NAB) as a means of improving coordination and governance around the two issues. Vanuatu's implementation of the UNFCCC has progressed exponentially in recent years as government sector agencies become more organized and civil society, academic, the private sector, development partners and regional agencies have stepped up their activities in Vanuatu.

The Second National Communication (SNC) for Vanuatu highlights the country's commitment in formulating strategies, national policies and best practices for addressing GHG emissions and making a practical contribution to the global mitigation efforts. While at the same time the country is also pursuing its national and regional development priorities and sustainable development objectives. The development objectives are planned to be achieved by integrating GHG abatement efforts with other social, environmental and economic priorities.

Vanuatu is an active participant in Pacific island regional affairs and has signed on to a number of regional policies and initiatives that have implications for climate change mitigation. Vanuatu is also a Party to many other UN conventions, such as those, among others: biological diversity, biosafety, protection of the ozone layer, persistent organic pollutants, and combating desertification. Adaptation to climate change and risk management of natural hazards is one of the core development issues for Vanuatu. In 2007, Vanuatu completed its National Adaptation Programme of Action (NAPA), which outlined the most urgent and immediate needs with respect to climate change and identified several priority sectors (Agriculture/Food Security, Coastal Zones and Marine Ecosystems, Water Resources and Public Health) for action.

The Ministry of Climate Change and Natural Disasters, in consultation with other government agencies, provincial governments, civil society and other stakeholders, has developed and launched a Vanuatu Climate Change and Disaster Risk Reduction Policy in December 2015. The Policy has completed the stakeholder consultation and is pending cabinet approval. Through the policy, the Government of Vanuatu has committed to direct the country's climate change and disaster risk reduction efforts into six key priorities which are split into systems and themes. Interventions with regard to systems will look at addressing Governance, Finance and Knowledge/Information while the themes of focus include climate change adaptation and disaster risk reduction, low carbon development and response and recovery.

Vanuatu also established a set of strong, ambitious and realistic negotiating positions for COP 21 in Paris to guide deliberations and agreement drafting work in Paris. An official delegation of over 20 people from across government, civil society, academia and development partners were trained and participated in the COP 21 negotiations. COP21 Coordination in Vanuatu was led by Ministry of Climate Change UNFCCC Taskforce including representatives from the Department of Foreign Affairs, Department of Women's Affairs and the GIZ Climate Change Program. Vanuatu also partnered with its allies from the Association of Small Island States (AOSIS), the Least Developed Countries (LDCs), the G77+China grouping, the Melanesian Spearhead Group (MSG) and others to collectively raise issues in solidarity on global and regional climate change concerns. Regional agencies like the Secretariat of the Pacific Regional Environment Program (SPREP), the Pacific Islands Forum Secretariat (PIFS), the Secretariat of the Pacific Community (SPC), the University of the South Pacific (USP) and the German Agency for International Cooperation (GIZ) were involved in technical training activities with the Vanuatu delegation.

The Ministry for Climate Change and Natural Disasters is the nodal agency as part of the Government's efforts to streamline Vanuatu's climate change response. The ministry includes the Vanuatu Meteorological and Geo-Hazards Department (VMGD), the National Disaster Management Office (NDMO), the Department of Energy (DoE), the Department of Environment and the Project Management Unit (PMU). The Ministry and the NAB are mandated with coordinating all government and non-government initiatives addressing climate change and disaster risk reduction in the country. The National Advisory Board on Climate Change and Disaster Risk Reduction (NAB) is a committee made up of government and non-government members. Its primary purpose is to: "act as Vanuatu's supreme policy making and advisory body for all disaster risk reduction and climate change programmes, projects, initiatives and activities". As such it is the main governmental stakeholder in the proposed TNC and BUR process for Vanuatu.

The Government of Vanuatu has established institutional arrangements for joint governance of climate change and disaster risk reduction through the NAB and a Project Management Unit (PMU) within the Ministry. The PMU is responsible for coordinating all Vanuatu's climate change related programmes and projects and aligning the climate change initiatives with development strategies, including the annual and medium-term government budgets. The PMU is also responsible for ensuring that climate change programmes and projects are carried out within their specified timeframes and for ensuring activities meet the necessary public participation and stakeholder requirements.

The Government of Vanuatu is taking up climate change as one of the core development issues and has established specific teams and department to address the issue. The Government has a newly established Ministry for Climate Change Adaptation and a National Advisory Board (NAB) on Climate Change and Disaster Risk Reduction designed to improve coordination and governance surrounding the threats climate change and disasters pose to its people, environment and assets. Vanuatu as a party to the UNFCCC is keen to be part of the global efforts in addressing climate change and intends to fulfill reporting requirements under the convention which includes the Third National Communications (TNC) and the Biennial Update Report (BUR). Vanuatu requested support from Global Environmental Facility (GEF) needed in order to continue with development and consolidation of technical and institutional capacities and with efforts to integrate climate change into national policies, plans and programs. Vanuatu's first Biennial Update Report (BUR) will provide an update of the last national communication

submitted to the UNFCCC and will be based on the relevant components of the Second National Communication.

II. STRATEGY

The project activity aims to assist Vanuatu in meeting reporting requirements under the UNFCCC Convention in accordance with its commitments as a non-Annex 1 Party (as mandated by Article 4 and 12 of this Convention and COP 16 and 17 decisions), and to strengthen the technical and institutional capacity of Vanuatu to prepare and submit its TNC and first BUR to the UNFCCC. The project is prepared in line with GEF-6 strategic focal area on climate change mitigation, objective CCM3 on fostering enabling conditions to mainstream mitigation concerns into sustainable development strategies. In particular, Program 5 of this objective aims to mainstream the integration of climate considerations into the national planning process and to help countries mainstream mitigation action in support of the 2030 Agenda for Sustainable Development and SDGs.

The expected outcomes and associated key outputs and activities are:

1. Review and update of the national circumstances and institutional arrangements pertinent to preparation of the national communications and biennial update reports.
 - Information on national circumstances concerning the physical (geography, topography and climate) and socio-economic (economy, education, population, health, livelihoods) characteristics of the country and how these might affect the way in which Vanuatu deals with climate change and sustainable development issues in the long term is currently being developed. The preparation of the third national communication will strengthen the linkages and facilitate better understanding of the nexus between climate change and development. This will involve analyses of policies and plans that are currently being pursued by Vanuatu and their relevance in dealing with climate change issues and concerns.
 - Coordination, cooperation and synergy between the key stakeholders in developing actions and strategies to cope with the impacts of climate change are crucial for the sustainability of project implementation. It is envisaged that the preparation of the various components of the TNC/FBUR will help strengthen and where appropriate, build synergies among and between activities. The project management team will include a strong institutional arrangement under which many of the activities/tasks will be carried out in the preparation of the third national communication.
 - Gender analysis including community level stakeholder consultations (as appropriate) particularly with a gender and social inclusion element focusing on women and marginalized groups in the community.
2. The Third National Greenhouse Gases Inventory (GHGI) and the report for period 2006 to 2012 (TNC) and 2014 (FBUR).
 - Collation of data for the six key thematic sectors (Energy, Industrial Processes, Solvent and other Product Use, Agriculture, Land-Use, Land-Use Change and Forestry and Waste).
 - Carrying out greenhouse gas emission calculation for the six key thematic areas of emissions (Energy, Industrial Processes, Solvent and other Product Use, Agriculture, Land-Use, Land-Use Change and Forestry and Waste) for period 2006 to 2012 (TNC) and 2014 (FBUR).
 - Development of the chapter on GHG Inventory as part of the TNC and 2014 as part of FBUR.
 - A National Inventory Report (NIR) which includes: the procedures and arrangements undertaken to collect and achieve the data and information; anthropogenic emissions by sources (GHG Inventory); the level of uncertainty associated with inventory data, their underlying assumptions, and the methodologies used for estimating these uncertainties; summary of all activities and consultations undertaken; recommendations for integrating GHG activities with other sustainable

- development initiatives; recommendations for mainstreaming the GHG inventory process; and recommendations for addressing technological and capacity needs.
- Many of the problems relating to the preparation of national greenhouse gas inventory are lack of quality data and its associated problems of access, availability, management and retrieval systems; lack of expertise and capabilities to undertake inventory work and the lack of technical, financial, human and institutional capacities to carry out inventory work on a continuous basis. Therefore, a good capacity building and training of personnel and institutions is necessarily critical in order to ensure high quality inventories.
 - Training and capacity building is required in data collection, analysis, archiving and management, and the use and applications of geographic information systems and remote sensing techniques as they relate to estimations of emissions and removals from land use change and forestry sector. Identification of key source categories of emissions is considered important in determining resource allocations in GHG inventories and therefore training is needed in this area as well as on the use 2006 IPCC guidelines on national greenhouse gas inventories, the IPCC good practice guidance on the National GHG inventories and Uncertainty Management and the IPCC Good Practice Guidance on Land use, land-use change and forestry.
3. Completed vulnerability study including recommended adaptation measures for identified vulnerable sectors.
- Elaborating the climatic scenario for Vanuatu including past, present and projection for the future.
 - Confirmation of identified vulnerable sectors in Vanuatu based on the latest assessment and studies.
 - Description of current vulnerability and adaptation efforts; future risks including national/sectoral adaptation policies, strategies and measures.
 - Identified potential adaptation actions for priority sectors including opportunities and barriers.
 - Adaptation and disaster risk reduction action must be integrated into development and traditional livelihoods, rather than being seen as a stand-alone activity. Adaptation is achieved through a suite of actions that can be integrated into activities across industry sectors and implementing agencies.
 - Experience shows that successful adaptation action in Vanuatu requires collective approaches and co-implementation while also recognizing and building on existing valuable indigenous and traditional knowledge. It is essential that activities are coordinated among multiple partners. These can include national government agencies, provincial governments, traditional leaders, CSOs, private sector, development partners and academic institutions.
 - Gender analysis with V & A perspective including community level stakeholder consultations (as appropriate) particularly with a gender and social inclusion element focusing on women and marginalized groups in the community.
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4. Assessment of sectors, actions and projects that could be included in the national emission reduction strategy.
- Identification of all potential mitigation options for each sector listed in the GHG inventory; and prioritization of mitigation options for each sector and categorize as long, medium and short term priorities.
 - Development of Mitigation Scenarios (Emission Forecast) based on the available data from the GHG inventory, as well as socio-economic information, prepares a series of mitigation scenarios to 2030. This will include a baseline scenario, whereby current trends continue, as well as at least two other scenarios showing how emissions may decrease if mitigation actions are taken.
 - Preparation of brief mitigation project profiles for existing and possible future implementation. These profiles could include the following: brief overview of existing and proposed mitigation activities; estimated implementation costs; estimated mitigation potential; and arrangements for project coordination.
 - Training and capacity building is required in the use of appropriate technologies, methodologies and tools for assessment of mitigations options and development of mitigation scenarios

- particularly in sectors with significant mitigation potential.
 - Gender analysis with mitigation perspective including community level stakeholder consultations (as appropriate) particularly with a gender and social inclusion element focusing on women and marginalized groups in the community.
5. Domestic Measurement, Reporting and Verification (MRV)
- Development of Measurement, Reporting and Verification (MRV) to track the achievements resulting from the identified mitigation interventions which include baseline setting, development of monitoring Plan, identification of key Monitoring parameters and monitoring methodology and development of verification procedures
6. Updated assessment of the financial and technological assistance received and capacities building needs.
- Activities related to strengthening of the capabilities and expertise of Vanuatu to contribute to, and participate in, research and systematic observation, data collection and processing, archiving, analysis and dissemination identified and documented.
 - Gender analysis with capacity building perspective including community level stakeholder consultations (as appropriate) Capacity-building is regarded as a key issue in all areas of work relating to the preparation of national communication. Elaboration on resources provided for capacity building including details on collaboration and synergy existing between the various Convention processes as they relate to capacity building and technology transfer.
 - An assessment of training and awareness-raising activities carried out on climate change issues at the community and national level.
 - Study on the needs and constraints relating to financial, technical and capacity gaps with the assistance of bilateral and multilateral organizations.
7. Other information relevant for the preparation of FBUR and TNC
- Activities on Research and Systematic Observation such as improvement in data collection, analysis and management; trend analysis on temperature and rainfall data; analysis of the impact of climate change on the frequency of extreme climatic events including El Niño–Southern Oscillation (ENSO) and analysis of rainfall under future climate change scenarios, current climate variability including tropical cyclones and ENSO.
 - Information on efforts towards creating “Education, training and public awareness” on climate change through preparation and dissemination of outreach materials ((leaflets, booklets, calendars, posters, quarterly newsletters, videos etc.) through public media (TV, radio, newspapers, magazines, Internet, etc.).
 - Details on “Information and Networking” activities on climate change issues including information networking with thematic groups; participation and contribution to sub-regional and regional information networks and assessment of current capacity in information communication technologies.

