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**United Nations Development Programme**

**Annotated Project Document template for nationally implemented projects  
financed by the GEF/LDCF/SCCF Trust Funds**

<b>Project title:</b> Building institutional and technical capacities to enhance transparency in the framework of the Paris Agreement	
<b>Country:</b> Uruguay	<b>Implementing Partner:</b> Ministry of Housing, Land Planning and Environment ( <i>Ministerio de Vivienda, Ordenamiento Territorial y Medio Ambiente, MVOTMA</i> )
<b>Management Arrangements:</b> National Implementation Modality (NIM)	
<b>UNDAF/Country Programme Outcome:</b>	
<p>1.1 The country has strengthened its capacities and institutional framework to ensure the preservation of the natural resources including water, eco systemic services, pollution prevention and generation and sustainable use of energy, promoting local development and creation of livelihood</p> <p>1.3 The country has strengthened its capacities for mitigation and adaptation to climate change, as well as its disaster resilience.</p>	
<b>Country Programme Output:</b> Strategies, policies and plans (national/ departmental/ sectoral) formulated and applied for the adaptation and mitigation of climate change and disaster risk reduction	
<b>UNDP Strategic Plan Output:</b>	
Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.	
<b>UNDP Social and Environmental Screening Category:</b> Low Risk	<b>UNDP Gender Marker:</b> GEN 2
<b>Atlas Project ID/Award ID number:</b> 103349	<b>Atlas Output ID/Project ID number:</b> 105382
<b>UNDP-GEF PIMS ID number:</b> 6069	<b>GEF ID number:</b> 9739
<b>Planned start date:</b> 1 March 2018	<b>Planned end date:</b> 28 February 2021
<b>LPAC date:</b> tbd	
<p><i>This is defined as the expected project appraisal committee meeting date. The LPAC meeting can occur before the project document is submitted to the GEF for CEO endorsement. If this cannot take place within 16 (FSP)/10 (MSPs) months of PIF approval the LPAC meeting must be held after CEO endorsement or the project risks being</i></p>	

cancelled by the GEF. See further information on the GEF cancellation policy here:

[https://www.thegef.org/gef/policies\\_guidelines/project\\_cancellation](https://www.thegef.org/gef/policies_guidelines/project_cancellation)

**Brief project description:** This project aims to enhance the efficiency of national climate change actions and the synergies with other related national actions, policies and measures, walking along a path to reach an integral, climate resilient and low-carbon development. The project will strengthen national capacities, both institutional and technical, pursuing more efficient articulation to allow an enhanced enabling environment for transparency-related activities, as well as adopting or improving methodologies and tools to enhance transparency as requested in Article 13 of the Paris Agreement. Through this strengthening, Uruguay will be more efficient in the definition, development and implementation of policies and measures, based on more timely and accurate information, monitoring and assessment of the instruments applied to face climate change. A gender-sensitive approach will be included in methodologies for assessing the adequacy, effectiveness and effects of adaptation actions and mitigation actions and policies effects. The expected results are: 1) establishment of an efficient and articulated institutionality that allows the development of transparency-related activities; 2) design and establishment of a domestic monitoring, reporting and measurement system; 3) improvement of national GHG inventories; 4) strengthen capacity on transparency-related activities from country specific trainings and regional peer exchanges.

**FINANCING PLAN**

GEF Trust Fund	USD 1,100,000
UNDP TRAC resources	USD ---
Cash co-financing to be administered by UNDP	USD ---
<b>(1) Total Budget administered by UNDP</b>	<b>USD 1,100,000</b>

**PARALLEL CO-FINANCING** (all other co-financing that is not cash co-financing administered by UNDP)

UNDP	USD 10,000
Government	USD 750,000
<b>(2) Total co-financing</b>	<b>USD 760,000</b>
<b>(3) Grand-Total Project Financing (1)+(2)</b>	<b>USD 1,860,000</b>

**SIGNATURES**

<b>Signature:</b> print name below	<b>Agreed by Government</b>	<b>Date/Month/Year:</b>
<b>Signature:</b> print name below	<b>Agreed by Implementing Partner</b>	<b>Date/Month/Year:</b>
<b>Signature:</b> print name below	<b>Agreed by UNDP</b>	<b>Date/Month/Year:</b>

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## I. TABLE OF CONTENTS

I.	Table of Contents.....	3
II.	Development Challenge.....	6
III.	Strategy.....	9
IV.	Results and Partnerships.....	13
V.	Feasibility.....	20
VI.	Project Results Framework.....	23
VII.	Monitoring and Evaluation (M&E) Plan.....	26
VIII.	Governance and Management Arrangements.....	30
IX.	Financial Planning and Management.....	35
X.	Total Budget and Work Plan.....	37
XI.	Legal Context.....	41
XII.	Annexes.....	44
	Annex A: Multi Year Work Plan.....	45
	Annex B: Monitoring Plan.....	47
	Annex C: Evaluation Plan.....	50
	Annex D: GEF Tracking Tool (at baseline).....	51
	Annex E: Terms of Reference for Project Board, Project Manager,.....	52
	Annex F: UNDP Social and Environmental Screening Report (SESP).....	59
	Annex G: UNDP Project Quality Assurance Report.....	65
	Annex H: UNDP Risk Log.....	73
	Annex I: Results of the capacity assessment of the project implementing partner and HACT micro assessment.....	74
	Annex J: Additional Agreements.....	75
	Annex K: Letters of Co-financing.....	79

## LIST OF ACRONYMS AND ABBREVIATIONS

AUCI	Uruguayan Agency for International Cooperation
AFOLU	Agriculture, Forestry and Other Land Use
BUR	Biennial Update Report
CBIT	Capacity Building Initiative for Transparency
CDM	Clean Development Mechanism
CI	Board of Mayors
FCPF	Forest Carbon Partnership Facility
FSP	Full Sized Project
GEF	Global Environment Facility
GHG	Greenhouse Gases
GNA	National Environmental Cabinet

HWP	Harvested Wood Products
ICA	International Consultation and Analysis
INUMET	Uruguayan Meteorology Institute
IPCC	Intergovernmental Panel on Climate Change
LDC	Least Developed Countries
LULUCF	Land Use, Land Use Change and Forestry
MDN	Ministry of National Defense
MEF	Ministry of Economy and Finances
MGAP	Ministry of Livestock, Agriculture and Fisheries
MIDES	Ministry of Social Development
MIEM	Ministry of Industry, Energy and Mining
MINTUR	Ministry of Tourism
MRREE	Ministry of Foreign Affairs
MRV	Measuring, Reporting and Verification
MSP	Ministry of Public Health
MSPs	Medium Sized Projects
MVOTMA	Ministry of Housing, Land Planning and Environment
NAMAs	Nationally Appropriate Mitigation Actions
NC	National Communications
NDC	Nationally Determined Contributions
NGHGI	National Greenhouse Gases Inventories
OPP	Office of Planning and Budgeting
OSE	National Water Utility
PB	Project Board
PIF	Project Identification Form
PIR	GEF Project Implementation Report
PM	Project Manager
PMU	Project Management Unit
PNCC	National Policy on Climate Change
POPP	Programme and Operations Policies and Procedures
PPG	Project Preparation Grant
PROBIDES	Eastern Wetlands Biodiversity Conservation and Sustainable Development Programme
REDD+	Reduce Emissions from Deforestation and forest Degradation
SDG	Sustainable Development Goals
SINAE	National Emergencies System
SNA	National Environmental System
SNAACC	National Secretary of Environment, Water and Climate Change
SNAP	Protected Areas National System

SNRCC	National Climate Change and Variability Response System
STAP	GEF Scientific Technical Advisory Panel
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Programme
UNDP-GEF	UNDP Global Environmental Finance Unit



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## II. DEVELOPMENT CHALLENGE

The global community has recognized the urgency in facing climate change evidenced by the Parties' aspiration under the United Nations Framework Convention of Climate Change (UNFCCC) to "*holding the increase in the global average temperature to well below 2 degrees Celsius above pre-industrial levels and pursuing significant efforts to limit the temperature increase to 1.5 degrees Celsius above pre-industrial levels, recognizing that this would significantly reduce the risks of impacts*" as stated in Article 2 of the Paris Agreement. The Agreement entered into force on November 4th, 2016 and it is essential for countries to establish solid domestic measuring, reporting, and verification (MRV) systems to assess the impact of climate change actions and policies and to track the domestic implementation of the Agreement.

In addition to the existing UNFCCC accounting system, the Paris Agreement establishes an "enhanced transparency framework for action and support," which will cover information about the mitigation and adaptation actions undertaken by all Parties, as well as the support they provide or receive to enable them to implement these actions. The framework dictates that developed country Parties shall, and other Parties that provide support should, provide information on financial, technology transfer, and capacity-building support provided to developing country Parties under Articles 9, 10, and 11 of the Agreement, and developing country Parties should provide information on financial, technology transfer, and capacity-building support needed and received under these Articles. Under this framework each party must submit a national greenhouse gas inventory. An accompanying decision elaborates that all countries – except least developed countries and Small Island developing states – shall provide these inventories at least biennially.

This project aims to enhance the efficiency of national actions to address climate change and the synergies with other related national actions, policies and measures, walking along a path to reach an integral, climate resilient and low-carbon development. The project will provide tools and capacity building to strengthen the measurement and assessment of the effects of the climate actions developed, within the context of the enhanced transparency framework. Uruguay is a developing country within an economy that needs to grow in a sustainable way, to bring opportunities towards a more equitable society development, giving special attention to the most vulnerable. In that sense, the country is focusing on low intensity emissions initiatives, but not forgetting the importance to build and enhance resiliency at the adverse effects of climate change and variability, which are aligned to the Paris Agreement and SDG 13.

The national economy in the last years (2005 to 2016) have been growing around 4,6 % annually, and this raise was accompanied by a reduction in poverty (from 39.9% to 9.4%) and extreme poverty dropped from 4.7% to 0.2%, in line with the challenge SDG 1 faces for the whole humanity. The main driver of previous referred economic growth was the increase in food production and other agriculture products, as well as industry and services, such as technology and tourism. Uruguay produces and exports food - from agriculture and livestock sectors- to 28 million people around the world, despite only having 3.3 million inhabitants. To maintain this production, contributing to the global food security the Paris Agreement contemplates and also to the SDG 2, aiming to end with all forms of hunger and malnutrition, the country needs to walk along a sustainable developing path, without losing the soils fertility and preventing them from the effects of climate change and variability. Through this project, adequacy and assessment of climate related actions will be improved with the design and establishment of a domestic monitoring, reporting and verification system (MRV system), contributing to keep the country along that path.

Uruguay is fully committed to comply with the provisions of the Paris Agreement, ratified by Uruguay and approved by Law Nº 19.439 in October 11<sup>th</sup>, of 2016. The Paris Agreement establishes the enhanced transparency framework for action and support, to build mutual trust and confidence and to promote effective implementation. In that sense, according to paragraph 91 of Dec 1/CP.21, all Parties (except for LDC and small islands developing states) shall submit the information referred to in Article 13 (paragraphs 7, 8, 9 and 10) no less frequently than on a biennial basis.

Therefore, in order to start preparing for undertaking these commitments, this project offers a valuable and timely opportunity, and is extremely useful for strengthening capacities and overcoming barriers in the country.

In order to enhance transparency and improve existing information, a domestic MRV system is crucial to deepen public awareness on climate change impacts, causes and related actions for promoting ambitious national climate policies. An important barrier identified on this matter is the considerable asymmetry among public sector institutions regarding the level of involvement and commitment towards climate change issues. These differences hinder the process of integrating climate change aspects into public policies at certain levels, while, in other public organizations, climate change is highly considered.

On the other hand, further capacity building in relevant institutions is needed to strengthen capacities related to domestic MRV systems and other relevant tools and methodologies to enhance transparency. In particular, MVOTMA, in relation to its mandate of being the national authority in terms of the application of the UNFCCC, should be well prepared and capable of designing, communicating, implementing, leading and coordinating an overall domestic MRV process, as well as centralizing and managing all relevant information and indicators from different sources and institutions. Specific tools and methodologies should be developed, and existent ones should be adjusted to national circumstances.

Economic aspects constitute also a barrier for enhancing transparency, since there are limited resources for establishing an overall domestic MRV system for policies and actions, and strengthening capacities in related fields.

However, the project will build upon a baseline scenario that shows, since early stages of the UNFCCC, Uruguay has had an active role in defining and implementing mitigation and adaptation measures in different economic sectors. The country has adopted the diverse instruments and mechanisms available in the framework of the Convention (such as CDM and NAMAs, and the Adaptation Fund) additionally to the GEF support and other channels, for improving the country's response to and management of climate change issues.

In that context, some tools to monitor and follow up the different measures and actions were established, in general of different scope and sources and in some cases in a non-articulated way. Nonetheless, the country has elaborated an extensive series of National Greenhouse Gases Inventories (NGHGI, from 1990 to 2012) submitted in subsequent National Communications (NC) and in the first Biennial Update Report (BUR). More recently, the Technical Analysis of the first BUR was finalized, where some aspects for improving transparency and the domestic MRV mechanisms were identified, and were considered here in order to improve the transparency framework of the country. For example, it was identified the need to represent land-use and land-use change in the six categories defined by the IPCC as well as research on soil organic content in land converted to croplands and croplands converted to grasslands. Another conclusion of the International Consultation and Analysis (ICA) process stated that it was desirable to design and implement a methodology for identifying gaps, constraints and needs to develop a strengthened transparency enabling environment.

Without the full involvement of relevant institutions regarding the adoption of methodologies and tools for enhancing transparency, domestic MRV systems, indicators and plans, programs, actions and projects assessments with focus on climate change would continue being partly analyzed and not integrated into a coherent and overall tracking and evaluating system. This fact translates into a weakness for the country, since the efficiency of climate change actions and possible synergies with other related actions or policies would be reduced and would hinder the path towards an integral, resilient and low-carbon development.

The project is consistent with national and local priorities, and highly aligned in particular with the National Policy on Climate Change (PNCC)<sup>1</sup>, defined and elaborated in a participatory way, under the coordination of the National Climate Change and Variability Response System (SNRCC) and considered at the National Environmental Cabinet and later approved by Executive Decree. The PNCC includes and specifies (paragraph 24) a framework for monitoring and evaluating the progress of the policy, and this will provide the right scope for consolidating and enhancing transparency. Furthermore, in paragraph 23 of that document, it is established that the Nationally Determined Contributions (NDC) to be presented according the Paris Agreement framework, will serve as an instrument to implement the PNCC. Both the PNCC and the first NDC were approved by Executive Decree number 310/017 on the 3<sup>rd</sup> November 2017.

The Energy Policy established for the period 2005-2030<sup>2</sup> constitutes another relevant national policy that is in line with this project. Through the implementation of measures derived from this policy, such as the changes in the energy matrix and the promotion of the energy efficiency, the national energy balance showed a reduction in fossil fuels consumption, and so did the greenhouse gases emissions in the NGHGI reports related to this sector.

The project will contribute to the enhancement and accuracy of the NGHGI, which are crucial for a transparent domestic MRV system. This process will take into account the recommendations arisen from the external review of the last published NGHGI (2012) supported by the UNDP-UNEP Global Support Programme, as part of the quality assurance progress towards the implementation of the designed National Inventory System. Therefore, the project becomes an opportunity to raise steps in the implementation of that System, improving the quality and transparency of the inventories, which is an important tool to track the NDC. The project will also face the challenge to track the progress of implementation and the assessment of impacts of mitigation and adaptation measures. It will contribute to enhance the domestic MRV system but it will also help to estimate future NDC targets, based on the paths led by these measures.

