



 **UNOPS**

Project Agreement

BETWEEN

THE UNITED NATIONS OFFICE FOR PROJECT SERVICES

AND

THE GOVERNMENT OF BELGIUM

CONCERNING

FUND MANAGEMENT SUPPORT TO THE "NDC PARTNERSHIP"

NDC 
PARTNERSHIP



WHEREAS the United Nations Office for Project Services (hereinafter referred to as "UNOPS") and the Government of Belgium (hereinafter referred to as "Funding Source" or "Donor", collectively with UNOPS as "Parties") herewith conclude a Project Agreement (hereinafter referred to as "Agreement") in support to The NDC Partnership (hereinafter referred to as "Project");

WHEREAS The Government of Belgium, acting through its directorate-general for development cooperation, in accordance with its objectives to address the issue of climate change wishes to contribute to the NDC Partnership, a voluntary contribution to be disbursed in accordance with the terms and conditions set out in this Agreement.

WHEREAS, UNOPS is a subsidiary organ established by UN General Assembly decision 48/501 of 19 September 1994 as a central resource for the UN system in procurement, contracts management and other capacity development activities, as well as its value in providing efficient, cost-effective services to partners in its specialized areas;

WHEREAS, UNOPS is committed to providing advisory, implementation and transactional support services in sustainable project management, infrastructure and procurement;

WHEREAS, the NDC Partnership is a coalition of more than 180 countries, institutions and civil society organisations, who leverage their resources and expertise to support countries to implement their NDCs and combat climate change in the spirit of the Paris Agreement and the 2030 Agenda for Sustainable Development, and avail themselves of the unprecedented opportunity to align the climate and sustainable development agendas to spur sustainable economic growth and improve the livelihoods of all people;

WHEREAS, UNOPS has agreed to receive the contribution and manage it in accordance with established obligations between UNOPS and other donors to the Project;

WHEREAS, UNOPS has agreed to manage the contribution as described in this Agreement.

Now Therefore, the Parties hereto mutually agree to the following terms and conditions:

1. The total contribution from the Government of Belgium shall be EUR 2 Mil (the "Contribution") as set out in this agreement in Annex 4. It is the intention of the Government of Belgium to continue to contribute yearly to the NDC Partnership Action Fund at least at the same level until 2024, subject to approval and within its financial means.
2. This Agreement shall commence upon countersignature and shall continue for a period of 4 years ending in 2024, unless terminated earlier in accordance with the terms of this Agreement.
3. The Fund Management Support to NDC Partnership, financed through the present Agreement, operates under the overall work program of the NDC Partnership and focuses specifically on enhancing country engagement to expand and accelerate implementation of NDCs at country level. Activities under the Fund Management Support agreement are implemented in close



coordination with those activities of the NDC Partnership implemented by WRI and UNFCCC (further details of which are set out in Annex 2).

4. The Contribution shall be used to finance the activities and the categories of expenditures set forth in the "Work program of the NDC Partnership" attached hereto as Appendix C, and shall be administered by UNOPS on behalf of the Government of Belgium in accordance with the terms of this Agreement.
5. The Agreement shall include the following Annexes and Appendices, which form an integral part hereof and which shall take precedence over one another in case of conflict in the following order:
 - **Annex 1:** Standard Provisions.
 - **Annex 2:** Cooperation Agreement between WRI, UNFCCC and UNOPS for Supporting the Work of the NDC Partnership including:
 - **Appendix A:** Roles and Responsibilities of WRI, UNFCCC, UNOPS, Steering Committee (SC), Co-Chairs And The Support Unit (SU)
 - **Appendix B:** Steering Committee and Co-Chair Terms of Reference; and
 - **Annex 3:** Work Program of the NDC Partnership (Summary)
 - **Appendix C:** Work Program of the NDC Partnership (Full)
 - **Annex 4:** Contribution Outline
 - **Appendix D:** Indicative Budget
 - **Appendix E:** NDC Partnership Proposal to the Government of Belgium
 - **Appendix F:** PAF Operating Manual

The total amounts paid by the Government of Belgium shall match the amounts as recorded in Annex 4. The Contribution will be paid in one instalment as soon as reasonably practicable following countersignature of this Project Agreement.

Before December 31, 2021 2.000.000 EUR

The Donor acknowledges that the Recipient Agency will not pre-finance Activities. If the Contribution, or any part of it, is not received in a timely manner, the Activities may be reduced or suspended by the Recipient Agency with immediate effect.



The Contribution will be paid into one of the following accounts:

Account Details	Bank Name	JP Morgan Chase
	Beneficiary Name	UNOPS
	Account	323846017
	Swift Code	CHASUS33
	Other	ABA# 021000021
Currency	US Dollars \$	
Bank Address	JP Morgan Chase, 277 Park Avenue, 23rd Fl., New York, NY 10172 USA	

Account Details	Bank Name	BBVA Banco Bilbao Vizcaya Argentaria S.A.
	Beneficiary Name	UNOPS
	Account	0201545592
	Swift Code	BBVAESMM
	Other	IBAN: ES6201823994020201545592 Clearing code: 0182 Branch code: 3994
Currency	EUR €	
Bank Address	BBVA, Calle Clara del Rey 26, Madrid, Spain	

When making such transfers the Government of Belgium will notify UNOPS, Support Services (for the attention Gurel Gurkan, Head of Support Services, UNOPS ECR, AUMCO) by email (GurelG@unops.org) of the following:

- a. the amount transferred;
- b. the value date of the transfer;
- c. that the transfer is from the Donor pursuant to this Agreement.



Any notice to the Government of Belgium shall be addressed to:

Federal Public Service Foreign Affairs, Foreign Trade and Development Cooperation
Directorate-General for Development Cooperation
MD8 Climate and Environment
Karmelietenstraat 15
1000 Brussel
e-mail: Annemarie.vanderavort@diplobel.fed.be

Any notice to UNOPS shall be addressed to:

Gurel Gurkan, Head of Support Services, UNOPS ECR AUMCO
Marmorvej 51, PO Box 2695, 2100, Copenhagen, Denmark
Telephone: +45 4533 7548
Email: GurelG@unops.org

In witness of these terms and conditions, the authorized representatives of the Parties execute this Agreement in duplicate in the English language.

AGREED AND ACCEPTED:

On behalf of the Donor:

(Signed)

Meryame Kitir
Minister of Development Cooperation
and Major Cities Policy

Date: **22 NOV. 2021**

On behalf of UNOPS:

(Signed)

Moin Karim
Regional Director, ECR

Date: 01-12-2021

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| Standard Provisions

APPLICABLE TO CONTRIBUTIONS TO UNOPS FUND MANAGEMENT SUPPORT TO THE NDC PARTNERSHIP

This Annex will be applicable to and form an integral part of all project agreements entered into between UNOPS and the Funding Sources that provide contributions to be administered by UNOPS for the Project (the “Donors” and each a “Donor”). As used herein, “Project Agreements” means the agreements between UNOPS and each of the Donors to which these Standard Provisions are annexed.

1. Use of Contributions

1.1 UNOPS may use amounts in the Budget as pooled funds, and for purposes authorized by the agreements between UNOPS and the donors of the NDC Partnership (in line with the priorities described in Annex 2 Cooperation agreement with UNFCCC, WRI and UNOPS), and the Steering Committee approved NDC Partnership Work Program, as well as Co-chair approved annual work plans and budgets. These include the following without limitation, and may be amended in writing and by agreement between UNOPS and the Donors:

- a. The payment of the salaries and benefits of personnel assigned to the Support Unit;
- b. The payment of costs required for the Support Unit functions and operations (including rent, travel expenses, consultancies, etc.);
- c. The payment of the relevant administrative, management and travel costs; and
- d. The provision of grant support as a funding modality under the Project Agreements.

2. Administration of the Contributions - Functions of UNOPS

2.1 The Contributions received by UNOPS under, or pursuant to, the Project Agreements, shall be administered by UNOPS (in order of precedence) in accordance with its legislative framework, including the UNOPS Financial Regulations and Rules (available upon request), as well as the governance framework of the NDC Partnership, described in the Annex 2 Cooperation Agreement with UNFCCC, WRI and UNOPS.

2.2 UNOPS shall have full fiduciary responsibility and accountability for the receipt, custody and disbursement of all contributions provided by the Donors under any Project Agreements entered into between UNOPS and any Donor for the NDC Partnership.

2.3 UNOPS shall have no obligation to implement the activities unless all necessary and sufficient funds for the implementation of those activities have been received by UNOPS in a timely manner. Donor

contributions will be allocated to a single Fund, as a pool of resources that can be used to cover staff and non-staff costs of any activity falling within the budget and work plan approved by the Steering Committee Co-Chairs, to support the implementation of the NDC Partnership's Work Program.

2.4 All contributions received by UNOPS shall be recorded in a separate ledger account established by UNOPS for The NDC Partnership in respect of the contributions deposited by each of the Donors with UNOPS under the Project Agreements and the disbursements thereof. The contributions will be accounted for as a single fund and will be kept separate and apart from the funds of UNOPS.

2.5 The value of the contributions, if made in a currency other than in USD, shall be determined by the actual amounts credited by the bank into the UNOPS bank account on the date of payment of each installment. Such amounts shall increase or decrease the funds available for disbursements to the NDC Partnership. All expenditures made for the benefit of the NDC Partnership in currencies other than USD shall be recorded using the United Nations operational rate of exchange in effect on the date of each transaction and/or payment. UNOPS shall not absorb or otherwise assume responsibility for any net exchange gains and net exchange losses in the value of the contributions received as well as related transactions.

2.6 The purpose of the funds and monies held by UNOPS (including any material amendment thereto), shall be as set out in the Work Program of the NDC Partnership, which shall be subject to approval by the Steering Committee Co-chairs and each Donor.

2.7 Donors may offer to make specific contributions for priority activities within the scope of the approved strategy and work program of the NDC Partnership and are subject to fund availability for the necessary coordination, administration and reporting requirements as agreed by the Steering Committee. The acceptance of these contributions is subject to prior endorsement by the Steering Committee.

3. Recovery of Administrative Fees and Interest

3.1 Under the Project Agreements, and as further elaborated in the NDC Partnership governance framework, described in Annex 2 entitled Cooperation Agreement with UNFCCC, WRI and UNOPS, as

well as approved annual budgets, UNOPS will deduct management fees to cover its indirect costs, and charge direct costs, in accordance with UNOPS legislative framework, including the UNOPS Financial Regulations and Rules.

3.2 UNOPS will invest funds received in accordance with UNOPS's investment policy and will credit and account for all interest and other earnings on deposits of funds.

3.3 Any interest accrued on the cash balances of the contributions received by UNOPS under the Project Agreements shall be credited to the NDC Partnership's budget and used in accordance with UNOPS' Financial Regulations and Rules, as well as its financial and administrative practices, for the benefit of the project, and in accordance with the NDC Partnership's governance framework and approved budgets.

3.4 UNOPS will not absorb gains or losses on currency exchanges, which will increase or decrease the funds available for the NDC Partnership's activities.

4. Standard of Care

4.1 UNOPS' responsibility shall be limited to those functions specifically set forth in the Project Agreements and shall not be subject to any other duties or responsibilities to the Donors, including, without limitation, any duties or obligations that might otherwise apply to a fiduciary or trustee under general principles of trust or fiduciary law.

5. Human Resources, Engagement of Consultants and Procurement of Goods and Services

5.1 The selection and engagement of consultants, and the procurement and financing of expenditures for goods, services and other items of expenditure, and the administration and enforcement of any provisions or any agreement entered into between UNOPS and consultants and/or third parties, shall be the responsibility of UNOPS. These shall be processed in accordance with the UNOPS legislative framework, as well as the NDC Partnership's governance framework and annual work plan and budgets.

5.2 Human Resources: UNOPS will undertake HR activities to facilitate the recruitment, contracting and administration of qualified personnel to facilitate the delivery of its funds management services, in alignment with the Work Program of the NDC Partnership and its approved work plans and budgets, and in accordance with the legislative framework. More explicitly, UNOPS will, as required:

- a. Advise on HR planning and organizational structure;
- b. Engage, select, administer, train, advise and support personnel;
- c. Prepare Job Descriptions, Terms of Reference and Vacancy Announcements for staff and non-staff positions;
- d. Post vacancy announcements in electronic and print media;
- e. Manage the selection process of suitable candidates;
- f. Administer the recruitment process and conduct reference checks;
- g. Manage and administer personnel contracts including payments of salaries/fees, and applicable benefits and entitlements;
- h. Organize learning & development activities;
- i. Guide on performance management;
- j. Administer separation cases;
- k. Guide on Absence Management and Leave Monitoring;
- l. Manage disciplinary cases; and
- m. Provide guidance on HR contract modalities, applicable UN regulations and rules, UNOPS's legislative framework, recruitment and selection procedures, performance management; learning and development; and related systems and tools.

UNOPS shall remain responsible and accountable for the selection and management of personnel in accordance with UNOPS policies, within the Steering Committee approved budget and organizational structure in support of the activities. Technical experts from the Steering Committee or donors may be invited to participate in the hiring process, to support the shortlisting and selection activities.

Personnel that are engaged and/or managed by UNOPS for the Fund Management Support to the NDC Partnership will be subject to the provisions of the respective contractual modality that governs their specific position. These will include:

- a. UNOPS staff contracts, i.e. the contract modality that will result in personnel holding UNOPS staff member status; or
- b. Individual contractor agreements, i.e. the contract modality used by UNOPS to engage individuals to provide services within specific project-based deliverables.

A Team Leader to be appointed by UNOPS shall be responsible for the assessment of performance of the Fund's personnel and the management of personnel in accordance with applicable UNOPS policies. The performance of the Team Leader will be managed by the UNOPS Europe & Central Asia Regional Director or his designate, who shall be responsible for liaising and coordinating with the SC

and other relevant stakeholders, including the NDC Partnership Global Director, regarding UNOPS' services and performance.

The UNOPS Executive Director (or Deputy Executive Director, depending on the level) will have the authority to create and abolish posts within the Support Unit and to determine the appropriate contract modality for such posts in accordance with the applicable UNOPS policies, Steering Committee's guidance, and the approved work plan and budget.

5.3 Procurement: Any procurement activities to be carried out by UNOPS will be conducted in accordance with the UNOPS legislative framework, and in line with the Work Program of the NDC Partnership and the subsequent approved work plans. Equipment and materials purchased by UNOPS with funds provided under to the NDC Partnership will be maintained as the property of UNOPS unless otherwise agreed, or until UNOPS transfers such property to a recipient/grantee as per the relevant grant agreements, inter-agency agreements, project cooperation agreements or other arrangements.

UNOPS will provide standard procurement and contracting services for the Support Unit in line with 'best value for money' practices, applicable sustainability elements, and in accordance with the UNOPS Procurement Manual. More explicitly, UNOPS will, as required:

- a. Coordinate the preparation of technical specifications or Terms of Reference;
- b. Undertake the solicitation and sourcing process including the advertisement of the tender in electronic and printed media;
- c. Evaluate tender documents;
- d. Pursue contract approval from the relevant UNOPS Contracts Committees;
- e. Issue contracts or agreements as appropriate and develop tailor-made contracts and agreements;
- f. Administer contracts/agreements including the monitoring of performance and remittance of due payments;
- g. Arrange cargo insurance.

5.4 Ownership of equipment, supplies and other tangible assets purchased from the Funds will vest in UNOPS until the termination of the project, at which point the items will be disposed of as per UNOPS' policy, and any amounts recovered will be returned to the donors of the Fund on a prorated basis.

6. Selection of Grantees

6.1 Grantee Selection through a Competitive Process is limited to the member institutions of the NDC Partnership: Unless an official request by a Donor to pre-select a grantee is submitted as described in 6.2, Grantees shall be selected through UNOPS competitive process, which may be limited to the members of the NDC Partnership, in line with the principles of fairness, transparency and integrity. The selection of the Grantee shall be in line with the pre-established selection criteria to be prepared with technical advice and inputs from the Support Unit, as well as the work program of the NDC Partnership, and subject to the final approval of the appropriate UNOPS authority. If a Grantee cannot be identified in a suitable and cost-effective manner based on limited competition involving members of the NDC Partnership only, UNOPS may proceed with open international competition to identify a suitable Grantee in a fair, transparent and accountable manner, in line with the principle of best value for money.

6.2 Grantee Selection through Pre-selection: At the request of a Donor on behalf of and based on delegations from other donors, UNOPS may award a Grant to a Grantee that has been pre-selected by the Donor in accordance with their own applicable rules, regulations and procedures. In this case, the name of the Grantee,

the activities to be implemented with the Grant and the estimated Grant value must be included in an official letter from the Donor and the delegation letters from the other Donors to UNOPS. In addition, the official pre-selection letter and the delegation letters shall include a statement that UNOPS will not be in position to take accountability for any issues and challenges regarding the Grantee's selection and associated performance.

6.3 UNOPS may, at its sole discretion and in accordance with its rules and regulations, apply procurement exceptions to the formal competitive grants process as contained within Financial Rule 118.05, which applies mutatis mutandis to grants. In such cases, the right to approve or reject a Grantee remains with UNOPS.

7. Grant Activities

7.1 In line with guidance by the Steering Committee, UNOPS, with coordination from the Team Leader and personnel to be deployed by UNOPS under this Project, will have the following responsibilities while implementing the NDC Partnership Grant activities:

- a. Screen and revise grant and project proposals, in accordance with established processes;

- b. Enter into and administer grant agreements with non-profit entities and local governments, or other entities (“Grantees”); inter-agency agreements and project cooperation agreements with a UN agency, the World Bank, or other development banks, intergovernmental organizations or national government entities; and any other relevant agreements with any recipient of funds of the NDC Partnership, in alignment with the NDC Partnership’s Work Program and its approved work plans, while ensuring that adequate provisions are in place to ensure that UNOPS retains its fiduciary responsibility for such projects and disbursements;
- c. Subject to the availability of funds, endorse the disbursement of funds to Grantees and other funds recipients for approved projects for the implementation of NDC Partnership activities in a timely manner and in line with the terms of the respective agreements and work plans;
- d. Monitor compliance with the agreements by the recipients of funds, and take all necessary actions provided for in the agreements in the event of non-compliance and promptly inform the Steering Committee (as required) of any event, which may have a material adverse impact to a particular project, or NDC Partnership as a whole. To this end, UNOPS will ensure that appropriate provisions are in place in order to be able to promptly suspend or cancel disbursements to any recipients of funds in the event of non-compliance or under the terms and conditions included in the relevant agreements as well as other measures to ensure the proper use of funds;
- e. Receive and review project reports, including financial reports and narrative reports from implementing entities and funds recipients; and
- f. Endorse the closing of project accounts upon completion and ensure reconciliation of bank transactions.

7.2 Any grant management and administration activities carried out by UNOPS will be in accordance with the applicable UNOPS legislative framework.

8. Accounting and Reporting

8.1 UNOPS shall maintain records and ledger accounts in respect of the contributions deposited by the Donors with UNOPS under this Agreement and the disbursements thereof. These will be maintained, recorded and reported on as a joint account for the pooled fund mechanism to be created in support of the Fund Management Support To The NDC Partnership.

8.2 UNOPS will provide the Donors with:

- a. Joint bi-annual financial status reports;
- b. A joint annual certified financial statement as of 30 June of the subsequent year; and
- c. A joint final certified financial statement no later than 30 June following the calendar year during which activities have been finalized.

8.3 All financial accounts and statements shall be expressed in United States dollars, in accordance with UNOPS standard requirements and formats. Narrative reports shall include a general description of the progress of the Fund Management Support to the NDC Partnership and specific notes on the results, impact and sustainability of results, in accordance with the governance documentation. In addition, the project team to be deployed by UNOPS will prepare and present status reports on progress and results for the Steering Committee meetings.

8.4 The Team Leader will submit to the Donors for review, in accordance with its established processes, a biannual results-based narrative progress report (as of 30 June and 31 December each year), covering all Support Unit activities of the preceding 6 months.

8.5 All reports will be prepared and submitted in accordance with UNOPS standard requirements and formats.

9. Financial Management

9.1 UNOPS will assume responsibility for the financial management of the NDC Partnership accounts in accordance with its own Financial Rules and Regulations and with the NDC Partnership's Work Program and its approved work plans. More explicitly, UNOPS will:

- a. Receive Donor contributions following the signature of respective Project Agreements;
- b. Receive and register the funds in a central database as a pooled/joint fund;
- c. Maintain a financial management system to reflect transactions related to UNOPS-managed staff and non-staff costs and activities;
- d. Maintain separate ledger accounts to reflect all advances from proceeds of contributions and of all expenditures paid from these contributions;
- e. Ensure, through the Team Leader, the preparation of annual budgets for presentation to the Steering Committee Co-Chairs;
- f. Disburse financial resources allocated to approved projects/programmes/activities through appropriate legal agreements and actions such as grants and project support agreements;

- g. Monitor expenditures to ensure that funding is spent for the intended purpose; and
- h. Carry out auditing and monitoring and evaluation activities as requested and/or required.