Stakeholder engagement:

Vanuatu strongly believes that TNC and FBUR preparation can help in the integration of climate change into existing planning processes as well as to strengthen institutional cooperation on climate change in a useful way during implementation of projects. Vanuatu will also explore and use the existing institutional and stakeholder consultations mechanisms that have been established for initiatives such as the previous national communications and joint climate change and DRM planning processes to engage on TNC and FBUR.

The implementation of TNC/FBUR project as proposed in Vanuatu would represent a very good example on how various ministries, agencies, institutions of government and non-government organizations can

work together in a collaborative manner towards developing a national plan of action. The approach used in the INC and SNC formulation is similar to what is being proposed for the TNC/FBUR preparation, whereby the immediate needs and concerns related to identification and prioritization of mitigation and adaptation options, strategies and measures are highlighted and collectively addressed by the stakeholders.

A vast array of actors takes a role in climate change and disaster risk reduction activities in Vanuatu. Government at national, provincial and area council levels will be encouraged to work together, alongside CSOs and industry sectors, to address these challenges. Development partners, regional organizations and academic institutions also have key parts to play in planning, research, outreach and project delivery. Collaborative mechanisms need to work effectively to ensure alignment of goals, reduced duplication and efficient use of resources.

In recent years, alliances have been built within and across sectors in Vanuatu and regionally. The existence of the Vanuatu Climate Adaptation Network (VCAN) and Vanuatu Association of NGO (VANGO) demonstrate recognition of the need for collaboration among international and local CSOs to share information, partner on projects and achieve better outcomes, bringing better results for the communities they serve. The cluster system adopted for disaster planning, response and recovery is a further example of partnering to improve Vanuatu's capacity in delivering disaster risk reduction activities. Public private partnerships have been identified in the Energy Road Map as a mechanism to deliver renewable energy infrastructure projects.

Extensive consultations during the TNC project implementation will be carried out with relevant stakeholders in Vanuatu. It is understood that some of the relevant actors include but are not limited to:

Government Ministries/Institutions:

- Ministry of Climate Change and Natural Disasters (Department of Energy, Vanuatu Meteorological Department and National Disaster Management Office)
- Department of Strategic Policy, Planning and Aid Coordination (DSPPAC)
- *National Advisory Board (NAB) on Climate Change and Disaster Risk Reduction*
- Ministry of Agriculture, Livestock, Forestry and Fisheries
- *Ministry of Finance and Economic Management*
- Department of Foreign Affairs
- *Ministry of Lands and Natural Resources*
- Department of Women's Affairs
- *Vanuatu Investment Promotion Authority*

Local, Regional and International Non-Government Organizations (NGO)

- *Foundation of the Peoples of the South Pacific International (FSPI)*
- *CARE International*
- *OXFAM International*
- *Vanuatu Humanitarian Team (VHT)*
- *Vanuatu Association of NGOs – VANGO*
- *Vanuatu Climate Adaptation Network (VCAN)*
- *WWF*
- *Vanuatu National Council of Women*

Academic Institutions

- *University of South Pacific (USP)*

Regional Institutions

- *Secretariat of the Pacific Regional Environment Programme (SPREP)*
- *SPC Applied Geoscience and Technology Division (SOPAC)*
- *Secretariat of the Pacific Community (SPC)*

Private Sector Entities

- *Union Electrique du Vanuatu Limited (UNELCO)*
- *Vanuatu Utilities and Infrastructure Limited (VUI)*
- *Renewable Energy Equipment suppliers and entrepreneurs (Vanuatu Son Solar, Vate Electrics , Solar Communication , Van global, Energy 4 all , GreenTech, Jem Solar etc.)*

Gender mainstreaming:

The regional charter "Revised Pacific Platform for Action on Advancement of Women and Gender Equality 2005 to 2015", sets the direction for the region in improving outcomes for women. Vanuatu's Department of Women's Affairs (DWA) has developed a national gender equality policy (2015-2019). In association with DWA, a gender analysis including community level stakeholder consultations (as appropriate) particularly with a gender and social inclusion element focusing on women and marginalized groups in the community will be carried out under each project output during project implementation.

The project will ensure data collection and analyses disaggregated by gender, age, and socially disadvantaged to allow development of policy recommendations for specific gender targeted and inclusive policies, mainly related to adaptation dimensions of vulnerable communities. The Vanuatu Climate Change and Disaster Reduction Policy emphasizes that that women have full opportunities to participate in policy development, decision making and implementation at all levels. Initiatives are under way to ensure gender and climate change and disaster risk reduction efforts are aligned, and efforts should be up-scaled. Women have historically been excluded from participation on committees and other decision making forums. The TNC project management team will ensure the full representation of women to give them a voice and a role in climate change and disaster risk reduction decisions and activities.

As part of this project, the gender aspect will be taken into account systematically under all outputs as appropriate as noted earlier and particularly during the analysis of the vulnerability of Vanuatu and the identification of the most suitable adaptation measures. This will consist in depth analysis of vulnerabilities by categories taking into account the age and sex mainly. Engagement strategy for women and young girls, as well as other communities will be designed during the inception phase of the project to ensure gender and vulnerable community dimensions are adequately addressed.

As for the mitigation component, this aspect will also be considered particularly in identifying emission reduction measures in the most emitting sectors. This axis will identify the contribution of different categories and encourage consideration of this aspect during the implementation of identified projects and measures.

The interests of other social groups and particularly vulnerable community members would also be represented in TNC and BUR project implementation activities. People with disabilities, the elderly, youth, those in remote locations and from diverse cultural groups would be able to participate, as well as services being provided to meet their needs. The guidance on gender integration through the NCs and BURs developed by the Global Support Programme through UNDP and in collaboration with UNEP and GEF will be applied.

Vanuatu has ratified five of the nine core human rights treaties, including the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), the Convention on the Rights of

Persons with Disabilities (CRPD), Convention on the Rights of the Child(CRC), the International Covenant on Civil and Political Rights (ICCPR) and the Convention Against Torture (CAT). Vanuatu has also ratified a number of International Labour Organisation (ILO) conventions that aim to protect and uphold the rights of its workers.

Further one of the society goals and policy objectives under Vanuatu's National Sustainable Development Plan 2016-2030 (also called as "Vanuatu 2030 - The People's Plan") currently undergoing stakeholder validation is to aim for an inclusive society which upholds human dignity and where the rights of all Ni-Vanuatu including women, youth, vulnerable groups and the elderly are supported, protected and promoted in legislation and institutions. The TNC and FBUR project envisages to identify and assess any potential adverse impacts on enjoyment of human rights and also undertake appropriate mitigation and management measures during project implementation.

Sustainability and Scaling Up

The project will continue further on the work done under the First and Second National Communication projects and will involve key national institutions/partners/stakeholders/experts responsible for specific sections/topics, in order to maintain continuity of the process.

Preparation and submission of the National Communications and Biennial Update Reports is a commitment of the Government of Vanuatu 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 National Government and its principle stakeholders, who are supposed to implement the project, will undoubtedly 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 impact, this work will be complemented by rigorous capacity building undertaken throughout the project duration to build the critical mass of expertise among stakeholders.

South-South and Triangular Cooperation (SSTrC)

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 neighborhood 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 Vanuatu participates, both related to adaptation and mitigation, and to the elaboration of National Inventories of Greenhouse Gases (GHGI). In particular, through South-South cooperation, the country will be able to optimize 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, Vanuatu may support other countries in the implementation of other initiatives.

Under the guidance and exchanges facilitated via the Global Support Program for National Communication and Biennial Update Reports, Vanuatu will participate on the South-south learning and capacity building via webinars, regional workshops and networks on NC and BUR specific topics.

III. PROJECT RESULTS FRAMEWORK:

<p>This project will contribute to achieving the following Regional Outcome as defined in UNDAF:</p> <p>Regional UNDAF Focus Area: Environmental Management, Climate Change and Disaster Risk Management</p> <p>Regional UNDAF Outcome: 1.1: Improved resilience of PICTs, with particular focus on communities, through integrated implementation of sustainable environmental management, climate change adaptation/mitigation, and disaster risk management</p> <p>Vanuatu UNDAF Country Programme Outcome: National, local and community capacities to effectively plan and implement enhanced natural resource management, biodiversity conservation, climate change adaptation and mitigation, and disaster risk reduction are strengthened</p> <p>UNDAF Outcome Indicators:</p> <p>Outcome 1.1: Number of environmental policies/regulations successfully passed by parliament and translated into environmental protection measures for implementation by government</p> <p>Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): 1. Mainstreaming environment and energy OR</p> <p>2. Catalyzing environmental finance OR 3. Promote climate change adaptation OR 4. Expanding access to environmental and energy services for the poor.</p> <p>Applicable GEF Strategic Objective and Program: Objective CCM-3: Foster Enabling Conditions to Mainstream Mitigation Concerns into Sustainable Development Strategies; Program 5: Integrate findings of Convention obligations and enabling activities into national planning processes and mitigation targets</p> <p>Applicable GEF Expected Outcomes: Outcome B. Policy, planning and regulatory frameworks foster accelerated low GHG development and emissions mitigation</p> <p>Applicable GEF Outcome Indicators: Indicator 7. Number of countries meeting convention reporting requirements and including specific GHG reduction targets</p>

	Indicator	Baseline	Targets End of Project	Source verification	Risks and Assumptions
Project Objective² Support the Government of Vanuatu to prepare its Third National Communication (TNC) and First Biennial Report under the UNFCCC (FBUR)	Preparation and submission of the TNC and FBUR	SNC completed and submitted to UNFCCC. Significant data and information gaps identified as part of earlier communications.	FBUR approved and submitted to the UNFCCC by Dec 2017 TNC approved and submitted to the UNFCCC by June 2019	Document available online at UNFCCC website	Non-availability of data and information required for development of TNC and FBUR and poor absorptive capacity of stakeholders Inadequate consultations and coordination among the stakeholders Lack of in country expertise and capacity in developing the TNC and FBUR Political instability and lack of support
Outcome 1³	National circumstances	The national	National Circumstance document	Updated national	

² Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

³ All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.

	Indicator	Baseline	Targets End of Project	Source verification	Risks and Assumptions
<p>Updated information on national circumstances concerning the physical and socio-economic characteristics of the country and how these might affect the way in which Vanuatu deals with climate change and sustainable development issues in the long term</p>	<p>and institutional arrangements pertinent to preparation of the TNC and FBUR reviewed and updated</p>	<p>circumstances in the SNC document reflects the data and information from 2012</p>	<p>updated to reflect most current information:</p> <ul style="list-style-type: none"> • Description of Geographical characteristics, including climate, forests, land use and other environmental characteristics • Population: growth rates, distribution, density and other vital statistics; • Economy, including energy, transport, industry, and tourism, agriculture, fisheries, waste, health and services sector; • Education, including scientific and technical research institutions; • Description of institutional arrangements relevant to the preparation of the national communications on a continuous basis including distribution of responsibilities within government departments, universities, research institutions, etc • Gender analysis including community level stakeholder consultations (as appropriate) particularly with a gender and social inclusion element focusing on women and marginalized groups in the community. • Information on involvement and participation of stakeholders 	<p>circumstances chapter for TNC and FBUR</p>	<p>Data/ information required to update national document is readily available</p>

	Indicator	Baseline	Targets End of Project	Source verification	Risks and Assumptions
<p>Outcome 2 National GHG Inventory updated for period 2006 – 2012 (TNC) and for 2014 (FBUR).</p>	<p>National GHG Inventory updated for period 2006 – 2012 (TNC) and for 2014 (FBUR).</p>	<p>Completed national GHG inventories for INC and SNC</p>	<p>GHG inventories under the TNC and FBUR for all relevant sectors and gases as per the IPCC 2006 guidelines prepared:</p> <ul style="list-style-type: none"> • Collection of data for the six key thematic sectors (Energy, Industrial Processes, Solvent and other Product Use, Agriculture, Land-Use, Land-Use Change and Forestry and Waste). • Carry out greenhouse gas emission calculation as per IPCC 2006 guidelines for the six key thematic areas of emissions for period 2006 to 2012 (TNC) and 2014 (FBUR). • Development of the chapter on GHG Inventory as part of the TNC for period 2006 to 2012 and 2014 (FBUR). • An updated National Inventory Report (NIR) • Training and capacity building activities on data collection, analysis, on the use of 2006 IPCC guidelines on national greenhouse gas inventories, the IPCC good practice guidance on the National GHG inventories and Uncertainty Management and the IPCC Good Practice Guidance on Land use, land-use change and forestry. • Institutional strengthening and capacity building including the thematic working groups for efficient and timely 	<p>Technical reviews and reports Spreadsheet support for the inventory chapter in the BUR and TNC</p> <p>Technical expert reviews</p> <p>TNC and FBUR submitted</p>	<p>Data available, accessible and reliable</p> <p>In-country capacity exists to carry out assessment exercises</p> <p>National experts capacity building through engagement of consultants as needed.</p>