Furthermore, it is expected that the project contributes to monitor other activity data and parameters that will be used to track the NDC objectives. Since Uruguay's first NDC establishes global mitigation objectives expressed as reductions in emissions intensity related to gross domestic product and sectoral targets related to beef production, these parameters will need to be monitored additionally to the GHG emissions. Besides, the first NDC communicates specific objectives for the LULUCF sector, referred to maintenance and increase (when it is applicable) of carbon stocks areas of native forests, forest plantations, and in shelter and shade forests plantations, including silvopastoral systems. Some of these areas are already monitored and published in national statistical yearbooks, but others will need to be monitored and published to reach transparency along the NDC objectives verification. Methodologies to estimate carbon stocks contained in these forests should be developed and applied to provide a basis for future more accurate objectives. Other LULUCF objectives will focus on avoiding CO<sub>2</sub> emissions from grasslands, avoid and sequester (when applicable) CO<sub>2</sub> from croplands under Plans of Soil Use and Management, as well as avoiding CO<sub>2</sub> emissions from peatlands under conservation programmes. These areas also need to be monitored and documented.

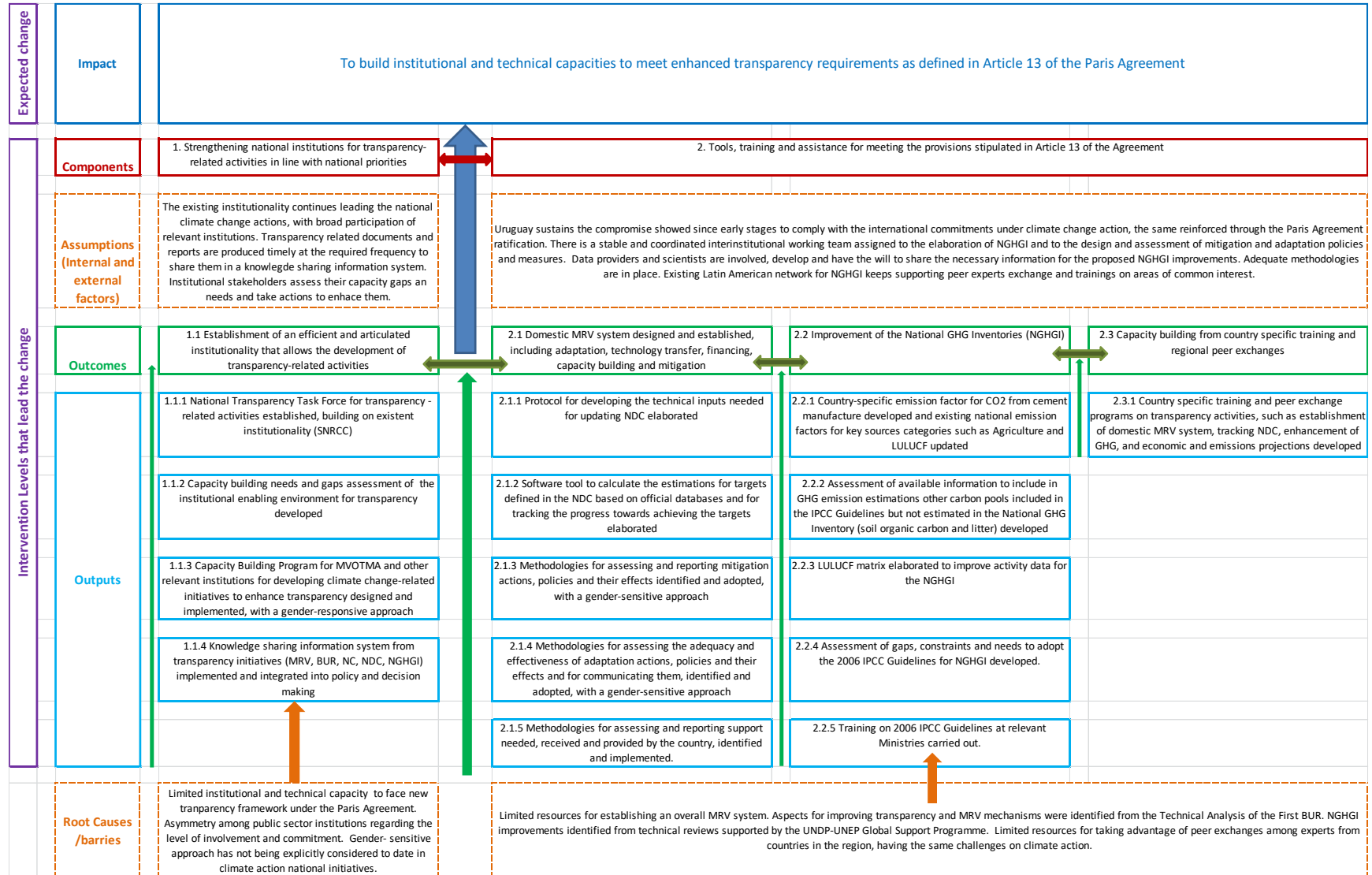
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<sup>1</sup> [http://mvotma.gub.uy/images/Pol%C3%ADtica\\_Nacional\\_de\\_Cambio\\_Clim%C3%A1tico\\_uv.pdf](http://mvotma.gub.uy/images/Pol%C3%ADtica_Nacional_de_Cambio_Clim%C3%A1tico_uv.pdf)

<sup>2</sup> <http://www.miem.gub.uy/documents/49872/0/Pol%C3%ADtica%20Energ%C3%A9tica%202030?version=1.0&t=1352835007562>



### III. STRATEGY



As seen in the above diagram, the impact sought by the project is to build institutional and technical capacities to meet the enhanced transparency framework under the Paris Agreement. Then, the project challenge is in line with the UNDP country program document for period 2016-2020, that states the program will support the construction of a national climate change policy and compliance with international agreements. UNDP focus its country program for Uruguay on three complementary areas: inclusive and equitable development; sustainable development and innovation; and democratic development based on institutional quality, decentralization and human rights. In particular, a planned output is: *“Strategies, policies and plans (national/ departmental/ sectoral) formulated and applied for the adaptation and mitigation of climate change and disaster risk reduction”*, and one of the indicators for that output is: *“Extent to which implementation of comprehensive measures (plans, strategies, policies, programmes and budgets) to achieve low-emission and climate-resilient development objectives has improved”*. The deployment of this project will therefore contribute to the achievement of the desired country program output, since it will help Uruguay to be more efficient in the definition, development and implementation of different policies and measures, through timely and more accurate information, monitoring and assessment of the instruments that the country selects to face climate change. This will also help to raise awareness and to integrate the entire society into national decisions and actions regarding this cross-cutting issue.

To build and strengthen capacities in national institutions to enhance transparency, the project is structured in two components, which have related outcomes to reach the objective of the project.

The first component focuses on strengthening national institutions for transparency-related activities in line with national priorities. The related outcome of this component is the establishment of an efficient and articulated institutional environment. This will comprise the establishment of a National Transparency Task Force for transparency-related activities, building on existent institutional environment. Also, a capacity building needs and gaps assessment of the institutional enabling environment for transparency will be developed. In an enhanced transparency framework, it is crucial to have a strong coordination among the actors involved. Moreover, this outcome seeks to strengthen capacities at MVOTMA and other relevant institutions through the design and implementation of a Capacity Building Program for developing climate change-related initiatives to enhance transparency. Finally, a knowledge sharing information system from transparency initiatives will be implemented and integrated into policy and decision making. The National Transparency Task Force to be established, along with the knowledge sharing information system, constitute innovative elements for Uruguay and will strengthen the sustainability of the project outcomes.

The second component of the project focuses on the provision of tools, training and assistance for meeting the provisions stipulated in Article 13 of the Agreement. In this regard, three outcomes were defined:

The first outcome relates to the design and establishment of a domestic MRV system, including adaptation, technology transfer, financing, capacity building and mitigation. The country is committed to elaborate a protocol for developing the technical inputs needed for updating the NDC, and a software tool to calculate the estimations for targets defined in the NDC, based on official databases and for tracking the progress towards achieving the targets. These instruments will be considered in the scope of the PNCC, adopted by the National Environmental Bureau and also approved by the Executive Branch, giving to them the political and institutional support needed. This also implies that the process for each NDC carried out by the country will have established guidelines to be organized and developed. Beyond the NDC, the country will identify and adopt methodologies for assessing and reporting mitigation actions, policies and their effects, with a gender-sensitive approach. This capacity building need was identified in the technical analysis of the first BUR, and the country is very interested in improving these aspects, which will be included in the second BUR.

As in the case of mitigation, the country is highly committed to adaptation to the adverse impacts of climate change and to avert loss and damage in relation to those impacts. In fact, climate change adaptation constitutes a national priority, and therefore it is very relevant to identify and adopt methodologies for assessing the implementation of adaptation actions, policies and their effects and for communicating them (including cost-benefit analysis and impact assessment, with a gender sensitive approach). Uruguay is a highly vulnerable country to climate change. Since national and international economic resources are insufficient to address the

enormous adaptation needs, it is important to assign those resources in an efficient way. In this sense, it is also relevant to communicate those actions and policies internally, in an effective and adequate manner, in order to make actions the most synergic as possible, with the knowledge and participation of the population and actors involved, and contributing to a cultural change of the society towards a climate friendly behavior. It is also relevant to strengthen capacities related to how the country communicates those adaptation measures to the international community, and this project will contribute to that end. Adaptation aspects will be included as part of the overall domestic MRV system, in a coherent and integral manner. The consideration of adaptation aspects in the domestic MRV system to enhance transparency will also contribute to strengthen technical capacities regarding adequate methodologies to assess climate change and variability risks and impacts, with a gender-sensitive approach. Once again, these assessments will contribute to build awareness not only at a social level but also to enhance it at a political level for the decision-making process, having in mind implications of climate change and variability but also helping understand the implications of the absence of adaptation measures, and considering how those impacts may affect men and women in a different way. Based on those analyses, this will lead to identify and implement other actions and/or policies which have this focus included and are more adequate than other possible measures. This outcome also seeks to identify and implement methodologies for assessing and reporting support needed and received by the country.

The second outcome refers to the improvement of the NGHGI. Uruguay has made important efforts to continuously enhance its transparency, accuracy, consistency, comparability and comprehensiveness. However, there are still significant improvements that can be made in the estimation of national GHG emissions and removals and the elaboration of inventory reports, specially taking into account the new reporting challenges that have arisen in the framework of the UNFCCC. The availability of good quality activity data and national emission factors are key elements to achieve this goal. Therefore, this outcome includes activities that will allow the country to enhance the quality, robustness and transparency of its NGHGI. In this sense, developing country-specific emission factor for carbon dioxide from cement manufacture and updating the existing national emission factors for key sources categories (such as enteric fermentation in the Agriculture sector and carbon sequestration in forest lands in the LULUCF sector) are included in the project as important activities that can guide national GHG emissions and removals estimations towards transparency. In addition to this and in the framework of this project, efforts in assessing available information will be done to include in GHG emission estimations for other carbon pools included in the IPCC Guidelines (currently not estimated in the NGHGI such as soil organic carbon and litter), in close coordination with other initiatives under implementation in the country: FCPF – REDD+ and GEF funded project “Climate-smart livestock production and land restoration in the Uruguayan range lands” (implemented by FAO and executed by MGAP).

Then, the project aims to improve the generation of reliable activity data, such as the consistent representation of the country’s land-use, through the validation of a land-use and land-use change matrix, recently generated using the “Collect Earth” tool. Other fundamental factor in developing accurate GHG emission and removals estimations relates to the IPCC Guidelines that are applied. The 2006 IPCC Guidelines have been partially used in the estimations for the last NGHGI included in the first BUR. For the second BUR under preparation, the 2006 IPCC Guidelines are being applied for all estimations, but some categories in the AFOLU sector will not be estimated (for the 2014 NGHGI reported in this BUR) because the consistent representation of the country’s land use will not be validated on time and also because it is not assessed if default emission factors and parameters are likely to represent properly the country’s realities. Then, since the 2006 IPCC methodologies for these categories have never been applied yet, the project will seek to strengthen national capacities at relevant Ministries on the application of the 2006 IPCC Guidelines for that, including the development of country specific emission factors, if needed.

Besides, since the first NDC includes specific objectives for the LULUCF sector, referred to maintenance and increase (when it is applicable) of carbon stocks areas of native forests, forest plantations, and in shelter and shade forests plantations, including silvopastoral systems, methodologies to estimate carbon stocks contained in these forests have to be identified and applied.

The third and last outcome for this component focuses on capacity building for enhancing transparency, taking into account country specific circumstances. This includes learning from other experiences through regional peer exchange programs on transparency activities, involving tools and instruments such as domestic MRV systems,

tracking of NDC, economic and emissions projections and GHG inventories. The capacity building and peer exchanges may include methodological approaches, data collection, and data management, and adaptation monitoring, evaluation, and communication of measures. At the moment, Uruguay takes part of a Latin American Network for National GHG Inventories, where regional common interests, needs and peer views are shared. This constitutes a framework for regional articulation and will provide a wider range of methodologies and tools for the improvement of national transparency and also additional ways to scaling up, since the exchange of experiences may be extremely useful. In that sense, Uruguay's experience in institutional arrangements related to GHG emissions and data could serve other neighbor countries to consider into their own institutional and transparency frameworks, and Uruguay could benefit from other countries leaderships in implementing National Inventory Systems.

The main assumptions related to the first component of the project have to do with the existing institutions and institutional arrangements which are expected to continue leading the national climate change actions (with broad participation of relevant institutions), and also focus on the transparency related documents and reports, which are supposed to be produced timely (at the required frequency) to share them in a knowledge sharing information system. Apart from the MVOTMA, that will lead the project implementation with the advisory support from the SNRCC and the technical support from the National Transparency Task Force, higher policy decision making levels will be engaged: the National Environmental System, the National Environmental Cabinet (GNA) and the National Secretary of Environment, Water and Climate Change (SNAACC). The National Environmental System, led by the President of Uruguay, is in charge of public policies' design to protect goods and services from ecosystems, to promote conservation and rational use of water and to give responses to increase the adaptation to climate change. This system brings together the GNA (National Environment Cabinet), the OSE (National Water Utility), the INUMET (Uruguayan Meteorology Institute), the SNRCC (National Climate Change and variability Response System), the SNAACC (National Secretary of Environment, Water and Climate Change) and the SINAEC (National Emergencies System). The GNA has the commitment to come up with an integral and equal environmental policy pursuing a sustainable and territorially balanced national development. On the other hand, the SNAACC is in charge to supervise the achievement of agreements from the GNA and give technical and operational support to this cabinet. The main duty of the SNAACC is to articulate and coordinate with public and private organizations and institutions the execution of public policies related to environment, water and climate change.

Regarding assumptions for the second component, the main ones are: Uruguay sustains the compromise showed since early stages to comply with the international commitments under climate change action, the same reinforced through the Paris Agreement ratification; there is a stable and coordinated interinstitutional working team under the National Climate Change Response System, led by MVOTMA, assigned to the elaboration of NGHGI and to the design and assessment of mitigation and adaptation policies and measures; data providers and scientists are involved, develop and have the will to share the necessary information for the proposed NGHGI improvements; adequate methodologies are in place; existing Latin American network for NGHGI keeps supporting peer experts exchange and trainings on areas of common interest.

The outcomes projected for the second component are interconnected, since, for example, the improvement of NGHGI will enhance the domestic MRV system. Furthermore, the outcome defined for the first component is also connected to and contribute to, but also is dependent from the outcomes of the second component. These relationships are all clearly visible in the figure above.