10. Auditing

10.1 It is understood and agreed that all contributions to UNOPS, including the contributions made by the Donors under the Project Agreements are subject exclusively to auditing procedures laid down in the UNOPS Financial Regulations and Rules, and further regulated by the Executive Board of UNDP/UNFPA/UNOPS. Disclosure of audit reports is regulated by the audit disclosure policies applicable to UNOPS.

10.2 UNOPS will be responsible for standard audit exercises for the NDC Partnership in line with its applicable policies, requirements and practices. More explicitly, UNOPS will:

- a. Undertake internal audits as per corporate policy to ensure compliance and best practices in line with UNOPS standards; if stipulated in the Contribution Agreement with Donors or as requested on case by case basis by the Steering Committee, it is possible to contract appropriate audit services;
- b. Receive and comment on audit reports; and
- c. Follow up on the implementation of audit observations.

10.3 If the Steering Committee wishes to request, on an exceptional basis, a project-specific audit by UNOPS, the Steering Committee shall first consult with UNOPS as to whether such an audit is necessary. UNOPS and the Steering Committee shall agree on the most appropriate scope and terms of reference of such an audit. Following agreement of the scope and terms of reference, UNOPS shall arrange for such an audit. The costs of any such audit, including UNOPS' costs with respect to organization of such an audit, shall be paid with funds allocated by the Steering Committee.

11. Amendments

11.1 The Project Agreements may only be amended by written agreement of the Parties. Any amendments must be agreed upon by UNOPS and all Donors, except for the Work Program and Indicative Budget, which may be updated and revised on a rolling basis through the decisions of the Steering Committee.

12. Termination and Refund

12.1 The Project Agreements may be terminated by either UNOPS or a Donor, or any Donor or UNOPS may cancel all or part of the Donor's pro rata share of any remaining balance of the Contributions, upon three (3) months' prior written notice. Upon such termination, unless the Parties hereto agree on another course of action: (a) any agreement entered into between UNOPS, and any consultants and/or other third parties, including any Grant Agreement or alternative arrangements entered into with Implementing Partners, shall not be affected by the termination and UNOPS shall be entitled to continue to disburse the Donor's pro rata Contribution in respect of such agreements to the extent necessary to fulfill UNOPS' obligations thereunder as if that Project Agreement had not been so terminated; and (b) UNOPS shall return to the Donor the balance of the Contribution which has not been spent or committed at the time of termination on a pro rata basis.

12.2 In addition, the Donors agree to pay costs attributable to the reduction, suspension or termination that UNOPS may incur or may have incurred in carrying out the activities under the Project Agreements up to the effective date of the termination, including:

- a. Support costs required to deliver NDC Partnership's mandate and Work Program;
- b. Reasonable additional costs of winding up any internal personnel costs and administrative arrangements made for the UNOPS-managed personnel and the implementation of the NDC Partnership, including the relevant work plan for the year.

12.3 Within six months following such termination, UNOPS shall furnish to the Donors a final unaudited financial statement with respect to the contribution. Upon the return of unspent funds and the provision of a final financial statement, UNOPS' obligations under the Project Agreements shall be considered discharged.

12.4 All provisions of this Agreement, which are by their nature intended to survive the expiration or termination of this Agreement, shall survive such expiration and termination.

12.5 Upon termination of this Agreement and following the submission of the final report, any unspent balance from the Contribution will be returned to the Government of Belgium in EUR within 60 days. The Government of Belgium will provide the bank details required for this upon request.

13. Disclosure of Information

13.1 All external and internal information with respect to the Project Agreements are subject exclusively to the disclosure and transparency requirements of UNOPS, in accordance with its legislative framework.

13.2 UNOPS shall keep the Donors informed of any changes, deviations or occurrences that may substantially influence the implementation of the Project Agreements.

14. Intellectual Property

14.1 UNOPS shall be entitled to all intellectual property and other proprietary rights including, but not limited to, patents, copyrights, and trademarks, with regard to products, processes, inventions, ideas, know-how, or documents or other materials developed under the Project Agreements, and which bear a direct relation to or are produced or prepared or collected in consequence of, or during the course of, the implementation of the Project Agreements.

14.2 The Donors will enjoy a perpetual, royalty-free, non-exclusive and non-transferable license on UNOPS intellectual property or other proprietary rights developed under the Project Agreements, and which bear a direct relation to or are produced or prepared or collected in consequence of, or during the course of, the implementation of the Project Agreements.

14.3 Grantees and Implementing Partners will enjoy a perpetual, royalty-free, non-exclusive and non-transferable license on the intellectual property or other proprietary rights developed by them under the Project Agreements, and which bear a direct relation to or are produced or prepared or collected in consequence of, or during the course of, the implementation of the Project Agreements.

14.4 The Parties shall claim no rights on any pre-existing or materials unrelated to NDC Partnership developed by the other Party or their Grantees, Implementing Partners or contractors.

14.5 As an exception for Project Cooperation Agreements (“PCA”) with Governments and agreements with Regional Intergovernmental Organisations for capacity development activities at the country or regional levels, the following shall apply:

14.6 The Government shall be entitled to all intellectual property and other proprietary rights including, but not limited to, patents, copyrights, and trademarks, with regard to products, processes, inventions, ideas, know-how, or documents or other materials developed under the PCA, and which bear a direct relation to or are produced or prepared or collected in consequence of, or

during the course of, the implementation of the PCA (“Arising Intellectual Property”) and as defined in article 14.1.

14.7 UNOPS and the Donors will enjoy a perpetual, royalty-free, non-exclusive and non-transferable license on intellectual property or other proprietary rights developed under the PCA, and which bear a direct relation to or are produced or prepared or collected in consequence of, or during the course of, the implementation of the PCA. Additionally, the Government agrees to make any pre-existing Intellectual Property (“Background Intellectual Property”) on which the Arising Intellectual Property may be based available to UNOPS and the Donors by way of a perpetual, worldwide, non-exclusive, irrevocable, fully-paid, and royalty-free license.

For the purposes of this Agreement and with reference to Article 14.4, Background Intellectual Property refers to all Intellectual Property and the legal right therein, developed before or independent of this Agreement and shall be owned by the party which has generated such Background Intellectual Property.

For UN Inter-Agency Agreement, UNOPS should always be the default owner of the Intellectual Property Rights and provide a license to the UN system organization partner in accordance with Article 14, except for situations where it is in the best interest of the organisations to share such rights. In these cases, the following should be included in the UN Inter-Agency Agreement:

All Intellectual Property Rights related to or developed in furtherance of the Activities will belong jointly to the Parties. Any further transfer of rights or licensing of the Intellectual Property, as well as any commercial use, shall only be allowed if expressly agreed by both Parties. Intellectual Property created before or outside the scope of this Agreement shall remain the property of the Party that owns it.

15. Anti-corruption

15.1 In accordance with the United Nations Staff Regulations and Rules, UNOPS requires its staff not to accept any honor, decoration, gift or remuneration from any third parties, if such acceptance is incompatible with their status as international civil servants. Similarly, UNOPS requires that its staff will not at any time and in any way use information known to them by reason of their official position, to their private advantage and that they will not accept, hold or engage in any office or occupation which is incompatible with the proper discharge of their duties with UNOPS.

15.2 Where appropriate, UNOPS shall promptly terminate arrangements with Grantees, Implementing Partners, recipients, partners, contractors or agents involved in irregularities, fraudulent behavior or corrupt practices in connection with this or any other actions implemented by UNOPS and financed under the Project Agreement, and shall take all reasonable measures to recover funds unduly paid. UNOPS will credit any funds recovered to the Project's account in accordance with its legislative framework. UNOPS' liability shall be limited to the proceeds recovered. UNOPS' legal costs directly associated with the recovery of such misused funds shall be chargeable to the NDC Partnership.

15.3 UNOPS shall immediately inform the Donors of any illegal or corrupt practice in any activity financed under the Project Agreements, whether or not under UNOPS' responsibility, to the extent such notification does not jeopardize the conduct of UNOPS' investigation.

16. Fraud

16.1 UNOPS and its employees, agents, representatives and subcontractors will not engage in any Fraudulent Activity. UNOPS is responsible for preventing and detecting Fraud, and will use its best endeavours to ensure that its subcontractors do not engage in any Fraudulent Activity.

16.2 If UNOPS becomes aware of any detected, suspected or attempted Fraudulent Activity involving any activities funded in whole or in part with a contribution made under the Project Agreements, UNOPS will report it promptly to the Donors, to the extent such notification does not jeopardize the conduct of the investigation. UNOPS will investigate the alleged Fraud and take action in accordance with UNOPS's legislative framework.

16.3 Following the conclusion of any investigation which identifies a Fraudulent Activity, UNOPS will make every effort to recover any part of the contributions that are the subject of Fraudulent Activity; refer the matter to the relevant police or other authorities responsible for prosecution of Fraudulent Activity unless exceptional circumstances exist, as deemed appropriate by the United Nations Office of Legal Affairs; credit any part of the contributions misappropriated through fraudulent activities to a mutually agreed activity; and provide the Donors with regular updates, no greater than three (3) months, regarding the status of actions undertaken with respect to the Fraudulent Activity.

16.4 Where appropriate, UNOPS will promptly terminate arrangements with partners, contractors or agents, involved in irregularities, fraudulent behavior or corrupt practices in connection with this or any other actions implemented by UNOPS and financed under the Project Agreements, and take all reasonable measures to recover funds unduly paid.

17. Counter Terrorism

17.1 Consistent with UN Security Council Resolutions relating to terrorism, including UNSC Resolution 1373 (2001) and 1267 (1999) and related resolutions, the Parties are firmly committed to the international fight against terrorism, and in particular, against the financing of terrorism. It is the policy of the Donors to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. To those ends, UNOPS is committed to taking appropriate steps to ensure that funding provided by Donors to support the Project is not used to provide assistance to, or otherwise support, terrorists or terrorist organizations, and will inform the Donors in accordance with its legislative framework.

18. Child Protection

18.1 UNOPS will not engage in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child. UNOPS will be responsible for protecting children from abuse of all kinds in the delivery of aid activities.

19. Sexual Exploitation, Abuse, and Harassment

19.1 Sexual Exploitation and Abuse. The Donor and the Recipient have a zero tolerance for inaction approach to tackling sexual exploitation and abuse (“SEA”). This means the Recipient and its implementing partners will take all reasonable steps to prevent SEA by both its employees and any implementing partner and respond appropriately when reports of SEA arise, in accordance with their regulations, rules, policies and procedures.

Unless inconsistent with a specific regulation, rule, policy or procedure governing the Recipient, the Recipient will apply the IASC Six Core Principles Relating to Sexual Exploitation and Abuse and the following principles and practices when implementing the activities under this arrangement and provide evidence to demonstrate this where required:

- a. Adherence to the IASC-Minimum Operation Standards on “Protection from sexual exploitation and abuse by own personnel” and/or [the] SEA elements of the Core Humanitarian Standard on Quality and Accountability;
- b. A victim/survivor-centred approach to SEA issues;
- c. Strong leadership and signaling on tackling SEA;
- d. Make all reasonable efforts to address gender inequality and other power imbalances;
- e. Reporting to enhance accountability and transparency;

- f. Ensure that SEA standards from this arrangement are reflected in funding templates with implementing partners, [for UN entities: by means such as, but not limited to, adherence to the United Nations Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners].

19.2 Sexual Harassment. The Donor and the Recipient have a zero tolerance for inaction approach to tackling sexual harassment (“SH”). This means the Recipient will take all reasonable steps to prevent SH and respond appropriately when reports of SH arise, in accordance with its regulations, rules, policies and procedures.

Unless inconsistent with a specific regulation, rule, policy or procedure governing the Recipient, the Recipient will apply the following principles and practices when implementing the activities under this arrangement:

- a. A victim/survivor-centred approach to SH issues;
- b. Strong leadership and signaling on tackling SH;
- c. Make all reasonable efforts to address gender inequality and other power imbalances;
- d. Reporting to enhance accountability and transparency.

19.3 The Recipient will adhere to the following requirements:

1. Allegations of SEA
 - a. The Recipient will promptly report all allegations of SEA credible enough to warrant an investigation through the Secretary-General’s reporting mechanism (the “Report”).
 - b. When the Recipient reports an allegation of SEA to, or becomes aware of an allegation reported through, the Report that is (i) directly related to the activities funded by this arrangement or, (ii) would have a significant impact on the partnership between the Recipient and the Donor, the Recipient will promptly notify Heidy Rombouts, Director-General Development Cooperation and Humanitarian Affairs (heidy.rombouts@diplobel.fed.be), of the report made and the relevant arrangement number, if applicable and provide information containing the level of detail that the Recipient is aware of.
 - c. Upon request from the Donor, the Recipient agrees to provide further available relevant information the Recipient is aware of for allegations notified under paragraph 2a (ii) including about subsequent measures taken by the Recipient, unless disclosure of such information would be inconsistent with the Recipient’s regulations, rules, policies and procedures concerning disclosure of information

2. Allegations of SH

- a. The Recipient will report allegations of sexual harassment and measures taken through existing reporting mechanisms.
- b. Where the Recipient has determined that the allegations would have a significant impact on the partnership between the Recipient and the Donor, the Recipient will promptly notify Heidi Rombouts, Director-General Development Cooperation and Humanitarian Affairs (heidy.rombouts@diplobel.fed.be) and provide information containing the level of detail of the existing reporting mechanisms.
- c. Upon request from the Donor, the Recipient agrees to provide further available relevant information, that the Recipient is aware of unless disclosure of such information would be inconsistent with the Recipient's regulations, rules, policies and procedures concerning disclosure of information.

19.4 It is understood and accepted that the Recipient's arrangement to report on SEA and SH will be performed in accordance with the Recipient's regulations, rules, policies and procedures, including its rules on confidentiality, and is subject to not compromising the safety, security, privacy and due process rights of any concerned persons.

19.5 When the Recipient becomes aware of reasonable suspicions, complaints or reports of SEA or SH by its personnel, the Recipient will, as appropriate under its regulations, rules, policies, and procedures, take reasonable, swift and appropriate action to stop harm occurring, investigate and report to relevant authorities (for potential criminal matters), as appropriate and when safe to do so, after considering the wishes of the victim/survivor.

19.6 The Donor or any of its duly authorized representatives may, in accordance with agreed mutually accepted terms of reference, carry out reviews or evaluations or other assessment measures to verify the Recipient's zero tolerance for SEA and SH, provided that such measures are consistent with the single audit principle governing the UN, if applicable. The Recipient will fully cooperate within the scope of the terms of reference with any such reasonable requests by the Donor or any of its duly authorized representatives or agents to carry out such measures.

19.7 Any information or documentation provided in accordance with these provisions will be treated by the Donor with utmost discretion in order to ensure, inter alia, the probity of any investigation, protect sensitive information, ensure the safety and security of persons and respect the due process rights of all involved. The Donor will presume information/documentation to be confidential, deliberative, and investigatory and will ensure that information/documentation provided to the

Donor will be available solely to those who strictly require access to such information/documentation. Any disclosure of such information/documentation beyond such personnel will require notification and consultation with the Recipient. The Donor will obtain the express written authorization of the Recipient before disclosing any such information/documentation in a judicial proceeding or to the public, unless disclosure is otherwise required by law applicable to the Donor and is not subject to the Recipient's privileges and immunities under international and/or national law (such as information/documentation constituting UN archives).

19.8 Unless the regulations, rules, policies, and procedures applicable to the Recipient are amended at an earlier stage, and/or there are other substantive changes to any of the referenced policies, processes or mechanisms, the above provisions are subject to possible review two years after the date of the Donors' mutual decision on their text with the Recipient. Any changes to the above provisions that may be mutually decided following such a review will take effect at least four years after the date of the Donors' mutual decision on the present text with the Recipient, until which time the above provisions will continue to apply.

20. Branding

20.1 The Donors' financial support will receive substantial recognition in all documents and publications, media, speeches and other announcements associated with the NDC Partnership.

21. Settlement of Disputes

21.1 Should the Donor be a national government, the Parties shall promptly and amicably through negotiation resolve questions of interpretation and application of the Project Agreement and any disputes arising out of or in relation to the Project Agreement.

21.2 Should the Donor be a UN agency or specialized agency under the UN, any controversy or claim arising out of, or in accordance with the Project Agreement, which is not settled by negotiation, will be resolved through consultation between the Executive Heads of each Party.

21.3 Should the Donor be any other entity, any controversy or claim arising out of, or in accordance with, the Project Agreement or any breach thereof shall, unless it is settled by direct negotiation, be settled in accordance with the UNCITRAL Arbitration Rules as at present in force. Where, in the course of such direct negotiation referred to above, the Parties wish to seek an amicable settlement of such dispute, controversy or claim by conciliation, the conciliation shall take place in accordance

with the UNCITRAL Conciliation Rules as at present in force. The Parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy or claim.

22. Privileges and Immunities

22.1 Nothing in or relating to any provision in the Project Agreements shall be deemed a waiver, express or implied, of the privileges and immunities enjoyed by the United Nations and/or UNOPS.

Annex 2

| Cooperation Agreement

Annex 2 appendices:

- | **Appendix A:** Roles and Responsibilities of WRI, UNFCCC, UNOPS, Steering Committee (SC), Co-Chairs and The Support Unit (SU)

- | **Appendix B:** Steering Committee and Co-Chair Terms of Reference

**COOPERATION ARRANGEMENT
BETWEEN
THE SECRETARIAT OF THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE
CHANGE, THE KYOTO PROTOCOL AND THE PARIS AGREEMENT
AND
THE UNITED NATIONS OFFICE FOR PROJECT SERVICES
AND
THE WORLD RESOURCES INSTITUTE
SUPPORTING THE WORK OF THE NDC PARTNERSHIP**

This Cooperation Agreement is entered into between the secretariat of the United Nations Framework Convention on Climate Change (hereinafter referred to as “UNFCCC”), the Kyoto Protocol and the Paris Agreement and United Nations Office for Project Services (hereinafter referred to as “UNOPS”) and the World Resources Institute (hereinafter referred to as “WRI”), collectively the “Parties”, and each individually a “Party”.

WHEREAS, the Paris Agreement, adopted by the Conference of the Parties to the UNFCCC in its decision 1/CP.21, requires each Party to the UNFCCC to prepare, communicate and maintain successive nationally determined contributions (“NDCs”) that it intends to achieve and to pursue domestic mitigation measures, with the aim of achieving the objectives of such contributions;

WHEREAS, in accordance with Article 8, paragraph 2 (c) of the UNFCCC, the secretariat shall facilitate assistance to the UNFCCC Parties, particularly developing country Parties, on request, in the compilation and communication of information required in accordance with the provisions of the UNFCCC;

WHEREAS, UNFCCC Parties have been requesting enhanced support from the secretariat in the preparation, communication, and implementation of their NDCs, and the secretariat wishes to address such request;

WHEREAS, UNOPS was established by UN General Assembly decision 48/501 of 19 September 1994 as a central resource for the UN system in project, procurement, contracts management and other capacity development activities, as well as its value in providing efficient, cost-effective services to partners in its specialized areas;

WHEREAS, WRI is a US not-for-profit organization whose mission is to move human society to live in ways that protect Earth’s environment and its capacity to provide for the needs and aspirations of current and future generations. WRI strives to protect communities and natural ecosystems from damage caused by greenhouse gas emissions, and generate opportunities for people by catalysing a global transition to a low-carbon economy;

WHEREAS, the Parties - UNFCCC and WRI as the NDC Partnership’s Hosts, and UNOPS as the Fund Manager - make distinct commitments to the Partnership based on their respective structure and capacities, based on the roles and responsibilities of each institution as codified below, and, in the case of UNFCCC, based on the funds externally received;

WHEREAS, a Memorandum of Understanding (MoU) between UNFCCC and WRI signed on October 19, 2020, outlined principles of collaboration, governance, operational management, and physical hosting.

WHEREAS, with UNOPS joining the NDC Partnership to complement their capacities through its fund management services, this Cooperation Agreement replaces the existing MoU between UNFCCC and WRI and

will, moving forward, serve as the framework for the Support Unit operations to provide clarity and avoid duplication.

NOW THEREFORE, the Parties hereto mutually agree to the following terms and conditions.

1. Purpose

This Cooperation Agreement sets the framework for the collaboration amongst the three Parties in supporting the work of the NDC Partnership Support Unit (interchangeably referred to as the Support Unit) in facilitating the implementation of the goals and objectives of NDC Partnership (the Partnership), as established in the 2021-2025 Work Program and in line with the Parties' respective mandates, governance mechanisms and structures. Accordingly, the Agreement outlines the roles, responsibilities that will be applicable, including on the funding and resourcing relating to the operations of the NDC Partnership Support Unit. Furthermore, the joint activities and implementation arrangements, financial management and reporting mechanisms, and grants management related considerations are outlined in this document. A detailed mapping regarding the roles and responsibilities of UNFCCC, UNOPS and WRI regarding the NDC Partnership is presented in Annex I.