Indicator	Baseline	Targets End of Project	Source verification	Risks and Assumptions
<p>Outcome 3 Vulnerability study including recommended adaptation measures for identified vulnerable sectors.</p>	<p>Status (%) of In-depth vulnerability assessment, including recommended adaptation measures for priority sectors of socio-economic development, gender and natural environment conducted.</p>	<p>development and submission of GHG inventories. <ul style="list-style-type: none"> • Sectoral emissions determined and inventory prepared for all thematic areas (2006-2012) and FBUR for 2014 prepared <p>Better understanding on uncertainties of climate change scenarios Adaptation capacities to climate vulnerability and adaptation is enhanced Mainstreaming climate change vulnerability and adaptation to national sustainable development is improved Coordination of national research and development on V&A is strengthened.</p> <ul style="list-style-type: none"> • Assessment and elaboration of the climatic scenario for Vanuatu including past, present and future projection • Identification of vulnerable sectors in Vanuatu based on the latest assessment and studies • Description of current vulnerability and adaptation efforts; future risks including national/sectoral adaptation policies, strategies and measures • Identified potential adaptation actions for priority sectors including opportunities and barriers </p>	<p>Vulnerability assessment reports Adaptation Policy Strategy Documents Workshops on V&A TNC submitted</p>	<p>lack of adequate climate relevant data, information and appropriate analytical tools in the areas of vulnerability and adaptation Tools and vulnerability studies being developed will be accepted by the stakeholders</p>

	Indicator	Baseline	Targets End of Project	Source verification	Risks and Assumptions
<p>Outcome 4 Assessment of sectors, actions and projects that could be included in the national emission reduction strategy (mitigation)</p>	<p>Using best practices and latest available data, assessment of sectors and interventions contributing to GHG emission reduction (mitigation) at the national level conducted</p>	<p>NAMA for rural electrification in Vanuatu Updated National Energy Road Map Information from SNC and recent research</p>	<ul style="list-style-type: none"> Gender analysis with V & A perspective including community level stakeholder consultations (as appropriate) particularly with a gender and social inclusion element focusing on women and marginalized groups in the community 	<p>Technical reviews and reports Developed mitigation scenarios Technical expert reviews TNC submitted</p>	<p>Data available, accessible and reliable In-country capacity exists to carry out assessment exercises National experts capacity building through engagement of consultants as needed.</p>
			<ul style="list-style-type: none"> Integration of socio-economic implication into national mitigation prioritization/plans/measures/actions National capacity enhancement for development of NAMA Outreach on new mitigation options A chapter on measures taken to mitigate GHG emissions Identification of all potential mitigation options for each sector listed in the GHG inventory; and prioritization of mitigation options for each sector and categorization as long, medium and short term priorities. Development of Mitigation Scenarios (Emission Forecast) based on the available data from the GHG inventory, as well as socio-economic information, and preparation of a series of mitigation scenarios to 2030. Preparation of brief mitigation 		

	Indicator	Baseline	Targets End of Project	Source verification	Risks and Assumptions
			<p>project profiles for existing and possible future implementation.</p> <ul style="list-style-type: none"> • Training and capacity building on the use of appropriate technologies, methodologies and tools for assessment of mitigations options and development of mitigation scenarios • Gender analysis with mitigation perspective including community level stakeholder consultations (as appropriate) particularly with a gender and social inclusion element focusing on women and marginalized groups in the community 		
<p>Outcome 5 Domestic Measurement Reporting and Verification s</p>	<p>Domestic Measurement Reporting and Verification system supported</p>	<p>Approved systems under UNFCCC</p>	<p>Existing MRV arrangements under NAMA, CDM and emission mitigation projects in the country:</p> <ul style="list-style-type: none"> • Options and possibilities to develop a domestic MRV system assessed. • Identification of the requirements for development of institutional arrangements and the national MRV framework. • Report describing the requirements and recommendations for development of institutional mechanisms for national MRV. • The development process of national institutional arrangements and framework for domestic MRV supported. • Gender analysis with capacity 	<p>Technical expert reviews</p> <p>Supported MRV systems</p> <p>TNC submitted</p>	<p>In-country capacity exists to carry out assessment exercises</p>

	Indicator	Baseline	Targets End of Project	Source verification	Risks and Assumptions
			<p>building perspective including community level stakeholder consultations (as appropriate) Capacity-building is regarded as a key issue in all areas of work relating to the preparation of national communication. Elaboration on resources provided for capacity building including details on collaboration and synergy existing between the various Convention processes as they relate to capacity building and technology transfer</p>		
<p>Outcome 6 Constraints and gaps identified; financial, technology, policy and capacity building needs</p>	<p>Constraints and gaps identified; financial, technology, policy and capacity building needs assessed and recommendation for addressing the needs provided</p>	<p>Information on the progress made and status of relevant components in the SNC</p>	<p>A chapter on constraints and gaps related to financial, technical and capacity in addressing climate change for BUR and TNC:</p> <ul style="list-style-type: none"> Based on the assessment produced within the outcome 4, finance resources needed for implementation of the GHG emission reduction strategy estimated; Based on the V&A assessment, a cost benefit analysis, estimating potential costs for a long-term adaptation (at least for water sector) and BAU, performed; 	<p>Expert review on the draft chapter</p>	<p>Data available, accessible and reliable</p>
<p>Outcome 7 Other information</p>	<p>Other information for the preparation of FBUR and TNC consolidated</p>	<p>Information on the progress made and status of relevant components in the SNC</p>	<p>A chapter on other information for BUR and TNC:</p> <ul style="list-style-type: none"> Update on activities related to strengthening of the capabilities and expertise of Vanuatu to 	<p>Expert review on the draft chapter</p>	<p>Data available, accessible and reliable</p>

Indicator	Baseline	Targets End of Project	Source verification	Risks and Assumptions
		<p>contribute to, and participate in, research and systematic observation, data collection and processing, archiving, analysis and dissemination identified and documented</p> <ul style="list-style-type: none"> • Elaboration on resources provided for capacity building including details on collaboration and synergy existing between the various Convention processes as they relate to capacity building and technology transfer • Assessment of training and awareness-raising activities carried out on climate change issues at the community and national level. • Study on the needs and constraints relating to financial, technical and capacity gaps with the assistance of bilateral and multilateral organizations 		
<p>Outcome 8 Submission of FBUR and TNC, Monitoring and evaluation</p>	<p>FBUR compiled, approved by the GoV and submitted to UNFCCC</p> <p>TNC compiled, approved by the GoV and submitted to UNFCCC</p> <p>Project regularly monitored, financial audit conducted and lessons learned compiled</p>	<p>The outputs from outcome 1 to outcome 5</p>	<p>TNC and FBUR submitted to the UNFCCC:</p> <ul style="list-style-type: none"> • FBUR compiled, approved and submitted by Dec 2017; • TNC compiled, approved and submitted by Jun 2019. • Project financial and progress reports prepared and submitted. • End of Project report and lessons learned compiled. 	<p>Expert reviews on the BUR and TNC</p> <p>National Workshops on BUR and TNC</p> <p>CC remains a priority on national agendas leading to fast tracking of national endorsement processes</p>

IV. TOTAL BUDGET AND WORK PLAN

The total cost of the project is *USD892,000*. This is financed through a GEF grant of *USD852,000* and to be administered by UNDP and *USD40,000* in parallel co-financing from Government. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources transferred to UNDP bank account only.

Award ID:	<i>To be inserted after issuance of Delegation of Authority (DoA)</i>	Project ID(s):	<i>To be inserted after issuance of Delegation of Authority (DoA)</i>
Award Title:	Vanuatu: Third National Communication and First Biennial Update Report to the UNFCCC		
Business Unit:	FJ/10		
Project Title:	Vanuatu: Third National Communication and First Biennial Update Report to the UNFCCC		
PIMS no. [REDACTED]	5843		
Implementing Partner (Executing Agency)	Ministry of Climate Change, Government of Vanuatu (MCC)		

GEF Component/Atlas Activity	Responsible Party/[1] (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
OUTCOME 1: National Circumstances	MCC	62000	GEF	71300	Local Consultants	5,000	6,000	10,000	3,000	24,000	A
				75700	Training, Workshops and Confer	2,000	2,000	2,000	-	6,000	B
				71600	Travel	1,000	1,000	1,000	200	3,200	J
				74500	Miscellaneous (5%)	450	450	450	450	1,800	C
					sub-total GEF	8,450	9,450	13,450	3,650	35,000	
					Total Outcome 1	8,450	9,450	13,450	3,650	35,000	
OUTCOME 2: National Inventory updated for	MCC	62000	GEF	71200	International Consultants	25,000	50,000	45,000	20,000	140,000	D
				75700	Training, Workshops and Confer	3,000	5,000	5,000	1,800	14,800	B

GEF Component/Atlas Activity	Responsible Party/[1] (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
period 2006 - 2012 (TNC) and for 2014 (FBUR).				72200	Equipment & Furniture	2,000	5,000	2,000	2,000	11,000	L
				71600	Travel	1,000	1,000	1,000	1,000	4,000	J
				74500	Miscellaneous	2,300	2,300	2,300	2,300	9,200	C
					sub-total GEF	33,300	63,300	55,300	27,100	179,000	
					Total Outcome 2	33,300	63,300	55,300	27,100	179,000	
OUTCOME 3: Vulnerability & Adaptation	MCC	62000	GEF	71200	International Consultants	30,000	55,000	50,000	20,000	155,000	E
				75700	Training, Workshops and Confer	3,000	5,000	4,000	4,750	16,750	B
				72200	Equipment & Furniture	2,000	5,000	2,000	1,000	10,000	L
				71600	Travel	2,000	2,000	2,000	2,000	8,000	J
				74500	Miscellaneous	2,563	2,563	2,563	2,563	10,250	C
					sub-total GEF	39,563	69,563	60,563	30,313	200,000	
	Total Outcome 3	39,563	69,563	60,563	30,313	200,000					
OUTCOME 4: Mitigation Analysis	MCC	62000	GEF	71200	International Consultants	25,000	35,000	20,000	20,000	100,000	F
				75700	Training, Workshops and Confer	3,000	5,000	5,000	2,000	15,000	B
				72200	Equipment & Furniture	2,000	5,000	2,000	1,000	10,000	L
				71600	Travel	2,000	2,000	2,000	2,000	8,000	J
				74500	Miscellaneous	1,750	1,750	1,750	1,750	7,000	C
					sub-total GEF	33,750	48,750	30,750	26,750	140,000	
	Total Outcome 4	33,750	48,750	30,750	26,750	140,000					

GEF Component/Atlas Activities	Responsible Party/[1] (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	Atlas Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
OUTCOME 5: MRV	MCC	62000	GEF	71200	International Consultants	5,000	10,000	10,000	5,000	30,000	G
				75700	Training, Workshops and Conferences	2,000	3,000	2,000	1,000	8,000	B
				71600	Travel	1,000	1,750	1,000	1,000	4,750	J
				74500	Miscellaneous	563	563	563	563	2,250	C
					sub-total GEF	8,563	15,313	13,563	7,563	45,000	
					Total Outcome 5	8,563	15,313	13,563	7,563	45,000	
OUTCOME 6: Constraints and gaps, finance, technology and capacity needs	MCC	62000	GEF	71200	International Consultants	8,000	15,000	10,000	7,000	40,000	G
				75700	Trainings	2,000	3,000	2,000	1,000	8,000	B
				71600	Travel	1,000	1,250	1,000	1,000	4,250	J
				74500	Miscellaneous	688	688	688	688	2,750	C
					sub-total GEF	11,688	19,938	13,688	9,688	55,000	
					Total Outcome 6	11,688	19,938	13,688	9,688	55,000	
OUTCOME 7: Other Information	MCC	62000	GEF	71300	Local Consultants	10,000	20,000	15,000	5,000	50,000	G
				75700	Trainings	2,000	3,000	2,000	1,000	8,000	B
				71600	Travel	1,000	1,274	1,000	1,000	4,274	J
				74500	Miscellaneous	819	819	819	819	3,276	C
					sub-total GEF	13,819	25,093	18,819	7,819	65,550	
					Total Outcome 7	13,819	25,093	18,819	7,819	65,550	
OUTCOME 8: Preparation &	MCC	62000	GEF	72100	Contractual Services	5,000	5,000	10,000	15,000	35,000	I