It is important to point out that the country has been making progress in the coordination mechanisms regarding information sharing, analysis and quality control and assurance, in particular regarding NGHGI. There is a National Inventory System designed to be implemented, and this has been possible through the national continuous process of elaborating NC and more recently the first BUR. The country counts on a long series of NGHGI. However, several barriers in the way to enhanced transparency were identified. In a more general sense, there are other aspects of domestic MRV to be improved, not only regarding NGHGI but also mitigation and adaptation actions, as well as support received through means of implementation. The domestic MRV system will be part of the wider transparency framework improved by the project. The scope of the domestic MRV system and transparency framework is national and relates to all sectors and actions related to climate change. However, there may be room to expand the transparency framework to new areas, making links with other

indicators and other MRV systems, reaching a more integrated transparency framework which would capture the country path to a sustainable, resilient and low emission economy.

Although climate change constitutes one of the political priorities for the country, with the support of the project, the process of enhancing transparency related to climate change aspects would be accelerated. Coordination and political support for implementing mitigation and adaptation measures are already in place, and in this regard the project will contribute to enhance and accelerate the definition and implementation of measures, gathering necessary information and data but also applying mechanisms and tools to systematize and analyze them, which will also enhance their implementation efficiency and transparency in their progress tracking and reporting.

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## IV. RESULTS AND PARTNERSHIPS

### i. Expected Results:

The project is expected to strengthen national capacities, both institutional and technical, in order to achieve more efficient articulation to allow an enhanced enabling environment for transparency-related activities, as well as adopting or improving methodologies and tools to enhance transparency as requested in Article 13 of the Paris Agreement. Through this strengthening, Uruguay will be more effective and efficient in the definition, development and implementation of policies and measures, based on more timely and accurate information, monitoring and assessment of the instruments applied to face climate change.

Regarding long-term impacts and benefits, the project will contribute to the improvement of local and global environmental conditions through enhancing transparency and broader stakeholders' participation and coordination, related to GHG emissions estimations and reporting, assessing of impacts of climate change and design and assessing of mitigation and adaptation measures in the country, as well as to provide where possible information on the support needed and received by the country.

### ***Component 1: Strengthening national institutions for transparency-related activities in line with national priorities***

#### **Outcome 1.1: Establishment of an efficient and articulated institutional framework that allows the development of transparency-related activities**

The outputs and related activities are:

- 1.1.1 National Transparency Task Force for transparency-related activities established, building on existent institutional framework (SNRCC).
  - a) Define within the SNRCC the integration and responsibilities, as well as the modality and term for the establishment of the Task Force.
  - b) Define member's roles, frequency of meetings and continuity agreement after project completion.
- 1.1.2 Capacity building needs and gaps assessment of the institutional enabling environment for transparency developed.
  - a) Identify the roles and responsibilities of national institutions (e.g.: data development and provision, research, investments, promotion of investments and technology transfer related to mitigation and adaptation measures, emissions scenarios and projections to define NDC, methodologies to track the progress of NDC targets and measures).
  - b) Analyze capacity building needs and gaps through a self-assessment, using tools such as the self-assessment tool to be available in the CBIT Global Coordination Platform.
- 1.1.3 Capacity Building Program for MVOTMA and other relevant institutions in the SNRCC for developing initiatives to enhance transparency designed and implemented, with a gender-responsive approach (including PNCC, NDC, NAPs and other plans and strategies).

- a) Based on the results of the capacity building need and gaps analysis, define the thematic contents for a Capacity Building Program, focusing on the usefulness for the definition and tracking of NDC objectives, mitigation and adaptation measures and their MRV.
  - b) Assess the need to include sectoral thematic contents to support the identification, progress and effects of mitigation and adaptation measures included in the NDC, as well as Sectoral Adaptation Plans' progress monitoring.
  - c) Include a training module on gender and climate change, providing methodologies or tools to conduct gender analysis in order to mainstream gender equality considerations when identifying and assessing the impacts of mitigation and adaptation measures.
  - d) Promote and support the participation in the Program of all relevant stakeholders and maintain a register of training instances delivered, as well as participation disaggregated by sex. Periodically assess the usefulness of the Program and make the necessary adjustments.
- 1.1.4 Knowledge sharing information system from transparency initiatives (MRV, BUR, NC, NGHGI) implemented and integrated into policy and decision making.
- a) Gather all available knowledge products to include in the information system (e.g.: GHG emissions estimations data series, economy data series and projections used, procedures and assumptions to develop emission projections for NDC targets, data and sources used to monitor progress of NDC targets, mitigation and adaptation measures description and indicators to track their progress and effects).
  - b) Develop new products to share in the system for transparency purposes, such as more in depth descriptions and assessment methodologies for mitigation measures reported under the BUR (in view of the upcoming transparency biennial reports) and also for adaptation measures included in the communication on adaptation.
  - c) Implement the knowledge sharing information system and establish means of updating and improving it based on institutional stakeholders' feedbacks.
  - d) Make relevant information available for public access through platforms such as the National Environmental Observatory and the NGHGI System web page.

***Component 2: Tools, training and assistance for meeting the provisions stipulated in Article 13 of the Agreement.***

**Outcome 2.1: Domestic monitoring, reporting and verification system designed and established, including adaptation, technology transfer, financing, capacity building and mitigation**

The outputs and related activities are:

- 2.1.1 Protocol for developing the technical inputs needed for updating NDC elaborated.
  - a) Gather existing inputs and identify additional ones needed to improve activity data and projections methodologies to update the subsequent NDC objectives. Identify data gaps for the NDC objectives tracking and verification and come up with means to generate the required data.
  - b) Develop a protocol, which has to include at least: identified technical inputs referred above; sources, formats and frequency for inputs deliver; a calculation memory containing data, assumptions and calculation procedures used to determine NDC objectives; procedures to suggest and adopt changes to the calculation memory; responsibilities regarding inputs delivery, compilation and calculations to estimate, track and verify objectives.
- 2.1.2 Software tool to calculate the estimations for targets defined in the NDC, based on official databases and for tracking the progress towards achieving the objectives elaborated.
  - a) Based on the inputs and calculation memory included in the protocol, identify an adequate software tool to develop or adapt from an existing one.
  - b) Develop or adapt the selected tool, connect it to the knowledge sharing information system described in 1.1.4, train users and validate the software tool.
- 2.1.3 Methodologies for assessing and reporting mitigation measures, policies and their effects identified and adopted, with a gender-sensitive approach.
  - a) Define aspects that are relevant to assess and report mitigation measures and policies, such as: GHG emissions abatements and carbon stocks changes; social, environmental and

- economic benefits from win-win measures; gender equality; technology innovation or transfer; and capacity strengthening.
- b) Develop indicators related to that aspects and a methodology to apply them for assessing and reporting measures, establishing the monitoring procedures and frequency. Apply the methodology for a prioritized sample of mitigation measures included in the first NDC.
  - c) Carry out outreach activities to communicate mitigation measures and policies and their effects.
- 2.1.4 Methodologies for assessing the implementation of adaptation measures, policies and their effects, and for communicating them, identified and adopted. Methodologies include cost-benefit analysis and impact assessment, with a gender-sensitive approach.
- a) Define aspects that are relevant to assess the results of implementation of adaptation measures and policies, such as: ecosystems and communities' vulnerabilities reduction; cost-benefit analysis; gender equality; technology innovation or transfer; and capacity strengthening.
  - b) Develop indicators related to that aspects and a methodology to apply them for assessing and reporting measures, in terms of benefits and impacts. Apply the methodology for a prioritized sample of measures included in the first NDC and support the development of a methodology to analyze impacts from climate extreme events.
  - c) Coordinate indicators development with the ones developed under the Sectoral Adaptation Plans, and gather information on specific and generic indicators from these Plans to mainstream in future NDCs and National Communications on Adaptation.
  - d) Carry out outreach activities to communicate adaptation measures and policies and their effects.
- 2.1.5 Methodologies for assessing and reporting support needed and received by the country, identified and implemented.
- a) Systematize the support received from developed country parties in terms of financing, technology transfer and capacity building for the progress on the implementation of mitigation and adaptation measures included in the first NDC, and for their MRV.
  - b) Identify the support gap in terms of financing, technology transfer and capacity building, to fully implement the conditional mitigation measures and the adaptation measures included in the first NDC.

## **Outcome 2.2: Improvement of National GHG Inventories**

The outputs and related activities are:

- 2.2.1 Country-specific emission factor for CO<sub>2</sub> from cement manufacture developed and existing national emission factors for key sources categories such as in Agriculture and LULUCF updated.
- a) Develop methodology and data gathering from cement production industries to improve the country specific CO<sub>2</sub> emission factor for this category.
  - b) Based on the identification of methods and resources needed to develop or improve country specific emission factors (and other parameters) for key categories under Agriculture (such as: CH<sub>4</sub> emissions from enteric fermentation, taking into account different diet compositions and agro ecological regions; CH<sub>4</sub> emission from rice cultivation, taking into account different production and irrigation systems; and N<sub>2</sub>O direct and indirect emissions from manure deposition and croplands residues)and LULUCF sectors, develop or update them as far as possible and publish them, aiming to include these country specific emission factors in the IPCC emission factors database.
- 2.2.2 Assessment of available information to include in GHG emission estimations other carbon pools (soil organic carbon and litter) included in the IPCC Guidelines but not estimated in the National GHG Inventories developed.
- a) Asses if default emission factors and parameters from 2006 IPCC guidelines are appropriate and if not, develop means for developing country specific emission factors for key categories to use in the emission and removals estimations of GHG from soil organic carbon, dead organic matter and litter. Estimate these emissions and removals once the LULUCF matrix is validated.
  - b) Improve knowledge on existent peatlands area where CO<sub>2</sub> emissions are avoided (area included in the first NDC as a carbon stock area to maintain) in collaboration with technical

- teams for the implementation of Ramsar Convention, SNAP and PROBIDES, among others. Assess the viability to include this land use category in future NGHGI.
- c) Complete the analysis of the approaches presented in IPCC guidelines to estimate the carbon sequestration from HWP, define which approach represents better the national HWP flows, and assess the inclusion of this pool in future NGHGI and NDC.
  - d) Identify and apply a methodology to estimate carbon stocks maintained (and historical data when applicable) in the carbon pools and land use categories included in the national objectives of the first NDC, expressed as areas to conserve (and increase when applicable) and as avoided CO<sub>2</sub> emissions and sequestration.
- 2.2.3 LULUCF matrix elaborated to improve activity data for the NGHGI.
- a) Assess if it is adequate to use the “Collect Earth” as the tool to elaborate the LULUCF matrix with information on land uses conversions, and if the case, determine roles, responsibilities and resources to generate these matrixes at the frequency needed for the subsequent NGHGI.
  - b) If needed, identify and assess other tools or national initiatives which could generate the matrixes in substitution of the “Collect Earth” tool.
  - c) Select the tool and elaborate the matrix up to the most recent year information is available.
  - d) Coordinate the gathering of data with responsible data providers to monitor and document areas of grasslands and croplands under sustainable management and usage plans, where targets in the first NDC are set to avoid CO<sub>2</sub> emissions.
- 2.2.4 Assessment of gaps, constraints and needs to fully adopt the 2006 IPCC Guidelines for NGHGI developed.
- a) Assess the gaps, constraints and needs to develop country specific emission factor and activity data gathering to use higher tiers when estimating emission from key categories, in accordance with good practices guidance.
  - b) Explore methodologies for indirect GHG emission occurring in the country, but not included in the IPCC Guidelines.
- 2.2.5 Training on 2006 IPCC Guidelines at relevant Ministries carried out.
- a) Take the 2006 IPCC Guidelines training offered for instance by the GHG Management Institute in the framework of the participation of the country in the NGHGI Latin American Network, aiming to level the knowledge on cross cutting and sectoral issues of institutional stakeholders in charge of NGHGI elaboration.
  - b) Carry out trainings on the IPCC software application for NGHGI elaboration.

### **Outcome 2.3: Capacity building from country specific training and regional peer exchanges**

The output and related activities are:

- 2.3.1 Country specific training and peer exchange programs on transparency activities, such as establishment of domestic MRV system, tracking NDC, enhancement of GHG, and economic and emissions projections, among others, developed.
- a) Participate in the capacity building activities offered in the framework of the NGHGI Latin American Network
  - b) Carry out country specific trainings based on needs identified in activity 1.1.2.b above.
  - c) Explore and carry out peer exchanges to improve transparency related activities, such as improvement of components from the NGHGI National System, methodologies to track NDC objectives and measures, and methods to verify the impacts in GHG emission estimations due to mitigation measures, in the framework of improving the MRV system.



**Table 1: Project Objective, Components, Outcomes and Outputs**

<b>Objective:</b> To build institutional and technical capacities to meet enhanced transparency requirements as defined in Article 13 of the Paris Agreement.		
<b>Project Components</b>	<b>Project Outcomes</b>	<b>Project Outputs</b>
1. Strengthening national institutions for transparency-related activities in line with national priorities	2.1. Establishment of an efficient and articulated institutionality that allows the development of transparency-related activities	1.1.1 National Transparency Task Force for transparency-related activities
		1.1.2 Capacity building needs and gaps assessment of the institutional enabling environment for transparency
		1.1.3 Capacity Building Program for MVOTMA and other relevant institutions in the SNRCC for developing initiatives to enhance transparency
		1.1.4 Knowledge sharing information system from transparency initiatives implemented and integrated into policy and decision making.
2. Tools, training and assistance for meeting the provisions stipulated in Article 13 of the Agreement	2.1. Domestic monitoring, reporting and verification system designed and established, including adaptation, technology transfer, financing, capacity building and mitigation	2.1.1 Protocol for developing the technical inputs needed for updating NDC
		2.1.2 Software tool to calculate the estimations for targets defined in the NDC
		2.1.3 Methodologies for assessing and reporting mitigation measures, policies and their effects
		2.1.4 Methodologies for assessing the implementation of adaptation measures, policies and their effects, and for communicating them
		2.1.5 Methodologies for assessing and reporting support needed and received by the country
	2.2. Improvement of National GHG Inventories	2.2.1 Country-specific emission factor for CO <sub>2</sub> from cement manufacture developed and existing national emission factors for key sources categories such as in Agriculture and LULUCF updated
		2.2.2 Assessment of available information to include in GHG emission estimations other carbon pools (soil organic carbon and litter) included in the IPCC Guidelines but not estimated in the National GHG Inventories
		2.2.3 LULUCF matrix elaborated to improve activity data for the NGHGI.
		2.2.4 Assessment of gaps, constraints and needs to fully adopt the 2006 IPCC Guidelines for NGHGI
		2.2.5 Training on 2006 IPCC Guidelines at relevant Ministries
	2.3. Capacity building from country specific training and regional peer exchanges	2.3.1 Country specific training and peer exchange programs on transparency activities, such as establishment of domestic MRV system, tracking NDC, enhancement of GHG, and economic and emissions projections, among others.

ii. Partnerships:

The project will benefit from the experience of other projects and initiatives in the country, such as the enabling activities projects under execution to prepare NC and BUR, and from the institutional arrangements and cooperative environment to prepare the subsequent NDC, taking stock of the most transparent information provided in that official communications to the international community. The knowledge sharing information system to be implemented will help to improve the knowledge management related to all transparency initiatives including data, procedures, methodologies and assumptions used in the preparation of the NGHGI, NC, BUR, NDC and MRV system.