This Cooperation Agreement will be incorporated into each donor/project agreement to be signed by these Parties (to receive funds in support of the NDC Partnership's Work Program) towards the NDC Partnership to ensure coherence by harmonizing the terms and conditions applicable with all funding sources.

2. Context

The NDC Partnership was launched at Conference of the Parties (COP) 22 in Marrakesh in 2016 as a coalition of countries, institutions, and non-state-actors. Its two overall goals are to support countries to accelerate implementation of their NDCs while driving sustainable development, and to increase ambition with the view to achieving the Paris Agreement goals.

The Partnership has grown into a global coalition with more than 190 members made up of developed and developing countries, international institutions, and non-state actors. To date, almost 80 developing countries are receiving support to implement and enhance their NDCs while advancing sustainable development and over 120 partners, both members and non-members, are providing support.

The NDC Partnership is designed as a multi-partner initiative where members collaborate to accelerate climate action. Membership is voluntary, and by joining the NDC Partnership members gain access to a global network of knowledge and resources to support their work in climate action.

The NDC Partnership enhances cooperation and coordination amongst its members to ensure that countries can access the support needed to achieve their climate and development goals as quickly and effectively as possible and benefit from the experiences of others.

3. Governance Arrangements

NDC Partnership Steering Committee

For effective, transparent, and consensus-based decision-making, a multi-stakeholder governance mechanism, the NDC Partnership Steering Committee, is set up. The Steering Committee is comprised of 13 member representatives from developed (4) and developing (4) countries and international institutions (3), in addition to

the Parties who will serve as ex-officio members, and sets the overall strategy put forward in multi-year Work Programs.

Two country members (one developed and one developing) serve as the leadership for the Steering Committee as the Co-Chairs, and guide the Support Unit with its day-to-day work.

The Steering Committee will be ultimately responsible for setting strategic and programmatic direction for the NDC Partnership through multi-year Work Programs, and ensuring the achievements of its results. More specifically, the Steering Committee is responsible for the following.

- a) Ensuring that the overall objectives of the Partnership are achieved, including reviewing, and approving of the Work Program, defining areas of work of the Partnership, and setting the draft agenda for the Partnership Fora;
- b) Providing overall strategic direction to the Support Unit;
- c) Reviewing progress reports provided by the Support Unit, and providing comments as needed;
- d) Providing guidance to the communication and planning of events of the Partnership.

Steering Committee decisions are taken by consensus. The Co-Chairs facilitate discussions and guide decision-making processes, ensuring that unanimity is reached among members. The detailed Steering Committee Terms of Reference is enclosed in Annex II for reference.

NDC Partnership Work Program

A multi-year NDC Partnership Work Program, developed in consultation with its members, approved by the Steering Committee, defines the strategic direction of the NDC Partnership. The 2021-2025 NDC Partnership Work Program is enclosed in Annex III for reference. The amendments and updates of this Work Program will be decided on by the Steering Committee, and recorded in the appropriate Steering Committee documents without requiring an amendment of this Cooperation Agreement.

The NDC Partnership Support Unit, which serves as the Secretariat of the NDC Partnership, is responsible for facilitating and coordinating the delivery of the Work Program. The Support Unit prepares annual Work Plans and budgets laying out the specific activities that will allow it to facilitate and coordinate the delivery of the Work Program, including which activities are implemented through UNFCCC, UNOPS and WRI. The Support Unit's annual Work Plan and budget is reviewed and approved by the Steering Committee Co-Chairs.

A monitoring and evaluation (M&E) framework is also adopted through the Steering Committee as part of the Work Program, and will be used by the Support Unit for performance monitoring and evaluation purposes. The Support Unit accordingly will monitor activities and progress towards specific outputs and outcomes on a regular basis using the key performance indicators (KPIs) outlined in the M&E framework. It will also seek periodic feedback and inputs from the respective Government Focal Points, NDC Partnership In-Country Facilitators, and Implementing and Development Partners, through mechanisms such as annual member surveys. These KPIs will be aggregated at the global level to enable the review of the NDC Partnership's collective progress. Furthermore, the Support Unit will report on progress against indicators at Steering Committee meetings and provide an overview at the Annual Members Forum. The Support Unit will prepare a narrative report which is then tailored for specific development partners with input from UNFCCC, UNOPS and WRI. The current NDC Partnership M&E framework is enclosed in Annex III for reference. The amendments and updates of this framework will be decided on by the Steering Committee, and recorded in the appropriate Steering Committee documents without requiring an amendment of this Cooperation Agreement.

NDC Partnership Support Unit

The NDC Partnership's work is facilitated by a Secretariat, namely the Support Unit, which is led by the Global Director. Since the set-up of the initiative, the Support Unit has been hosted by the World Resources Institute (WRI) in Washington DC, USA, and at the UNFCCC in Bonn, Germany.

The Global Director is responsible for coordinating the work of the Support Unit and implementation of the Support Unit's annual Work Plan and associated budget. The annual Work Plans define the specific activities that the Support Unit needs to implement to facilitate the effective implementation of the NDC Partnership's Work Program. The Support Unit is accountable to the Steering Committee and its Co-Chairs on substantive and technical matters. A Management Team that consists of senior experts from the Support Unit coordinates the work of the Support Unit under the leadership of the Global Director.

UNOPS provides project, financial and grants management support and services to the Support Unit, ensuring the complementarity of its activities with the goals of the NDC Partnership. UNOPS personnel assigned to support the work of the NDC Partnership will be part of the Support Unit and will work with substantive and technical inputs from the Global Director and the Support Unit's Management Team, and under the oversight and supervision of the UNOPS Austria Multi-country office (AUMCO) Director.

The operation of the Support Unit is governed by the respective rules and policies of the Parties to this agreement

The global director with support from the Management Team, will be responsible for ensuring coordination at the operational level and transparent communications with the personnel that UNFCCC, UNOPS and WRI may hire - subject to availability of resources – to work for the Support Unit.

Funding Arrangements

The work of the Support Unit will be funded through the donor agreements to be established separately by the Parties in line with their mandates and expertise. Accordingly, each of the three Parties could enter into separate project agreements with donors, receive and register funds and make disbursements under their respective legislative frameworks. Each Party will hold the liability and accountability regarding the use of the funds it receives. As applicable, grant agreements to channel resources to specific implementing partners may be established where relevant to facilitate the delivery of the NDC Partnership Work Program, based on decisions by the Steering Committee. Moreover, each Party will also provide financial reports to its donors based on its own standards, and any audits to be carried out will be managed in line with the respective organization's rules and regulations.

Accordingly, there are no financial transactions between the Parties envisaged under this Collaboration Agreement, and each Party shall directly manage and be accountable for the resources provided to them directly by their funding sources for the implementation of its obligations hereunder.

Overall, the funds will be managed in support of implementation activities in line with the NDC Partnership Work Program and annual Work Plans, as per the direction set by the Steering Committee and its Co-Chairs. In doing so, the Parties - in collaboration with the Global Director and Support Unit Management Team - will seek to maximize their coordination and collaboration to ensure a one initiative approach and an efficient and effective use of available funds, in line with the Parties' respective mandates and objectives.

Partnership Action Fund (PAF)

The Partnership Action Fund (PAF) will be launched through UNOPS and WRI as a grant management facility to capitalize on NDC Partnership's member institutions' capacities and experience for the enhancement and deepening of the ongoing climate change related activities in support of various countries in line with the Paris Agreement.

Where UNOPS provides funds and financial management services to operationalize and manage grants under the PAF mechanism, the selection of the suitable member institutions as grantees will be conducted under UNOPS' legislative framework, subject to the final approval of the appropriate UNOPS authority. Accordingly, a member of the NDC Partnership may be selected by UNOPS to provide the required support to a specific country, on the basis of a limited competition among the member institutions of the NDC Partnership, in line with a pre-established selection criteria to be prepared with technical advice and inputs from the Support Unit. UNOPS will inform the Global Director in cases where a suitable and cost-effective member institution cannot be identified to provide such support according to its legislative framework, and in line with the principles of fairness, transparency, accountability, and best value for money, may proceed with an open international competition to identify a suitable grantee in such cases.

Alternatively, an eligible UNOPS donor may pre-select a grantee in accordance with its own selection rules and regulations, by including a statement in the bilateral agreement between UNOPS and the donor, or in an official letter from the donor to UNOPS. For the purposes of pre-selection under this procedure, an "eligible donor" refers to (i) UN system entities; (ii) international financial institutions; (iii) reputable major intergovernmental organizations; and (iv) national level governments, unless they have a Transparency International Corruption Perceptions Index score of less than 50. In such cases, pre-selection must comply with the UNOPS legislative framework, which requires that the donor (i) confirms that it has complied with its own applicable regulations and procedures for the selection of grantees, and (ii) obtains from all other donors their written endorsement for the preselection by that donor, and a release from any accountability and liability to UNOPS arising from the selection of the pre-selected grantee, including the grantee's performance.

Once selected (or pre-selected, as may be the case) and following the successful conduct of the appropriate due diligence exercises, UNOPS will then enter into a legal agreement with the selected grantee(s), establish a dedicated risk profile and performance monitoring approach and periodically transfer funds once the respective milestones have been met.

UNOPS may also engage technical personnel under its legislative framework to facilitate implementation of PAF activities.

Where WRI provides funds and financial management services to operationalize and manage grants and contracts under the PAF mechanism, the selection of subgrantees and consultants will be conducted under the WRI's Grants and Contracts rules. Accordingly, a member of the NDC Partnership may be selected by the Support Unit to provide technical assistance to a country, in line with pre-established selection criteria. Or, under the guidance of the Support Unit, WRI may contract individual consultants according to WRI's competitive procurement rules. Detailed processes and procedures outlining the operation of the PAF will be established in the Standard Operating Procedures, to be formulated to cover the activities and services to be provided by the Parties.

4. Roles and Responsibilities of the Parties

This section outlines the specific roles and responsibilities of the Parties with respect to this Cooperation Agreement. Furthermore, a detailed roles and responsibility mapping is provided in Annex I to ensure effective coordination and collaboration between the Parties, in line with the Parties' respective mandates and objectives.

To facilitate the implementation of the NDC Partnership's Work Program and annual Work Plans, detailed Standard Operating Procedures (SOPs) may be established in accordance with the rules and procedures of each party and endorsed by the NDC Partnership Steering Committee.

UNFCCC

The UNFCCC, as a strategic partner, will work closely with the NDC Partnership's Steering Committee and the Support Unit Management team to ensure alignment of the objectives of the NDC Partnership with the objectives of the Paris Agreement and will agree on a joint UNFCCC-NDC Partnership collaboration framework, aligned with the NDC Partnership's Work Program and with relevant UNFCCC work plans and activities. The collaboration framework will be developed and reviewed accordingly on a yearly basis and will serve as the basis for allocating resources available to UNFCCC through supplementary funds, earmarked to support collaboration between the UNFCCC and the NDC Partnership.

As an Ex-Officio member of the NDC Partnership's Steering Committee, UNFCCC will regularly interact with the Global Director and Steering Committee Co-Chairs to provide strategic advice and guidance on how the NDC Partnership can contribute to the implementation of the Paris Agreement and enhance the effectiveness and efficiency of support to NDC implementation in developing countries.

Accordingly, UNFCCC will nominate, in writing, a senior level focal point and associated staff members to oversee the UNFCCC secretariat's strategic engagement and substantive collaboration with the NDC Partnership.

The UNFCCC will continue to serve as one of the hosts of the NDC Partnership's Support Unit, and collaborate with UNOPS and WRI, as appropriate. As applicable, the specific hosting arrangements will be agreed in writing by Parties and in collaboration with the Global Director and the Management Team of the Support Unit. The UNFCCC will accordingly make the necessary arrangements to support the effective management of the Support Unit, in line with the NDC Partnership's Work Program and the Support Unit's annual Work Plans and the above-mentioned joint collaboration framework. Overall, UNFCCC will provide workspace for personnel working for the Support Unit in its premises in Bonn, subject to the availability of resources and office space.

Hosting of NDC Partnership Unit personnel in UNFCCC premises will only be to facilitate collaboration between the Parties in accordance with this Agreement, and shall, under no circumstances, lead to any liability of the UNFCCC to personnel who do not hold a contract directly with the UNFCCC.

UNFCCC can also, based on availability of supplementary funds, support the administration of consultancy and service contracts for the NDC Partnership and its Support Unit and could also contract a number of personnel in other locations on behalf of the Support Unit, in line with the NDC Partnership's Work Program and the Support Unit's annual Work Plans. If applicable, logistics support and office space could be provided to these personnel through the respective Regional Collaboration Centres.

UNFCCC will assume responsibilities only for resources and contributions it receives directly from its funding sources.

UNOPS

UNOPS will provide project, operations, funds, and grants management services to the NDC Partnership in line with its own mandate and legislative framework. Accordingly, UNOPS will be tasked with signing project agreements with the relevant donors, and receive, register, and disburse funding under its rules and procedures, and in line with the NDC Partnership's Work Program and the Support Unit's annual Work Plans. Accordingly, UNOPS will assume responsibility, as the Fund Manager, only for the resources and contributions it receives directly from its funding sources. UNOPS will collaborate with the Support Unit, through its Global Director and Management Team, to ensure the complementarity of its project, operations, and funds management services. UNOPS personnel assigned as such will work in close coordination with the Support Unit with substantive and technical inputs from the Global Director and the Support Unit's Management Team to ensure the effective management of the Support Unit, in line with the NDC Partnership's Work Program and the Support Unit's annual Work Plans, and the PAF. Furthermore, UNOPS' support will include appropriate arrangements for the SU-UNOPS personnel office space, appropriate HR and IT technology and support, as well as travel coordination for its personnel assigned under the NDC Partnership. To fulfil its responsibilities, and where appropriate, UNOPS will engage a dedicated team to work in close cooperation with and with substantive and technical inputs from the Support Unit's Global Director and Management Team. These personnel will be overseen and supervised by the appropriate UNOPS authority and may be co-located in the UNFCCC premises in Bonn or assigned to the relevant field duty stations. On the other hand, UNOPS may also provide shared services through its regional resources as relevant and required. UNOPS' support and services will be provided in accordance with the full cost recovery principle and approach.

WRI

WRI will serve as a host of the NDC Partnership Support Unit, and maintain its Global Director function, as well as a majority of its personnel, including administering a majority of the relevant consultancy and service contracts. Overall, WRI, through the Support Unit's Global Director, will work and coordinate with UNFCCC regarding the hosting of the NDC Partnership Support Unit, and coordinate with UNOPS regarding the provision of UNOPS' project, financial and grants management support. It will accordingly make the necessary arrangements under this Agreement to ensure the effective management of the Support Unit, in line with the NDC Partnership's Work Program and the Support Unit's annual Work Plans, and the PAF.

Furthermore, it will host part of the Support Unit in its premises in Washington D.C or International Offices. It will accordingly provide office space to the Support Unit personnel, appropriate HR and IT technology and support, as well as travel coordination.

In addition, WRI commits to refraining from any action which may adversely affect the interests of the other Parties or the United Nations at large, solely in connection with WRI's work on the NDC Partnership. WRI will be responsible for payment of all salaries, emoluments, and benefits of all its staff, including those located in UNFCCC premises.

WRI will only assume responsibilities for resources and contributions it receives from its funding sources.

5. General Conditions

Legal Relationship

It is noted that the collaboration between the Parties under this Cooperation Agreement is on a non-exclusive basis. Nothing in this Agreement or in the relationship that will evolve between the Parties as a result of the collaboration envisaged hereunder shall be construed as creating or implying a joint venture, employment, franchise, agency, or any other form of legal association between the Parties.

The personnel, agents and contractors of each Party shall not be considered in any respect or for any purposes whatsoever as being the employees, representatives, affiliates, or agents of one of the other Parties,

Unless expressly provided for in this Cooperation Agreement, it does not in any way commit either Party to financial or human resource obligations.

This Cooperation Agreement shall not be construed to interfere in any way with the independent decision-making autonomy of the Parties to affect or waive the provisions of their organizational documents, policies, procedures, or similar documents. Each Party shall carry out its responsibilities and obligations under this MOU in accordance with its respective regulations, rules, policies and procedures, and decisions of its governing bodies.

Liability

The Parties shall promptly advise the other Parties about any suits, proceedings, claims, demands, losses, or liability after receiving any notice thereof.

Dispute Settlement

The Parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of this Project Agreement or the breach, termination, or invalidity thereof (a "Dispute"). In the event of a Dispute, an affected Party may in writing request the other Party or Parties to seek amicable settlement through their respective designated Focal Points.

If the Parties are unable, within sixty (60) days to resolve the Dispute, the Dispute shall be resolved as follows:

- a. A Dispute involving WRI shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules. The number of arbitrators shall be one. The language to be used in the arbitral proceedings shall be English.
- b. A Dispute not involving WRI shall be settled by referral to the executive heads of the parties thereto.

Use of Names, Logos and Acknowledgement

Unless expressly authorized by each Party in writing, the names, emblems, logos, and official seal of the respective Party will not be used by the other Parties in connection to the activities of the NDC Partnership or otherwise. Such written approval requests shall be submitted to the Parties at least five (5) business days in advance in written form, alongside the relevant announcements and publications where such references to the respective Party or Parties will be made.

Confidentiality

The Parties shall keep confidential and not disclose any confidential information and details to a third party without the written confirmation of the other Parties.

For the purposes of this Cooperation Agreement, "confidential information" means any financial, technical, operational, commercial, personnel, and management related information, data, experience, and knowledge belonging to any of the Parties, which is disclosed to another Party to facilitate the effective management of the NDC Partnership, and either designated as confidential information or ought to be considered as such due to its nature or circumstances surrounding its potential disclosure.

Privileges and Immunities

Nothing in or relating to this Cooperation Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations, including UNFCCC and UNOPS.

Modifications

This Cooperation Agreement may be amended by written agreement of the Parties.

Assignment

The Parties shall neither assign nor transfer any obligation arising under this Cooperation Agreement without the prior written consent of the other Parties. The provision of such consent shall not relieve the respective Party of any obligation arising under this Cooperation Agreement.

Termination

Each Party may terminate this Cooperation Agreement with thirty (30) days prior notice to the other Parties.

In the event of a termination, the Parties shall take all necessary actions as required to terminate any activity being carried out under this Cooperation Agreement in a prompt, orderly and cost-effective manner. All references to the collaboration between the Parties shall be promptly removed from all Parties' websites and any other location as of the date of termination of the Cooperation Agreement.

Section 5 of this Cooperation Agreement on General Conditions, as well as any obligations arising thereunder, shall not lapse on the termination or expiration of this Cooperation Agreement.

Entry into Force and Duration

This Cooperation Agreement shall come into force when signed by the authorized representatives of all its Parties. If signed on different dates, the effective date will be the date of the latest signature.

The Cooperation Agreement shall remain valid until 31 December 2022, unless extended or earlier terminated in accordance with the relevant articles of this Cooperation Agreement.

IN WITNESS WHEREOF, the duly authorized representatives of the Parties have signed this Cooperation Agreement.