GEF Component/Atlas Activities	Responsible Party/[1] (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
Submission of FBUR and TNC; Monitoring and evaluation				75700	Trainings	2,000	3,000	2,000	2,000	9,000	B
				74100	Professional Services	1,000	1,000	1,000	2,000	5,000	N
				71600	Travel	1,000	1,250	500	500	3,250	J
				74500	Miscellaneous	688	688	688	688	2,750	C
					sub-total GEF	9,688	10,938	14,188	20,188	55,000	
					Total Outcome 8	9,688	10,938	14,188	20,188	55,000	
Project Management		62000	GEF	71400	Contractual Services	13,750	13,750	13,750	13,750	55,000	K
				72500	Office Supplies	895	895	895	895	3,578	M
				74500	Miscellaneous	968	968	968	968	3,872	C
				74598	Direct Project Cost	3,000	4,000	4,000	4,000	15,000	O
					sub-total GEF	18,613	19,613	19,613	19,613	77,450	
					Total Project Management	18,613	19,613	19,613	19,613	77,450	
PROJECT TOTAL						177,432	281,956	239,932	152,682	852,000	

Items	Description
A	Professional Services for National Circumstances Analysis
B	Stakeholders Consultations/ Workshops/ Trainings
C	5% of project budget is allocated for miscellaneous costs of any unforeseeable development during project implementation which requires adaptive management actions, such as inflation and currency gain-loss.
D	International Consultants for updated GHG Inventory and Improvement of GHG Inventory System and FBUR development
E	Professional Services for Improved V&A Assessment
F	International Consultants for Mitigation Action Analysis
G	Consultant/consulting firm Contract
H	Inception Workshop
I	Professional Services TNC Report Preparation
J	Travel for MCC staff
K	Salary for Project Manager and Project Assistant
L	Procurement of Equipment/software/furniture etc
M	Office Supplies and Consumables
N	Audit cost
O	Direct project costs will be charged according to GEF rules on DPCs. Please see Annex IV. Direct project cost – GOE, Direct project cost – staff; Direct Project Costs (DPC) are the costs of administrative services (such as those related to human resources, procurement, finance, and other functions) provided by UNDP in relation to the project. Direct project costs will be charged based on the UNDP Universal Pricelist (UPL) or the actual corresponding service cost, in line with GEF rules on DPCs. The amounts indicated here are estimations, however as part of annual project operational planning the Direct Project Costs would be defined and the amount included in the yearly budgets. The DPC accounts can only be used for operational cost per transaction; it is not a flat fee.

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 and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

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

Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.⁴ On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

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. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Financial completion: 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 12 months of operational closure or after the date of cancellation. 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 UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

⁴ see <https://info.undp.org/global/popp/pdpm/Pages/Closing-a-Project.aspx>

V. INDICATIVE WORK PLAN

Outputs/Activities	2016				2017				2018				2019			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
National Circumstances Inception Workshop																
Assessment of national priorities and national circumstances to address climate change																
Prepare engagement strategy for women and marginalized groups in the community to ensure gender and vulnerable community dimensions are adequately addressed under all outputs																
Collection and compilation of up to date information on national circumstances including geography, climate, natural resources and socio-economic conditions																
Institutional set-up for ongoing management of activities under TNC																
Review and assessment of compiled information and drafting the National Circumstance chapter for TNC																
National Greenhouse Gas Inventory and FBUR																
Establish thematic working group on GHGI, Identify key GHG sectors including data gaps and key issues , Develop data collection templates																
Organize and conduct training workshops on the use of 2006 IPCC guideline for GHGI																
Thematic group and stakeholders																
Identify key source categories of emissions and or removals																
Compile data from relevant sources to fill inventory data gaps for the period 2006-2012 for TNC and for 2013 for FBUR																
Identification and selection of appropriate Tiers to be applied based on national circumstances and available data or based on decision trees as provided by the IPCC GPG.																
Identification and selection of methodologies and emission factors by using the decision trees provided by the IPCC GPG																
Elaborate data collection and archiving procedures for preparation of national GHG inventories including efforts to make this a continuous process, including information on the role of the institutions involved																
Hire national and international consultants as appropriate to support on GHGI and FBUR development																
Initiate national GHG inventory development activities for the years 2006-2012 covering all sources and/removals categories, with the year 2006 as the base year.																
Carry-out an uncertainty analysis of the national inventory and FBUR using the IPCC GPG																
Develop the GHGI modules as per UNFCCC guidelines and prepare the national inventory report																
Organize stakeholder consultation workshop for presentation and discussion on the draft GHG inventory																
Prepare final GHG Inventory Report following the UNFCCC guidelines for inclusion in the TNC and archive all activity data																
Initiate FBUR inventory development activities for 2014 covering all sources and/removals categories																
Organize stakeholder consultation workshop for presentation and discussion on the draft GHG inventory																
Prepare final FBUR report following the UNFCCC guidelines																

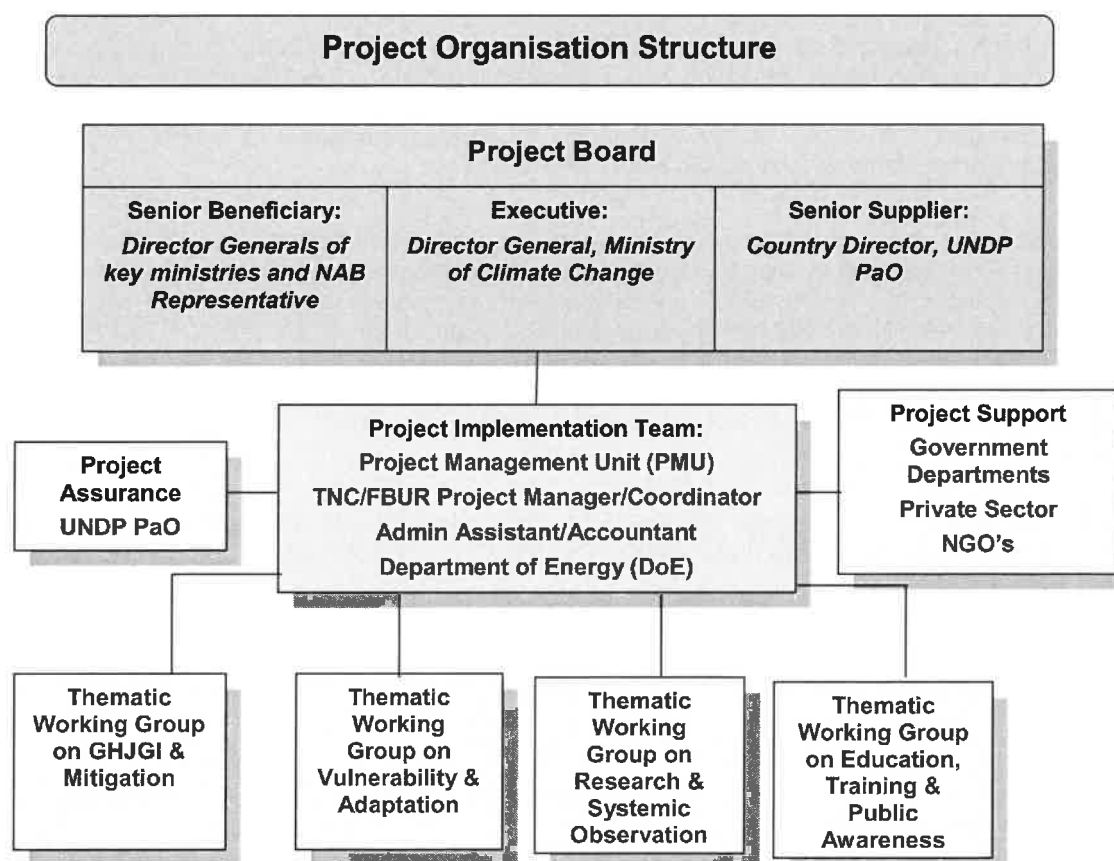
General Description of Steps												
Adaptation												
Establish thematic working group on V & A												
Organize a stakeholder consultation workshop to kick-off the V&A process and to hold consultations/discussions with all relevant stakeholders on key issues, concerns and frameworks, approaches, methods and tools.												
Conduct a training workshop for V&A thematic working group and relevant stakeholders on the use of available methods and tools for conducting V&A assessment												
Formulate methods and tools for use in conducting V&A assessment												
Compile data from relevant sources from stakeholders and review available data and information covering all relevant sectors												
Identify and review policy processes and development context for all relevant V & A sectors												
Hire national and international consultants as appropriate to support on V & A assessment												
Undertake impact assessment in key vulnerable sectors and/or areas												
Collect, analyse and describe data and information from all vulnerable sectors												
Identify and describe links between climate, and socio-economic baseline conditions and vulnerable sectors for Vanuatu												
Review and analyze the scenarios for climate change, applying the most recent updated methods/tools and examine climatic conditions for Vanuatu												
Review and evaluate current adaptation strategies and measures in all vulnerable sectors												
Identify high priority adaptation strategies and measures in critical vulnerable sectors												
Conduct training workshops on cost – benefit analysis for identified adaptation strategies and measures												
Compile information and prepare a national adaptation plan of action involving all relevant stakeholders												
Conduct stakeholder consultation workshop on V&A assessment carried out and potential adaptation projects identified												
Finalize the V&A assessment and potential adaptation projects based on stakeholder comments and inputs												
Prepare a final draft of the V&A Assessment chapter following the UNFCCC guidelines												

Other Relevant Information												
Gender analysis including community level stakeholder consultations (as appropriate for relevant outputs) particularly with a gender and social inclusion element focusing on women and marginalized groups in the community												
Establish thematic working group on research and systematic observation (RSO), capacity-building, education, training, public awareness and information												
Review needs and priorities for research and systematic observation (RSO)												
Prepare a draft report on RSO using the UNFCCC guidelines												
Finalize the RSO report based on stakeholder comments and inputs												
Chapter on RSO is included in appropriate section of the TNC document												
Compile and analyze information on capacity-building activities in accordance with the UNFCCC's capacity-building framework												
Develop a climate change awareness raising programme for targeted audiences												
Improve access to climate change information through the use of public media and through a dedicated website and other avenues												
Organize a series of awareness workshop on various topics relating to the UNFCCC implementation and adverse impacts of climate change												
Prepare and circulate a draft synthesis report on all information pertaining to education, training and public awareness for review and comments												
Based on the stakeholder inputs Finalize report on climate change education, training and public awareness for inclusion in the TNC												
Constraints, gaps and related technical, financial and capacity needs												
Assess the financial, technical and capacity needs while undertaking the activities, measures and programmes to implement the Convention and improve the national communication on the continuous basis												
Compile and analyze information on financial and technical resources or other in-kind contributions made available by Nauru for the preparation of TNC												
Compile and analyze information on financial resources and technical support provided by GEF, Annex II Parties, bilateral/multilateral institutions, for activities related to climate change												
Identify and prepare project proposals/concepts on adaptation and mitigation for funding												
Prepare proposals for pilot demonstration projects on adaptation focusing on barriers and ways to overcome these barriers												
Compile and assess information on technology and local know-how development needs												

VI. MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Vanuatu, and the Country Programme.

The **Implementing Partner** for this project is *the Ministry of Climate Change, Government of Vanuatu*. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The project organisation structure is as follows:



The Project Board is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. 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 a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager. The Project Board is comprised of: Director Generals of key stakeholder ministries and NAB representative as Senior Beneficiaries, Director-General, Ministry of Climate Change as the Executive and the Country Director, PaO as the Senior Supplier. The project assurance

role will be provided by the Fiji UNDP Country Office. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed.

Project is merging 2 UNFCCC reporting requirements, NC and BUR, into 1 project and will use one management unit to ensure efficiencies and avoid duplication. In addition, project build on previous NC work and is directly linked with INDC, NAP and NAMAs. The recently completed Intended Nationally Determined Contributions (INDC), Second National Communication (SNC) and some of the current initiatives such as development of Nationally Appropriate Mitigation Action (NAMA) for rural electrification and National Adaptation Plans (NAPS) are envisaged to contribute towards preparation of Vanuatu's TNC.

The project is also in line with Government of Vanuatu's Priority and Action Agenda (PAA). The PAA Policy Objective 4.5 - "to ensure the protection and conservation of Vanuatu's natural resources and biodiversity, taking climate change issues inconsideration." has the most relevance to Climate Change.

The TNC/FBUR project activities are envisaged to be implemented and coordinated under the auspices of Ministry of Climate Change (MCC) utilizing the existing institutional arrangements. The ministry is currently coordinating several donors funded climate change mitigation and adaptation activities. The Department of Energy (DoE), Climate Change Project Management Unit (PMU), TNC/FBUR project coordinator and consultants will form the project implementation team. The Ministry of Climate Change will work and undertake its tasks in consultation with other relevant government departments, the private sector and NGOs.