Then, the project team and the National Transparency Task Force will work closely with a stable and coordinated interinstitutional staff assigned to the elaboration of NGHGI and to the design and

assessment of mitigation and adaptation policies and measures, which is supported by other UNDP/GEF and FCPF financed projects, under execution in the country: the Second BUR, the Fifth National Communication to the Conference of the Parties in the UNFCCC, the REDD+, and the GEF funded project “Climate-smart livestock production and land restoration in the Uruguayan range lands” (implemented by FAO and executed by MGAP). It is envisaged that synergies could be developed, based on the shared objective of strengthening capacities related to transparency and enhancement of the MRV system. The country is also about to implement a GEF project to reduce emissions in transport, a key sector for mitigation policies and actions. There are also specific initiatives for adaptation, as the National Coastal Adaptation Plan, the National Agricultural Adaptation Plan, the National Adaptation Plan on Cities and Infrastructures, and other adaptation initiatives under elaboration. The project team will coordinate and exchange with them, as appropriate. Besides, the project will take advantage of the existing membership in the Latin American Network for NGHGI, what is relevant to improve the capacities and tools needed to enhance transparency related activities. It would also ask for the support from the UNDP-UNEP Global Support Programme, as it was done in the past for expert reviews of the NGHGI, and any other support identified during project execution that could contribute to project objective.

iii. Stakeholder engagement:

The MVOTMA will perform a leadership and coordination role for the development of the projected actions needed for the application of the Paris Agreement, in meeting enhanced transparency requirements as defined in Article 13, and facilitating the participation of key stakeholders. The MVOTMA chairs the SNRCC, which is integrated by other seven national Ministries (Ministry of Industry, Energy and Mining; Ministry of Livestock, Agriculture and Fisheries; Ministry of Economy and Finance; Ministry of Foreign Affairs; Ministry of Public Health; Ministry of Tourism; and Ministry of National Defense), the Office for Planning and Budget of the Presidency, the Congress of Majors and the National Emergency System. The SNRCC coordinates all national climate change policies, plans and actions since 2009. Recently, the SNRCC elaborated the PNCC, a new milestone on the way to consolidate and integrate climate change into national development policies, which was adopted by the National Environmental Cabinet on the 27<sup>th</sup> April 2017 and approved by the Executive Decree number 310/017 on the 3<sup>rd</sup> November 2017. That document provides a regulatory framework within which climate change issues are managed, and it includes guidelines for monitoring the progress of the policy, as well as the implementation and progress towards achieving the objectives established in the NDC. In that framework, the main stakeholders engaged throughout this project will be the institutional representatives already involved in the SNRCC. In a higher policy decision making level, the already mentioned SNA (the National Environmental System), the GNA (the National Environmental Cabinet) and the SNAACC (National Secretary of Environment, Water and Climate Change) will be engaged.

Apart from that, the Ministry of Industry, Energy and Mining and the Ministry of Livestock, Agriculture and Fisheries will play a key role since they are already estimating the respective sectorial emissions for the NGHGI, under the guidance and coordination of MVOTMA. Other bodies, such as the National Statistics Institute (INE), the National Power Utility (UTE), the National Water Utility (OSE) and the local governments have an important role as information providers for the NGHGI. The project will strengthen the implementation of the NGHGI system, aiming to engage these other stakeholders with a more relevant participation role in transparency related needs. The University, the National Agency for Innovation and Research (ANII), the National Institute for Agricultural Research (INIA), the Uruguayan Technological Laboratory (LATU), among others, will also participate in training, capacity building and knowledge management activities, given their role in fostering science, technology and innovation initiatives. They may include contributions to the development of country-specific emission factors, or activity data sets needed to improve the accuracy and completeness of GHG emissions estimations.

Nation-wide confederations and civil society organizations may also participate through the SNRCC advisory commission: environmental and social organizations, Uruguayan Network of Environmental NGOs, farmers’ organizations, indigenous people organizations, sectorial chambers as the Uruguayan Industrial Chamber, the Uruguayan Rural Association, the Commerce Chamber, and other sectorial chambers and associations. These organizations may provide important feedback to the government regarding adaptation and mitigation options and actions. To ensure this later stakeholders’

participation, the project will document the results in a user-friendly form and will provide access to the knowledge generated by the project, through workshops or meetings, also serving as a tool to receive proposals and concerns. Also, the project will consider identifying and sharing best practices and lessons learned to all the stakeholders, including the share of findings among regional peers.

iv. Mainstreaming gender:

The project is considered gender-responsive, since it will be a meaningful entry point for training, awareness raising and capacity building efforts to assess differential needs and opportunities to ensure women's equal engagement in and benefit from climate change action. Understanding how both men and women are involved in managing their environments, including what they know, how they work and how they participate in decision making, helps to clarify the overall picture of the effects of climate change on different groups of citizens, and therefore increasing the transparency of the whole process (adapted from the publication "Gender Responsive National Communications Toolkit", UNDP, 2015).

As in NC and BUR, the integration of gender issues in the transparency related activities seeks to make the process of reporting more transparent in terms of whom is involved, whose views are represented, gender-differentiated risks, and the types of support men and women need to influence climate adaptation, mitigation, policymaking and reporting. Both the Fifth NC and the Second BUR of Uruguay (UNDP-GEF projects) will be prepared with a gender-responsive approach, involving a wide range of male and female stakeholders and including the integration of gender analysis in many components of the reports, such as the climate change impacts analysis and the adaptation and mitigation options analysis.

In this project, gender issues are addressed in its two components. Under Project Component 1, training activities on gender mainstreaming, gender analysis and tools for integrating gender and climate change will contribute to strengthen the capacities of MVOTMA and other relevant institutions to lead, plan, coordinate, implement, monitor and evaluate climate change related policies to enhance transparency with a gender-responsive approach. Under Project Component 2, gender analysis will be done when developing methodologies for assessing and reporting mitigation and adaptation measures, policies and their effects.

## V. FEASIBILITY

### i. Cost efficiency and effectiveness:

Cost efficiency and effectiveness will be procured by the project strategy along the three project components. Firstly, through the interinstitutional collaborative work to be done to deliver the results, taking advantage of the existing work on the different climate actions, under the scope of the SNRCC. Under this framework, the project will strengthen capacities of teams on charge of the developing of climate change related initiatives to enhance transparency, based on their needs and gaps assessments. In this sense, efforts and resources will be directed towards these specific findings, minimizing costs.

Besides, the development of protocols, tools and methodologies to be used within the domestic MRV system of climate change actions, will be based on cost-benefit criteria, aiming to obtain that instruments the most targeted as possible, in order to cope with the objective but at the lower cost. The application of such instruments will enhance the cost efficiency in data collection and processing needed for the GHG emissions calculations and projections included in NGHGI and NDC, and the corresponding MRV activities.

Finally, the regional peer experts exchange will build on the existing regional experts' network, taking advantage of the ongoing coordination and exchanging mechanisms already in place, avoiding extra costs and resources in the identification of other experts' advice or trainings.

### ii. Risk Management:

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

**Table 2: Project Risks**

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Decrease of political support for the development of outputs that depend on other institutions	Organizational Political	Low level of risk  Enter probability on a scale from 1 (low) to 5 (high) P = 1  Enter impact on a scale from 1 (low) to 5 (high) I = 3	Promote sustained political support during the project. The action lines under Paragraph 4 of the PNCC gives confidence about political support required, since it refers to the compliance with transparency-related initiatives.	Project Manager (MVOTMA)	Reducing
The institutions involved in some sectors do not work in coordination with the MVOTMA.	Organizational Strategic	Moderate level of risk  Enter probability on a scale from 1 (low) to 5 (high) P = 2  Enter impact on a scale from 1 (low) to 5 (high) I = 3	Develop mainstreaming and engagement, interinstitutional and intersectoral spaces. The establishment of a National Transparency Task Force at the beginning of this project will help to mitigate this risk. This is also strengthened by Paragraph 2 of the PNCC, that states its implementation will support the participation of the various	Project Manager (MVOTMA)	No change

			institutions involved, including public, private, academic institutions, organizations and the civil society, that promote, formulate, implement, monitor and assess the PNCC courses of action, as well as the plans, programs and projects in place for mitigation of and adaptation to climate change and variability.		
Lack of current capacities and willingness to carry out the project activities.	Organizational Operational	Low level of risk  Enter probability on a scale from 1 (low) to 5 (high) P = 2  Enter impact on a scale from 1 (low) to 5 (high) I = 4	Capacity Building. During the implementation of this project, capacity building needs are to be assessed. Taking into account its results, a Capacity Building Program for MVOTMA and other relevant institutions will be implemented, for the development of climate change related initiatives to enhance transparency.	Project Manager (MVOTMA)	No change

iii. Social and environmental safeguards:

Environmental and social grievances will be reported to the GEF in the annual PIR. This project is categorized “Low”, as per the UNDP Social and Environmental Screening Procedure attached. The project activities will be conducted in a manner consistent with the UNDP Social and Environmental Standards, not only with a no adverse effects approach, but also assessing the social and environmental sustainability of the mitigation and adaptation measures identified and reported by the country in the transparency related initiatives.

iv. Sustainability and Scaling Up:

The existent institutional arrangements and technical capacities regarding in particular NGHGI, BUR and NC are a fundamental input to build on for the success of this project. Moreover, the PNCC gives the ideal framework for developing all the aspects and activities included in this project. Being developed under a wide consultative process with public, private and civil society sectors, the PNCC will assure the permanence of the processes, methodologies and tools derived and improved by this project. On the other hand, lessons learned through the execution of this project will be taken into account for the five-yearly assessments of the policy and its courses of action. The referred Policy will also frame the NDC since, as it is established in paragraph 23 of the PNCC, the NDC will serve as an instrument to implement the Policy, and will allow for the setting of goals in the subsequent NDC, which will be defined and implemented considering enhanced transparent mechanisms. Along with these aspects, the Policy includes a paragraph related to MRV and evaluation of the action lines under the policy and all initiatives related to climate change. This MRV system will be part of the wider transparency framework improved by the project.

The National Transparency Task Force to be established, along with the knowledge sharing information system to be implemented by this project and also to be integrated into policy and decision making, constitute other elements which will strengthen the sustainability of the project outcomes.

The scope of the MRV system and transparency framework is national and relates to all sectors and actions related to climate change. However, there may be room to expand the transparency framework to new areas, making links with other indicators and MRV systems, reaching a more integrated transparency framework which would capture the country path to a sustainable, resilient and low emission economy. In this sense, coordination with other initiatives, such as GHG inventories

elaborated sub nationally, and indicators development under ongoing Sectoral Adaptation Plans, will be enhanced.

On the other hand, the activities related to regional peer exchanges and regional capacity building, are seen as ways to scaling up, since the exchange of experiences may be extremely useful and in that sense, Uruguay's experience in institutional arrangements related to GHG emissions and data could serve other neighbor countries to consider into their own institutional and transparency frameworks.

v. Economic and/or financial analysis:

The project does not generate income; therefore it is not subject to a financial analysis.

## VI. PROJECT RESULTS FRAMEWORK

<p><b>This project will contribute to the following Sustainable Development Goal (s):</b> <i>Sustainable Development Goal 13 – Climate Action</i> (Sustainable Development Goals 2, 6, 7, 9, 11, 12, 13, 14 and 15)</p>					
<p><b>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:</b>  <b>UNDAF Outcome 1.1:</b> <i>The country has strengthened its capacities and institutional framework to ensure the preservation of the natural resources including water, echo systemic services, pollution prevention and generation and sustainable use of energy, promoting local development and creation of livelihood</i>  <b>UNDAF Outcome 1.3:</b> <i>The country has strengthened its capacities for mitigation and adaptation to climate change, as well as its disaster resilience.</i>  <b>Country Programme Document Output:</b> <i>2. Strategies, policies and plans (national/departmental/sectoral) formulated and applied for the adaptation and mitigation of climate change and disaster risk reduction.</i></p>					
<p><b>This project will be linked to the following output of the UNDP Strategic Plan:</b> <i>Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.</i></p>					
	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline <sup>3</sup>	Mid-term Target <sup>4</sup>	End of Project Target	Assumptions <sup>5</sup>
<p><b>Project Objective:</b>   <b>To build institutional and technical capacities to meet enhanced transparency requirements as defined in Article 13 of the Paris Agreement.</b></p>	<p><u>Mandatory Indicator 1:</u> IRRF 1.4.2 - Extent to which implementation of comprehensive measures -plans, strategies, policies, programmes and budgets- to achieve low-emission and climate-resilient development objectives has improved.            1. Not adequately            2. Very partially            3. Partially            4. Largely</p>	3	3	4	Through the institutional and technical capacity building, Uruguay will be more efficient in the definition, development and implementation of policies and measures, based on more timely and accurate information, monitoring and assessment of the instruments applied to face climate change.
	<p><u>Mandatory indicator 2:</u> # direct project beneficiaries.</p>	0	5	10	All stakeholder institutions involved in transparency-related initiatives will be engaged in the project activities.
	<p><u>Indicator 3:</u> Number of direct project beneficiaries that increase their capacities to meet enhanced transparency requirements.</p>	0	5	10	It is expected that all stakeholder institutions involved in the transparency-related activities increase their capacities as they engage in the capacity building program and in the knowledge sharing information system

<sup>3</sup> Baseline, mid-term and end of project target levels must be expressed in the same neutral unit of analysis as the corresponding indicator. Baseline is the current/original status or condition and need to be quantified. The baseline must be established before the project document is submitted to the GEF for final approval. The baseline values will be used to measure the success of the project through implementation monitoring and evaluation.

<sup>4</sup> Target is the change in the baseline value that will be achieved by the mid-term review and then again by the terminal evaluation.

<sup>5</sup> Risks must be outlined in the Feasibility section of this project document.

<b>Component 1 / Outcome 1.1</b>  <b>Establishment of an efficient and articulated institutional framework that allows the development of transparency related activities.</b>	<u>Indicator 4:</u> Number of meetings of the National Transparency Task Force.	0	18	36	At least 1 meeting per month assumed in average, along the 36 project months.
	<u>Indicator 5:</u> Number of stakeholder institutions that completed at least one of the learning components of the Capacity Building Program.	0	5	10	The number of stakeholder institutions involved in the transparency-related activities that will benefit from the capacity building program, will depend on the capacity building needs and gaps assessment. It is assumed for the indicator targets that all stakeholder institutions will need to complete at least one of the components of the Capacity Building Program.
	<u>Indicator 6:</u> Number of stakeholder institutions accessing or providing inputs to the knowledge sharing information system from transparency initiatives.	0	5	10	It is assumed stakeholder institutions either will provide knowledge products to feed the sharing information system, or either access it to use the available information.
<b>Component 2/ Outcome 2.1</b>  <b>Domestic MRV system designed and established, including adaptation, technology transfer, financing, capacity building and mitigation</b>	<u>Indicator 7:</u> Number of tools and methodologies applied in the framework of the domestic MRV system to track NDC implementation (Protocol for updating NDC; Software to define and track NDC's objectives; methodology development per measure for assessing and reporting mitigation and adaptation measures, and also support needed and received).	0	18	34	<p>Institutional stakeholders' collaborative work and agreement on protocol procedures will determine the usefulness of the protocol when it is adopted and applied.</p> <p>Institutional stakeholders will be trained to use the software and they use it.</p> <p>Methodologies are available at the national or international level and they are adequate to be adopted by the country. It is assumed that methodologies are applied for at least 2 measures per sector or area, both for mitigation and adaptation measures.</p>



<b>Component 2/ Outcome 2.2</b>  <b>Improvement of the National GHG Inventories</b>	<u>Indicator 8</u> : Number of new categories reported in NGHGI after fully adoption of 2006 IPPC guidelines to estimate emissions and removals from carbon pools.	0	3	6	This target assumes the availability and adequacy of necessary activity data to report new categories not previously reported. This will be analyzed during project execution.
	<u>Indicator 9</u> : Number of key categories reported with higher level approaches.	0	1	2	This target depends on the feasibility of the development of national specific emission factors. This will be analyzed during project execution.
<b>Component 2/ Outcome 2.3</b>  <b>Capacity building from country specific training and regional peer exchanges</b>	<u>Indicator 10</u> : Number of regional workshops, peer exchanges or trainings, the country experts involved in NDC and MRV participate during project execution.	0	3	6	Assumes one annual meeting of the Latin American NGHGI network for peer exchanges and up to 3 possible sectoral or thematic regional workshops or bilateral exchanges.