On behalf of UNFCCC:

Patricia Espinosa C

(Signed)
Patricia Espinosa
Executive Secretary

Date: 19.10.2021

On behalf of UNOPS:



(Signed)
Moin Karim
Regional Director, ECR, Office of the Regional
Director

Date: 01-12-2021

On behalf of WRI:

Don Spencer

(Signed)
Don Spencer
Director of Grants and Contracts

Date: October 20, 2021

Appendix A

MAJOR ROLES AND RESPONSIBILITIES OF WRI, UNFCCC, UNOPS, STEERING COMMITTEE (SC), CO-CHAIRS AND THE SUPPORT UNIT (SU) AS DESCRIBED IN THE COOPERATION AGREEMENT

Functions/Roles	UNOPS	UNFCCC	WRI	SC	SU	Co-chairs
The SC provides overall strategic direction to the Support Unit.				X		
The SC sets the overall strategy put forward in multi year Work Programs.				X		
The SC is responsible for setting strategic and programmatic direction for the NDC Partnership through multi-year Work Programs, and ensuring the achievements of its results.				X		
The Steering Committee Co-Chairs review and approve the Support Unit's annual Work Plan and budget.						X
The Parties Support the work of the NDC Partnership Support Unit in facilitating the implementation of the goals and objectives of NDC Partnership.	X	X	X			
The SC provides guidance to the communication and planning of events of the Partnership.				X		
The SC provides strategic oversight of the work of the Support Unit.				X		
The SC adopts a Monitoring and evaluation (M&E) framework as part of the Work Program, and this will be used by the Support Unit for performance monitoring and evaluation purposes.				X		
Co-Chairs Facilitate discussions and guide decision making processes, ensuring that unanimity is reached among members.						X
The Parties enable the effective management and operations of the NDC Partnership Support Unit.	X	X	X			
The Support Unit seeks to maximize their coordination and collaboration to ensure a One initiative approach.					X	

The Support Unit accordingly will monitor activities and progress towards specific outputs and outcomes on a regular basis using the key performance indicators (KPIs) outlined in the M&E framework.					X	
The Support Unit seeks periodic feedback and inputs from the respective Government Focal Points, NDC Partnership In-Country Facilitators, and Implementing and Development Partners.					X	

The Support Unit will report on progress against indicators at Steering Committee meetings and provide an overview at the Annual Members Forum.					X	
The Support Unit will prepare a narrative report which is then tailored for specific development partners with input from UNFCCC, UNOPS and WRI.					X	
The Support Unit implements the annual Work Plans to facilitate the effective implementation of the NDC Partnership's Work Program.					X	
The Support Unit is accountable to the Steering Committee and its Co-Chairs on substantive and technical matters.					X	
UNOPS provides project, financial and grants management support and services to the Support Unit ensuring the complementarity of its activities with the goals of the NDC Partnership.	X					
UNOPS provides funds and financial management services to operationalize and manage grants under the PAF mechanism.	X					
UNOPS will provide project, operations, funds and grants management services to the NDC Partnership in line with its own mandate and legislative framework.	X					

UNOPS will collaborate with the Support Unit, through its Global Director and Management Team, to ensure the complementarity of its project, operations and funds management services.	X					
UNOPS will engage a dedicated team to work in close cooperation with and substantive and technical inputs from the Support Unit's Global Director and Management Team.	X					
UNOPS may also provide shared services through its regional resources as relevant and required.	X					
The UNFCCC, as a strategic partner will work closely with the NDC Partnership's Steering Committee and the Support Unit Management team to ensure alignment of the objectives of the NDC Partnership with the objectives of the Paris Agreement and will agree on a joint UNFCCC-NDC Partnership collaboration framework, aligned with the NDC Partnership's Work Program and with relevant UNFCCC work plans and activities.		X				
UNFCCC will regularly interact with the Global Director and Steering Committee co-Chairs to provide strategic advice and guidance on how the NDC Partnership can contribute to the implementation of the Paris Agreement and enhance the effectiveness and efficiency of support to NDC implementation in developing countries.		X				

UNFCCC will nominate, in written, a senior level focal point and associated staff members to oversee the UNFCCC Secretariat's strategic engagement and substantive collaboration with the NDC Partnership.		X				
The UNFCCC will accordingly make the necessary arrangements to support the effective management of the Support Unit, in line with the NDC Partnership's Work Program and the Support Unit's annual Work Plans and the above-mentioned joint collaboration framework.		X				

Overall, UNFCCC will provide workspace for personnel working for the Support Unit in its premises in Bonn, subject to the availability of resources and office space.		X				
UNFCCC serves as one of the hosts of the NDC Partnership's Support Unit, and collaborates with UNOPS and WRI, as appropriate.		X				
UNFCCC can also, based on availability of supplementary funds support the administration of consultancy and service contracts for the NDC Partnership and its Support Unit .		X				
WRI will serve as a host of the NDC Partnership Support Unit, and maintain its Global Director function as well as a majority of its personnel, including administering a majority of the relevant consultancy and service contracts.			X			
WRI, through the Support Unit's Global Director, will work and coordinate with the UNFCCC regarding the hosting of the NDC Partnership Support Unit, and coordinate with UNOPS regarding the provision of UNOPS' project, financial and grants management support.			X		X	
WRI will accordingly make the necessary arrangements under this Agreement to ensure the effective management of the Support Unit, in line with the NDC Partnership's Work Program and the Support Unit's annual Work Plans, and the PAF mechanism.			X			
WRI will be responsible for payment of all salaries, emoluments and benefits of all its staff, including those co-located in UNFCCC premises.			X			

STEERING COMMITTEE AND CO-CHAIR TERMS OF REFERENCE

Adopted in April 2021

THE NDC PARTNERSHIP STRUCTURE

**This ToR is included for reference only and the project agreement and its annexes will prevail in case of any conflict.*

The NDC Partnership is a global coalition of countries and institutions working together to mobilize support to achieve ambitious climate goals and enhance sustainable development. The NDC Partnership enhances cooperation and coordination amongst its members to ensure that countries can access the support needed to achieve their goals as quickly and effectively as possible and benefit from the experiences of others. In order to support the NDC Partnership's mission to align climate action and sustainable development, both climate/environment and finance/planning institutions should equally be represented at all levels of the Partnership.

The Partnership is guided by a Steering Committee comprised of Country Members (developed and developing nations) and Institutional Members, and meetings are run by the two countries which serve as co-chairs. The Partnership's work is facilitated by a Support Unit, stationed at World Resources Institute in Washington and at the UN Framework Convention on Climate Change (UNFCCC) in Bonn, Germany.

CO-CHAIRS

Role of the Co-Chairs

Two Co-Chairs will be chosen for the Partnership and will include one from a developed country and one from a developing country. The Co-Chairs will serve as Chairs for meetings of the Steering Committee and Partnership Forums, as well as be available to provide guidance to the Support Unit on issues related to overall strategy and the Work Program between Steering Committee meetings. The Co-Chairs will also help represent and champion the work of the Partnership in relevant forums both internal and external. Countries serving as Co-Chairs must be prepared to make time available to provide leadership and support for the Partnership, including through work with other members of the Steering Committee.

Term and rotation

Their selection will be linked to their active contributions to the work of the NDC Partnership, the level of ambition of their actions, and their willingness to collaborate with other leaders in the climate and development arenas. Their rotation will be staggered to ensure continuity. The standard term of appointment will be two years. The terms of appointment of individual

members may be adjusted when necessary to enable staggered rotations.

The Co-Chairs will be selected based on consultations with all members of the Partnership, for discussion by the Steering Committee, to be formally adopted at the fall Partnership Forum on an absence-of-objection basis.

STEERING COMMITTEE

Role of the Steering Committee

The NDC Partnership will include a small Steering Committee that is broadly representative of the overall membership, supports operations and management of the Partnership, and provides counsel to the Co-Chairs. It will achieve this by:

- Providing overall strategic direction to the Support Unit (including discussing and adopting the Support Unit's work plan);
- Reviewing progress reports provided by the Support Unit and providing comments as needed;
- Providing strategic oversight of the work of the Support Unit;
- Helping to ensure that the overall objectives of the Partnership are achieved. This will include definition of areas of work of the Partnership and setting the draft agenda for the Partnership Forums.
- Providing guidance to the communication and planning of events of the Partnership.

Composition of the Steering Committee

The Steering Committee will consist of 13 representatives. Representatives must be prepared to make time available to assist and guide the Partnership and its work to facilitate engagement with the breadth of the institution or government that they represent.

The composition of the Steering Committee will be balanced both regionally and between climate/environment and finance/planning institutions. It will also be linked to the active participation in and contributions to the NDC -Partnership as well as to the level of ambition of countries' NDCs / climate action and related SDG implementation. The Steering Committee will consist of four developed countries¹(including main financiers and those who are actively engaged in innovative financing structures prepared to take higher financial risks), four developing countries (including least developed countries (LDCs), small island states (SIDS), and early movers) and three international organizations/ multinational development banks (MDB) (including at least one UN organization and at least one MDB).

The two Co-Chairs are ex-officio members of the Steering Committee.

The host institutions of the Support Unit will participate in the SC meetings in a permanent non

¹ Bilateral development agencies may not sit on the Steering Committee. This limitation ensures a government and its respective agency may not both hold decision-making power.

voting, ex-officio capacity.

Process of rotation

The rotation of the representatives will be staggered to ensure continuity. The standard term of appointment will be two years. The terms of appointment of individual members may be adjusted when necessary to enable staggered rotations. The composition of the Steering Committee will be consulted with all members of the Partnership, recommended by the Co Chairs, and adopted by the Partnership Forum on an absence-of-objection basis.

STEERING COMMITTEE MEETINGS

The Steering Committee will meet biannually with up to two additional virtual meetings (VC/telecom) if needed. The biannual meetings will take place approximately every six months in the spring and fall of the calendar year. Steering Committee meetings will be planned by the Support Unit under the guidance of the Co-Chairs and hosted in locations convenient to members.

The Steering Committee meetings are open to attendance by appointed members and will not have observers.

Meeting summaries

The Support Unit will prepare a summary of each meeting for approval by the Co-Chairs and members of the Steering Committee. These summaries will also be posted in the members-only section of the NDC Partnership website and will be made available to all NDC Partnership Focal Points.

Attendance policy

The members of the Steering Committee will be represented by their Focal Points at meetings.

If a Focal Point(s) is unable to attend a meeting, that Focal Point may propose an alternative senior representative from their organization with the agreement of the Co-Chairs. If a Focal Point is unable to attend two consecutive meetings, then they will be requested to re-affirm their ability to serve on the Committee.

Participation of additional support staff is allowed where venues have sufficient capacity, but only the focal point or individual designated as the alternative can represent the member.

Travel

All efforts will be made to choose accessible meeting locations. Members will make their own travel arrangements. Developing countries in need of travel support can contact the Support Unit for assistance.

Annex 3

| Work Program of the NDC Partnership (Summary)

Annex 3 appendices:

| **Appendix C:** Work Program of the NDC Partnership (Full)

| NDC Partnership Work Programme Summary

(Please refer to Appendix C for the complete and detailed Work Program of the NDC Partnership)

The NDC Partnership's Work Program for the period 2021-2025 builds on the Partnership's early success in country-driven engagement in the implementation of their commitments and aims at further expanding country action. It is designed to coincide with the five-year cycle of the Paris Agreement and will support countries through implementation of their newly-revised NDCs under consideration of further challenges and opportunities induced by the current pandemic.

The Work Program covers the following main areas:

1. Harness the Strengths of members

Harnessing members capacity in the provision of expertise with speed and flexibility when responding to country needs. Emphasis will be placed on raised ambition, scaling of action, raising on awareness about Partnership, high level political commitment and diplomacy for engagement, coordination with non-Partnership.

The Partnership's success is based on the speed and flexibility in which we deliver to meet needs expressed by countries. Members and non-members are teaming up with each other and with governments to advance countries' climate priorities, creating synergies and maximizing resources, working through a single framework for action.

To date, more than 70 developing countries are receiving support to implement and enhance their NDCs; over 100 implementing partners, both members and non-members, are providing support. The Partnership is catalyzing action; members are increasingly aligning their climate and development agendas and embedding climate into national and institutional policies. This collaborative work has brought some major advantages.

First, countries seek support across a wide range of needs, from establishing a legal framework for climate action to designing and implementing bankable projects. These needs can be met more effectively by engaging a large membership base with a wide array of comparative advantages.

Second, a transparent approach based on shared, public, government-owned plans avoids duplication of efforts and helps partners see where their support can be most effective.

Finally, aligning action around shared Partnership Plans helps better planning, resource mobilization, and accountability, and facilitates effective learning among both countries and development partners.

Through this Work Program the Partnership will continue to capitalize on its growing membership to make a collective impact on climate action and sustainable development.

The Partnership will strengthen the impact of membership over the next five years by:

- Incentivizing commitment to and engagement within the Partnership;
- Drawing on a greater range of member expertise and resources;
- Finessing strategic membership engagement;
- Broadening opportunities for non-members to engage with the Partnership.

2. Deploy In-Country Support at Speed and Scale

In-country support, deploying a range of support tools and mechanisms in response to country needs. Inclusion of analytical and support capacity for climate development nexus; support to pipeline creation for investable and bankable projects. Expand and Strengthen stakeholder ownership, and in-house coordination between members of the NDC partnership. Support NDC update and enhancement.

In supporting countries to plan for and implement their NDCs, the NDC Partnership has a highly flexible country engagement strategy. This starts with a country's requests for support, leads to the development of a Partnership Plan and supports reassessing needs and sharing knowledge and learning throughout. This flexibility allows the Partnership to tailor support based on a government-led assessment of needs and iterative feedback from partners and other stakeholders. The Partnership's ability to adapt to country needs has enabled it to deploy innovative initiatives such as the Climate Action Enhancement Package and assistance on greening COVID-19 economic recovery planning, as well as foster confidence on the side of its country members that timely support is at the ready for developing and implementing increasingly ambitious NDCs.

The Partnership will build on its successful country-driven engagement model. The Work Program 2021-2025 is centered on maintaining the flexibility and adaptability of its approach while improving periodic analysis that underpins country planning; stronger alignment between Partnership Plans

and member development planning; and increased capacity to address fast-rising demand. The Work Program includes strengthened capacity to mobilize technical assistance, and a mechanism to bring financing opportunities from NDC Partnership Plans to potential investors. It pursues low carbon, equitable and resilient development and engagement with major emerging economies, and continuous championing of greater climate ambition.

3. Learn, Inform and Inspire

Knowledge management, lessons learned, advocacy at its core. The NDC Partnership generates a vast and unique body of learning through its more than 180 members and extensive in-country engagement. The NDC Partnership mobilizes and supports action to generate more ambitious climate and development action globally. Its mission is to harness this unique repository of insights to build a learning coalition, as well as, inform and inspire effective climate action. There is a strong commitment to capturing, synthesizing and sharing this repository of lessons within and beyond the Partnership.

4. Monitoring and Evaluation Framework

The Monitoring & Evaluation Framework (MEF) for the 2021-2025 NDC Partnership Work Program outlines a set of key result statements, indicators, and targets to track implementation progress. The MEF is structured around the Partnership's Theory of Change which maps out necessary preconditions and building blocks for how change is proposed to take place. Through the MEF, the Partnership can monitor and assess the extent to which the Partnership is delivering on results; track progress on the Partnership's efforts and those of its Members at both the country and the global level; and make evidence-based course adjustments as needed to achieve Work Program targets. A key MEF goal is to support continuous learning to improve the programmatic and operational design of Partnership initiatives and support to members.

The MEF is established as a coherent framework for the NDC Partnership activities that are implemented under WRI-led, UNFCCC and UNOPS-led activities. Results are interdependent and require close cooperation between the parties.

Monitoring: Progress of activities towards output level results will be monitored on a regular basis using the key performance indicators (KPIs) outlined in the matrix below. It will also seek periodic feedback and input from Government Focal Points, NDC Partnership In-Country Facilitators, and Implementing and Development Partners (IP/DPs) through, for example, annual member surveys.

KPI data and information will be aggregated at the global level to enable the review of collective NDC Partnership progress.

Review and Evaluation: The Partnership will commission an independent mid-term review (MTR) during the second quarter of 2023 and a final evaluation for the 2021-2025 period during the second quarter of 2026. The MTR's purpose is to identify areas of considerable progress to build on, as well as implementation gaps and areas for improvement to inform possible Work Program and MEF revision for the remaining half of the Work Program. The final evaluation's goal is to analyze and draw lessons on 2021-2025 Work Program implementation to support more strategic directions for the Partnership beyond 2026. The final evaluation will assess the Work Program using the lens of five key standard evaluation criteria: relevance, effectiveness, efficiency, impact, and sustainability.



NDC PARTNERSHIP WORK PROGRAM

2021-2025

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INTRODUCTION



This document presents a Work Program for the NDC Partnership for the period of 2021-2025. The Work Program is accompanied by a comprehensive Monitoring and Evaluation (M&E) framework presented in Annex 1 and a Risk Matrix in Annex 2. The M&E function serves to enhance the learning processes that continually improve our work and to hold the members collectively accountable for the successful implementation of the Partnership's work.

THE PARTNERSHIP'S WORK PROGRAM FOR 2021-2025 IS STRUCTURED IN FOUR SECTIONS:

- 1. Harness the Strengths of Members**
- 2. Deploy In-Country Support at Speed and Scale**
- 3. Learn, Inform, and Inspire**
- 4. Support Unit Capacity**

With the approval of this Work Program, the Support Unit will review and further align the Country Engagement and Knowledge and Learning Strategies. The Support Unit will also coordinate the development of a Finance Strategy to better support countries as they mobilize financial resources to implement their climate priorities. Development of the strategy will be led by members and include inputs from multilateral development banks and finance institutions, as well as with reference to the Finance Ministers' Coalition for Climate Action. These will be shared with the Steering Committee by the 2021 Spring Steering Committee Meeting.

PROLOGUE: CONTEXT FOR THE NEW WORK PROGRAM

The NDC Partnership's first Work Program has delivered substantial progress (See Box 1). As of August 2020, the Partnership is supporting NDC implementation based on official requests from 73 countries and supporting NDC revision and enhancement in 63. The Partnership boasts more than 180 committed members, including more than 100 countries. Our work and insights are systematically collated and shared through a comprehensive knowledge management system, knowledge portal, and peer exchanges. Our action-based learning is widely shared with the global community of climate change thought leaders, decision-makers, and implementers at all levels through varied knowledge products, expanding communication platforms and consistent presence at high-profile events. The Partnership pioneers urgently-needed models for more effectively working together, uniting countries and institutions more effectively and taking a whole-of-society approach. This enables the Partnership to mobilize efforts across governments and across societal actors, including integrated approaches to gender equality and youth engagement.

Our success is made possible by the impressive commitment of members. In more than 70 developing countries that are receiving support to implement and enhance their NDCs, more than 100 implementing partners, both members and non-members, are providing support. More than 10 partners have provided funds for the Support Unit's operation to facilitate the Partnership's comprehensive actions. This is a testament to the shared conviction that by working together, we can be more than the sum of our parts.

Countries are empowered to lead their own NDC implementation and enhancement strategies. Development and implementing partners mobilize support in line with their comparative advantages and in coordination with others. Shared public plans avoid the risk of duplicating efforts. We have a model that countries increasingly request.

The Partnership's success is also leading to significant challenges. Despite the impressive rise in support to countries, it lags behind demand thanks to our rapid growth. Under the current response rate, there is a risk of leaving engaged countries without the support they need to achieve their climate goals. If members cannot respond to requests, the task of filling gaps in support generally falls on the Support Unit, which is running close to the limits of its capacity. The Support Unit is not an implementing partner, but is often left to take on tasks by default. For us to keep up with country needs, members need to respond even more quickly and expansively or the Support Unit needs the capacity to fill the gaps.

This new Work Program for the period 2021-2025 aims to build on the Partnership's early success to drive still more ambitious action on climate change and sustainable development. It is designed to coincide with the five-year Paris Agreement cycle. It will support countries through implementation of their newly-revised NDCs submitted in 2020-2021, through the Global Stocktake of 2023, and into the new cycle of NDC revision and enhancement that culminates in 2025. It ends just five years before 2030, when the Sustainable Development Goals (SDGs) are to be met as well as the targets in the first round of NDCs. The Partnership aims to be a major driver for successful implementation of both the Paris Agreement and the 2030 Agenda for Sustainable Development.

This Work Program will unfold in very challenging circumstances. Even without the disruptions of 2020, global action on climate change lags well behind what is needed. Global emission trajectories have us on a course to far exceed the two degree or 1.5-degree Paris Agreement warming goals. The aim to mobilize \$100 billion per year in climate finance for developing countries has not yet been met. Countries are generally not on course to meet the Sustainable Development Goals.

Box 1: At a glance: Achievements from the 2018-2020 Work Program

During the less than four years since its founding, the Partnership has made significant progress. This progress is documented in full in Progress Reports on the 2018-2020 Work Program as well as the CAEP Progress Reports presented to the Steering Committee. These are based in part on an independent Mid-Term Review. In summary:

- **Thirty Partnership Plans have been developed**, harmonizing support from donors and providing a mechanism for coordination, improving the effectiveness of support. These Plans also help countries to prioritize and coordinate action.
- **Governments across 46 countries have identified and operationalized facilitation mechanisms ranging from government taking charge of overall coordination, to facilitation through 30 embedded facilitators, to institutional members nominated to play the role of facilitator.** With support from seven Partnership members, these mechanisms have proven effective to enhance coordination and provide much needed capacity to governments.
- **Forty-eight countries have established or strengthened NDC or Climate Change Sectoral Working Groups at the technical or ministerial levels.** These are bringing together different sectoral priorities and perspectives and leading to concrete synergies between sectors to support discrete climate change mitigation and adaptation policies and activities.
- **Over USD500 million has been mobilized and disbursed through multiple member managed NDC financing facilities.** Members have worked together through consultative processes to plan, program, and disburse resources for a collective impact.
- **Economic Advisory support to the finance and planning ministries of 32 countries** is recognized as one of the earliest movers to integrate climate in economic recovery plans.
- **Through the Climate Action Enhance Package (CAEP),** a total of 63 countries are receiving support to enhance the quality of their NDCs, raise their climate ambition, and fast-track implementation. This financial and technical support is being delivered by 46 partners with more than USD45.5 million in financial support in less than 12 months, including USD23.8 million disbursed through the Partnership's Technical Assistance Fund (TAF) and more than USD21.7 million leveraged in co-finance from partners.
- **The Partnership's Knowledge Portal** contains almost 1,000 curated tools and resources contributed by members and non-members across the Climate Toolbox (640), Good Practice Database (252), and Climate Finance Explorer (98), while also providing valuable data on GHG emissions, NDC-SDG linkages, NDC content, and other data tools.