The DoE is responsible for central coordination of the development of the energy and climate change mitigation sector in Vanuatu. DoE in association with PMU will provide technical and policy oversight to the TNC/FBUR preparation and will be supported by TNC/FBUR coordinator and other stakeholders. The local and international consultants will liaise with the TNC/FBUR project implementation team for timely and effective delivery of project outputs. The TNC/FBUR coordinator will report to the Director General, MCC and will be responsible for the operational programme of project implementation. The project team will also have adequate and appropriate computer and telecommunication facility, including Internet, to enable them to efficiently and effectively undertake their activities.

The TNC/FBUR Coordinator will coordinate the day-to-day implementation of activities to be carried out by consultants and relevant stakeholders. The PMU with the TNC/FBUR Coordinator will provide secretariat support to the PSC, project team and consultants.

The following thematic working groups will be formed to assist with the preparation of various components of the national communication: (i) National Greenhouse Inventory and Mitigation Analysis (ii) Vulnerability and Adaptation; (iii) Research and systematic observation; and (iv) Education, training, public awareness and information and networking and Capacity-building. Each thematic working group will comprise of a number of experts drawing both from public and private sectors, communities, and NGOs, as appropriate.

UNDP will act GEF Implementing Agency and will monitor and support implementation of project activities in line with UNDP-GEF standard procedures.

The TNC/BUR project will use the existing tender and contract award process for the Government of Vanuatu which follows the "Guidelines for Procurement of Goods and Services" and "Government Contracts and Tenders Act No 10 of 1998", Vanuatu Ministry of Finance and Economic Management. All the Ministries and Departments are obliged to comply with the guidelines and the Act.

The financial management for the TNC/BUR project will also follow the government Financial Management Information System (FMIS). The FMIS provides the Smart Stream program that handles all financial transactions made within all government agencies. Both recurrent budgets and project funds uses the Smart Stream to provide: Purchasing (LPO) and creditor management; Invoicing/Sales and debtor management; Asset recording and

management; Budgeting and funds control and Payroll. More details on the financial management are available in the attached manual for Smart Stream Purchasing module.

UNDP Direct Project Services as requested by Government (if any): will be charged in line with GEF Specific guidance and the Letter of Agreement (Annex G). These rules are stated in the POPP here and are included as Annex 3 to Delegation of Authority (DOA) letter.

Following consultations on the project implementation UNDP and the Government agreed that the UNDP country office will provide support services to the project at the request of the National Implementing Partner. These support services may include assistance with reporting requirements, procurement and direct payments (see Annex IV). In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened.

The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:

- (a) Identification and/or recruitment of project and programme personnel;
- (b) Identification and facilitation of training activities;
- (c) Procurement of goods and services;

The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order 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 Policy⁵ and the GEF policy on public involvement⁶.

VII. MONITORING FRAMEWORK AND EVALUATION

The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Supported by Component/Outcome Four: Knowledge Management and M&E, the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E

⁵ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

⁶ See https://www.thegef.org/gef/policies_guidelines

requirements (as outlined below) will be undertaken in accordance with the GEF M&E policy and other relevant GEF policies .

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 during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.

M&E Oversight and monitoring responsibilities:

Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc..) occur on a regular basis.

Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. 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 by and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the independent mid-term review and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP

ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.

Additional GEF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification 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 in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

Bi-annual progress:

- Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year.

End of Project:

During the last three months, the project team will prepare the Project Terminal Report (Annex VI). 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.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and

participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

Communications and visibility requirements:

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: http://www.thegef.org/gef/GEF_logo. The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.

Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at: http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf. Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

M& E workplan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ Project Manager ▪ UNDP CO, UNDP GEF 	Indicative cost: 15,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> ▪ Oversight by Project Manager ▪ Project team 	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG 	None	Not applicable
Periodic status/ progress reports	<ul style="list-style-type: none"> ▪ Project manager and team 	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team) 	None	Not applicable for EA projects

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Final Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team, ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team) 	None	Not applicable for EA projects
Project Terminal Report	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ local consultant 	None	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project manager and team 	Indicative cost per year: 5,000	To be decided based on UNDP CO audit requirements
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP CO ▪ UNDP RCU (as appropriate) ▪ Government representatives 	For GEF supported projects, paid from IA fees and operational budget	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		US\$ 20,000 (+/- 5% of total budget)	

VIII. LEGAL CONTEXT

This document together with the UNDAF Country Results Matrix (CRM) 2014-2017, and the UNDP SRPD agreed to by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA and all UNDAF CRM and UNDP SRPD provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) Assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary and with approval from the Project Board. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

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

IX. ANNEXES

ANNEX I. Description of Project Components and Activities

National Circumstances

Information provided on national circumstances is critical for understanding Vanuatu's vulnerability to the adverse effects of climate change, its capacity and its options for adaptation, as well as its options for addressing its GHG emissions within the broader context of sustainable development.

Information on national circumstances will include the analyses of national and/or regional development priorities and objectives that Vanuatu is pursuing and those that would serve as the basis for addressing climate change and sea-level rise issues. Information on national circumstances will be linked to information provided in other chapters of the national communication. The analyses of development priorities and objectives would be of interest to other national stakeholders investigating the benefits of specific activities and policies and the linkages between the activities and policies relating to climate change and those of other Conventions, such as the CBD and the UNCCD. Information will include:

- Geographical characteristics, including climate, forests, land use and other environmental characteristics,
- Population: growth rates, distribution, density and other vital statistics;
- Economy, including energy, transport, industry, and tourism, agriculture, fisheries, waste, health and services sector
- Education, including scientific and technical research institutions,
- Any information considered relevant by the Party, e.g., information relating to Article 4.8 and 4.9, of the Convention
- A description of institutional arrangements relevant to the preparation of the national communications on a continuous basis including distribution of responsibilities within government departments, universities, research institutions, etc.
- Involvement and participation of other stakeholders;
- The Sub-Committees on GHG inventory, vulnerability and adaptation assessment, mitigation, etc.

National GHG Inventory

- The Vanuatu's Inventory for Greenhouse Gases under the Second National Communications (SNC) was for the base year 2000 using the revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories. In year 2000, the total GHG emissions by sources and removals by sink for Vanuatu was 585.39Gg CO₂eq (excluding removals); which comprised of 70.34Gg CO₂e from Energy; 502.83Gg CO₂e from Agriculture and 12.21Gg CO₂e from Waste Sector. CO₂ sequestration by the forestry and land use sector in year 2000 amounted to 7,913.16Gg CO₂e. Total GHG emissions, including FOLU, are estimated to be (-) 7327.77Gg CO₂e, indicating that Vanuatu is a net sinks for GHG emissions.
- On the basis of the previous inventory, national GHG Inventory for direct greenhouse gases carbon dioxide (CO₂), methane (CH₄) and nitrous oxide (N₂O) and for indirect greenhouse gases carbon monoxide (CO), nitrogen oxides (NO_x) and non-methane organic volatile compounds (NMVoC) will be undertaken for the period 2006 to 2012 (TNC) and 2014 (FBUR) in five source categories: energy, industrial processes and product use, agriculture, Forestry and other land use and waste, using the IPCC 2006 Guidelines for National Greenhouse Gas Inventories.
- A key source/category analysis will be carried out to determine the sectors with significant emissions where

resources can be targeted. This activity will also include training in and capacity building on the use and application of the IPCC 2006 Guidelines for National Greenhouse Gas Inventories, the IPCC Good Practice Guidance on National Greenhouse Gas Inventories and Uncertainty Management, and the IPCC Good Practice Guidance on and Use, Land Use Change and Forestry and related applications of geographic information systems and remote sensing techniques.

- Quality assurance and quality control (QA/QC) procedures based on the IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories will be applied as appropriate to ensure that the results of the inventory will be as reliable as possible.
- Tables 1 and 2, as provided by the UNFCCC guidelines (annex to decision 17/CP.8) will be used for reporting the national GHG inventory. This activity will be coordinated with any regional efforts wherever possible.
- At the end of the proposed activities, a workshop will be held to review the results. Policy makers and other stakeholders will be invited to participate in the workshop, so as to enhance their awareness on the importance of GHG inventory and on a long-term programme for the improvement of future GHG inventories.
- The Sub-committees on GHG Inventory will carry out the inventory work. Training on the application of IPCC methodology, including data collection, analysis and management, including the use of IPCC Good Practice Guidance and Uncertainty Management in National GHG Inventories will be conducted for the Sub-committees.

Measures to facilitate adequate adaptation

- Vanuatu faces a full range of geologic and climatic hazards and is also subjected to climatic variability and extremes. Future climate change and sea-level rise threaten to exacerbate the risks posed by tropical cyclones, coastal and river flooding, coastal erosion, land-slides, hailstorms, heavy rainfall events, and droughts. Climate-related disasters have had huge impacts on the economic growth and national development.
- The sea-level rise near Vanuatu measured by satellite altimeters since 1993 is about 6 mm per year, larger than the global average of 3.2 ± 0.4 mm per year. The Vanuatu's future climate projections show growing climate and disaster risks. Climate change is likely to have impact on all economic sectors that are pertinent to the sustainable development of Vanuatu.
- The "Profile of Risks from Climate Change and Geo-hazards in Vanuatu" outlines the major climate change impacts and geo-hazards for Vanuatu, which corroborate and build on Vanuatu's 2007 National Adaptation Programme of Action (NAPA). The sectors considered in this assessment to be most vulnerable for climate change are: Agriculture (crops, cattle and sustenance), Fisheries (freshwater, coastal, deep sea, aquaculture), Forestry (including mangroves and production forest), Tourism (cruise-ships, hotels), Transport (road, ferries, and air), Infrastructure (utilities [energy, water, and sanitation], houses, offices, and industry) and Health.
- Adaptation to climate change and risk management of natural hazards is one of the core development issues for Vanuatu. The National Adaptation Programme of Action (NAPA), has outlined the most urgent and immediate needs with respect to climate change and identified several priority sectors (Agriculture/Food Security, Coastal Zones and Marine Ecosystems, Water Resources and Public Health) for action.
- Based on previous work, an integrated vulnerability assessment will be undertaken for key socio-economic sectors, such as coastal zone and reefs, land-use change, water resources, health, fisheries, biodiversity, food security, and public infrastructure.
- Relevant global and/or regional circulation models may be used to construct climate change scenarios for the region that includes Vanuatu. Where possible, integrated assessment modeling will be used to assess the impacts of climate change in Vanuatu. Based on these quantitative analyses, appropriate cost-effective adaptation options and measures will be assessed. The impacts of climate change on national development strategies; plans and programmes will be evaluated. Appropriate policy options will be identified and developed for response strategies.
- One of the possible major impacts of climate change is the increase in extreme weather events, both of which could have significant implications for Vanuatu in terms of tropical cyclones. Further assessment of vulnerability will be carried out focusing on specific sectors using outputs of regional circulation models and targeted research.
- The TNC will include (i) an integrated assessment of impacts and adaptation options including (ii) the

identification of least-cost adaptation measures; (iv) a climate change-induced disaster prevention, preparedness and management plan; (v) the list of high priority measures recommended for inclusion in sustainable development strategy; (vi) analysis of barriers and opportunities for integration of adaptation measures in the medium and long-term national development plans. These assessments will build on the results of the community adaptation initiatives recently completed, and will take into account the priorities and recommendations identified.

- At the end of the assessment, a workshop will be held to review the results of the adaptation option and strategies. Policy makers and other stakeholders will be invited to participate in the workshop, so as to enhance their awareness on the various adaptation options, which should be taken into consideration in national development planning.
- Sub-committee on vulnerability and adaptation will undertake the above tasks, using methodologies that they consider better reflecting the national situation, as well as existing methodologies and guidelines
- The capacity for this group on the application of the above-mentioned methodologies, including data collection, analysis and management, will be further strengthened and enhanced where necessary. The capacity-building activities will include the participation of the selected team members in sub-regional, regional and international training workshops on vulnerability and adaptation assessment, so as to share experiences and lessons learned with other countries.