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## VII. MONITORING AND EVALUATION (M&E) PLAN

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.

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 requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies<sup>6</sup>.

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 institutes assigned to undertake project monitoring, if any. 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.<sup>7</sup>

### **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.

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<sup>6</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

<sup>7</sup> See [https://www.thegef.org/gef/gef\\_agencies](https://www.thegef.org/gef/gef_agencies)

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, 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.<sup>8</sup>

#### **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.

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<sup>8</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

GEF Project Implementation Report (PIR): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

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.

GEF Focal Area Tracking Tools: The following GEF Tracking Tool will be used to monitor global environmental benefit results: *Tracking Tool for GEF 6 Capacity-building Initiative for Transparency Projects, as agreed with the UNDP-GEF Regional Technical Advisor*. The baseline/CEO Endorsement GEF Focal Area Tracking Tool – submitted as Annex D to this project document – will be updated by the Project Manager/Team (not the evaluation consultants hired to undertake the TE) and shared with the terminal evaluation consultants before the required evaluation mission take place. The updated GEF Tracking Tool will be submitted to the GEF along with the completed Terminal Evaluation report.

Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

Final Report: The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**Mandatory GEF M&E Requirements and M&E Budget:**

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>9</sup> (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 5,000	USD 1,000	Within two months of project document signature
Inception Report	Project Management Unit	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Risk management	Project Management Unit UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Management Unit	None	None	Annually, before PIR
GEF Project Implementation Report (PIR)	Project Management Unit and UNDP Country Office and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 1,000 (Total Audit Cost: USD 3,000)	None	Annually or other frequency as per UNDP Audit policies
Lessons learned and knowledge generation	Project Management Unit	None	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Management Unit UNDP CO	None	None	On-going
Addressing environmental and social grievances	Project Management Unit UNDP Country Office BPPS as needed	None	None	On-going
Project Board meetings	Project Board UNDP Country Office Project Management Unit	None	None	At minimum annually
Supervision missions	UNDP Country Office	None <sup>10</sup>	None	Annually
Oversight missions	UNDP-GEF team	None <sup>10</sup>	None	Troubleshooting as needed

<sup>9</sup> Excluding project team staff time and UNDP staff time and travel expenses.

<sup>10</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>9</sup> (US\$)		Time frame
		GEF grant	Co-financing	
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Management Unit and UNDP-GEF team	None	None	To be determined.
Terminal GEF Tracking Tool to be updated by Project Management Unit	Project Management Unit	None	None	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 20,000	None	At least three months before operational closure
<b>TOTAL indicative COST</b> Excluding project team staff time, and UNDP staff and travel expenses		USD 28,000	USD 1,000	

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## VIII. GOVERNANCE AND 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 Uruguay, and the Country Programme.

The **Implementing Partner** for this project is the Ministry of Housing, Land Planning and Environment (MVOTMA). 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.

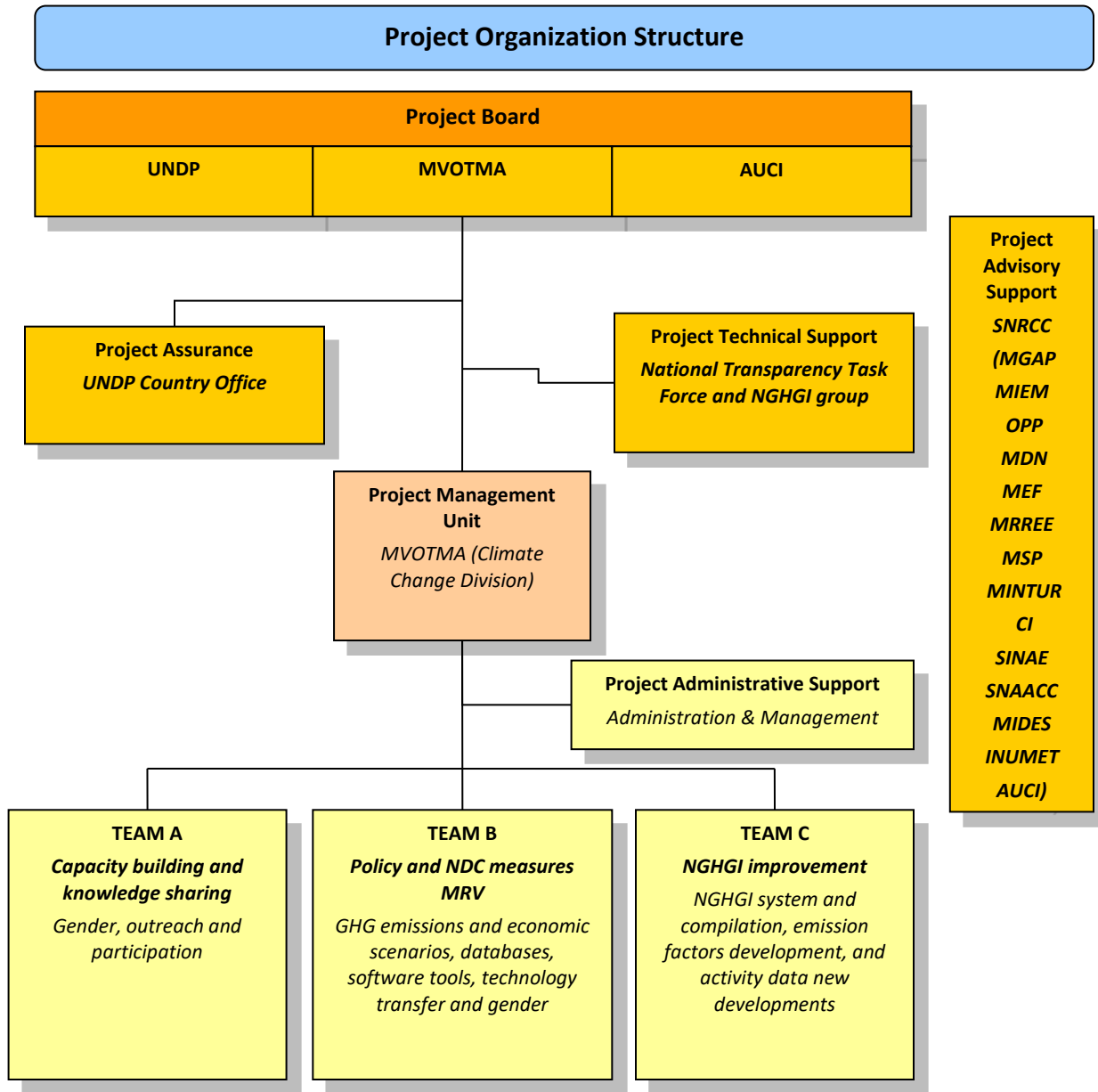
The Implementing Partner is responsible for:

- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

There are several GEF- financed projects and other initiatives in Uruguay, leaded or implemented by the referred Minister of Housing, Land Planning and Environment, currently under implementation or in the approval process, which could offer some synergic opportunities with this proposal. These initiatives are: the Uruguay's Second Biennial Update Report, recently started, after submission of the first BUR by the country; and the GEF/UNDP project for the preparation of the Fifth National Communication of Uruguay to UNFCCC, that is already under way. It is envisaged that synergies could be developed between the proposal and these two projects, based on the shared spirit of strengthening capacities for the country, and in particular related to transparency and enhancement of MRV systems. The country is also about to implement a GEF project to reduce emissions in transport, a key sector for mitigation policies and actions. There are also specific initiatives for adaptation, as the National Coastal Adaptation Plan, and other adaptation projects under elaboration.

The coordination with these other initiatives and then with the relevant institutions that are also involved in their execution, set the basis for involving the main stakeholders that have to play key roles in the governance and management arrangements for this project.

The project organization structure is as follows:





The **Project Board** (also called Project Steering Committee) 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 terms of reference for the Project Board are contained in **Annex E**.

The Project Board is comprised of the following institutions: MVOTMA, AUCI and UNDP.

**Other strategic partners:** The institutions involved in the SNRCC will be providing advisory support throughout the project execution, in particular to adopt strategic decisions regarding thematic areas where that institutions have specific competence. From these institutions, MIEM and MGAP will be playing substantial roles due to their participation in the achievement of some outputs related to NGHGI improvement.

The **Project Manager**, with the support of the Project Management Unit, which falls under the Climate Change Division from MVOTMA, will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager function will end when the final project terminal evaluation report and corresponding management response, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project).

The **project assurance** roll will be provided by the UNDP Country Office in Uruguay. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed.

UNDP Direct Project Services as requested by Government: UNDP will provide Direct Project Services (DPS), in full compliance with the UNDP recovery of direct costs policies. The DPS will be charged annually using the UNDP Universal Price List. The Letter of Agreement (LOA) specifying the services to be provided and their costs are attached as Annex J. These costs are summarized in Table 3.

**Table 3: Summary of Support Services to be provided by UNDP**

Support services (insert description)	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. Individual consultants contracts	During project implementation	Universal Price List	Support services
2. Companies contracts	During project implementation	Universal Price List	Support services
3. Financial assistance	During project implementation	Universal Price List	Support services
4. Procurement of goods and services	During project implementation	Universal Price List	Support services
		Total: up to USD 38.000 from GEF grant	

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 Policy<sup>11</sup> and the GEF policy on public involvement<sup>12</sup>.

Project management:

The project will be operationalized in the Climate Change Division from the MVOTMA (Project Management Unit), where the other climate change related projects referred above are hosted, and common services (security, lightening, restrooms, cleaning) will be shared with the on-going initiatives. Project teams showed in the chart above will work closely with the staff in charge of developing the activities under the enabling activities projects previously referred (Fifth NC and Second BUR) and with the workgroup in charge of preparing the first NDC and the subsequent ones. These experts will provide feedback on a continuous basis to the project teams, to develop outputs as much as usefull and adecquate as possible based on need and gaps identified to better comply with the new transparency framework under the Paris Agreement.

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<sup>11</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>12</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

## IX. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is *USD 1,860,000*. This is financed through a GEF grant of *USD 1,100,000* to be administered by UNDP, *USD 750,000* in parallel co-financing by the government and *USD 10,000* in-kind UNDP co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Parallel co-financing: The actual realization of project co-financing will be monitored during the terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Government (MVOTMA)	In kind	USD 123,600	Offices and meetings rooms for project staff (5 consultants, USD 500 per month each working place for 3 years): USD 90,000 Outreach and consultative workshops/meetings' rooms (12 workshops or meetings, USD 1000 per each workshop or meeting): USD 12,000 National Task Force on Transparency and other interinstitutional meetings - meetings rooms (72 meetings, USD 300 per meeting): USD 21,600	No risk identified	-
Government (MVOTMA)	In kind	USD 97,200	Working hours from experts collaborating with project staff (gender, outreach and capacity building, communications and web design experts). 3 experts, USD 3,000 monthly salary per expert (VAT included) for 3 years, 30% dedicated to this project.	No risk identified	-
Government (MVOTMA)	Grants	USD 149,292	VAT (22%) applied to project staff. 22% of USD 678,600	No risk identified	-
Government (MVOTMA)	In kind	USD 54,000	Working hours from Project Manager (USD 5000 per month, 3 years, 30% dedicated to this project)	No risk identified	-
Government (MVOTMA)	In kind	USD 325,908	Working hours from 12 consultants of permanent Climate Change Division staff (USD 3,000 monthly salary each, VAT included for 3 year, 25% dedicated to this project)	No risk identified	-
UNDP	In kind	USD 10,000	Meeting space for project workshops and events	No risk identified	-

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.<sup>13</sup> 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.

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<sup>13</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

## X. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan										
Atlas <sup>14</sup> Proposal or Award ID:	103349	Atlas Primary Output Project ID:				105382				
Atlas Proposal or Award Title:	Building institutional and technical capacities to enhance transparency in the framework of the Paris Agreement									
Atlas Business Unit	URY10									
Atlas Primary Output Project Title	Building institutional and technical capacities to enhance transparency in the framework of the Paris Agreement									
UNDP-GEF PIMS No.	6069									
Implementing Partner	Ministry of Housing, Land Planning and Environment ( <i>Ministerio de Vivienda, Ordenamiento Territorial y Medio Ambiente, MVOTMA</i> )									
GEF Component/Atlas Activity	(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)	Total (USD)	See Budget Note:
<b>COMPONENT 1 Strengthening national institutions for transparency-related activities in line with national priorities</b>	<b>MVOTMA</b>	<b>62000</b>	<b>GEF</b>	71300	Local Consultants	67300	67300	67300	201900	<i>a</i>
				71600	Travel	15000	15000	15000	45000	<i>b</i>
				72100	Contractual services	23100	3000	3000	29100	<i>c</i>
				75700	Training, workshops, meetings	8000	8000	8000	24000	<i>d</i>
					sub-total GEF	113400	93300	93300	300000	
					<b>Total COMPONENT 1</b>	<b>113400</b>	<b>93300</b>	<b>93300</b>	<b>300000</b>	
<b>COMPONENT 2 Tools, training and assistance for meeting the provisions stipulated in Article 13 of the Agreement</b>	<b>MVOTMA</b>	<b>62000</b>	<b>GEF</b>	71200	International Consultants	0	0	20000	20000	<i>n</i>
				71300	Local Consultants	141500	141500	141500	424500	<i>e, h, j</i>
				71600	Travel	4500	6000	4500	15000	<i>k</i>

<sup>14</sup> See separate guidance on how to enter the TBWP into Atlas

				72100	Contractual / Professional Services	51000	99500	61000	211500	<i>f, i, l, o</i>
				72200	Equipment	5000	3000	3000	11000	<i>g</i>
				75700	Training, workshops, meetings	8500	6000	3500	18000	<i>m, p</i>
					sub-total GEF	210500	256000	233500	700000	
					<b>Total COMPONENT 2</b>	<b>210500</b>	<b>256000</b>	<b>233500</b>	<b>700000</b>	
<b>Project Management Unit</b> (This is not to appear as an Outcome in the Results Framework)	<b>MVOTMA</b>	<b>62000</b>	<b>GEF</b>	71300	Local Consultants	17400	17400	17400	52200	<i>r</i>
				71600	Travel	1700	1900	1700	5300	<i>s</i>
				72500	Office Supplies	1000	1000	1000	3000	<i>t</i>
				74500	Miscellaneous	500	500	500	1500	<i>u</i>
				74596	Direct Project Cost (Services to projects - GOE for CO)	12500	13500	12000	38000	<i>q, v</i>
					sub-total GEF	33100	34300	32600	100000	
					<b>Total Management</b>	<b>33100</b>	<b>34300</b>	<b>32600</b>	<b>100000</b>	
<b>PROJECT TOTAL</b>						<b>357000</b>	<b>383600</b>	<b>359400</b>	<b>1100000</b>	

**Summary of Funds:**<sup>15</sup>

	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)
<b>GEF</b>	\$ 357000	\$ 383600	\$ 359400	\$ 1100000
<b>UNDP (in-kind)</b>	\$ 4000	\$ 3000	\$ 3000	\$ 10000
<b>Government - MVOTMA (grants and in-kind co-financing)</b>	\$ 250000	\$ 250000	\$ 250000	\$ 750000
<b>TOTAL</b>	\$ 611000	\$ 636600	\$ 612400	\$ 1860000

**Budget notes:**

- a.* Includes part of local consultant’s salaries: MRV and INGEI consultant #1, 3 months of dedication per year, USD 3250 monthly; MRV and INGEI consultant #2 (part time), 3 months of dedication per year, USD 2000 monthly; Adaptation consultant, 3 months of dedication per year, USD 3250 monthly; Knowledge sharing system design and management consultant, 12 months of dedication per year, USD 2400 monthly; AFOLU sectoral consultant, 2 months of dedication per year, USD 3250 monthly; Energy sectoral consultant, 2 months of dedication per year, USD 3250 monthly.
- b.* Travel expenses for trainings, workshops, meetings for stakeholders’ institutions participating in transparency - related activities (5 trips outside Uruguay per year, USD 3000 each).
- c.* Services to design the Capacity Building Program (USD 23100 - Year 1) and USD 3000 per year (Years 2 and 3) to update it with new thematic contents as necessary.
- d.* Logistics for local trainings, workshops, meetings led by the National Transparency Task Force, regarding capacity building needs and gaps assessment and implementation of the Capacity Building Program and the knowledge sharing information system.
- e.* Includes part of local consultant’s salaries: MRV and INGEI consultant #1, 4 months of dedication per year, USD 3250 monthly; MRV and INGEI consultant #2 (part time), 4 months of dedication per year, USD 2000 monthly; Adaptation consultant, 8 months of dedication per year, USD 3250 monthly; AFOLU sectoral consultant, 4 months of dedication per year, USD 3250 monthly; Energy sectoral consultant, 4 months of dedication per year, USD 3250 monthly.
- f.* Services to: develop methodologies for assessing mitigation measures (USD 25000 - Year 1 and USD 15000 - Year 2); develop software tool to calculate emission estimations to track NDC’s objectives (USD 15000 - Year 2); develop methodologies for assessing adaptation measures and analyze impacts from climate extreme event ( USD 40000 - Year 2 and USD 20000 - Year 3); identify supporting gaps in term of financing, technology transfer and capacity building (USD 15000 - Year 2 and USD 30000 - Year 3).
- g.* Office equipment (personal computers, hard disks, stationary, as needed).
- h.* Includes part of local consultant’s salaries: MRV and INGEI consultant #1, 4 months of dedication per year, USD 3250 monthly; MRV and INGEI consultant #2 (part time), 4 months of dedication per year, USD 2000 monthly; AFOLU sectoral consultant, 5 months of dedication per year, USD 3250 monthly; Energy sectoral consultant, 5 months of dedication per year, USD 3250 monthly.