- **The internal knowledge management system (kNook)** catalogues a unique data set with approximately 4,300 individual country requests to the Partnership and the support being delivered against them. These data inform regular briefings to all members to analyze trends and fill gaps in support.
- **The Partnership has facilitated more than 40 peer exchanges since 2018**, engaging more than 2,000 country and institutional participants to share lessons and insights from practical experiences in climate action.

These challenges would be daunting enough, but recent events have made them herculean. The world struggles with a pandemic that will certainly persist through 2021 and likely well beyond. As a result of recovery measures, most countries face a growing debt burden that will put serious pressure on budgets for climate spending, both domestically and internationally, throughout 2021-2025. Indebtedness will limit the scope for investment in many countries. Furthermore, a preoccupation with economic recovery and health care responses will pull political attention away from climate action unless countries find ways to pursue these issues together.

Social and economic pressures have played a role in surfacing long-standing questions of equality and inclusion. It remains unclear how much ongoing limitations on travel and large meetings will hamper essential activities for countries and for those supporting them.

There are also opportunities, though. The focus on economic recovery has opened an expansive discussion about how countries can “build back better” using economic recovery measures to invest in more sustainable infrastructure and models of growth. The push to build more resilient health care systems and societies, a renewed appreciation for scientific advice, and the demonstrated power of action through concerted public policy and multilateral efforts all closely overlap with the drivers of climate action. The focus on social and economic inequalities matches the Partnership’s approach of combining climate and sustainable development action as well as its strategic engagement on subjects such as gender equality and youth. A greater focus on ambition and the alignment of NDCs with long-term climate strategies will help countries avoid later problems of stranded assets or being locked in to higher-emission growth paths.

Nevertheless, with political attention and financial resources focused on the health crisis and economic recovery, the ship of climate action will start 2021 sailing into strong headwinds. Countries will require sustained support as they face competing public policy priorities and tighter budgets. Although the Partnership’s members will be vital to the global response, they are not the whole picture. Important action will depend on major non-member countries that are not yet engaged with the Partnership. The Partnership will need to inform and inspire action from these major actors as well as support its own members. This Work Program includes measures to take a more proactive stance in engaging major emerging economies.

Finally, the Work Program is designed to be flexible. In the year since the 2019 Climate Summit, the world has seen widespread youth protests demanding climate action, a global pandemic, the steepest economic downturn in a century, and the sparking of massive political action in response to racial, social, and economic injustice.

We must be ready to adapt to unforeseen future events. A mid-term review will be conducted during the Work Program's third year and used as the basis for major adjustments. But the Steering Committee, meeting every six months, will also be empowered to make course corrections as they are needed. The Partnership serves the twin goals of accelerating implementation of NDCs and enhancing their ambition while driving sustainable development (see Figure 1 for what is new in this Work Program and Figure 2 for the Theory of Change). By 2025, we seek to ensure both that members are well on the way to implementing their NDC goals for 2030 and that they have submitted revised NDCs setting greater ambition beyond 2030, empowered by growing and effective support. This Work Program builds on the successful model of country driven engagement established by the Partnership's work in 2018-2020 and informed by the mid-term review of that work carried out in early 2020. It also seeks to:

- **Strengthen the links between development and climate action** by supporting coordinated actions across governments and societies.
- **Promote greater commitment, coordination, and engagement from members**, including political engagement and commitment to a whole-of-society approach from countries, and "whole-of-institution" engagement from institutional and associate members.
- **Scale up resource mobilization to support country action**, both through the increased commitment from members and by using NDC Action Plans as the basis for engaging a wider community of investors.
- **Deepen engagement on NDC implementation and enhancement** with major emerging economies within the Partnership.
- **Drive action beyond the Partnership** by sharing learning and demonstrating political leadership.

A GUIDE TO THIS WORK PROGRAM

The Partnership's work covers many areas of climate and development responses. Some are of particular interest to different members, which is part of what makes the Partnership so valuable, as members focus their efforts and expertise where they will be most effective. The Partnership's members offer a vast range of expertise and support. This Work Program does not attempt to encompass that range, but to focus on where acting as a Partnership adds to our collective effectiveness.

Members have identified many topics of urgent interest. These will feature in the Partnership's work through our core modalities. First, countries may make any relevant request and the Partnership will respond through its members. Second, members and the Support Unit will support knowledge and learning on topics of interest.

This document does not attempt to spell out all the issues that will be covered because the Work Program aims to maintain the Partnership's flexible, country-driven approach. This is in line with the recommendations from the 2018-2020 Work Program Mid-Term Review.

The Partnership responds to requests from any developing country member on an equal basis. Because of the nature of the support we offer, least developed and most vulnerable countries particularly benefit. We have had less success so far in engaging with major emerging economies. For this reason, there is a specific discussion of major emerging economies, but this does not indicate that these are a priority group for the Partnership.

PRINCIPLES USED IN THIS WORK PROGRAM

CLIMATE ACTION

The Partnership supports climate and development action through the NDCs. Our climate action is governed by the Paris Agreement. This means that:

- Adaptation and mitigation action are equally important.
- Mitigation action should be consistent with the Paris Agreement goal of limiting warming to well below two degrees centigrade and pursue efforts towards 1.5 degrees centigrade as compared to pre-industrial levels.
- Adaptation action aims to increase countries' ability to adapt to the adverse impacts of climate change, and to foster resilience and low-carbon development while preserving food security.
- Finance flows should be consistent with a pathway towards low greenhouse gas emissions and climate-resilient development.

Based on countries' priorities and requests, all Paris Agreement elements will be supported through the Partnership to empower countries to achieve the Paris Agreement goals. These include, but are not limited to, implementation of NDCs, enhancing ambition, alignment of NDCs with long-term strategies, and implementation of the Enhanced Transparency Framework. As future stages in the Paris Agreement processes arise, such as participation in the 2023 Global Stocktake, we expect that the Partnership will respond to related country requests for support.

CLIMATE-DEVELOPMENT LINKS

One of the Partnership's guiding principles is to align the climate and development agendas. This link is spelled out in our Theory of Change, which connects the Paris Agreement's implementation and the 2030 Agenda for Sustainable Development, as well as the Addis Agenda on financing for sustainable development. This supports an integrated approach to climate action with development and associated topics, such as green job creation, and includes efforts by countries to recover from COVID-19 in a way that is aligned with their climate goals.

NDC ENHANCEMENT

NDC enhancement in this Work Program encompasses two elements: increasing ambition and improving quality, which can also be enabled by strengthening NDC development processes. Either or both may be present in a particular country's enhancement activities.

- **RAISING NDC AMBITION** means strengthening mitigation or adaptation targets and actions over time. Countries may raise ambition by strengthening emissions reduction (including the addition of sector-specific targets) or by broadening the scope to include wider coverage of sectors or gases. Countries may also raise ambition by moving from conditional to unconditional targets, shortening timelines, adding policies and measures, or adding adaptation targets.
- **IMPROVING NDC QUALITY** means ensuring targets are based on strong underlying data; are detailed, achievable, and verifiable; and are developed under an inclusive and transparent process. Countries may develop more detailed action plans, including sector-specific plans, with outcomes, costing, financing, governance, and the use of robust methodology (scenario-based modelling), which ensures that targets are strategically aligned with national policy and LTS. This means including or strengthening mechanisms for monitoring and oversight or including additional information on vulnerabilities, gaps, and barriers to inform adaptation planning. Countries may engage a wider range of stakeholders to ensure that NDCs are realistic, implementable, and inclusive, and they may build the capacity to better develop and implement NDCs.

EQUITY AND INCLUSION/ WHOLE OF SOCIETY

Support for social equity through NDC action is at the heart of the Partnership's work. Frequent reference is made to whole-of-government and whole-of-society approaches. These refer to supporting countries in engaging as comprehensively and effectively as possible with all branches of government and with wider stakeholder groups, respectively. A priority is the development of lasting capacity in national institutions. References to capacity in countries, including in the Theory of Change, assume this priority.

The Partnership values outcomes that promote the interests of disadvantaged and underserved populations who are most vulnerable to climate impact and works towards equitable outcomes that meet their needs. We support these outcomes in response to country requests. In the context of the Partnership, this includes a commitment to gender-responsive climate action implemented through the Gender Strategy and to meaningful engagement with young people through the Youth Engagement Plan. Use of the term "equitable and inclusive" in the Theory of Change and elsewhere in the document includes all these elements.

NDC ACTION PLANS

Countries can make requests through the Partnership in a variety of ways. At the center of the country engagement process is the Partnership Plan. These have been designed from the start as a flexible instrument to include whatever NDC actions the country wishes and to track support for those actions. Partnership Plans will remain at the heart of our work. However, country requests can come in a variety of forms, including but not limited to Partnership Plans (PPs), Request for Support Letters (RSLs), Climate Action Enhancement Package (CAEP) support, and support provided through the Economic Advisory initiative (EA).

"NDC Action Plans" in this document is a generic term that refers to national government-owned plans outlining how a country will implement or enhance their NDC, with support from the Partnership. It includes all of the above instruments.



**A glossary of
other terms
used in the
Work Program
is in Annex 3.**

FIGURE 1: WHAT'S NEW IN THE 2021-2025 WORK PROGRAM

The core of the Partnership's work will remain the same. We will focus on:

- Responding with speed and flexibility to country requests related to NDC implementation and enhancement
- Sharing information on country requests among all members to mobilize the widest possible range of support
- Supporting countries in taking a Whole of Society approach, engaging a wide array of stakeholders and aligning climate and development agendas
- Sharing knowledge and learning from all the Partnership's activities

The new Work Program foresees the following enhancements:

FOCUS ON BOTH IMPLEMENTATION AND ON RAISING AMBITION

Build on the Climate Action Enhancement Package (CAEP) to provide earlier support in the next round of NDC updating.

STRONGER FOCUS ON MOBILIZING MEMBERS

Increased member engagement at the political level to mainstream NDC action and share Partnership messages.

Greater engagement with non-members and with major emitters.

Continuous refinement of the Partnership's work based on M&E and periodic consultations with members.

IMPLEMENTATION OF CLIMATE AND DEVELOPMENT PRIORITIES WITH SPEED AND SCALE

More analytical work to strengthen climate-development linkages as basis for more effective implementation.

More structured alignment to members' country planning and budget frameworks and long-term climate strategies.

Drive greater social equality through the Gender Strategy and Youth Engagement Plan.

MORE ACTION TO MOBILIZE FINANCE

Deeper integration with ministries of finance and planning.

Support development of regulatory frameworks to attract domestic and international investment (public and private).

Identify and further develop bankable projects promoting private sector investment and mobilization of finance by members.

Alignment of climate priorities with post-COVID economic recovery plans through economic advisory support and other activities.

FIGURE 2: THEORY OF CHANGE

IMPACT	OUTCOMES	INTERMEDIATE OUTCOMES	OUTPUTS	ASSUMPTIONS	
<p>Countries successfully reduce emissions, improve climate resilience, and advance sustainable development, with strong international support consistent with the achievement of the Paris Agreement and the 2030 Agenda for Sustainable Development</p>	<p>By 2025, member countries are on track or ahead of schedule to implement their NDCs with the support of the Partnership</p>	<p>Implementing and development partners accelerate and coordinate support so that member countries have the capacity and resources needed to implement and update their NDCs using a whole-of-society approach</p>	<p>Implementing and development partners have the capacity and resources to respond with speed and flexibility to requests from countries through the Partnership</p>	<p>High level commitment from members and other stakeholders in line with the Guiding Principles of the NDC Partnership</p>	
	<p>Member countries communicate new NDCs reflecting greater quality and ambition by 2025 with the support of the Partnership, inspiring and informing others</p>		<p>Member countries have results-based, equitable, and inclusive NDC Action Plans in place, aligned with development and recovery plans</p>		<p>Availability of technical and financial resources and capacity building support from members for NDC implementation and updating at the national and subnational levels.</p>
		<p>Member countries have integrated NDC mitigation and adaptation targets into national and subnational development plans, policies, budgets, and recovery plans</p>	<p>Member countries have participatory NDC coordination mechanisms and resources for inclusive and transparent NDC implementation and updating</p>	<p>Implementing and development partner members are willing to use country requests presented through the Partnership as a key element in their resource programming</p>	
		<p>Member countries receive increased investment flows towards climate action</p>	<p>Increased country access to knowledge and capacity development</p>		
				<p>Improved enabling environment established and public and private finance providers mobilized</p>	<p>Members receiving support have cross-government commitment to the ongoing implementation and enhancement of their NDCs and to the work of the Partnership</p>
				<p>Implementing and development partners use Partnership data and insights to program support in alignment with NDC Action Plans</p>	

1

HARNESS THE STRENGTHS OF MEMBERS

The Partnership's success has been made possible by the impressive commitment of members and dedicated stakeholders. We are a country-driven, member-led initiative and our members work together to achieve a greater collective impact than would be possible acting individually. This section describes measures that can deepen cooperation during the period 2021-2025.

1.1

DEEPENING POLITICAL ENGAGEMENT

The Partnership has tremendous potential for increased political impact. Collectively, our members have enormous credibility and capacity to demonstrate and drive political leadership. Members demonstrate commitment based on their own NDC implementation, through climate diplomacy, and in their role as support providers.

MEMBERS WILL:

- **Speak out on climate action** and, where possible, on the Partnership's behalf, through various channels: bilaterally with partners and at a range of global fora, including beyond climate.
- **Use the platforms they lead and can access** to amplify Partnership successes, lessons, and calls to action.
- **Increase awareness of climate change** to decision makers at the highest political levels.
- **For countries, promote cooperation with the NDC Partnership** in governance structures where there are shareholders or development partners. These include the European Union, the Multilateral Development Banks (MDBs), International Organizations, international coalitions, etc.
- **For institutions, make efforts to mainstream climate action across organizations and promote cooperation through the Partnership** by engaging with departments responsible for major spending and policy action.
- **Use diplomatic channels and other foreign policy outreach** to promote climate action and highlight the advantages of collaboration through the Partnership.
- **Build on existing networks and relationships** to promote engagement of major emerging economies with the Partnership (see section 2.1.5).
- **Leverage the Partnership's visibility and reputation** to strengthen member engagement, work closely with non-members that can bring value to the Partnership, and attract new members.

1.2 SCALING UP ACTION

The Partnership is a collective of solution-oriented actors. We work together as a catalyst for action, responding to and inspiring the membership, and spurring one another to enact local solutions to global challenges. We succeed when members embody the Partnership's principles.

MEMBERS WILL:



- Demonstrate leadership on climate ambition and sustainable development by working towards ambition consistent with the Paris Agreement goals, as well as speaking to their own NDC implementation and enhancement experience.
- Provide policy and technical expertise, sharing experiences, tools, and concrete examples of best practices.
- Accelerate efforts to mainstream climate action and sustainable development across all internal policies, projects, and investments.
- In the case of developed countries, provide increased funding and/or technical assistance, where possible, to operationalize the Partnership's work.
- Share knowledge based on their comparative advantage, including by adding knowledge resources to Partnership platforms.

FOR COUNTRIES:



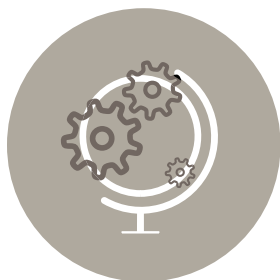
- Demonstrate effective implementation of NDCs and enhancement of NDCs over time.
- Take a whole-of-government and whole-of-society approach, including collaborating with the private sector, youth, and vulnerable populations, and mainstreaming gender in NDC implementation.
- Align planning frameworks, national policies, and budgets with country climate priorities as identified in NDCs and long-term climate strategies. Develop long-term climate strategies where appropriate.
- Demonstrate ownership of the NDC process through vested staff time and resources.
- Enhance capacity in national institutions.

FOR INSTITUTIONS:



- Provide technical and financial resources in response to stated needs of member countries.
- Strengthen coordination with other institutions and relevant stakeholders to improve impact.

THE SUPPORT UNIT WILL:



- Serve as the Secretariat for the Partnership, supporting its governance and operation, facilitating member engagement, and coordinating interaction across the membership.
- Expand efforts to foster frequent and meaningful collaboration among members.
- Identify initiatives and areas of interest of members who can provide support and identify gaps in support to match with available resources.
- Create visibility to recognize and further incentivize membership commitments and contributions.

1.3

ENGAGING NON-MEMBERS

The Partnership's work focuses on the actions of its members. Nevertheless, many non-member organizations already play an important role in our success. More than 50 non-members have supported countries and collaborated with the Partnership more broadly during the first Work Program. These include multilateral funding bodies such as the Green Climate Fund (GCF) and Adaptation Fund; international sources of expertise such as the Organisation for Economic Cooperation and Development (OECD); and in-country implementing partners such as the 2050 Pathways Platform. Some such partners may eventually become Partnership members.

Others have governance arrangements that make this unlikely. Cooperation also extends to other platforms with complementary work, such as the New Climate Economy, Partnering for Green Growth and Global Goals (P4G), and the Global Commission on Adaptation. We will seek to grow these kinds of cooperation, regardless of whether these organizations wish to consider membership. Cooperation will be managed through our core processes—participation in the country engagement process and cooperation on knowledge and learning activities.

The Partnership welcomes new members but does not actively seek to grow its membership. Nevertheless, some non-member countries and institutions will be important to our mission due to their size, regional influence, or importance in critical sectors. Members will use their own networks to expand cooperation with non-members where possible.

Many in-country constituencies, including subnational authorities and private sector actors, are also vital to the Partnership's success. In line with our country-driven model, the Partnership welcomes cooperation with these constituencies but will engage them only in accordance with requests from national governments.

The Partnership's Steering Committee will also consider inputs from youth stakeholders from within and beyond its membership in the form of recommendations from the Youth Forum described in the Youth Engagement Plan.

How the NDC Partnership Engages Critical Constituencies

The Partnership works with a diverse group of non-member partners to advance our mission. NDC implementation and raised ambition require a broad base of stakeholders, including multilateral institutions, international initiatives, subnational governments, and the private sector.

MULTILATERAL INSTITUTIONS

Multilateral institutions participate in the Partnership as members and non-members, both directly in country engagement work and indirectly through strategic collaboration. They may contribute directly to the Partnership's work or may fund or implement member work in country. We work to enhance collaboration both in country and at the international level.

INTERNATIONAL INITIATIVES

The Partnership works in close collaboration with international initiatives and coalitions that serve the membership. These include platforms with a technical or sectoral focus and those that represent specific stakeholder groups. We work to develop complimentary strategies, align messaging, and support delivery of relevant programs.

SUBNATIONAL ACTORS

The Partnership includes members that are networks of sub-national governments as well as UN agencies focused on regional or local initiatives. We engage with sub-national actors on the request of national governments, who often see them as critical stakeholders in the implementation and enhancement of NDCs. Through our knowledge products and events, we highlight best practices from subnational actors.

PRIVATE SECTOR

Our members include networks of private sector stakeholders and institutions that specialize in engaging with the private sector. Private sector actors play important roles in planning, creating enabling environments, and mobilizing financing investment. They are instrumental in project implementation and play an important role in shaping policy. As major sources of emissions and potential impacted stakeholders, their active role in mitigation and adaptation is also vital. We engage with private sector actors in country on the request of national governments. Private sector investors are also important audiences for Project Idea Notes (see section 2.1.4) and for peer exchanges on relevant topics.

We also share our information and knowledge resources widely to include all types of stakeholders. For instance, the [Knowledge Portal](#) draws together resources most relevant for NDC implementation in an easily searchable platform that is freely accessible for all users. Written products, such as the Partnership in Action report (see section 3.3.1), bring Partnership insights to wide audiences. Our monthly newsletter is open to all interested parties and shares up-to-date information about the Partnership.

2

DEPLOY IN-COUNTRY SUPPORT AT SPEED AND SCALE

Partnership engagement starts with a country's requests for support and leads to the development and execution of a Partnership Plan¹ or another form of NDC Action Plan². Our approach is highly flexible, allowing countries to express their needs and align support with their planning, budgeting, and coordination mechanisms. The Partnership's agility has allowed us to provide customized support and to deploy innovative initiatives such as the Climate Action Enhancement Package (CAEP) and assistance on greening COVID-19 economic recovery planning. Engagement with the Partnership has fostered confidence on the side of its country members that timely support is ready for developing and implementing increasingly ambitious NDCs.