Programme to Mitigate Climate Change

- In terms of mitigation, energy is one of the crucial development indicators in any country and like the other Pacific Island Countries; Vanuatu's primary energy needs are mainly met by imported petroleum fuel. The majority of electricity is produced from Diesel (67%) followed by Copra oil (14.3%), Hydro Power (10.3%), Wind Power (8.1%) and Solar Power (0.2%). Under the SNC baseline scenario, Vanuatu's total GHG emissions (excluding removals) were projected to increase by 150% between 2000 and 2025. The Vanuatu's GHG emission profile shows the largest increase in emissions to occur in the energy sector, which will rise by 230%, followed by emissions from agriculture and waste sector, which is likely to rise by 228% and 137% with respect to baseline emission of year 2000. Vanuatu is exploring opportunities to further utilize the renewable energy sources such as hydro, solar, biomass, wind, and coconut bio-fuel and geothermal.
- According to the Second National Communication (SNC), Vanuatu is committed to formulating strategies, national policies and best practices for addressing GHG emissions and making a practical contribution to the global mitigation efforts. While at the same time the country is also pursuing its national and regional development priorities and sustainable development objectives. The development objectives are planned to be achieved by integrating GHG abatement efforts with other social, environmental and economic priorities.
- Transportation infrastructure development is one of the priority sectors for Vanuatu and with this view the Government has initiated a long term Vanuatu Transport Sector Support Program (VTSSP). The Government of Vanuatu is also focusing on mitigation options for emissions from land, sea and air transport sectors. Measures include public transportation awareness programmes, vehicle emission standards, promoting fuel-efficient and alternative fuel vehicles, improving public transport services, introducing financial incentives to encourage energy efficiency and promoting non-motorized transport. Currently, however, transportation emissions are relatively small due to the small number of motor vehicles.
- Significant constraints relating to the availability of data and information and, specific institutional arrangements to handle data acquisition and database maintenance for climate change mitigation still remain problematic. Mitigation assessment will entail the generation of information on the national analysis of the potential costs and impacts of the various technologies and practices to mitigate climate change. This information will also be relevant for sustainable development and useful for policy makers in formulating and prioritizing mitigation programmes.
- In order for Vanuatu to undertake mitigation assessment as part of its development strategy, the below activities will be carried out:
 - Collection, collation, analysis and archiving of data for the different sectors of the economy, where appropriate and relevant;

- Development of Mitigation Scenarios (Emission Forecast) based on the available data from the GHG inventory, as well as socio-economic information, prepares a series of mitigation scenarios to 2030. This will include a baseline scenario, whereby current trends continue, as well as at least two other scenarios showing how emissions may decrease if mitigation actions are taken.
- Training and capacity building for national experts and institutions to undertake the preparation of the mitigation assessment;
- Training of personnel in the use of methods, models and tools for the generation of climate and socioeconomic scenarios, at both the national and sectoral levels;
- Training and capacity building will be required in the use of appropriate technologies, methodologies and tools for assessment of mitigations options and development of mitigation scenarios particularly in sectors with significant mitigation potential.
- Several methods and models are envisaged to be used in mitigation assessment, ranging from a broad description of main development trends and statistics to formalized modeling at sector and macro- economic levels.
- Based on the above analyses, a draft National Mitigation Plan for key socio-economic sectors will be developed. A list of environmentally friendly mitigation technologies, including renewable energy technologies, will be identified and assessed. Appropriate mitigation projects will also be identified for bilateral and multilateral funding.
- At the end of the proposed activities, a workshop will be held to review the results and the draft National Mitigation Strategy for GHG Emission Reduction. Policy makers and other stakeholders will be invited to participate in the workshop, so as to enhance their awareness on the importance of GHG emission reduction, which should be taken into consideration in national development planning.
- The capacity-building for the Mitigation thematic group on the application of the above-mentioned methodologies and models, including data collection, analysis and management, will be further strengthened and enhanced. The capacity-building activities will include the participation of the selected team members in the sub-regional, regional and international training workshops on mitigation assessment, so as to share experiences and lessons learned with other countries. Training workshop on the application of macro-economic models and relevant energy models will be organized with the assistance of both national and, where appropriate, regional or international consultants as well as the use of expertise available from the UN agencies.

Domestic Monitoring, Reporting and Verification (MRV)

Under the FBUR appropriate MRV system will be proposed for national mitigation actions. This includes:

- An assessment of options and possibilities to develop a domestic MRV system
- Establishment of institutional arrangements and the national MRV framework.
- Requirements and recommendations for development of institutional mechanisms for national MRV.
- Compilation and approval of the section on domestic MRV system for the FBUR incorporation.

Constraints and gaps, finance, technology and capacity needs

The main objective will be to identify the constraints and gaps in context of finance, technology and capacity needs for the national climate change activities including assessment of financial, technology, policy and capacity building needs with recommendation for addressing the needs provided. This includes:

- Estimation of the financial resources required for implementation of the GHG emission reduction strategy based on the outcomes from the assessments.
- Identification of capacity building and technology transfer needs for implementation of the prioritized adaptation and mitigation interventions.
- A cost benefit analysis carried out based on V&A assessment estimating potential costs for a long-term adaptation and BAU.

Other Information:

In line with the Doha Work Program, activities related to provisions under Article 6 of the UNFCCC, are among priority areas:

Research and systematic observation

- Improvement in data collection, analysis and management, with emphasis on data quality assurance.
- Trend analysis in existing temperature and rainfall data.
- Analysis of the impact of climate change on the frequency of extreme climatic events including El Niño–Southern Oscillation (ENSO).
- Analysis of rainfall (including floods and drought) under future climate change scenarios, current climate variability including tropical cyclones and ENSO.
- Participation in and contribution to the activities and programmes, as appropriate, of regional and global research networks and observing systems,
- Climatic information networking with relevant regional and international organizations;
- Preparation of a draft Synthesis Report on Research and Systematic Observation with special focus on ENSO and drought, so as to provide technical and policy guidance for a more sustainable programme. The synthesis report will also include constraints, financial, technical, human and institutional needs for capacity-building needs.
- The above activities will be undertaken by the Research and Systematic Observation sub-committee. The capacity of the study team members will be strengthened where necessary, including the participation in sub-regional/regional/international workshops. Special training in data collection, analysis and management on climate monitoring will also be required.
- At the end of the proposed activities, a workshop will be held to review the results and outcomes, including the draft Synthesis Report on Research and Systematic Observation, with the participation of stakeholders from the public and private sectors, including NGOs, communities and civil societies.

Education training and public awareness

- Preparation of outreach materials (leaflets, booklets, calendars, posters, quarterly newsletters, videos etc.)
- Dissemination of outreach materials through public media (TV, radio, newspapers, magazines, Internet, etc.).

Information and Networking

- Establishment of list serve for various thematic working groups to facilitate information networking;
- Participation and contribution to sub-regional and regional information networks on climate change issues, especially those relating to national communications;
- Provision of a list of national experts, including their expertise, who have participated in the preparation of the NC
- Assessment of current capacity in information communication technologies;
- Institutional strengthening, including human resources development, technical and technological capabilities on the use of information technology for climate change information sharing.

Submission of FBUR and TNC

Compilation and approval process of FBUR and TNC will follow a close consultation with national stakeholders. Once finalized, both documents will be translated, edited and submitted to the UNFCCC Secretariat for posting and dissemination. The FBUR is expected to be submitted in Dec 2017, while TNC submission deadline is tentatively set for June 2019.

ANNEX II. Terms of Reference

A. PROJECT MANAGEMENT

The Project Board will be responsible for the overall management of the TNC and FBUR and will be composed of the TNC Project Coordinator, Project Administrative Assistant and accountant (part time).

a. TNC and FBUR Project Coordinator (PC)

1. Background

Vanuatu ratified the United Nations Framework Convention on Climate Change (UNFCCC) in 1993. The UNFCCC provides a unified means to combat the effects of climate change and recognizes that increased global temperature leads to climate change. As per the convention, all Parties must report on the steps they are taking or envisage undertaking to implement the Convention (Articles 4.1 and 12). As a Party (non-Annex 1 country) to the United Nations Framework Convention on Climate Change (UNFCCC), Vanuatu officially submitted its Initial National Communication to the UNFCCC in 1999 and the Second National Communication (SNC) in 2015 with support from GEF funding.

The project for preparation of the Third National Communication on climate change is a logical continual step towards further implementation of the UNFCCC at national level. Its main objective is to prepare a comprehensive report on the climate change related issues. The analysis conducted within the SNC will be updated and upgraded/extended, which will result in preparation of a comprehensive national report. Furthermore, it will work towards ensuring that climate change issues are not considered as separate to national and local environmental concerns by integrating objectives into national and local strategic planning processes.

Duration of the project is 36 months.

2. Scope of Work

The PC will manage the project on a day-to-day basis and is accountable to the executing agency for the planning, management, quality control, timeliness and effectiveness of the activities carried out, as well as for the use of funds. The PC will ensure the regular monitoring and feedback from activities already under implementation.

The SPC will be located within the PMU. The PC will work closely with the UNFCCC focal point, the Technical Working Groups on Climate Change and the PSC.

3. Duties and Responsibilities

The Project Coordinator (PC) will have the following duties:

- a) Work closely with the PMU in implementing of the climate change enabling project as appropriate in a timely manner;
- b) Ensure proper and effective management of all project activities;
- c) Prepare a detailed work plan and budget for the project implementation;
- d) Organise and supervise the workshops and trainings needed for the project;
- e) Identify, hire and provide subcontracts in consultation with the Manager, Climate Change
- f) Prepare and submit to UNDP and the PMU quarterly narrative and financial reports;
- g) Coordinate and oversee the preparation of the outputs of the TNC;

- h) Ensure effective communication and adequate information flow with the relevant authorities, institutions and government departments in close collaboration with the TWG and PSC;
- i) Liaise with relevant institutions in order to involve their staff in projects and disseminate information relevant to the project;
- j) Ensure appropriate stakeholder participation in the project implementation and coordinate the work of all stakeholders under the guidance of the MCC and NAB and in consultation with the UNDP office;
- k) Ensure that information is available to the PSC about all Government, private and public sector activities, which impact on capacity development;
- l) Maintain and establish additional links with other related national and international programs and other Enabling Activities and other national projects;
- m) Prepare the Terms of Reference for consultants and experts in consultation with the Manager of Climate Change and ensure their timely hiring;
- n) Guide the work of consultants and experts and oversee compliance with agreed work plan and timely completion of tasks;
- o) Organize and coordinate the procurement of services and goods under the project;
- p) Coordinate, manage and monitor the implementation of the project activities/tasks undertaken by the various technical working groups, local experts; consultants, sub-contractors and co-operating partners;
- q) Assume overall responsibility for the proper handling of logistics related to all project workshops and events;
- r) Manage the Project finance, oversee overall resource allocation and where relevant submit proposals for budget revisions with the help of the UNDP officer;
- s) Undertake any other actions related to the Project as requested by the PMU and UNDP.
- t) Serve as secretary to the PSC as it relates to climate change activities, projects and programmes;
- u) Prepare periodic progress reports and present to PSC members;
- v) Summarise the results of the project;
- w) Finalise the Third National Communication of Vanuatu with the government personnel and national and technical experts; and
- x) Initiate and mobilize resources for the potential follow up activities.

4. Qualifications and Skills

- a) Advanced University degree (Bachelors or Masters Level) in fields related to climate change, environmental sciences, natural resources or any other related disciplines.
- b) Minimum of 5 years of working experience in the area relevant to the project;
- c) Substantial involvement in the preparation of the national GHG inventory, vulnerability and adaptation assessment and the preparation of first national communication;
- d) Demonstrated ability in managing projects, and in liaising and cooperating with all project stakeholders including government officials, scientific institutions, NGOs and private sector;
- e) Familiarity with international organizations operations and structure;
- f) Substantial experience in Government and in interdepartmental procedures;
- g) Familiarity with international negotiations and processes under the UNFCCC;
- h) Fluent written and oral communication in Vanuatu and English;
- i) Strong communications and interpersonal skills;
- j) Excellent computer knowledge (MS Office, Internet); and
- k) Vanuatu citizenship.

b. Project Administrative Assistant (PAA)

1. Background

The preparation of TNC will involve a multitude of tasks/activities ranging from project management, financing and administration to the implementation of day-to-day activities or tasks, which would be carried out, by numerous individuals and organizations. The PAA will be located in the PMU who is responsible for the preparation of third national communication.

Project duration is 36 months.

2. Scope of Work

The PA will assist the PC and the project team in the coordination and management of daily activities and the organization of local travel for national/international experts. He/she will also be responsible for all administrative (contractual, organizational and logistical) and all accounting (disbursements, record-keeping, cash management) matters under the Project.