<sup>15</sup> Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

- i.* Services to: elaborate LULUCF matrix with information on land uses conversions and estimations of carbon stocks and CO2 emissions and removals from carbon pools (USD 20000 - Year 1, USD 5000 - Year 2 and USD 5000 - Year 3); country specific emission factors development for key categories (USD 5000 yearly).
- j.* Includes part of local consultant's salaries: MRV and INGEI consultant #1, 1 month of dedication per year, USD 3250 monthly; MRV and INGEI consultant #2 (part time), 1 month of dedication per year, USD 2000 monthly; Adaptation consultant, 1 month of dedication per year, USD 3250 monthly; AFOLU sectoral consultant, 1 month of dedication per year, USD 3250 monthly; Energy sectoral consultant, 1 month of dedication per year, USD 3250 monthly.
- k.* Travel expenses for regional trainings, workshops, meetings or peer exchanges (3 trips within the region for Year 1 and 3, 4 trips for Year 2, USD 1500 each).
- l.* Services to dictate country specific trainings identified as needed by institutional stakeholders (USD 3500 - Year 2).
- m.* Logistics for trainings, workshops, meetings with regional participation (USD 3500 for Years 1 and 3, USD 6000 for Year 2).
- n.* Independent international lead consultant for the Terminal Evaluation (USD 20000 - Year 3).
- o.* Estimated audit costs (USD 1000 yearly).
- p.* Logistics for inception workshop (USD 5000 - Year 1).
- q.* Services to projects - CO staff: support services to be provided by UNDP CO (estimated USD 26600 for total project)
- r.* Salary of administrative assistant (USD 1450 monthly, part time).
- s.* Travel expenses for domestic transfers needed to management meetings (USD 5300 for total project: USD 1700 - Year 1, USD 1900 Year 2, USD 1700 Year 3).
- t.* Lump sum for office supplies (USD 1000 yearly).
- u.* Provision of unexpected costs associated to project management (USD 500 yearly).
- v.* Services to projects - GOE for CO: support services to be provided by UNDP CO (estimated USD 11400 for total project)



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## **XI. LEGAL CONTEXT**

### ***Legal Context***

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement (SBAA) between the Government of Uruguay and UNDP, signed on 12<sup>th</sup> December of 1985. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner”.

This document, along with the UNDAF (which was signed between the Government of Uruguay and UNDP, and it is incorporated in the present document as a reference), constitute a Project Document as established in the Agreement; and all UNDAF setups apply to this document. All references in the Agreement to “Executing Agency” shall be deemed to refer to “Implementing Partner”, as defined in the UNDAF and in this document.

For the purposes of this Document and within the exchange of verbal notes between the Ministry of Exterior Relations and PNUD in July of 2012, the *Agencia Uruguaya de Cooperación Internacional (AUCI)* shall be deemed as the institution with the competences related to International Cooperation in Uruguay.

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

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## **XII. RISK MANAGEMENT**

Consistent with the Article III of the SBAA, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aa\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aa_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

Consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).

In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

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

UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

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

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

Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document

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### **XIII. ANNEXES**

- A. Multi-year Workplan
- B. Monitoring Plan
- C. Evaluation Plan
- D. GEF Tracking Tool at baseline (separate document)
- E. Terms of Reference for Project Board, Project Manager and other positions as appropriate
- F. UNDP Social and Environmental and Social Screening Template (SESP)
- G. UNDP Project Quality Assurance Report
- H. UNDP Risk Log
- I. Results of the capacity assessment of the project implementing partner and HACT micro assessment (separate document)
- J. Additional agreements: Letter of agreement between UNDP and the government of Uruguay
- K. Letters of co-financing

## ANNEX A: MULTI YEAR WORK PLAN

Task	Responsible Party	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1.1.1.a	MVOTMA												
1.1.1.b	MVOTMA												
1.1.2.a	MVOTMA												
1.1.2.b	MVOTMA												
1.1.3.a	MVOTMA												
1.1.3.b	MVOTMA												
1.1.3.c	MVOTMA												
1.1.3.d	MVOTMA												
1.1.4.a	MVOTMA												
1.1.4.b	MVOTMA												
1.1.4.c	MVOTMA												
1.1.4.d	MVOTMA												
2.1.1.a	MVOTMA												
2.1.1.b	MVOTMA												
2.1.2.a	MVOTMA												
2.1.2.b	MVOTMA												
2.1.3.a	MVOTMA												
2.1.3.b	MVOTMA												
2.1.3.c	MVOTMA												
2.1.4.a	MVOTMA												
2.1.4.b	MVOTMA												
2.1.4.c	MVOTMA												
2.1.4.d	MVOTMA												
2.1.5.a	MVOTMA												
2.1.5.b	MVOTMA												

Task	Responsible Party	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
2.2.1.a	MVOTMA												
2.2.1.b	MVOTMA												
2.2.2.a	MVOTMA												
2.2.2.b	MVOTMA												
2.2.2.c	MVOTMA												
2.2.2.d	MVOTMA												
2.2.3.a	MVOTMA												
2.2.3.b	MVOTMA												
2.2.3.c	MVOTMA												
2.2.3.d	MVOTMA												
2.2.4.a	MVOTMA												
2.2.4.b	MVOTMA												
2.2.5.a	MVOTMA												
2.2.5.b	MVOTMA												
2.3.1.a	MVOTMA												
2.3.1.b	MVOTMA												
2.3.1.c	MVOTMA												

## ANNEX B: MONITORING PLAN

The Project Manager will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
<b>Project objective:</b>  <b>To build institutional and technical capacities to meet enhanced transparency requirements as defined in Article 13 of the Paris Agreement</b>	<b>Indicator 1</b>	IRRF 1.4.2 – Extent to which implementation of comprehensive measures-plans, strategies, policies, programmes and budgets – to achieve low-emission and climate-resilient development objectives has improved	<i>Data will be collected from the BURs and the NCs. In particular from sections containing information on mitigation and adaptation measures implementation. Comparison between previous reports and the new ones will be applied to track the implementation progress.</i>	<i>At the end of the project</i>	<i>UNDP</i>	<i>Biennial Update Reports and National Communications presented by the country.</i>	<i>It is assumed that 3<sup>rd</sup> BUR and 5<sup>th</sup> NC are presented before project end, as scheduled.</i>
	<b>Indicator 2</b>	# direct project beneficiaries	<i>National Transparency Task Force meetings. Participation of institutional stakeholders (representatives in the task force and other staff involved in project execution) will be monitored and registered in a roster.</i>	<i>Annually</i>	<i>MVOTMA</i>	<i>National Transparency Task Force minutes. Roster of institutional staff involved in transparency related activities.</i>	<i>It is assumed that the institutional stakeholders involved in transparency related activities participate from the beginning to the end of the project.</i>
	<b>Indicator 3</b>	Number of direct project beneficiaries that increase their capacities to meet enhanced transparency requirements.	<i>Courses or trainings from the Capacity Building Program. Participation of institutional stakeholders will be monitored and registered.</i>	<i>Quarterly</i>	<i>MVOTMA</i>	<i>Participants’ registers regarding takings and approval (if applicable) of courses, in the framework of the Capacity Building Program.</i>	<i>Availability and accessibility of courses and training materials at the national or international level.</i>
<b>Component 1 / Project Outcome 1.1</b>	<b>Indicator 4</b>	Number of meetings of the National Transparency Task Force	<i>National Transparency Task Force meetings. Minutes will be elaborated for each</i>	<i>Quarterly</i>	<i>MVOTMA</i>	<i>A file with all National Transparency Task</i>	<i>Meetings are held with the participation of at least one</i>

Establishment of an efficient and articulated institutional framework that allows the development of transparency related activities.			<i>meeting containing: venue, date, participants, main taking points and agreements.</i>			<i>Force meetings' minutes.</i>	<i>representative from all the key stakeholders' institutions.</i>
	<b>Indicator 5</b>	Number of stakeholder institutions that completed at least one of the learning components of the Capacity Building Program.	<i>Courses or trainings from the Capacity Building Program. Participation of institutional stakeholders will be monitored and registered, disaggregated by gender.</i>	<i>Quarterly</i>	<i>MVOTMA</i>	<i>Participants' registers regarding takings and approval (if applicable) of courses, in the framework of the Capacity Building Program.</i>	<i>Availability and accessibility of courses and training materials at the national or international level.</i>
	<b>Indicator 6</b>	Number of stakeholder institutions accessing or providing inputs to the knowledge sharing information system from transparency initiatives.	<i>Knowledge sharing information system. Users' accesses to the system will be recorded from an online counting tool.</i>	<i>Quarterly</i>	<i>MVOTMA</i>	<i>Online counting tool reports.</i>	<i>The knowledge sharing information system contains relevant and useful information for stakeholders and there is a mechanism established to receive feedbacks to improve it.</i>
<b>Component 2/ Project Outcome 2.1</b>  Domestic MRV system designed and established, including adaptation, technology transfer, financing, capacity building and mitigation.	<b>Indicator 7</b>	Number of tools and methodologies applied in the framework of the domestic MRV system to track NDC implementation (Protocol for updating NDC; Software to define and track NDC's objectives; methodology development per measure for assessing and reporting mitigation and adaptation measures, and also support needed and received).	<i>Protocol's drafts and final document. Software Tool. Once it is available, the tool will be fed with data and ask it for output reports. Reports produced during project execution.</i>	<i>Annually</i>	<i>MVOTMA</i>	<i>Protocol's drafts and final document. Output reports from the Software Tool: percentages of emission intensity reductions from the baseline year to a final year, for sectorial and economy wide targets. Report with description of methodologies adopted. Experts' reports on the progress and results of the assessments. BURs and NCs.</i>	<i>Interinstitutional agreement is achieved for all Protocol's procedures. Users are trained to properly use the software tool. Availability and accessibility of methodologies at the national or international level.</i>
<b>Component 2/</b>	<b>Indicator 8</b>	Number of new categories reported in NGHGI after adoption of 2006 IPPC	<i>NGHGI reports for years 2016 and 2018.</i>	<i>Immediately after the completion</i>	<i>MVOTMA</i>	<i>NGHGI reports for years 2016 and 2018 and the</i>	<i>NGHGI reports for years 2016 and 2018 are completed on time.</i>



<b>Project Outcome 2.2</b>		guidelines to estimate emissions and removals from carbon pools.	<i>A comparative work will be done to find new categories in comparison with previous NGHGI reports.</i>	<i>of each NGHGI report.</i>		<i>previous NGHGI reports.</i>	
<b>Improvement of the National GHG Inventories</b>	<b>Indicator 9</b>	Number of key categories reported with higher level approaches.	<i>NGHGI reports for years 2016 and 2018. A comparative work will be done to track higher level approaches used for new key categories, in comparison with previous NGHGI reports.</i>	<i>Immediately after the completion of each NGHGI report.</i>	<i>MVOTMA</i>	<i>NGHGI reports for years 2016 and 2018 and the previous NGHGI reports.</i>	<i>NGHGI reports for years 2016 and 2018 are completed on time.</i>
<b>Component 2/ Project Outcome 2.3</b>	<b>Indicator 10</b>	Number of regional workshops, peer exchanges or trainings, the country experts involved in NDC and MRV participate during project execution.	<i>Workshops, peer exchanges and trainings' reports. A file with all the reports will be saved.</i>	<i>Annually</i>	<i>MVOTMA</i>	<i>A file with all the reports.</i>	<i>Experts produce reports for each capacity building instances.</i>
<b>Terminal GEF Tracking Tool</b>	N/A	N/A	<i>Standard GEF Tracking Tool available at <a href="http://www.thegef.org">www.thegef.org</a> Baseline GEF Tracking Tool included in Annex.</i>	<i>After final PIR submitted to GEF</i>	<i>Project Manager (MVOTMA)</i>	<i>Completed GEF Tracking Tool</i>	
<b>Environmental and Social risks and management plans, as relevant.</b>	N/A	N/A	<i>Updated SESP and management plans</i>	<i>Annually</i>	<i>Project Manager (MVOTMA) and UNDP CO</i>	<i>Updated SESP</i>	

## ANNEX C: EVALUATION PLAN

Evaluation Title	Planned start date Month/year	Planned end date Month/year	Included in the Country Office Evaluation Plan	Budget for consultants <sup>16</sup>	Other budget (i.e. travel, site visits etc...)	Budget for translation
Terminal Evaluation	01/12/2020  <i>3 months before operation closure</i>	28/02/2021  <i>To be submitted to GEF within three months of operational closure</i>	Yes  <i>Mandatory</i>	USD 20,000	<i>None</i>	<i>None</i>
<b>Total evaluation budget</b>				USD 20,000		

<sup>16</sup> The budget will vary depending on the number of consultants required (for full size projects should be two consultants); the number of project sites to be visited; and other travel related costs. Average # total working days per consultant not including travel is between 22-25 working days.

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**ANNEX D: GEF TRACKING TOOL (AT BASELINE)**

Attached separately

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## **ANNEX E: TERMS OF REFERENCE FOR PROJECT BOARD, PROJECT MANAGER AND OTHER POSITIONS AS APPROPRIATE**

### **PROJECT BOARD**

#### **1. GENERAL**

1.1. The Project Board (PB) for the Project “Building institutional and technical capacities to enhance transparency in the framework of the Paris Agreement” is the highest coordinating body of the project, and is established for collaborative discussion and decision-making of the project activities and for follow-up of the project recommendations.

1.2. These terms of reference, together with national law and the Project Document constitute the regulatory framework for the activities of the PB.