The Partnership's processes ensure countries can communicate their priorities to members for support. This prioritization exercise occurs at two stages:

Led by Members

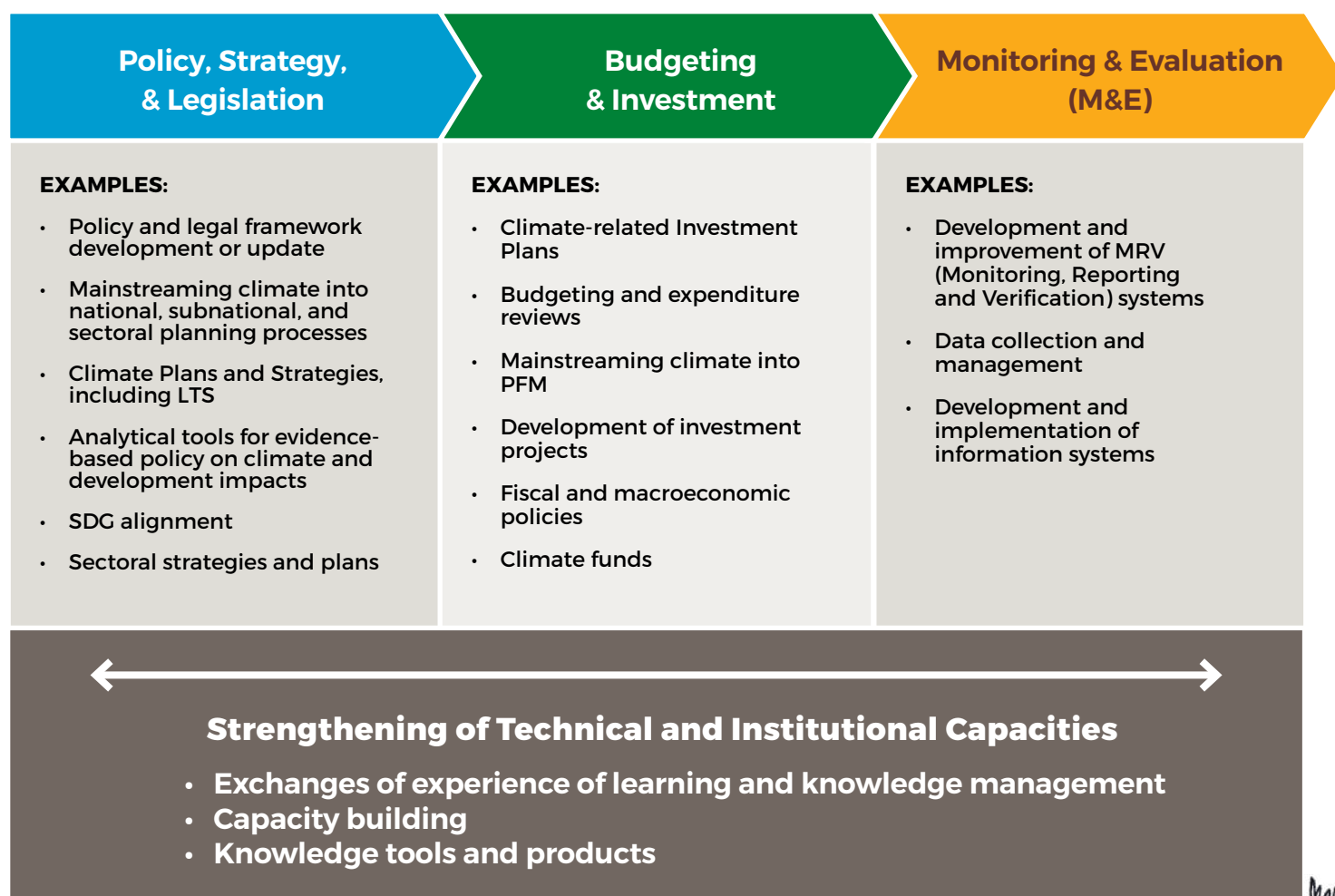
The Partnership's services are centered on maintaining the flexibility and adaptability of its approach. All country actions proposed, unless otherwise mentioned, are to be led by Partnership members, while the Support Unit facilitates coordination and helps match needs with members' resources.

1. A plan that outlines prioritized objectives and outputs, set by the government to achieve country NDC goals. The Plan can be used to ease planning, coordination, and the tracking of NDC implementation progress, as well as for resource mobilization. In some member countries, the Partnership Plan may have another name (e.g. NDC Implementation Plan or NDC Action Plan).
2. See the introductory section "A Guide to this Work Program" for a definition of NDC Action Plans.

REQUEST FOR SUPPORT LETTER (RSL): a formal letter from country focal points that is shared with members. The letter identifies priority areas in which the government is requesting support from the Partnership. The value chain of services (Figure 3) is communicated to the government at the onset of the Partnership's country engagement and acts as a framework for setting priorities. Requests focus on short- and medium-term interventions that can catalyze broader transformational changes. RSLs build on consultations with line ministries, existing policy frameworks, climate change strategies and action plans, and the gaps identified in those.

NDC PARTNERSHIP PLAN: Based on a whole-of-society approach involving extensive consultations, the government prioritizes actions that are reflected in its Partnership Plan as outcomes, outputs, and KPIs. During the design of the Plan, several rounds of consultations are organized with government, partners, and civil society stakeholders, leading to the alignment, prioritization, and refinement of initial proposed measures. The Plan does not intend to address all country needs to achieve the NDC; rather, it is a tool that the country uses to set priorities and that Partnership members use to mobilize support. These plans are timebound but flexible and according to country requirements may include short-term needs as well as longer-term strategic plans.

FIGURE 3: VALUE CHAIN OF SERVICES



Once needs of countries are communicated, based on RSL or NDC Action Plans, members define how they will prioritize their support, based on their respective comparative advantages. Analysis of trends in requests at thematic, sectoral, and regional levels, as well as of gaps in support, are conducted on a regular basis by the Support Unit, and are readily available for members to support their programming.

The Partnership will build on its successful country-driven engagement model and deploy a two-pronged approach of (a) facilitating the development, execution, and coordination of NDC Action Plans; and (b) responding to common needs through special initiatives (such as CAEP or the Economic Advisory initiative).

The Work Program includes strengthened capacity to mobilize technical assistance and a mechanism to bring financing opportunities from NDC Action Plans to potential investors. It pursues low carbon, equitable, and resilient development and engagement with major emerging economies. Finally, it includes the continuous championing of greater climate ambition.

2.1

SUPPORTING CLIMATE AND DEVELOPMENT PRIORITIES

We support members as they translate NDCs into achievable plans with measurable and time-bound targets. Our aim is to further promote integration of climate action into national, sectoral, and subnational development plans and budgets, and drive investment opportunities to ‘speed and scale up’ NDC implementation. As the medium- to long-term economic consequences of the COVID-19 pandemic unfold nationally, regionally, and internationally, the Partnership will continue to remain agile and responsive to seize opportunities for a better and greener recovery.

2.1.1

STRENGTHEN ANALYTICAL SUPPORT FOR IMPLEMENTATION

The Partnership will inform its support to member countries by conducting an analysis at the start of the in-country engagement process to better understand the interaction between national development objectives, SDGs, and climate priorities (i.e. as reflected in both NDCs and long-term strategies). This analysis will be conducted by members with Support Unit facilitation. It will be developed in close coordination with the government requesting support, and will include:

- **Identifying updated NDC priorities**, their alignment with Sustainable Development Goals and development plans at the national, sectoral, and sub-national levels, and long-term strategies.
- **Conducting analytical work**, based on needs of the governments, to better understand the link between climate and its impact on social and economic goals.
- **Mapping of development and implementing partners’** (both members and non members) ongoing, pipeline, and new climate-related projects/programs to better understand the availability of support.

- **Further analyzing and clarifying governments' requests for support** to the Partnership.
- **Mapping relevant stakeholders, roles, and responsibilities**, including women and youth.
- **Assessing alignment** between COVID-19 recovery plan(s) and updated NDCs.
- **Assessing the institutional landscape and capacity gaps**, including issues related to just transition and social inclusion.
- **Mapping relevant stakeholders, roles, and responsibilities**, including women and youth.

The Partnership's climate-development analysis will draw on existing work by members and non members. It will draw on trends from its broader global work through the kNook (see section 3.1.1), other relevant tools, and members' in-country experience and expertise. It will serve as a reference point for developing and revising NDC Action Plans.

2.1.2 ALIGN DEVELOPMENT COOPERATION AND CLIMATE PRIORITIES

The Partnership's members continue to put climate at the heart of their programming, disbursement, and tracking strategies. For the Partnership to remain relevant and effective, development and institutional members constantly look for more flexibility in their programming to respond to country needs in a timely manner. In order to enhance alignment and speed of support delivery, members will:

- **Continue to provide support to address NDC implementation gaps and priorities**, as identified by countries and communicated to the Partnership.
- **Establish or strengthen dedicated flexible technical assistance programs** that can respond directly to requests generated through the Partnership's country engagement processes.
- **Continue to raise awareness** and promote the Partnership's work at the country level.
- **Ensure the needs** of countries surfaced through the Partnership are integrated in country strategies of bilateral and multilateral development partners.
- **Represent the Partnership as a whole** when working on behalf of the Partnership, and seek to collaborate with other members wherever possible.
- **Shorten the timeframe** between receipt of country support requests by the Partnership and delivery of support at the country level.
- **Ensure coordination** among Partnership members to promote the incorporation of climate into development plans and recovery packages.
- **Proactively engage high-level national actors** throughout the Partnership's country engagement cycle to ensure that NDC and implementation plan priorities are subsequently communicated in bilateral negotiations with development partners.

Development cooperation grounded on the principle of the high-level statement

The Partnership's high-level statement (*Promoting a Low-Carbon, Equitable and Resilient COVID-19 Economic Recovery*), signed off on by 80+ members of the Partnership, highlights the urgency for governments and development partners to continue working together and fast tracking support to address the COVID-19 and climate crises.

To ensure systematic and strengthened match-making between needs of countries and support, technical assistance, or project financing, the Support Unit will ensure the following step-by-step approach:

- **Step 1: Periodic briefings** on gaps in support, readily accessible to development and implementing partners. This will be prepared at both the country and global levels;
- **Step 2: Systematic mapping** of development and implementing partners' priorities; planning at country levels for a better understanding of partners' comparative advantages and identifying who could potentially support what;
- **Step 3: Targeted coordination and outreach**, tailoring needs of countries with the timeliness and funding priorities of relevant partners.

2.1.3

ESTABLISH A POOLED FUNDING MECHANISM TO SUPPORT COORDINATION AND ACCELERATED IMPLEMENTATION

The Partnership's success is based on the mobilization of expertise and resources by its members. During this Work Program, the great majority of resources will continue to be deployed through members, who have the capacity to provide support at scale. To date, various technical assistance (TA) instruments have been designed or used to support the Partnership's work. This ranges from the World Bank's NDC Support Facility to GIZ's NDC Assist, to the UK government's Partnering for Accelerated Climate Transition (PACT). In some cases, associate members such as WWF designed specific projects to deliver the Partnership's country work, thereby ensuring more convergence among members to respond to specific country needs. And, in other cases, existing project scopes have been expanded to accommodate the needs of countries surfaced through the Partnership's work. The Partnership will continue to promote and further deepen these member-driven initiatives as development and implementing partners allocate flexible resources to respond to country requests.

There is a powerful case to complement this member support with the establishment of a pooled funding mechanism, based on the proven success of the Technical Assistance Fund (TAF) established to support the Climate Action Enhancement Package (CAEP). There are three reasons supporting the case:

- 1. Engaging more members and filling gaps in support:** With resources coming exclusively from partners, CAEP would have resulted in support for 40 percent of the requests made by 59 countries, delivered through 25 partners. With the leveraging effect of TAF, CAEP was able to support nearly twice as many requests (75 percent)³ from all 63 countries through 46 partners (40 implementing partners and 6 TAF funders). With TAF, 15 additional implementing partners provided support to countries while others amplified their impact by supporting more countries and/or more activities. As a last resort, and to fill important gaps in support government identified as critical, 5 percent of requests were directly supported by the Support Unit across 14 countries using TAF resources.
- 2. Reducing transaction costs for bilateral development partners:** The Support Unit currently manages the budget for technical assistance, which includes in-country facilitation support on behalf of some bilateral development partners. This reduces overall transaction costs for development partners who do not have large implementation agencies to manage such funds. It also allows direct engagement through development partners' government representatives posted in countries requesting support, allowing them to achieve their bilateral objectives without having to manage funds.
- 3. Accounting for staff time:** With a rapid increase in demand for technical assistance services on behalf of development partners, having a permanent pooled funding mechanism will enable the Support Unit to properly allocate staff time to manage resources on behalf of members. At present, this role falls on staff that are already at full capacity.

Under this Work Program, therefore, the Partnership will establish a limited pooled funding mechanism that will have three windows.

3. Support for a total of 1,063 activities was requested by countries. 796 of these have confirmed support through CAEP. Some activities, due to their large scope, are receiving support from multiple partners with funding from partners and from TAF. In these instances, TAF was used to supplement support where gaps remained unfilled within activities.

WINDOW 1: FACILITATION SUPPORT

This window is in line with the recommendation from the 2018-2020 Work Program's Mid-Term Review that suggests an earmarked fund be developed for facilitators to be quickly deployed to support country needs. In cases where members are unable to directly provide facilitation support to countries, this window would fill the gap. Depending on the context, funding could also be used to bridge support before a member takes over the responsibility, or for the entire duration of the facilitation support. The former will be the preferred arrangement and members that are willing and able to provide facilitation support will be given priority over using resources from the pooled funding mechanism. Contributing bilateral development partners will have the option to earmark their funding for specific countries, based on their priorities.

WINDOW 2: TECHNICAL ASSISTANCE SUPPORT

This window provides support to members to respond to urgent country needs. This would be limited to unsupported time-sensitive activities or unsupported *ad hoc* requests from governments. Where institutional or associate members have the technical expertise to respond to country needs but lack immediate financial resources, this window would enable them to respond with speed and flexibility.

Under this window, there is also the potential to fund thematic calls on topics where large needs have been identified. Any such calls will be determined based on country needs and with approval of the Steering Committee. Between 2023-2025, this window will also support NDC updating. As per current practice, all institutional and associate members will be eligible to access resources to deploy the support needed by countries.

WINDOW 3: SCOPING SUPPORT

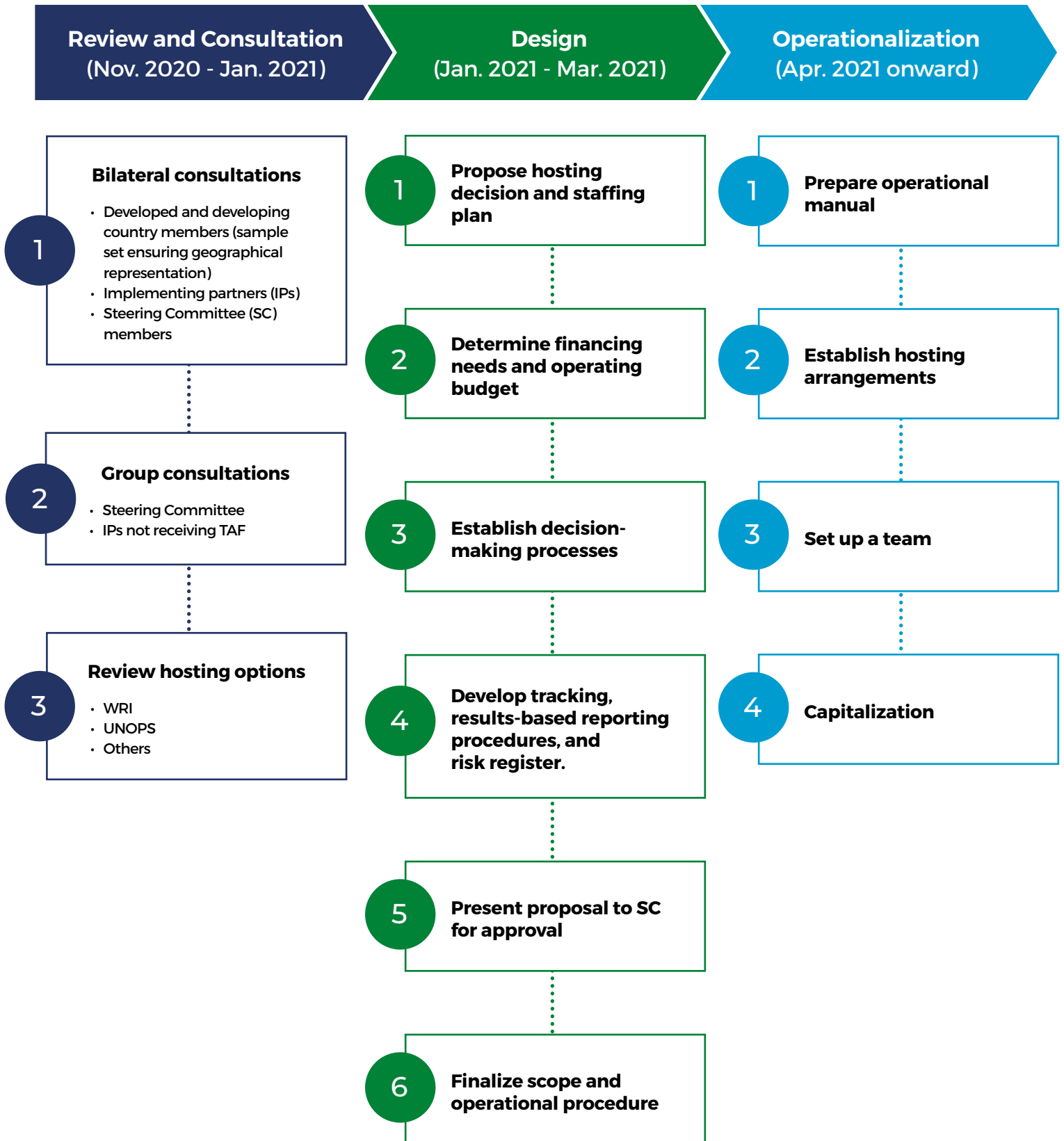
On request from a member country, this window will be used to fund an institutional or associate member which does not have its own resources to initiate engagement on the Partnership's behalf. Seed funding could be used for workshops, mission travel, technical analyses, or stakeholder engagement as part of early stage in-country engagement. This would encourage a wider range of members to take greater responsibility in the Partnership's work and build sustainability. This window would be accessible to institutional and associate members only, working jointly with the Support Unit.

KEY PRINCIPLES OF THE POOLED FUNDING MECHANISM:

- a. **Grantee of last resort:** The Partnership fully supports employing structures, mechanisms, and modalities that are already in place by different members. Only when no response is received from members will resources from the pooled funding mechanism be considered, thereby clearly demonstrating additionality.
- b. **Funder as the main decision maker:** A member who capitalizes the fund can decide to respond to a country request through its own investment made in the fund. Resource programming, disbursement, and tracking will be implemented in consultation with this member.
- c. **Avoid conflicts of interest:** In order to ensure continuation of the Support Unit's role as a neutral broker and matchmaker between country needs and partner resources, under no circumstances will the Support Unit have any role in implementation, including through deployment of third-party consultants for technical assistance support.

The Support Unit will commission an independent third party to propose modalities and hosting arrangements for the pooled funding mechanism. Options will be explored under the guidance of the co-chairs and a proposal will be presented for approval at the Spring 2021 Steering Committee meeting. The full methodology and timeline for this process are outlined on the next page.