3. Duties and Responsibilities

The PA will have the following duties:

- a) Manage the day-to-day operations of the TNC Project, particularly with respect to the provision of technical services and support;
- b) Ensure that necessary financial, procurement, disbursement and personnel matters are effectively addressed;
- c) Compile and/or prepare the documentation necessary for the procurement of services, goods and supplies under the project;
- d) Ensure timely disbursement of funds from the project bank account;
- e) Maintain the project's files and supporting documentations;
- f) Maintain the project's disbursement ledger and journal;
- g) Prepare internal and external correspondence for the TNC Project;
- h) Maintain files and assist in the preparation of documentation in advance of and following all meetings, edit reports and other documents for correctness of form and content;
- i) Assist the PC and project team in organizing meetings, training workshops, etc for the project personnel and the thematic working groups,
- j) Assist the PC and project team to organize and coordinate information exchange between participating institutions and internationally;
- k) Co-ordinate and assist in travel arrangements for project personnel or for representatives within the thematic working groups;
- l) Maintain and update the established national web site;
- m) Maintain and update project financial database;
- n) Provide oral interpretation and written translation as required;
- o) Assist in the preparation of documents related to project activities; and,
- p) Undertake other administrative/financial duties as requested by the PC or Manager Climate Change.

4. *Qualifications and Skills*

- a) Diploma in administration, management, accounting;
- b) Minimum of 3 years of working experience in the area of project administration/accounting;
- c) Demonstrated ability to cope with spreadsheets and book-keeping;
- d) Experience in Government and in interdepartmental procedures;
- e) Familiarity with environmental issues and UNFCCC preferred
- f) Fluent written and oral communication in Vanuatu and English;
- g) Strong time-management, organizational and inter-personal skills;
- h) Excellent computer knowledge (Word, Excel, Power Point, etc);
- i) Experience with preparation of information for presentation on web site; and
- j) Vanuatu citizenship.

c. **Project Board**

Overall responsibilities⁷: The Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards⁸ that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when PM tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved annual work plan (AWP), the Project Board may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

Composition and organization: This group contains three roles, including:

- 1) An Executive: individual representing the project ownership to chair the group.
- 2) Senior Supplier: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.

⁷ Source: Guidelines on UNDP Implementation of UNDAF Annual Review Process

⁸ UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective 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. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, that of UNDP shall apply.

- 3) Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

Potential members of the Project Board are reviewed and recommended for approval during the LPAC⁹ meeting. For example, the Executive role can be held by a representative from the Government Cooperating Agency or UNDP, the Senior Supplier role is held by a representative of the Implementing Partner and/or UNDP, and the Senior Beneficiary role is held by a representative of the government or civil society. Representative of other stakeholders can be included in the Board as appropriate.

Specific responsibilities:

Defining a project

- Review and approve the Initiation Plan (if such plan was required and submitted to the LPAC).

Initiating a project

- Agree on Project Manager's responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review the Progress Report for the Initiation Stage (if an Initiation Plan was required);
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

Running a project

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;

Closing a project

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Outcome Board.

⁹ Depending on its composition, the Outcome Board can fulfill the function of the Project Appraisal Committee (LPAC)

Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organise and chair Project Board meetings

The Executive is responsible for overall assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritise and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities (see also the section below)

Senior Supplier

The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

TECHNICAL WORKING GROUPS

B. Thematic Working Group on GHG Inventory

1. Scope of Work

The Technical Working Group on National GHG Inventory will be formed to carry out the inventory of GHG emissions in Vanuatu. The group will consist of experts from relevant ministries, institutions and PMUs of government and non-government organizations. The group will ensure that specific tasks relating to the national GHG inventory is carried out in a timely manner and will ensure efficient coordination of outputs of consultants and national institutions. The activities undertaken by the national institutions will contribute to strengthening institutional arrangements for compiling, archiving, updating and managing GHG inventories.

2. Duties and Responsibilities

- a) Undertake national GHG inventories for the year 2000, according to the guidelines for the preparation of National Communications (17/CP.8)
- b) Participate in the training workshop on the use of IPCC guidelines, and GPG including one for the LULUCF;
- c) Include information on the other non-direct GHGs such as HFCs, PFCs and SF₆ as well as CO, NO_x, SO_x and NMVOCs;
- d) Revise the input data, taking into consideration data gaps and areas needing improvement identified in the stocktaking exercise

- e) Collect/gather available activity data from national sources to fill inventory data gaps
- f) Identify and develop methods for overcoming inventory data gaps if there is no available data Identify barriers to obtaining existing data for key sources and propose solutions;
- g) Archive relevant data for the project duration;
- h) Calculate emissions for the year 2000 for all sectors;
- i) Describe procedures and arrangements undertaken to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process, including information on the role of the institutions involved;
- j) Utilize the deliverables under the regional project; and
- k) Organize (in cooperation with the PC) workshop for presentation and discussion on the results obtained from the GHG Inventory.

3. Qualifications and Skills

The institutions and/ or expert individuals contracted for undertaking project activities should meet the following minimum criteria:

- a) Sound and broadly-recognized scientific expertise on climate research in Vanuatu;
- b) Prior experience in inventory preparation, through involvement in the Initial National Communication;
- c) Highly qualified scientists working in the fields of emission factor development or data collection methods; and
- d) Familiarity with the UNFCCC and IPCC technical guidelines.

4. Expected output

Report on the National GHG Inventory in accordance with the UNFCCC guidelines. The report should include information on other non- direct GHGs: HFCs, PFCs and SF6 as well as CO, NOx, SOx.

a. Thematic Working Group on Vulnerability Assessment and Adaptation (V&A)

1. Scope of Work

The group will ensure implementation of specific activities outlined below, as well as coordination of the outputs of other consultants engaged outside the institution. The activities undertaken by the national institutions will also strengthen institutional arrangements for systematic climate observation, data management and control, processing and updating of meteorological and hydrological services data.

2. Duties and Responsibilities

Particular duties may be as follows:

- a) Participate in the training workshop on V&A methods and tools available for V&A assessment work;
- b) Analyze the climate changes for the period 1961-2000 for existing stations of the following parameters: temperature, precipitation, wind, cloudiness and sunshine hours;
- c) Identify the data needs, availability and suitability, and establish datasets baselines of the assessment;

- d) Analyze the existing climate data and parameters, by months and years;
- e) Review the vulnerability assessment of the following sectors: agriculture, water resources, natural ecosystems, forestry, and human health, including identification of vulnerable areas that are most critical;
- f) Describe links between climate, and socio-economic baseline conditions of the country in the most vulnerable sectors;
- g) Based on the output of the vulnerability assessment, evaluate the feasibility of available adaptation measures to meet their specific needs and concerns arising from the adverse effects from the climate change;
- h) Prepare a national adaptation action plan to implement those measures being of highest priority including clear distinction of responsibilities among the relevant stakeholders, timeframe for fulfillment/implementation of the recommended measures, financial means for implementation of the measures, and identification of possible barriers and risks;
- i) Organize (in cooperation with the (PC) a workshop to present the results from V&A;
- j) Prepare comprehensive report on Vulnerability assessment and national adaptation Action plan; and
- k) Prepare a chapter on "Programmes containing measures to facilitate adequate adaptation to climate change," in accordance with the UNFCCC guidelines.

3. Qualifications and Skills

The institutions and experts contracted for undertaking project activities should meet the following minimum criteria:

- a) Sound and broadly-recognized scientific expertise on climate research in Vanuatu;
- b) Prior experience in vulnerability assessment and adaptation process, through involvement in the First National Communication;
- c) Highly qualified scientific working in the fields of climate observation and vulnerability analysis in the specific sectors; and
- d) Familiarity with the UNFCCC, IPCC methodology and other methods.

4. Expected output

Completed report on vulnerability assessment and adaptation strategy for the following sectors: agriculture, water resources, natural ecosystems, forestry and human health.

b. Thematic Working Group on Mitigation

1. Scope of Work

The Technical Working Group on Mitigation will be responsible for carrying out GHG mitigation analyses and identifying mitigation options for Vanuatu. It will ensure timely and effective implementation of specific activities outlined below, as well as coordination with the outputs of other consultants engaged outside the institution.

2. Duties and Responsibilities

- a) Based on the results from the GHG Inventory and future development plans, particularly in the energy and land use change and forestry sectors, develop a baseline and mitigation scenarios to abate the increase of GHG emissions;
- b) Consider the main national economic and social development trends in the analysis, including expected GHG emissions in energy, agriculture, land-use change and forestry and waste management;

- c) Extend the analysis on the side of energy consumption, including energy consumption in the industry (for heating, for technological processes), in the public sector and in the residential sector;
- d) Revise the measures contained in the INC according to the latest economic development, including quantitative measures in all sectors;
- e) Identify, formulate and prioritize programmes containing measures to mitigate climate change within the framework of sustainable development;
- f) Finalize the GHG mitigation analysis using the selected tools and additional background information in order to finalize the cost-benefit analysis of the different measures, develop a series of mitigation scenarios to abate the increase of the GHG emissions;
- g) Liaise and consult with the TWG on GHG Inventory and the TWG on Research and Systematic Observation on matters relating to GHG inventories and on technology needs for mitigation;
- h) Formulate a final national action plan to abate the GHG Emissions including information cost analysis, assessment of technology options for the different mitigation options in various sectors, institutional capacity-building needs to sustain mitigation work, and the related legal and institutional frameworks;
- i) Organize (in cooperation with the PSC) a workshop to present the results of the GHG Mitigation and draft national action plan; and
- j) Prepare final report on GHG mitigation and national action plan, including comments from the stakeholders.

3. Qualifications and Skills

The institutions contracted for undertaking project activities should meet the following minimum criteria:

- a) Sound and broadly-recognized scientific expertise on climate research in Vanuatu;
- b) Experience in preparing scenarios for GHG mitigation through involvement in the First National Communication;
- c) Qualified scientific working in the related areas: Energy, Agriculture, Land Use Change and Forestry, Waste; and
- d) Familiarity with the UNFCCC, software modeling tools such as LEAP, ENPEP, WASP, GACMO, etc.

4. Expected output

A Completed GHG Mitigation report and National action plan for effective response to the GHG emissions.

The proposed activities will be undertaken in appropriate sequence so as to maximize the synergies between each component of the proposed activities, as well as the efficiency and cost-effectiveness for the implementation throughout the project cycle.

Good practices in project implementation, such as the efficient use of financial and human resources, the engagement of qualified local and regional consultants, public participation throughout the project cycle, will be adopted where appropriate. Established guidelines will be followed, while established tools and methodologies will be used.

c. Thematic Working Group on Research and Systematic Observation

1. Scope of Work

The Technical Working Group on Research and Systematic Observation will be responsible for assessing the needs and priorities for research and systematic observation in Vanuatu. The group will ensure timely and effective implementation of specific activities outlined below, as well as coordination with the outputs of other consultants engaged outside the institution.

2. Duties and Responsibilities

- a) Participate in a training workshop on the use of the UNFCCC guidelines on research and systematic observation;
- b) Undertake an assessment of the needs and priorities for research and systematic observation in close collaboration with Pacific Islands – Global Climate Observing System initiatives;
- c) Prepare an analysis of the climatic conditions of various stations in Vanuatu;
- d) Liaise closely and consult with the TWGs on GHG inventory, Vulnerability and Adaptation, and Mitigation on issues of relevance, especially on climate data, technologies and capacity building;
- e) Provide substantive input to the work of TWGs on Vulnerability and Adaptation and Mitigation;
- f) Organize (in cooperation with the PSC) a workshop to present the results of the research and systematic observation; and
- g) Prepare final report on research and systematic observation, including comments from the stakeholders.

3. Qualifications and Skills

The institutions and or expert individuals contracted for undertaking project activities should meet the following minimum criteria:

Sound and broadly-recognized scientific expertise on climate research in Vanuatu;

Experience in preparing a report on research and systematic observation through involvement in the Initial National Communication;

Qualified scientific working on issues relating to climate, weather, meteorology and hydrological services; and

4. Expected output

A final report on Research and Systematic Observation including emerging needs and priorities.

d. Thematic Working Group on Education, Training and Public Awareness, Information and Networking and Capacity Building

1. Scope of Work

The TWG will examine ways to promote climate change education, training and public awareness building. The group will ensure timely and effective implementation of specific activities outlined below, as well as coordination with the outputs of other consultants engaged outside the institution.

2. Duties and Responsibilities

- a) Compile and analyze information on activities/tasks relating to the implementation of the New Delhi work program on Article 6 of the Convention;
- b) Compile and analyze information on activities/tasks relating to the implementation of the Capacity-building framework of the UNFCCC;
- c) Identify the needs and priorities for climate change education, training and public awareness and capacity-building as they relate to GHG inventory, vulnerability and adaptation assessment, mitigation, technology transfer, research and systematic observation and other emerging priorities;

- d) Liaise and consult with the various TWG under TNC project and the task team on National Capacity Self Assessment;
- e) Prepare a draft National plan for implementation of Article 6 of the Convention and the UNFCCC capacity building framework;
- f) Identify technology needs for information and networking;
- g) Conduct a workshop (in collaboration with PSC) on ways to promote climate change education, training and public awareness; and
- h) Prepare a chapter on: (i) Education, Training and Public Awareness, (ii) Information and Networking, (iii) capacity-building for inclusion in the compilation of the TNC.

e. Thematic Working Group on National Circumstances and Integration of Third National Communication

1. Scope of Work

This Technical Working Group will be responsible for drafting a section on national circumstances and the integration of Third National Communication with input from the various thematic working groups. The group will ensure that all information pertaining to the TNC is compiled and disseminated for review and comment in a timely manner.