1.3. All PB members act on an institutional representation basis and receive no remuneration for their contributions to the PB.

#### **2. PROJECT BOARD TASKS**

2.1. General project guidance and oversight.

2.2. Formulation and review of the project management strategy and identification of project priorities.

2.3. Supervision of project implementation.

2.4. Assessment of the National Project Director’s and/or Project Manager’s and/or any Project Board Member proposals on any amendments to the project activities differing from those specified in the Project Document.

2.5. Coordination of the project implementation activities with related national and international projects and programs.

2.6. Review, discussion and approval of Project Budgets and Annual Work Plans as well as Project Manager’s implementation reports.

2.7. Support to the Project Manager (PM) in seeking support and co-funding for project implementation.

2.8. Support to the dissemination of information on the project goals, activities, outcomes and lessons learned.

2.9. Support to the organizations of events by the institutions and organizations represented in the Project Board, related to project’s activities.

2.10. Regular review of the performance of the PM.

2.11. Assistance support to cooperation between the project and national and local authorities, private institutions and non-governmental organizations.

#### **3. PB MEMBERS AND STRUCTURE**

3.1. The members of the PB are identified in the Project Document, and are submitted to the National Project Director for information.

3.2. The members of the PB may be changed by decision of the PB in accordance with its regular procedures, as described in Section 5 below.

3.3. All PB members and observers are entitled to receive full information on the project, and to take part in the PB discussions. They are also entitled to ask for experts’ advice on particular project activities.

3.4. The National Project Director acts as PB chairperson.

3.5. The PM participates as an observer at PB meetings and acts as its secretary. In case of absence of the PM, his functions can be performed by one member of the PB designed by those present at the meeting.

3.6. PB members can delegate their attendance to PB meetings to any other person, provided this is notified to the PM in writing and at least 1 week prior to the session.

#### **4. ORGANIZATION OF PB ACTIVITIES**

4.1. PB activities are coordinated by its Chairperson, or another PB member appointed by the Chairperson.

4.2. PB sessions are held at least every six months. Additional PB sessions can be conveyed by the Chairperson or at the written request of one of the PB members.

4.3. The PB meeting agenda and its related documents must be distributed at least 1 week in advance.

4.4. PB decisions are taken by consensus.

4.5. The PB secretary (the PM) is responsible for drafting of agenda, organizing the session, sending information to PB members and observers, preparation and distribution of the documents for discussion, and preparation of draft minutes.

4.6. Minutes should be prepared after every PB session, signed by PB secretary and pre-approved by the PB Chairperson. A copy of the pre-approved minutes of the meeting should be sent to PB members within 2 weeks after the meeting. Minutes should be approved by the PB at its subsequent meeting.

4.7. The PB Chairperson is entitled to instruct the PB secretary to organize an extraordinary virtual PB session on urgent issues that need immediate approval. The PB secretary will send the necessary documents for examination and discussion to all PB members and observers. In this case, PB members should and observers could send their opinion and position on the issues submitted to approval through a letter, fax or e-mail message to the PB secretary. The absence of such reply is considered as consent with the proposals. Within one week, the PB secretary should summarize the replies received and submit the final decision to the PB Chairperson for final approval.

4.8. PB members are not entitled to receive extra remuneration or material benefits from any activities financed under the project (excepting DSA and transportation when representing the project outside Montevideo, as appropriate).

#### **5. TERMINATION OF PB MEMBERSHIP**

5.1. A question on termination of membership of any PB member should be raised by the PB Chairperson to the plenary in the following cases:

- a. If the member could no longer perform his/her duties, as set forth in the present terms of reference;
- b. If the member has been absent in more than two consecutive PB sessions;
- c. If the member has concluded his/ her relationship with the organization he/she represented at the PB.

5.2 For cases "a" and "b" above the PB will decide by consensus whether to terminate the membership of the member in question and if so decided, the PB will request to the highest authority of the organization of the terminated member to appoint a new member representing the organization. For case "c" above the member in question will be considered terminated from the PB at the time of the conclusion of his/her relationship with the organization he/she represented at the PB; the PB will request the highest authority of the organization of the terminated member to appoint a new member representing the organization.

### **PROJECT MANAGER**

#### **Duties and Responsibilities:**

The incumbent will be responsible for implementation of the project, including mobilization of all project inputs, supervision of project staff, consultants and oversight of sub-contractors.

The PM will be the leader of the Project Team (PT) and shall liaise with the national and local government, UNDP, and all stakeholders involved in the project.

The PM will perform his/her duties under the authority of the PB and will report to the PB in all relevant issues in a transparent and due diligent approach.

The PM duties and responsibilities specifically include:

- (a) Overall project management.
- (b) Working closely with all project stakeholders and ensure that the project delivers as planned in the Project Document and Work Plan.
- (c) To ensure technical coordination of the project with other relevant international and national projects financed by GEF/UNDP and other institutions.
- (d) To make uses of all project resources in accordance with UNDP procedures and GEF principles.
- (e) To finalize the Terms of Reference for the consultants and subcontractors and to undertake the necessary procedures for recruitment, procurement and contracting.
- (f) To supervise and coordinate the activities of all the project staff, consultants and sub-contractors.
- (g) To ensure proper management of funds, consistent with UNDP and GEF requirements, as well as budget planning and control.
- (h) To prepare and ensure timely submission of monthly reports, quarterly consolidated financial reports, quarterly consolidated progress reports, annual and terminal reports, and other reports as may be required by UNDP and GEF.
- (i) To submit progress reports and key-issues report to all PB meetings.
- (j) To prepare draft annual work plans.
- (k) To provide regular input to the UNDP corporate system ATLAS on project progress, and financial status.
- (l) To make the necessary arrangements for audit of all project accounts as required by UNDP.
- (m) To undertake any activities that may be assigned by UNDP and the BP.

Qualifications and Experience:

The incumbent should have a Professional degree in Engineering, Economics, Social or Environmental sciences or other discipline related to the technical and environmental dimensions of climate change, and professional experience of at least five (5) years in the area of climate change interinstitutional actions or policies. S/he should have extensive experience and technical ability to manage a medium-size project and a good technical knowledge in the fields related to climate change mitigation and adaptation actions and their assessment, and on greenhouse gases emission sources and methodologies for sectoral or national emission inventories. S/he must have effective interpersonal and negotiation skills proven through successful interactions with all levels of project stakeholder groups, including senior government officials, financial sectors, private entrepreneurs, technical groups and communities. S/he should have ability to effectively coordinate a complex, multi-stakeholder project and to lead, manage and motivate teams to achieve results. Good capacities for strategic thinking, planning and management and excellent communication skills both in Spanish and in English are essential. Knowledge of UNDP project implementation procedures, including procurement, disbursements, and reporting and monitoring will be an added advantage. Experience in the implementation of gender action plans within projects and on monitoring, reporting and verifying systems will be an advantage.

## **ADMINISTRATIVE ASSISTANT**

### Duties and Responsibilities:

The consultant will be responsible to provide general administrative and financial services to the project, such as management of purchase processes and orders, and manage project related documentation files, among others. S/he will be responsible to provide information to UNDP CO and to the web-based sites from the project, reporting and solving administrative issues. Besides, S/he will be responsible to:

- a) Write letters, messages and reports, schedule meetings and interviews, photocopy, bind and file documents and send postal mail, as needed.
- b) Organize and seek for the most adequate itineraries for the trips related to the project.
- c) Give administrative and logistical support for the preparation and fulfillment of workshops, capacity building training instances, National Transparency Task Force sessions and other meetings to be organized in the framework of the project.
- d) Work plan and budget planning administrative support.
- e) Arrange maintenance services for office equipment assigned to the project and keep an inventory and register of supplies and their usage
- f) Give administrative and financial support for other issues related to the project execution, as requested by the Project Manager/ Project Management Unit.

### Qualifications and Experience:

The consultant must have completed secondary education and have studies in administration and secretarial work at a recognized educational institution. S/he must have at least 3 years of experience working on internationally funded or development projects. Operation of MS Office (Word, Excel and PowerPoint) and other common software is a requirement. Computing diploma is desirable but not essential. Basic knowledge of purchases, handling of cash for expenses, logistical support and filing systems are required. Knowledge of the project implementation procedures, including purchases and expenses' monitoring and reporting are desirable. Fluency in Spanish and English, both spoken and written, is a requirement. A bachelor's degree will be valued. Experience in state agencies or international organizations will be valued. Knowledge of UNDP administrative processes will also be assessed.

## **MRV AND INGEI CONSULTANT (FULL TIME)**

### Duties and Responsibilities:

The consultant will have the following tasks and responsibilities:

- a) Identify methodologies for the evaluation of climate change mitigation measures included in the first NDC of Uruguay, that contribute to a domestic system of Monitoring, Reporting and Verification (MRV), among other instruments that contribute to enhance transparency in the context of Article 13 of the Paris Agreement.
- b) Collaborate in the selection of experts or organizations with experience in the development and application of methodologies for the evaluation of mitigation measures (at the national, regional or international level) and management of their services hiring for the application of said methodologies within the domestic MRV framework.
- c) Carry out activities related to the application of said methodologies (data collection, measurement of indicators, development of calculations, identification of needs for new information) to evaluate a set of selected mitigation measures, within the measures included in the first NDC from the country.
- d) Participate in inter-institutional coordination ambits necessary for the evaluation of sectoral mitigation measures, particularly in the National Transparency Task Force meetings, and follow up on the tasks agreed upon those ambits in relation to the domestic MRV system.

- e) Collaborate in the identification of capacity gaps and capacity building needs to enhance transparency, and collaborate in the design and promotion of the capacity building program for MVOTMA and other relevant institutions.
- f) Collaborate in the design, uploading and updating of the Knowledge Sharing Information System related to transparency, and in the dissemination of public access information.
- g) Develop products to communicate mitigation actions and their evaluation aimed at different target groups.
- h) Develop a protocol for the development of the necessary inputs for the updating of the subsequent NDC in the country.
- i) Participate in the process of operationalization and operational maintenance of the National GHG Inventory System, with specific responsibility for the components of institutional arrangements, data methods and documentation, and quality assurance and control.
- j) Support in the preparation of the National Greenhouse Gases Inventories, including the following activities: collection of activity data; processing of the information for its adaptation to the requirements of the IPCC international methodology for inventories elaboration; application of the methodology to obtain results; preparation of the respective reports to facilitate the interpretation of the results.
- k) Collaborate in the identification and realization of activities that contribute to improve the quality of the NGHGI, such as the development of specific emission factors and application of higher tier methodologies for key categories.
- l) Participate in regional-level trainings and peer exchanges to improve the quality of the NGHGI, and to learn about methodologies to improve the domestic MRV system and methodologies and tools for monitoring the global and specific objectives of the NDC.

**Qualifications and Experience:**

The consultant should have a Professional degree in Engineering, Economics, Social or Environmental sciences or other discipline related to the technical and environmental dimensions of climate change, and a minimum of 5 years of professional experience. S/he must have proven professional experience in consulting projects in the area of climate change and knowledge and experience in the preparation of National Inventories of Greenhouse Gases. Experience in processes of identification and implementation of mitigation measures, in the process of elaboration of National Communications and Biennial Update Reports, or in processes related to climate transparency, will be valuable. S/he should have experience in coordination and exchange tasks at the technical level with institutional representatives, as well as with non-governmental and international organizations. S/he should have excellent communication skills (oral and written), multidisciplinary group work and knowledge of computer tools. Excellent communication skills both in Spanish and in English are essential.

**MRV AND INGEI CONSULTANT (PART TIME)**

**Duties and Responsibilities:**

The consultant will have the following tasks and responsibilities:

- a) Identify methodologies for the evaluation of climate change mitigation measures included in the first NDC of Uruguay, that contribute to a domestic system of Monitoring, Reporting and Verification (MRV), among other instruments that contribute to enhance transparency in the context of Article 13 of the Paris Agreement.
- b) Collaborate in the identification of capacity gaps and capacity building needs to enhance transparency, and collaborate in the design and promotion of the capacity building program for MVOTMA and other relevant institutions.
- c) Collaborate in the design, uploading and updating of the Knowledge Sharing Information System related to transparency, and in the dissemination of public access information.



- d) Participate in the process of operationalization and operational maintenance of the National GHG Inventory System, with specific responsibility for the components of file system and key categories.
- e) Support in the preparation of the National Greenhouse Gases Inventories, including the following activities: collection of activity data; processing of the information for its adaptation to the requirements of the IPCC international methodology for inventories elaboration; application of the methodology to obtain results; preparation of the respective reports to facilitate the interpretation of the results.
- f) Collaborate in the identification and realization of activities that contribute to improve the quality of the NGHGI, such as the development of specific emission factors and application of higher tier methodologies for key categories.
- g) Participate in regional-level trainings and peer exchanges to improve the quality of the NGHGI, and to learn about methodologies to improve the domestic MRV system.

#### Qualifications and Experience:

The consultant should have a Professional degree in Engineering, Economics, Social or Environmental sciences or other discipline related to the technical and environmental dimensions of climate change, and a minimum of 5 years of professional experience. S/he must have proven professional experience in consulting projects in the area of climate change and knowledge and experience in the preparation of National Inventories of Greenhouse Gases. Experience in processes of identification and implementation of mitigation measures, in the process of elaboration of National Communications and Biennial Update Reports, or in processes related to climate transparency, will be valuable. S/he should have experience in coordination and exchange tasks at the technical level with institutional representatives, as well as with non-governmental and international organizations. S/he should have excellent communication skills (oral and written), multidisciplinary group work and knowledge of computer tools. Excellent communication skills both in Spanish and in English are essential.

### **ADAPTATION CONSULTANT**

#### Duties and Responsibilities:

The consultant will have the following tasks and responsibilities:

- a) Identify methodologies for the evaluation of climate change adaptation measures included in the first NDC of Uruguay, that contribute to a domestic system of Monitoring and Evaluation of adaptation actions.
- b) Collaborate in the selection of experts or organizations with experience in the development and application of methodologies for the evaluation of adaptation measures (at the national, regional or international level) and management of their services hiring for the application of said methodologies in the country.
- c) Carry out activities related to the application of said methodologies (data collection, measurement of indicators, development of calculations, identification of needs for new information) to evaluate a set of selected adaptation measures, within the measures included in the first NDC from the country.
- d) Participate in inter-institutional coordination ambits necessary for the evaluation of sectoral mitigation measures, particularly in the National Transparency Task Force meetings, and follow up on the tasks agreed upon those ambits.
- e) Collaborate in the identification of capacity gaps and capacity building needs to improve adaptation measures assessments which contribute to enhance the subsequent Communications on Adaptation established in the Paris Agreement framework, and collaborate in the design and promotion of the capacity building program for MVOTMA and other relevant institutions.
- f) Collaborate in the design, uploading and updating of the Knowledge Sharing Information System related to transparency, and in the dissemination of public access information related to climate change adaptation.
- g) Develop products to communicate adaptation actions and their evaluation aimed at different target groups.

Qualifications and Experience:

The consultant should have a Professional degree in Engineering, Economics, Social or Environmental sciences or other discipline related to the technical and environmental dimensions of climate change, and a minimum of 5 years of professional experience. S/he must have proven professional experience in consulting projects in the area of climate change. S/he must have knowledge and experience in the identification and implementation of adaptation measures, in the processes of preparation of National or Sectoral Adaptation Plans for climate change adaptation or National Communications. S/he should have knowledge or experience on vulnerability assessments of ecosystems or communities, on monitoring and evaluation of climate change adaptation actions and in loss and damage analysis related to climate extreme events. S/he should have experience in coordination and exchange tasks at the technical level with institutional representatives, as well as with non-governmental and international organizations. S/he should have excellent communication skills (oral and written), multidisciplinary group work and knowledge of computer tools. Excellent communication skills both in Spanish and in English are essential.