FIGURE 4: METHODOLOGY AND TIMELINE



2.1.4 ACCELERATE ACCESS TO CLIMATE FINANCE

Inadequate access to financing remains a chief constraint to achieving the Paris Agreement's goals. Reduced climate spending due to the expense of COVID-19 responses—alongside capital flight, revenue loss, and increased debt—have made investment even more difficult. Ninety percent of countries submit at least one request for support aimed at mainstreaming NDCs into budgeting, public investment portfolios, and planning processes, in addition to prioritizing new climate financing opportunities. **These requests generally fall into five categories: 1) Integrating NDCs into planning, national budgets, and revenue; 2) Climate finance strategies and financial roadmaps; 3) Developing bankable projects and pipelines; 4) Project and program financing and resource mobilization; and 5) Private sector engagement in NDC implementation.**

The Partnership will deploy a three-tier plan to unlock climate finance:

TIERS		
1. NATIONAL LEVEL	2. REGIONAL LEVEL	3. INTERNATIONAL LEVEL
Provide technical assistance for policy reforms for enabling environment and mainstream NDCs into national budgeting, public investment programming, and medium-term expenditure framework	Develop regional investment plans	Link PINs with ongoing member efforts (i.e. the UK government's Climate Finance Accelerator program, Climate Finance Access Network, NAMA Facility) to leverage resources and skill sets
Design Project Information Notes (PINs) ⁴ with periodic opportunities for country focal points to present these PINs to potential investors at national and international platforms	Organize peer-to-peer exchange on access to finance	Targeted consultation with Partnership members, particularly multilateral banks, as potential investors organize investment forums
Develop equitable investment plans, national climate funds, and bankable projects at national, subnational, and sectoral levels; design and deploy innovative financial instruments	Support regional economic recovery plans (for example EU-UK Africa Recovery Action Plan, Africa-EU Green Recovery Plan) and identify gaps in support	Strengthen engagement with Coalition of Finance Ministers for Climate Action on analytical issues, particularly on enabling a market environment for NDC investments.
Coordinate partner support on green recovery plans through economic advisors in planning/finance ministries		Organize peer-to-peer exchange on access to finance

TIERS		
1. NATIONAL LEVEL	2. REGIONAL LEVEL	3. INTERNATIONAL LEVEL
Organize private sector round table dialogues on specific thematic areas in the Partnership's country engagement process		Update funding navigator

A key delivery mechanism for supporting members at the country level would be the rolling out of embedded finance advisors in finance/sectoral ministries. This would provide capacity support for policy, legal reforms for enabling the environment to increase access to finance, and the continuation of Economic Advisory support to identify and further develop climate projects as means of economic recovery.

Based on the above, the Partnership will develop a comprehensive strategy on how to further contribute to enhanced access to finance and private sector engagement. The strategy development will be led by Steering Committee members and presented to the Steering Committee in March 2021.

Expanding PINs

Going forward, the following new elements will be added to PINs:

- **Estimated project cost**
- **Analysis of the most appropriate instruments to finance estimated cost components of the project**, with indicative potential sources of financing for each component
- **Identification of the estimated sources of project revenue generation and the uses of revenues** during the life of the project
- **Proposal for economic incentives** for different participants in the project, with special emphasis on the private sector
- **Project risks**, with special emphasis on how the project cost and financial structure is designed to mitigate these risks

4. PINs are designed to give more exposure and provide additional information on projects included in Request for Support Letters, Partnership Plans, and other planning instruments for NDC implementation. PINs capture specific gap areas as identified by countries, where no specific support has been mobilized. These will serve as a step towards access to finance and can be considered as blueprints for countries to replicate from. Members are expected to take the lead role in the design and implementation of PINs, with the Support Unit surfacing needs and matchmaking.

2.1.5

SUPPORT MAJOR EMERGING ECONOMIES (MEES) IN NDC IMPLEMENTATION AND RAISING AMBITION

Developing countries, including Major Emerging Economies (MEEs), face the challenge of addressing growing social and economic needs while reducing emissions and ensuring their economic development. Together with industrialized countries, MEEs are key to advancing sustainable pathways and achieving the goals set in the Paris Agreement, especially to keep global warming to 1.5°C/well below 2°C. So far, however, the Partnership's engagement with MEE members has been limited.

Seeing the need for a better alignment among those providing support and considering the experience of MEEs as valuable counterparts for the overall objective of the NDC Partnership, the Steering Committee created a task force to develop a strategy to engage MEEs. In line with the deepened political engagement with major emerging economies (described in section 1.1), this strategy proposes an approach for the Partnership to deepen the collaboration with MEE members and, ideally, bring additional MEEs on board by addressing their needs.

The strategy builds on the Partnership's core principle of supporting country-driven processes, including responding to country members' explicit requests. It highlights how established Partnership processes and lessons learned can be adapted and/or reinforced to add value for the Partnership's MEEs.

The inclusive approach of the Partnership provides opportunities for MEEs to mainstream NDC-related support across sectors and leverage international support. In particular, based on existing formats for exchange, the Partnership aims to facilitate high level interactions and overall alignment, increasing knowledge sharing and providing enhanced country-driven support.

In close coordination with the interested Partnership members, the Support Unit could lead or co-lead concerted efforts to highlight the added value of engaging through the Partnership. Upon expression of interest from MEEs, a range of activities aimed at strengthening their engagement could be proposed, sequenced as most relevant based on the country's specific needs and members' ongoing work.

These activities may include:

- **Rapid assessment, analysis, and review of division of labor amongst members in supporting climate agenda**, including mapping of ongoing support, preparation of country-specific narratives, assignment of member high-level contacts, and preparation of a joint analysis.
- **Outreach, definition of priorities, and planning activities**, including responses to time-sensitive requests, outreach at the country-level to ensure alignment and complementarity with key partners, development of MEE Country Engagement Plans, and solicitation and coordination of support through Partnership instruments.
- **Facilitation and alignment of activities**, including organization of joint high-level meetings between MEE governments and members, exploration of targeted financing opportunities, and elaboration of in-country coordination processes.
- **Engagement broadening and knowledge sharing activities**, including peer exchanges and knowledge sharing convenings, thematic business cases, trade opportunities, and business fora.

Acknowledging the complexity of MEEs requires specific and tailored approaches. Closely building upon the significant in-country support already delivered by Partnership members, the Support Unit will ensure that the presented MEE Engagement Strategy is operationalized and incorporated into the existing Country Engagement processes. The Support Unit will build on members' existing work and climate diplomacy, and will facilitate a common approach to design Country Engagement plans with three member MEEs (South Africa, Mexico, and Indonesia). It will also potentially plan for initiating further engagement in other member MEEs.

2.2

COORDINATION MECHANISMS FOR INCLUSION AND IMPACT

The NDC Partnership allows increased transparency and coordination of activities between governments and partners. We will support member countries as they establish government-owned coordination processes and mechanisms for climate and development action. We will spur stronger stakeholder ownership and institutional coordination through enhanced consultation, strengthened facilitation, increased support of in-country NDC coordination mechanisms, and improved management of NDC Action Plans.

2.2.1

ENGAGE KEY GOVERNMENT AND POLITICAL LEADERS AND WHOLE-OF-SOCIETY

We will continue to be led by government focal points throughout our country engagement cycle. Guided by them, we promote a whole-of-government and whole-of-society approach to climate action. This will include active and continuous engagement of national and subnational governments. Inter-agency collaboration will be supported through the deployment of embedded facilitators from the onset.

Members are expected to include key stakeholders in any NDC Partnership-related process, including women, youth, indigenous communities, academia, civil society, the private sector, and subnational actors, amongst others. **These efforts will be led by government focal points and supported by members, and could include:**

- **Inclusive and extensive consultative processes** (in the form of sectoral/ministerial/development partners/non-state actor working groups) during the updating of NDCs and the development and enactment of NDC Action Plans.
- **Engagement of Parliamentarians**, particularly through Parliamentarian sub-committees for national budget approval.
- **Engagement of Central Bank representatives** to identify fiscal incentive mechanisms for climate-smart investment, as well as the design and deployment of innovative green financial instruments.
- **Implementation** of the NDC Partnership Gender Strategy and Youth Engagement Plan.
- **Integration** of subnational government needs and private sector opportunities in NDC Action Plans.

Consultative processes, where possible, will be based on existing country systems/processes, rather than creating new ones.



STRENGTHEN NDC COORDINATION AND GOVERNANCE MECHANISMS

Members value the Partnership's consultative, participatory process and highlight the need for further support on governance arrangements for coordinated NDC implementation. Multi-stakeholder engagement and coordination between member countries and development partners has improved, and the Partnership has provided opportunities and mechanisms for harmonizing existing and initiating new donor coordination processes. We will continue to support existing governance and coordination mechanisms at the national and global levels—and will support the creation of new ones where needed—to jointly plan, share information, track, and implement NDCs. **This will be accomplished by:**

At the country level with support from members:

- **Supporting countries** in updating legislation and guiding documents for the establishment or strengthening of NDC governance mechanisms.
- **Supporting multi-stakeholder convenings** for NDC coordination mechanisms, including capacity enhancement for inter-ministerial coordination.

At the global level, facilitated through the Support Unit:

- **Organizing global quarterly calls for members** to provide updates on NDC Partnership country engagement.
- **Hosting periodic global coordination calls** on NDC implementation challenges and opportunities and developing country-specific NDC Partnership quarterly progress reports.
- **Providing access** to the Online Partnership Plan Tool and the Knowledge Management System - Knook for improved transparency and coordination on country level support and gaps.

Members have highlighted the critical role of in-country facilitators. These support coordination across government and provide added capacity for tracking, planning, and mobilizing NDC support. The Partnership (through its members), with a clear exit strategy, will extend embedded facilitation support from one to three years, giving countries the ability to build the necessary systems and the capacity needed to take over this role.

The Partnership, through the Support Unit, will also increase its efforts on the standardized and periodic training of facilitators, as well as clearer government capacity building and transition plans.

2.2.3 UPDATE AND MAINTAIN PARTNERSHIP PLANS

Partnership Plans or other NDC Action Plans help align support from implementing and development partners and improve aid effectiveness. We will enhance their effectiveness through the following member-led actions:

- **Support countries** as they develop, update, and/or refine Partnership Plans or NDC Action Plans in line with the updated NDCs, taking into account progress in implementation and gender and youth considerations.
- **Provide technical assistance** to mainstream key Partnership Plan deliverables into the medium-term development plans.
- **Based on a request from members to enhance transparency**, roll out the interactive web-based Online Partnership Plan tool that enables real-time updating, progress tracking, and country-level reporting.
- **Link the new Online Partnership Plan tool to the kNook** to enable the rapid and current analysis of trends across countries; this will inform members about trends in requests, identify and fill gaps in support, and share lessons learned (see section 3.1.1).
- **Organize periodic feedback exercises** for Partnership Plans to ensure they are up to date and that lessons and best practices are captured through knowledge and communication products. This process will be informed by insights from requests and support across the Partnership's work (see section 3.1.1).

2.3 ENHANCEMENT OF QUALITY AND AMBITION OF NATIONALLY DETERMINED CONTRIBUTIONS

Increased climate action ambition is a key NDC Partnership goal. The Partnership will focus on ambition by expanding its efforts on supporting rapid implementation and providing technical assistance for the next round of NDC revisions.

2.3.1 PROMOTE AMBITION THROUGH RAPID IMPLEMENTATION

Partnership Plan development and mobilization of resources for NDC implementation allows countries to accelerate their actions and create a basis for greater ambition. **Based on Country Engagement and CAEP, the NDC Partnership, through its members, will:**

- **Support countries** as they continually drive their NDC implementation.
- **Provide support to update Partnership Plans** based on enhanced NDCs after 2020.

- **Fast track NDC implementation** through objective two of CAEP support (this support will end in October 2021).
- **Provide support to develop or revise** long-term strategies, when requested by countries, and ensure their finalization so they can serve as the basis for next round of NDCs.
- **In close collaboration with UNFCCC, provide capacity development support from 2021 onwards** to fulfill the requirement for countries to the Enhanced Transparency Framework in general, and the submission of the first Biennial Transparency Report (BTR) in 2024 in particular.
- **Assist countries** in preparing the first Global Stocktake in 2023 and ensure the outcomes are integrated into the national planning, budgeting, and investment processes.
- **Identify and share enhancement lessons and opportunities** from across members to promote wider, more ambitious climate action for the next revision cycle.

2.3.2

SUPPORT THE NEXT ROUND OF NDC UPDATING

Based on lessons learned from CAEP (e.g., key opportunities to raise ambition, consultation processes, sequencing of activities, and co-benefits), a support package for the next round of NDC updates will be developed to bring technical and financial support from members to meet needs identified by countries.

The new support mechanism will be informed by an internal evaluation of CAEP, to be completed in 2021. Several refinements will be made:

- **Provide more time:** Support will be launched at least 36 months ahead of countries' anticipated submission dates.
- **Focus on enhancement:** CAEP offered support for both NDC enhancement (Objective 1) and accelerating implementation (Objective 2). Future support will focus on the NDC enhancement.
- **Clarify country requests:** Improvements will be made to ensure requests are clearly articulated in terms of support needs and how they fit within country plans for the NDC revision. Consultations and workshops with countries and partners will clarify requests and finalize Terms of Reference, or offer deliverables-based support categories. Coordinators will be put in place to ensure there is no duplication of efforts and smooth coordination between development and implementing partners and government counterparts.
- **Match support to requests:** The Support Unit will coordinate with partners earlier in the process to ensure that NDC revision support is integrated with ongoing country engagement processes to harmonize with existing mechanisms in place and reduce transaction costs.

The Steering Committee will consider in early 2023 what additional resources or actions may be needed to support a strong round of NDC enhancements and increased ambition in 2025.

3

LEARN, INFORM, AND INSPIRE

The NDC Partnership generates a vast and unique body of learning through its more than 180 members and extensive in-country engagement. Our expansive learning mission transcends our immediate membership. We are always looking for trends and gaps so that members can focus their actions in areas where country demand is high. Our systems enable us to respond flexibly as new areas of country demand emerge. Our mission is to harness this unique repository of insights to build a learning coalition as well as inform and inspire effective climate action. We are committed to capturing, synthesizing, and sharing this repository of lessons within and beyond the Partnership. This Work Program brings the analytical work of the Partnership into tighter alignment with country engagement to generate greater impact.

3.1

LEARN: BUILD A LEARNING COALITION

The Partnership aims to be an expansive and adaptable learning coalition with faster, more effective, and ambitious implementation. We generate and nurture learning among our members through country requests, direct peer exchange, and monitoring and evaluation.

3.1.1

UNDERSTAND PRIORITIES FROM COUNTRY REQUESTS AND GAPS IN MEMBER RESPONSES

The Partnership's work yields many unique insights thanks to our close work with countries and engagement of a wide array of implementing partners. We work to identify the most useful of these insights to better understand country priorities and to allow members to respond to these priorities through their support. We derive our insights through several channels.

- **Examples derived directly from the Partnership's work in countries.** These are identified by the Support Unit or suggested by members. Stories or products based on these examples are reviewed by involved members and approved by the relevant country.
- **Analysis of trends in requests and support based on the kNook,** the Partnership's knowledge management system (see Box) conducted by the Support Unit or members.
- **Deepening of the insights gained from the Partnership's work** through knowledge products from members with deep expertise on the relevant thematic areas.

About the kNook

The kNook, the Partnership's knowledge management system, is at the core of its learning process and member engagement. As of September 2020, the kNook contains well over 4,000 data points not captured in any other platform. It has been used by 23 members as well as the Support Unit and has generated around 50 analyses with unique insights from the Partnership's work. These analyses have been used to identify trends and to address gaps in support.

The kNook will be strengthened to achieve more robust learning. The improved kNook will be integrated with the Online Partnership Plan tool (see Section 2.2.3) to ensure real-time updating and to increase the speed and efficient delivery of insights on receipt of country requests. All requests as well as pledged and confirmed support will be included. The kNook will be made more effective and accessible. All members can access the kNook and training resources are available to help them use it effectively. Planned improvements include:

- **Refining the interface** to improve usability as content expands and evolves.
- **Refining the content and tagging structure** to ensure Partnership knowledge is being appropriately captured and relevant searches can be easily carried out.
- **Developing training materials**, including video tutorials and sample searches to help new users.
- **Improving access to analysis and reports** generated from kNook by adding a library feature.

The unique insights gained will be widely used by members and the Support Unit to inform the programming of support so as to reinforce positive trends and fill gaps in country needed. They will also inform the knowledge products and activities outlined in Section 3.2.

We prioritize lessons and stories that show:

- Significant action in NDC implementation or raised ambition.
- Activities that drive both climate action and development priorities.
- Clear added value from the Partnership's work.
- Challenges faced by countries that provide useful lessons.
- Possibility for replication and scaling up.
- Activities and lessons that relate to the Focus Areas (see Box).

3.1.2 FOSTER PEER LEARNING

Members going through NDC implementation and enhancement processes face many similar challenges and often benefit from sharing experiences and lessons learned. This approach allows learning from both developed and developing countries. **The Partnership supports this peer learning among members through:**

- **Welcoming requests from countries for peer learning activities.** These will be shared through the normal country engagement process (see Section 2) and supported by members.
- **Support for eight peer-to-peer meetings** among developed and/or developing countries per year. These regular peer learning opportunities are co-created by members and the Support Unit and carried out in person where possible but virtually during periods of restricted travel.
- **Conducting peer- and lesson-learning exchanges** led by governments of major emerging economies and encouraging them to use the Partnership as a platform to make major announcements related to their climate commitments.
- **Outcomes of peer-to-peer meetings will be assessed** in part based on participating countries presenting subsequent related requests for support to the Partnership via Request for Support Letters or Partnership Plans (see Section 2).
- **The Youth Forum described in the Youth Engagement Plan** will provide a space for peer learning among Partnership members and youth organizations and experts.

3.1.3 CONSTANT IMPROVEMENT THROUGH MONITORING AND EVALUATION

Comprehensive and regular monitoring and evaluation is central to the Partnership's success. By continuously tracking progress and learning how the Partnership can improve its consequent work, we can maximize our global impact. As noted in the introduction, this Work Program is accompanied by an M&E framework by which the Partnership will hold itself accountable for delivering its ambitious goals. The 2021-2025 Work Program implementation will be strengthened to reach the goals and targets established, particularly on the basis of the third-party mid-term review. This will include periodic "Stop and Reflect" meetings with membership to gain feedback on what is working and what needs improvement in the Partnership's work.

3.2 INFORM: SHARE SOLUTIONS FOR ACTION

The Partnership informs climate action by making our resources, information, and insights widely available and accessible. We empower members and other actors to more effectively pursue NDC implementation and enhance ambition by making it easy to access information and resources, including expertise from members and lessons learned directly through our work.

What are Focus Areas?

Focus Areas are topics of central importance to the Partnership's mission and thus priorities for shared learning. In 2020 they are:

- **A whole-of-society approach**, featuring major lessons from the Partnership's in-country work on climate and development, including how climate policy impacts economic and social development, by engaging across government and wider social groups. This will include engagement with young people in line with the Youth Engagement Plan.
- **Gender equality** in NDC design and implementation, based on Partnership experience in implementing the Gender Strategy.
- **Finance mobilization** from domestic and international sources. Central to this is learning from Partnership work on aligning NDC action with post-COVID economic recovery and green job creation.
- **Raising ambition** and NDC enhancement.

These focus areas will receive primary attention at Partnership events, peer exchanges, and the Support Unit's analysis and briefings for members to identify and fill gaps. The Support Unit will also annually review focus areas with input from the Steering Committee, basing this analysis on country demand. Other topics will also be the subject of analysis based on member requests. The Support Unit will conduct preliminary analysis of demand and support, and will highlight major questions to members with relevant expertise for their further insight and response.

3.2.1

ENHANCE THE KNOWLEDGE PORTAL

The Knowledge Portal is the Partnership's primary tool for bringing its vast and diverse range of knowledge resources, including those of its members, to potential users. **It includes:**

- **The Climate Toolbox**, which helps users build capacity more efficiently by making it easier to find relevant technical resources such as tools, guidance documents, help desks, and data sources.
- **The Climate Finance Explorer**, which facilitates access to multilateral climate funds and calls for proposals to inform members of funding opportunities that can increase financial readiness and enhance access to climate finance.
- **The Good Practice Database**, which brings together good practice case studies from multiple members to make it easier to find examples of effective NDC action.
- **Data modules**, which make it easier to quickly access key information on NDC content, linkages with SDGs, and historical emissions.

While the Knowledge Portal is widely used across the climate community, it is more frequently visited by development and implementing partners rather than by country governments directly—a trend observed with other online platforms. Future development will be based on this observation. For instance, the Climate Finance Explorer will share information on multilateral funds but will not aim to be the source of country information on funding opportunities. This function will be taken over by a bulletin issued by the Support Unit highlighting funding opportunities from members. The Support Unit will continue to enhance the Knowledge Portal by soliciting and incorporating member resources. Members will proactively share new knowledge products for inclusion in the Knowledge Portal and will be consistently encouraged to promote its use. The Knowledge Portal will be enhanced with resources both about youth engagement and aimed at equipping young people to engage in climate action. The Support Unit will improve the user experience by creating an intuitive interface and routine updates. The Support Unit will promote the Knowledge Portal through social media, spotlights on resources in its newsletter, and a regular public podcast highlighting the Knowledge Portal’s array of resources.