2. Duties and Responsibilities

- a) Compile the TNC in accordance with the UNFCCC guidelines based on information and or reports provided by the various TWGs;
- b) Liaise and consult with the various TWGS on issues relating to their respective PMUs;
- c) Promote the integration of climate change concerns and issues into various TWG reports;
- d) Identify and highlight evolving needs and priorities relating to the preparation of third national communication and the implementation of the Convention;
- e) Prepare a final draft of the TNC including a 10-page executive summary and technical annexes (if any);
- f) Conduct a national workshop in collaboration with the TWGs on the TNC; and
- g) Prepare final draft of TNC, print and submit to the UNFCCC Secretariat and disseminate through appropriate mode.

ANNEX III. Risks and Mitigation Measures for the TNC-BUR Project

Risk	Level of Risk	Mitigating Strategies and Actions
Non-availability of data and information required for development of TNC and FBUR and poor absorptive capacity of stakeholders	Moderate	Carry-out extensive consultations with stakeholders during the project inception phase and incorporate their feedback in the work plan
Inadequate consultations and coordination among the stakeholders	High	Involve all relevant stakeholder from the inception phase of project and maintain on-going communication and interaction throughout the project period.
Lack of in country expertise and capacity in developing the TNC and FBUR	Low	Hire consultants to assist the national team and to build capacities through training on the IPCC guidelines and procedures
Project Management	Low	Include TNC and FBUR project management as part of the Ministry's annual work plan and allocate appropriate resources
Political instability and lack of support	High	Develop business continuity plan in association with the implementing partner, project management unit, and key line agencies to ensure the means and points of coordination during disrupted periods.

ANNEX IV. Letter of agreement between UNDP and Government of Vanuatu for the provision of support services

Project Title "Third National Communication and First Biennial Update Report to the UNFCCC"

PIMS # 5843, Project ID:, Output ID:

Excellency,

1. Reference is made to consultations between officials of the Government of **Vanuatu** (hereinafter referred to as "the Government") and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document or project document, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
 - (a) Identification and/or recruitment of project and programme personnel;
 - (b) Identification and facilitation of training activities;
 - (a) Procurement of goods and services;
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between the Authorities of the Government of **Vanuatu** and the United Nations Development Programme (UNDP), signed by the Parties on July 18, 2008 (the "SBAA") including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

Signed on behalf of UNDP

M./Ms.

Country Director

Date:

For the Government of **Vanuatu**

Minister

Ministry of

Date:

Attachment: Description of UNDP Country Office Support Services

1. Reference is made to consultations between the Ministry of Environment, the institution designated by the Government of **Vanuatu**, and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed programme or project "Third National Communication and First Biennial Update Report to the UNFCCC (PIMS # 5843, Project ID:, Output ID:)

2. In accordance with the provisions of the letter of agreement signed and the programme support document (*project document*), the UNDP country office shall provide support services for the Programme as described below.

3. Support services to be provided:

Support services	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
1. Support MOE in the identification and/or recruitment of project personnel * Project Coordinator * Finance Officer	July 2016 – September 2016	As per the UPL: US\$ 893.96 per case, including recurring cost after hire (i.e. payments)	Should be approved by the Project Board; then UNDP will directly charge the project upon receipt of request of services from the Implementing Partner/Project Board
2. Procurement of goods: * Data show * PCs * Printers	July 2016 – September 2016	As per the UPL: US\$ 706.11 for each purchasing process	As above
3. Procurement of Services Contractual services for companies	Ongoing implementation throughout when applicable	As per the UPL: US\$ 327.53 each hiring	As above
4. Payment Process	Ongoing implementation throughout when applicable	As per the UPL: US\$ 30.64 for each	As above
5. Staff HR & Benefits Administration & Management	Ongoing implementation throughout when applicable	N/A	N/A
6. Recurrent personnel management services: Staff Payroll & Banking Administration & Management	Ongoing implementation throughout when applicable	N/A	N/A
7. Ticket request (booking, purchase)	Ongoing implementation throughout when applicable	As per the UPL: US\$ 28.91 for each	As above
8. F10 settlement	Ongoing implementation throughout when applicable	As per the UPL: US\$ 29.20 for each	As above
9. Support Implementing	Ongoing throughout	As per the UPL:	As above

Support services	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
Partner in conducting workshops and training events	implementation when applicable	US\$ 23.44 per day (for preparation and during workshop)	
		Total: up to USD 15,000 from GEF grant	

4. Description of functions and responsibilities of the parties involved:

UNDP will conduct the full process while the role of the Implementing Partner (IP) will be as follows:

- The Implementing Partner will send a timetable for services requested annually/ updated quarterly
- The Implementing Partner will send the request to UNDP for the services enclosing the specifications or Terms of Reference required
- For the hiring staff process: the IP representatives will be on the interview panel,

For Hiring CV: the IP representatives will be on the interview panel, or participate in CV review in case an interview is not scheduled

ANNEX V. Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the Social and Environmental Screening Procedure for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Third National Communication and First Biennial Update Report to the UNFCCC
2. Project Number	00101341
3. Location (Global/Region/Country)	Vanuatu

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project supports the meaningful participation and inclusion of all stakeholders, during the design, implementation and monitoring of the project. They will participate to capacity development activities and the project will support the development of an enabling environment conducive to the participation of stakeholders in the management of natural resources. This approach is consistent with the participation and inclusion of human rights principle.

During the project formulation, consultation sessions and meetings have been conducted with key stakeholders to exchange experience and knowledge and to assess the baseline of the project. It is anticipated that these consultations, cooperation and coordination efforts during the formulation of the project will prove to be effective in generating efficient and effective stakeholder engagement during project implementation. Such consultations also assure that the interest of potentially marginalized individuals and groups are taken into account in the implementation. The approach for stakeholder engagement is consistent with a human rights-based approach to development programming.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

Gender sensitivity and gender considerations have been taken into account in the formulation of the project; proposing gender sensitive approaches where needed, including the need to pay attention to gender equality. Every effort will be made to incorporate gender issues in the implementation of this project. Roles of men and women to participate in activities of the project will be equally assigned without any discrimination. The project will take steps to ensure that women account for at least 40% of all training and capacity building in the project. Moreover, the project will strengthen data collection and monitoring programmes – gender segregation of data collection and monitoring will be introduced as a basis for ensuring long-term gender benefits. This gender inclusive project – which is part of the UNDAF 2014-2017 – will foster gender equality in environmental management and women's empowerment and participation in environmental management. This approach will facilitate a focus on

gender-based environmental issues and gender-based solutions.

Briefly describe in the space below how the Project mainstreams environmental sustainability

This project is a follow-up to the GEF-funded Second National Communication (SNC) enabling activity for Vanuatu that was implemented over the three programme cycles of 2004-2007, 2008-2012, and 2014-2017. The project will build upon the institutional capacities that were established through the SNC project and provide continued assistance to Vanuatu in meeting reporting requirements under the UNFCCC Convention. This is in accordance with its commitments as a non-Annex 1 Party (as mandated by Article 4 and 12 of this Convention and COP 16 and 17 decisions). The project will also strengthen the technical and institutional capacities of relevant line ministries within Vanuatu to prepare and submit its TNC and first BUR to the UNFCCC. Through the project, relevant line ministries will be able to update the information provided regarding national circumstances, inventories of greenhouse gases, policies and measures undertaken to mitigate climate change, assessments of vulnerability to climate change and steps taken to adapt, and information on public awareness, education, training, systematic research and observation, and technology transfer. Through the BUR component of the project, relevant sectors will focus on GHG inventory for 2014 through the use of a streamlined reporting system; articulate mitigation actions/measures relevant to each sector; and identify constraints and gaps related to financial, technical and capacity and support needs and BUR support received and needed. The project will also increase the national technical and institutional capacities in preparing the NC/BUR and assisting the Government to integrate climate change issues into sectoral and national development priorities.

The project is well aligned with the UNDAF 2014-2017, particularly the “environmental management, climate change and disaster risk management” programme area through strengthening the national capacity to manage environmental information. It will provide better environmental information to stakeholders to make better decisions and to better monitor the environment. The project is also well aligned with the *Priorities and Action Agenda for Vanuatu (PAA) 2006 – 2015* and the *National Sustainable Development Plan (NSDP) 2016 – 2030*; considering that the latter will strengthen the national environmental priorities for the next 15 years by establishing the environment as one of the three pillars of sustainable development in Vanuatu. Through the various components and thematic working groups, the project will contribute to strengthening the coordination between key sectors to address climate change adaptation and mitigation.

There are no environmental risks involved with the implementation of this project.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). Risk Description	QUESTION 3: What is the level of significance of the potential social and environmental risks? Note: Respond to Questions 4 and 5 below before proceeding to Question 6	QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Impact	Significa	Description of assessment and management

	and Probability (1-5)	nce (Low, Moderate, High)		measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: None	I = P =	N/A	N/A	N/A
Risk 2 :...None	I = P =	N/A	N/A	N/A
Risk 3:None	I = P =	N/A	N/A	N/A
Risk 4:None	I = P =	N/A	N/A	N/A
QUESTION 4: What is the overall Project risk categorization?				
			Select one (see SESP for guidance)	Comments
			Low Risk <input type="checkbox"/>	
			Moderate Risk <input type="checkbox"/>	
			High Risk <input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
			Check all that apply	Comments
			Principle 1: Human Rights	<input type="checkbox"/>
			Principle 2: Gender Equality and Women's Empowerment	<input type="checkbox"/>
			1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>
			2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>
			3. Community Health, Safety and Working Conditions	<input type="checkbox"/>
			4. Cultural Heritage	<input type="checkbox"/>
			5. Displacement and Resettlement	<input type="checkbox"/>
			6. Indigenous Peoples	<input type="checkbox"/>
			7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>

Final Sign Off

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹⁰	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Are there measures or mechanisms in place to respond to local community grievances?	No
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in</i>	No

¹⁰ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

<i>communities who depend on these resources for their livelihoods and well being</i>		
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	NO
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		

2.1	Will the proposed Project result in significant ¹¹ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for	No

¹¹ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	commercial or other purposes?	
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ¹²	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No

¹² Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

ANNEX VI. Final Report Of Vanuatu National Communication / Biennial Update Report's PROJECT

Monitoring and Evaluation plans of climate change enabling activities for the preparation of National Communications on Climate Change and/or Biennial Update Reports 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 or Biennial Update Report 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 and/or Biennial Update Report, 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 2014 (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?

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

Final 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	
...	

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 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.

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	

ANNEX VII. Results of the capacity assessment of the project implementing partner and HACT micro assessment

During the formulation of two GEF/UNDP projects (the NAPA formulation and CB2/CCCD) in 2014, a Fiji-based independent audit firm (Ernst & Young) conducted a micro-HACT assessment of the Department of Environmental Protection and Conservation (DEPC) of the Ministry for Climate Change (MCC). The purpose of the micro-HACT assessment was to review the existence and functioning of DEPC's internal control of receipts, recording and disbursement of cash transfers, identify any potential risk areas, and determine compliance with the Harmonized Approach to Cash Transfer (HACT). The 2014 assessment is still valid and the scope also represents the capacity of the Ministry of Climate Change. The two main objectives of the assessment are:

- Capacity Development Objective: to review the strengths and weaknesses of DEPC's financial management system. The assessment would include a recommendation to strengthen less robust areas and also to feed the information gathered into the overall capacity development plan; and
- Financial Management Objective: to help the UN agencies identify the most appropriate assurance methods and best procedure to use for transferring cash.

The assessment was based on the UNDG HACT Framework Micro-Assessment methodology that covers the following aspects: the implementing partner; flow of funds; organizational structure and staffing; accounting policies and procedures; internal audit; financial audit; report and monitoring; information system; and procurement. Using a pre-approved questionnaire, the following interviews and reviews were undertaken: interviews with relevant staff; reviews of the DEPC current practices, procedures and policies, implementing accounting system, and templates for record-keeping and reporting.

The overall risk rating of the Capacity Development and Financial Management was considered low. For this reason, the Vanuatu TNC & BUR project will be implemented through a 'NIM' approach. UNDP will provide implementation support services if this is deemed necessary by the Ministry of Climate Change. Should this be the case, a Letter of Agreement (LoA) will be signed by UNDP and the Ministry of Climate Change. The total cost for such implementation support services is included in the budget as 'direct project costs'.