## ANNEX F: UNDP SOCIAL AND ENVIRONMENTAL SCREENING REPORT (SESP)

### Project Information

<b>Project Information</b>	
1. Project Title	Building institutional and technical capacities to enhance transparency in the framework of the Paris Agreement
2. Project Number	6069
3. Location (Global/Region/Country)	Uruguay

### 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*

Since the project will build institutional and technical capacities to enhance transparency in the framework of the Paris Agreement, national capacities in understanding climate change and in implementing and assessing climate action will be strengthened. In particular, the project will develop methodologies to assess the adequacy and effectiveness of mitigation and adaptation measures and will develop outreach products in order to communicate them, enlarging public participation. These actions contribute to a human-rights protection and promotion since they enable more significant, informed and effective participation of stakeholders and beneficiaries, raising their opinion and perspectives. Besides, measures' assessments will monitor their socio-economic benefits associated with human rights, regarding for example livelihood enhancement by reducing households' damages and losses due to climate extreme events or enhancing agricultural production sustainability, contributing also to food security.

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

Considering gender issues in the transparency related activities makes the process of reporting more transparent in terms of whom is involved, whose views are represented, gender-differentiated risks, and the types of support men and women need to influence climate action. The project will increase the integration of gender considerations into national climate change mitigation and adaptation measures assessments, focusing on reducing possible gender inequalities and on women's empowerment. Capacity building efforts will be carried out to assess differential needs and opportunities to ensure women's equal engagement in climate action and also benefit from that. In particular, training activities on gender mainstreaming, gender analysis and tools for integrating gender and climate change, will contribute to strengthen the capacities of MVOTMA and other relevant institutions to lead, plan, coordinate, implement, monitor and evaluate climate change related policies, with a gender-responsive approach.

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

Uruguay is a developing country within an economy that needs to grow in a sustainable way, in order to bring opportunities towards a more equitable society development, giving special attention to the most vulnerable. In that sense, the country is focusing on low intensity emissions initiatives, but not forgetting the importance to build and enhance resiliency at the adverse effects of climate change and variability, which are aligned to SDG 13. In that framework, the project will enhance the efficiency of climate change actions and the synergies with other related national actions, policies and measures, walking along a path to reach an integral, resilient and low-carbon development. In particular, the project will provide tools and capacity building strengthening to measure and assess the effects of the climate actions developed, both mitigation and adaptation actions, which will contribute also to assess their contribution to environmental sustainability.

**Part B. Identifying and Managing Social and Environmental Risks**

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>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)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
No Risks Identified				
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	Select one (see <a href="#">SESP</a> for guidance)		<b>Comments</b>	
	Low Risk	<input checked="" type="checkbox"/>	As per the annex below, this project does not entail any risk for human rights, women empowerment or environmental sustainability. No risk has been identified.	
	Moderate Risk	<input type="checkbox"/>		
High Risk	<input type="checkbox"/>			

<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		
Check all that apply		Comments
<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>	
<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>	
<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

### Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
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

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</b>
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? <sup>17</sup>	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.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women’s Empowerment</b>		
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
4.	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 communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

<sup>17</sup> 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>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
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
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>18</sup> 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
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No

<sup>18</sup> In regards to CO<sub>2</sub>, '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.]

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
<b>Standard 4: Cultural Heritage</b>		
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 commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
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? <sup>19</sup>	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
<b>Standard 6: Indigenous Peoples</b>		
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

<sup>19</sup> 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.



6.3	<p>Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</p> <p><i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i></p>	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
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	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
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
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
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	<p>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?</p> <p><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></p>	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 G: UNDP PROJECT QUALITY ASSURANCE REPORT

# PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

### OVERALL PROJECT

EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and	All criteria are rated Satisfactory or higher, and at	At least six criteria are rated Satisfactory or higher, and only one	At least three criteria are rated Satisfactory or higher, and only four	One or more criteria are rated Inadequate, or five or more criteria

all criteria are rated High or Exemplary.	least four criteria are rated High or Exemplary.	may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	criteria may be rated Needs Improvement.	are rated Needs Improvement.
<b>DECISION</b>				
<ul style="list-style-type: none"> <li>• <b>APPROVE</b> – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.</li> <li>• <b>APPROVE WITH QUALIFICATIONS</b> – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.</li> <li>• <b>DISAPPROVE</b> – the project has significant issues that should prevent the project from being approved as drafted.</li> </ul>				
<b>RATING CRITERIA</b>				
<b>STRATEGIC</b>				
<b>1. Does the project’s Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project’s strategy is the best approach at this point in time.</li> <li>• <b>2:</b> The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.</li> <li>• <b>1:</b> The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD’s theory of change.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>			<u>3</u>	2
			1	
			<u>3</u>	<b>Evidence</b> Project Document Section III
<b>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project responds to one of the three areas of development work<sup>20</sup> as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas<sup>21</sup>; an issues-based analysis has been incorporated into the project design; and the project’s RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> The project responds to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan. The project’s RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i></li> <li>• <b>1:</b> While the project may respond to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.</li> </ul>			<u>3</u>	2
			1	
			<u>3</u>	<b>Evidence</b> Project Document Sections II, III and VI
<b>RELEVANT</b>				
			3	<u>2</u>
			1	

<sup>20</sup> 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

<sup>21</sup> sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

<p><b>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (<i>all must be true to select this option</i>)</li> <li>• <b>2:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (<i>both must be true to select this option</i>)</li> <li>• <b>1:</b> The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.</li> </ul> <p>*Note: Management Action must be taken for a score of 1, or select not applicable.</p>	<p><u>2</u></p> <p><b>Evidence</b> Project Document Section IV</p>	
<p><b>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project’s theory of change and justify the approach used by the project over alternatives.</li> <li>• <b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project’s theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.</li> <li>• <b>1:</b> There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p><u>3</u></p> <p>1</p>	<p>2</p> <p><b>Evidence</b> Project Document Sections II and III</p>
<p><b>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (<i>all must be true to select this option</i>)</li> <li>• <b>2:</b> A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (<i>all must be true to select this option</i>)</li> <li>• <b>1:</b> The project design may or may not mention information and/or data on the differential impact of the project’s development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p>3</p> <p>1</p>	<p><u>2</u></p> <p><b>Evidence</b> Project Document Sections II, IV and VI</p>
<p><b>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project’s intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (<i>all must be true to select this option</i>)</li> </ul>	<p>3</p> <p>1</p>	<p><u>2</u></p> <p><b>Evidence</b></p>

<ul style="list-style-type: none"> <li>• <b>2:</b> Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.</li> <li>• <b>1:</b> No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	Project Document Sections IV and VIII	
<b>SOCIAL &amp; ENVIRONMENTAL STANDARDS</b>		
<p><b>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (<i>all must be true to select this option</i>)</li> <li>• <b>2:</b> Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.</li> <li>• <b>1:</b> No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	3   <u>2</u> 1	<u>2</u> <b>Evidence</b> Project Document Annex F (SESP)
<p><b>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (<i>all must be true to select this option</i>).</li> <li>• <b>2:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.</li> <li>• <b>1:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	<u>3</u>   2 1	<u>3</u> <b>Evidence</b> Project Document Section III and Annex F (SESP)
<p><b>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	<u>Yes</u>   No	SESP Not Required
<b>MANAGEMENT &amp; MONITORING</b>		
<p><b>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</b></p>	3   <u>2</u> 1	

<ul style="list-style-type: none"> <li>• <b>3:</b> The project’s selection of outputs and activities are at an appropriate level and relate in a clear way to the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> The project’s selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. <i>(all must be true to select this option)</i></li> <li>• <b>1:</b> The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<u>2</u>  <b>Evidence</b> Project Document Section VI	
<b>11. Is there a comprehensive and costed M&amp;E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</b>	<u>Yes</u> <b>(3)</b>	No (1)
<b>12. Is the project’s governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project’s governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true to select this option)</i>.</li> <li>• <b>2:</b> The project’s governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i></li> <li>• <b>1:</b> The project’s governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3  <u>2</u>	1
<b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i></li> <li>• <b>2:</b> Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.</li> <li>• <b>1:</b> Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.</li> </ul> <p>*Note: Management Action must be taken for a score of 1</p>	<u>3</u>  2	1
<b>EFFICIENT</b>		
<b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through</b>	<u>Yes</u> <b>(3)</b>	No (1)

synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.		
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)	Yes <b>(3)</b>	No (1)
16. Is the budget justified and supported with valid estimates?  <ul style="list-style-type: none"> <li><b>3:</b> The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.</li> <li><b>2:</b> The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.</li> <li><b>1:</b> The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>	3	<b>2</b>  1  <b>2</b>  <b>Evidence</b> Project Document Sections IX and X
17. Is the Country Office fully recovering the costs involved with project implementation?  <ul style="list-style-type: none"> <li><b>3:</b> The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)</li> <li><b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li><b>1:</b> The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul> <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>	<b>3</b>	2  1  <b>3</b>  <b>Evidence</b> Project Document Section VIII
<b>EFFECTIVE</b>		
18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):  <ul style="list-style-type: none"> <li><b>3:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (<i>both must be true to select this option</i>)</li> <li><b>2:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.</li> <li><b>1:</b> The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<b>3</b>	2  1  <b>3</b>  <b>Evidence</b> Project Document Annex I (Capacity & HACT Assessment MVOTMA)
	3	<b>2</b>  1

<p><b>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</li> <li>• <u>2</u>: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</li> <li>• <u>1</u>: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.</li> </ul>	<p style="text-align: center;"><u>2</u></p> <p><b>Evidence</b> Project Document Section IV</p>	
<p><b>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</b></p>	<p><b>Yes</b> (3)</p>	<p><b>No</b> (1)</p>
<p><b>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b></p> <p>*Note: Management Action or strong management justification must be given for a score of “no”</p>	<p><b>Yes</b> (3)</p>	<p><b>No</b> (1)</p> <p><b>Evidence</b> Project Document Section IV</p>
<p><b>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: The project has a realistic work plan &amp; budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources.</li> <li>• <u>2</u>: The project has a work plan &amp; budget covering the duration of the project at the output level.</li> <li>• <u>1</u>: The project does not yet have a work plan &amp; budget covering the duration of the project.</li> </ul>	<p>3</p>	<p><u>2</u></p> <p>1</p> <p><u>2</u></p> <p><b>Evidence</b> Project Document Section X</p>
<b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b>		
<p><b>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <u>2</u>: The project has been developed by UNDP in close consultation with national partners.</li> <li>• <u>1</u>: The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>	<p><u>3</u></p> <p>1</p> <p><u>3</u></p> <p><b>Evidence</b> Project Document Section VIII</p>	<p>2</p>
	<p>3</p>	<p><u>2.5</u></p>

<p><b>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.</li> <li>• <b>2.5:</b> A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.</li> <li>• <b>2:</b> A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.</li> <li>• <b>1.5:</b> There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.</li> <li>• <b>1:</b> Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.</li> </ul>	2	1.5
	1	
	<p><b>2.5</b></p> <p><b>Evidence</b></p> <p>Project Document Annex I (Capacity &amp; HACT Assessment MVOTMA)</p>	
<p><b>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?</b></p>	Yes (3)	No (1)
<p><b>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</b></p>	Yes (3)	No (1)



## ANNEX H: UNDP RISK LOG

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Decrease of political support for the development of outputs that depend on other institutions.	Organizational Political	Low level of risk  Enter probability on a scale from 1 (low) to 5 (high) P = 1  Enter impact on a scale from 1 (low) to 5 (high) I = 3	Promote sustained political support during the project. The action lines under Paragraph 4 of the PNCC gives confidence about political support required, since it refers to the compliance with transparency-related initiatives.	Project Manager (MVOTMA)	Reducing
The institutions involved in some sectors do not work in coordination with the MVOTMA.	Organizational Strategic	Moderate level of risk  Enter probability on a scale from 1 (low) to 5 (high) P = 2  Enter impact on a scale from 1 (low) to 5 (high) I = 3	Develop mainstreaming and engagement, interinstitutional and intersectoral spaces. The establishment of a National Transparency Task Force at the beginning of this project will help to mitigate this risk. This is also strengthened by Paragraph 2 of the PNCC, that states its implementation will support the participation of the various institutions involved, including public, private, academic institutions, organizations and the civil society, that promote, formulate, implement, monitor and assess the PNCC courses of action, as well as the plans, programs and projects in place for mitigation of and adaptation to climate change and variability.	Project Manager (MVOTMA)	No change
Lack of current capacities and willingness to carry out the project activities.	Organizational Operational	Low level of risk  Enter probability on a scale from 1 (low) to 5 (high) P = 2  Enter impact on a scale from 1 (low) to 5 (high) I = 4	Capacity Building. During the implementation of this project, capacity building needs are to be assessed. Taking into account its results, a Capacity Building Program for MVOTMA and other relevant institutions will be implemented, for the development of climate change related initiatives to enhance transparency.	Project Manager (MVOTMA)	No change

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## **ANNEX I: RESULTS OF THE CAPACITY ASSESSMENT OF THE PROJECT IMPLEMENTING PARTNER AND HACT MICRO ASSESSMENT**

Attached separately

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## **ANNEX J: ADDITIONAL AGREEMENTS**

### *Letter of agreement between UNDP and the government of Uruguay*

## **LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT OF URUGUAY FOR THE PROVISION OF SUPPORT SERVICES**

Montevideo, February 2018.

1. Reference is made to consultations between officials of the Government of Uruguay (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 MVOTMA 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;
  - (c) 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 Agreement between the Government of Uruguay and UNDP signed on December 12, 1985 and ratified by National Law No. 15.957 of June 2, 1988 (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,

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*Mireia Villar*  
*Resident Representative of UNDP*

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*Eneida de León*  
*Minister of Housing, Land Planning and Environment*

## DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between MVOTMA, the institution designated by the Government of Uruguay and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project ***“Building institutional and technical capacities to enhance transparency in the framework of the Paris Agreement”*** (PIMS #6069, Atlas Award ID: **000103349**, Project ID: **000105382**).

2. In accordance with the provisions of the letter of agreement signed on December 12, 1985 and the project document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

Support services (insert description)	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. Individual consultants contracts	During implementation project	Universal Price List	Support services
2. Companies contracts	During implementation project	Universal Price List	Support services
3. Financial assistance	During implementation project	Universal Price List	Support services
4. Procurement of goods and services	During implementation project	Universal Price List	Support services
		Total: up to <b>USD 38.000</b> from GEF grant	

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

The project will be implemented following UNDP’s national implementation modality, according to the Basic Assistance Agreement between UNDP and the Government of Uruguay, and the Country Programme.

The Implementing Partner for this project is the Ministry of Housing, Land Planning and Environment (MVOTMA). 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 Board (also called Project Steering Committee) 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. The Project Board will be integrated by MVOTMA, AUCI and UNDP Country Office.

The project will be operationalized in the Climate Change Division from the MVOTMA, where the other climate change related projects referred above are hosted, and common services (security, lightening, restrooms, cleaning) will be shared with the ongoing initiatives. Project teams showed in the chart above will work closely with the staff in charge of developing the activities under the enabling activities projects previously referred (Fifth NC and Second BUR) and with the workgroup in charge of preparing the first NDC and the subsequent ones. These experts will provide feedback on a continuous basis to the project teams, to develop outputs as much as useful and adequate as possible based on need and gaps identified to better comply with the new transparency framework under the Paris Agreement.

The Project Manager will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager function will end when the final project terminal evaluation report and corresponding management response, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project).

The project assurance roll will be provided by the UNDP Country Office in Uruguay. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed.

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## **ANNEX K: LETTERS OF CO-FINANCING**

Attached separately