3.2.2 SHARE COMPELLING LESSONS AND TRENDS ACROSS THE PARTNERSHIP

Concrete and compelling stories demonstrating how countries have accelerated implementation and raised ambition are vital for encouraging and informing further action. We will draw compelling stories from our in-country work around the world and from the cross-cutting lessons learned through the kNook and country work (see section 3.1.1). Members and the Support Unit will share lessons learned with members and others who are driving or supporting climate and development action. **We will share compelling stories in a targeted fashion through:**

- **Partnership Briefings** hosted by the Support Unit to share gaps and trends specifically for members.
- **Webinars** hosted by members or the Support Unit and aimed at broader audiences.
- **Insight Briefs** written and published by the Support Unit.
- **Deeper analyses** by expert members on selected topics (see section 3.1.1).
- **A Thematic** blog series.
- **Expanding access** to peer exchanges and trainings held by members.
- **Linking to external processes** (e.g. OECD Forums, China-led South-South learning); member-led initiatives such as the Thematic Working Group on Agriculture, Food Security and Land Use; and UNFCCC processes such as the Paris Committee on Capacity Building.
- **Links** through members to academic and research partners.

3.3 INSPIRE

Ambitious climate action globally depends on a sense of political momentum and of all countries pulling together. Demonstrating clear action from countries and support from partners advocates for action by showing that no country is being asked to move alone. At its best, this kind of visible leadership can create a virtuous circle of raised ambition and more effective action in a “race to the top” as different actors come

to see a more sustainable future as desirable, achievable, and inevitable. The Partnership's commitment to inform within and beyond its rapidly expanding membership also serves to inspire greater action. Our actions are guided by a multi-modal communications and visibility strategy crafted and implemented by the Support Unit in collaboration with members. We use concrete examples, tailored messages, and regional and thematic champions across new and traditional media to demonstrate possibilities at the political level. The Support Unit and member communication teams work together, where feasible and appropriate, to coordinate messaging, events, and visibility opportunities; leverage each other's platforms; and construct joint campaigns around key issues. Our coherent and active approach encourages a supportive political environment for raised ambition and accelerated implementation.

3.3.1

EXPAND THE PARTNERSHIP IN ACTION REPORT'S REACH

The Partnership in Action (PiA) report, our flagship annual publication, will support learning and inspire enhanced ambition. The re-imagined immersive and multimedia PiA will:

- **Profile the Partnership's impact** and progress across major climate and development topics.
- **Feature compelling examples of champion countries** in their efforts to drive NDC implementation and raise ambition.
- **Profile actions** of implementing and development partners.
- **Spotlight clear links** between improved processes, coordination, and outcomes.
- **Highlight progress and pathways** to address challenges against the Monitoring and Evaluation Framework.
- **Share the voices and experiences** of all categories of members through stories, data, and other relevant means to demonstrate the Partnership's impact.
- **Showcase learning** among members.

The PiA will be an online publication incorporating a range of multimedia resources and will link to compelling stories and information from across the Partnership's work.

3.3.2

SHOWCASE THE PARTNERSHIP THROUGH OUR WEBSITE

The Partnership's website will be upgraded in 2021 and its functionality will be enhanced based on findings from a survey of users. **In addition to housing the Knowledge Portal, the website will include:**

- **Country pages** bringing together the latest information on Partnership action in each country and other relevant data and resources.
- **Thematic pages** covering the Partnership's insights on specific topics, particularly the focus areas (see section 3.1).

- **The Country Engagement Online Tool**—a learning resource on the Partnership website that helps users understand the country engagement process.
- **Blogs, news items, and the Partnership’s newsletter.**
- **Enhanced** visual and multimedia material.

3.3.3

GROW THE PARTNERSHIP’S AUDIENCE

Key audiences for the Partnership’s work include:

- **Institutional members.**
- **Member governments** (political and technical levels).
- **Regional organizations** (political and technical levels).
- **In-country and relevant regional partners**, namely sub-national bodies, the private sector, civil society, and others.
- **Prospective investors** in NDC implementation, including private sector organizations.
- **We also reach targeted segments of our global audience through regional and thematic champions**—respected individuals in particular fields or communities who can be powerful voices for Partnership messages to inspire action among external partners.

We will expand the reach of the Partnership’s communications through active use of social media using a dedicated hashtag: #PartnershipInAction. We will also raise the Partnership’s profile through active media engagement including op-ed placement.

3.3.4

SUPPORT WORLD-CLASS EVENTS

We amplify our messages and the Partnership’s profile by hosting and supporting major events. **These will include:**

- **A major presence** at UNFCCC COP meetings and regional climate meetings, including a Partnership COP pavilion hosting member events.
- **Events at development and climate meetings**, including the United Nations General Assembly, the High-Level Political Forum on Sustainable Development, the World Bank Group Spring and Annual meetings, OECD Forums, and others, including events outside the climate arena.
- **Political-level Partnership representation** by members participating at the ministerial/head of organization level in processes such as the Coalition of Finance Ministers for Climate Action.
- **Speaking roles at major events** through the Co-Chairs, members, and Support Unit representatives.

Members will seek opportunities to engage the Partnership and highlight its work in events they lead. The Support Unit will engage effectively with members in collaborating on events and will seek opportunities to profile the members’ work. The Partnership will also engage across many smaller events on different themes and regions. The Support Unit will assist in the promotion of member events and messages that involve or support Partnership action.

4

SUPPORT UNIT CAPACITY

According to the 2018-2020 Work Program Mid Term Review: “At present the Support Unit is overly stretched and the quality of support may drop unless additional staff are brought in.” Two factors are driving a rapid growth in demand on Support Unit capacity: growth in country requests and new responsibilities.

GROWTH IN COUNTRY DEMAND

The existing Support Unit structure is staffed to provide coordination and matchmaking between, on an average, 60 developing country members and 30 developed, institutional, and associate members per year. Current demand, as of September 2020, already outstrips this level and continues to grow. Although members carry out the vast majority of actions, key roles in facilitation, scoping, and other functions continue to fall to the Support Unit. We expect to see participation grow to 80 engaged developing countries and 50 developed, institutional, and associate members per year. Estimated capacity need for every new member country requesting for support is .50 FTE. With active institutional, associate, and developed country members, requiring coordination support, FTE need per member varies from 0.10 to 0.25.

NEW RESPONSIBILITIES

In addition to the rapid growth in core responsibilities, the Support Unit continues to be allocated new roles. Major initiatives, such as CAEP and support for Economic Advisors, bring substantial demand for Support Unit capacity. The Gender Strategy and Youth Engagement Plan both allocate significant new responsibilities to the Support Unit. Administration of technical assistance on behalf of countries adds significant management responsibilities. More new initiatives, such as the Major Emerging Economies Plan, will increase pressure on the Support Unit for considerable organizational, technical, and administrative inputs.

New initiatives will need to be evaluated on a case by case basis and will require modifications to the Support Unit’s operational budget. Staffing will be managed where possible through short-term consultants, but longer-term roles will require full-time staff.

Once the Work Program is approved by the Steering Committee, the Support Unit will prepare a budget based on the tasks and targets included in the Work Programs and its M&E Framework.

THE WAY FORWARD

Following three years of successful growth and establishing its core processes, this Work Program will set a long-term path for the Partnership in support of the Paris Agreement's five-year NDC enhancement cycle. It will combine a committed membership, more effective mechanisms for cooperation, enhanced technical assistance capacity, a deep learning capacity, far-reaching communications, and enhanced links to finance and investment. It is the basis for the Partnership to play a growing role in supporting its members as they raise ambition in the global fight against climate change.

ANNEX 1: MONITORING AND EVALUATION FRAMEWORK

The Monitoring & Evaluation Framework (MEF) for the 2021-2025 NDC Partnership Work Program outlines a set of key result statements, indicators, and targets to track progress on implementation. The MEF is structured around the Partnership's Theory of Change which maps out necessary preconditions and building blocks for how change is proposed to take place. Through the MEF, the Partnership is able to monitor and assess the extent to which the Partnership is delivering on results; track progress on the Partnership's efforts and those of its Members at both the country and the global level; and make evidence-based course adjustments as needed to achieve Work Program targets. A key MEF goal is to support continuous learning to improve the programmatic and operational design of Partnership initiatives and support to members.

KEY MONITORING AND EVALUATION POINTS

Monitoring: The Partnership's Support Unit will monitor activities and progress towards output level results on a regular basis using the key performance indicators (KPIs) outlined in the matrix below. It will also seek periodic feedback and input from Government Focal Points, NDC Partnership In-Country Facilitators, and Implementing and Development Partners (IP/DPs) through, for example, annual member surveys. KPI data and information will be aggregated at the global level to enable the review of collective NDC Partnership progress. The Support Unit will report on progress against indicators at the Spring Steering Committee meeting and will provide an overview on progress at the Annual Members Forum during COP.

Review and Evaluation: The Partnership will commission an independent mid-term review (MTR) during the second quarter of 2023 and a final evaluation for the 2021-2025 period during the second quarter of 2026. The MTR's purpose is to identify areas of significant progress to build on, as well as implementation gaps and areas for improvement to inform possible Work Program and MEF revision for the remaining half of the Work Program. The final evaluation's goal is to analyze and draw lessons on 2021-2025 Work Program implementation to support more strategic directions for the Partnership beyond 2026. The final evaluation will assess the Work Program using the lens of five key standard evaluation criteria: relevance, effectiveness, efficiency, impact, and sustainability.



RESULTS MATRIX AND KEY PERFORMANCE INDICATORS

Throughout the Work Program implementation, the Support Unit will track two overarching membership indicators that can provide a snapshot of a well-functioning, collaborative partnership. The first is the total number of Partnership members, disaggregated by countries, international institutions, and associate members. The second is the aggregate number of members and non-members who are engaged in Partnership activities, which can include providing financial or technical support, receiving technical assistance through the country engagement process, or contributing to knowledge sharing and learning activities among members, in addition to other types of contributions to the Partnership. These indicators will be tracked in parallel to the data outlined below.

Once the Work Program is adopted in December 2020, additional aspects of the monitoring and evaluation (M&E) framework will be finalized during the first quarter of 2021. This includes baseline data and targets. Selected indicators currently list these as to be developed or confirmed (TBD/TBC). For some outcome and output level indicators, data reported at the close of the 2018-2020 Work Program in December will form the basis for baseline data and targets in the 2021-2025 Work Program. For the three impact level indicators, the Partnership will rely on UNFCCC and other internationally-recognized data sources to report on these. It is important to note that reported data at the impact level will be subject to a time lag for data on emissions, adaptation and climate financing, and investments. Finally, a dashboard focused on impact and outcome level indicators will also be presented in Q1 2021 to provide a snapshot of overall progress.

INDICATOR		BASELINE (JAN. 2021)	TARGET (DEC. 2025)
IMPACT: 1.1	Countries successfully reduce emissions, improve climate resilience, and advance sustainable development, with strong international support, consistent with the achievement of the Paris Agreement and the 2030 Agenda for Sustainable Development		
1.1.1	# of member countries with reduced GHG emissions reported between 2021 and 2025 (compared to baselines defined in their respective NDCs) ⁵	31 (2017-2018)	70
1.1.2	# of member countries with enhanced adaptive capacity, strengthened resilience, or reduced vulnerability by 2025 (compared to 2020 levels) ⁶	51 (2018-2019)	70
1.1.3	# of developed country members who have increased climate-related financing from 2020 levels ⁷	11	45
OUTCOME: 2.1	By 2025, member countries are on track or ahead of schedule to implement their NDCs with Partnership support		
2.1.1	Total # of (unique) member countries receiving Partnership support through NDC Action Plans, disaggregated by support through: a. Request for Support Letters (RSLs) d. Partnership Plans, including revised Partnership Plans (PPs) c. Climate Action Enhancement Package (CAEP) 1.0 d. Climate Action Enhancement Package (CAEP) 2.0 e. Economic Advisory (EA) support f. Investment Plans	a. 20 b. 30 c. 67 d. N/A e. 10 f. 4	a. N/A b. 60, including 30 revised PPs c. N/A d. N/A e. N/A f. 30
2.1.2	% of member countries receiving Partnership support who are on track or ahead of schedule in meeting their NDC mitigation and adaptation targets a. Is the country's emission trajectory in line with achievement of its target by 2030? (yes/no) b. Is the country on track to meet its adaptation targets by 2030? (yes/no)	TBD	60%
2.1.3	# of Partnership interventions leading to sectoral transformational change (transformational change defined in terms of scalability, sustainability, critical mass, GHG Emission reduction potential)	TBD	TBD
OUTCOME: 2.2	Member countries communicate new NDCs, reflecting greater quality and ambition, in line with Paris Agreement goals, by 2025 with Partnership support, inspiring and informing others		
2.2.1	% of member countries receiving Partnership support that submit an updated NDC with improved quality	0%	100% (NB: 100% of member countries receiving Partnership support that submitted a 2020 NDC did so with improved quality)
2.2.2	% of member countries receiving Partnership support that submit an updated NDC with increased ambition	N/A	70% (NB: TBD% of member countries receiving Partnership support that submitted a 2020 NDC did so with increased ambition)

5. GHG Emissions data sourced from World Resources Institute (CAIT) data and the Partnership's [Knowledge Portal Historical Emissions module](#).

6. Adaptation data sourced from ND-GAIN (Notre Dame Global Adaptation Initiative).

7. Climate finance data sourced from the [Stockholm Environment Institute's Aid Atlas](#).

INDICATOR	BASELINE (JAN. 2021)	TARGET (DEC. 2025)	
INTER-MEDIARY OUTCOME: 3.1	Implementing and Development Partners accelerate and coordinate support so that member countries have the capacity and resources needed to implement and update their NDCs using a whole-of-society approach		
3.1.1	Average % of country requests (channeled through the Partnership) that have been supported by partners	50%	70%
3.1.2	Total # of partners providing support to requests by member countries, disaggregated by members and non-members	120 Members and Non-members	Members: 70 Non-members: N/A
3.1.3	# of major emerging economy (MEE) members being supported by the Partnership	6	12
3.1.4	<p>% of member countries receiving Partnership support reporting:</p> <ul style="list-style-type: none"> a. Increased knowledge and capacity for NDC implementation b. Increased financial resources for NDC implementation c. Improved whole-of-society approaches due to Partnership facilitation 	60%	80%
3.1.5	# of cases in which Partnership support inspired or influenced improved NDC implementation, raised ambition, or led to a follow-up action	N/A	40
INTER-MEDIARY OUTCOME: 3.2	Member countries have integrated NDC mitigation and adaptation targets into national and subnational development policies, plans, budgets, and recovery plans		
3.2.1	<p>% of member countries receiving Partnership support that have integrated NDC measures into the next cycle of national/subnational/sectoral development plans or budgets, disaggregated by:</p> <ul style="list-style-type: none"> a. National/subnational/sectoral development plans/national M&E frameworks b. Budgets 	30%	60%
3.2.2	<p>% of member countries supported by the Partnership in which low-carbon and climate-resilient investment projects are mainstreamed in the:</p> <ul style="list-style-type: none"> a. National or subnational development plan b. National or subnational budget 	TBD	TBD
3.2.3	# of member countries receiving Partnership support that have integrated NDC priorities into economic recovery plans	10	TBD

INDICATOR		BASELINE (JAN. 2021)	TARGET (DEC. 2025)
INTER-MEDIARY OUTCOME: 3.3	Member countries receive increased investment flows towards climate action		
3.3.1	# of investment projects financed through the members of the Partnership (disaggregated by adaptation and mitigation), categorized by: a. National public sector and blended finance (national and international public and private sector) b. Private sector	TBD	150
3.3.2	% of member countries receiving Partnership support who have improved their domestic enabling environments	TBD	TBD
3.3.3	Total USD value of assistance provided to member countries by implementing and development partners within the Partnership's framework: a. Technical assistance b. Project financing (grants only)	a. USD0.7 billion b. TBD	a. USD1.5 billion b. USD10 billion
OUTPUT 4.1	Implementing and Development Partner members have the capacity and resources to respond with speed and flexibility to requests from countries through the Partnership		
4.1.1	# of implementing and development partner members that have aligned country programming frameworks with country needs identified through NDC Action Plans	30	50
OUTPUT 4.2	Member countries have results-based, equitable, and inclusive NDC Action Plans and investment plans in place, aligned with development and recovery plans		
4.2.1	% of member countries receiving Partnership support that have developed NDC Partnership Plans which are gender sensitive, gender aware, or gender responsive	84%	100%
OUTPUT 4.3	Member countries have participatory NDC coordination mechanisms and resources for inclusive and transparent NDC implementation and updating		
4.3.1	% of member countries receiving Partnership support that have engaged key stakeholder groups in NDC planning and implementation consultation (disaggregated by representatives from sub-national entities, the national gender agency, private sector, and youth groups)	70% (estimated TBC)	100%

INDICATOR		BASELINE (JAN. 2021)	TARGET (DEC. 2025)
4.3.2	% of member countries receiving Partnership support with facilitators supported by members for a minimum one-year period	50% (estimated TBC)	90%
OUTPUT 4.4	Increased country access to knowledge and capacity development		
4.4.1	# of knowledge products developed or activities conducted from members based on requests from member countries or on gaps identified by Partnership analysis	N/A	50
4.4.2	# of development and implementing partners that provided member countries with new or additional knowledge or knowledge-based capacity development through Partnership engagement	N/A	30
4.4.3	# of media hits and instances of coverage	186 per year	223 per year
OUTPUT 4.5	Improved enabling environment established, and public and private finance providers mobilized		
4.5.1	# of PINs where entities are engaged in: a. Financing b. Further development of PINs c. Joint promotion for resources mobilization	0	a. 25 b. 70 c. 50
4.5.2	# of embedded advisors supported through the Partnership by members in (i) ministries of planning/finance, and (ii) sectoral ministries, disaggregated by: a. # of advisors in major emerging economies b. # of advisors in other countries c. % of advisors disaggregated by gender	a. 1 b. 3 c. 100% men	a. 10 b. 20 c. 50:50
OUTPUT 4.6	Implementing and Development Partners' use of Partnership data and insights to program support in alignment with NDC Action Plans		
4.6.1	# of implementing and development partners that use Partnership data and insights (from kNook, peer exchanges, knowledge products, or the Knowledge Portal) to program support for NDC Action Plans	TBD	20

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ANNEX 2: RISK MATRIX

This risk register aims to identify potential risks associated with the three key sections of the Work Program. The identified risks and their probabilities will be tracked and adjusted over time.

TYPE OF RISK	DESCRIPTION OF RISK	PROBABILITY (H/M/L)	IMPACT (H/M/L)	RISK MITIGATION PLAN
Delivery and Delay Risk	The support committed by partners is delivered with significant delays and does not fully meet the needs of the country requests.	H	M	<p>For climate-related projects, programs, and investments, partners will accelerate the planning and preparation phase.</p> <p>Partners will also respond to requests for support primarily with new or realigned support. Partners will specify the scope of their support in Partnership Plans and other Partnership mechanisms, allowing for quick identification of remaining gaps. New Pool Funding Mechanism of the Partnership will allow to fulfill additional gaps in support.</p> <p>Support Unit tracks progress and reports challenges to the Steering Committee. Members keep the Support Unit informed of progress with implementation.</p>
Implementation Risk	NDC Action Plans are developed, validated, and launched, but do not attract adequate support and pose challenges in regular and coordinated tracking, and countries question their usefulness for resource mobilization.	L	M	<p>With support from facilitators, coordination committees and both Focal Points, implementation will be discussed and tracked on a regular basis. Focal Points will ensure that Ministries of Planning, Finance and key line ministries continue to be involved and have ownership over implementation, including regular reporting on progress as well as needs and gaps. Partners provide regular inputs to the facilitator on implementation of indicated support as aligned with the implementation plan.</p>
Coordination Risk	Partners and countries are insufficiently coordinated to deliver effectively on NDC implementation.	M	H	<p>The Support Unit keeps partners regularly informed about in-country engagement progress and other relevant developments, through a monthly update email and bi-monthly partner update calls and quarterly reports and knowledge exchanges. Partners improve coordination between country offices, regional offices and NDC Partnership Focal Points at the HQ level.</p>

TYPE OF RISK	DESCRIPTION OF RISK	PROBABILITY (H/M/L)	IMPACT (H/M/L)	RISK MITIGATION PLAN
<p>Coordination Risk (cont'd)</p>	<p>Partners and countries are insufficiently coordinated to deliver effectively on NDC implementation.</p>	<p>M</p>	<p>H</p>	<p>The Partnership supports developing country members in establishing and strengthening in-country coordination mechanisms, including through sustained funding for at least several years of operation if the need exists. In-country facilitators further support the government on partner and inter-ministerial coordination.</p>
<p>Investment Risk</p>	<p>Global economic turmoil may negatively impact ability to attract investment for transformational shifts in key sectors (i.e. energy, agriculture) and reduce resources for ODA and climate finance.</p>	<p>M</p>	<p>H</p>	<p>The Partnership doubles efforts in converting NDC Action Plans into Investment Plans and aligning NDC implementation with core development planning and budgeting processes. Members fast track their support to implement green recovery plans.</p> <p>Members further step up and make faster and larger investments on projects that directly support delivering on NDC targets, including blended finance mechanisms to crowd-in private finance. The Partnership further strengthens engagement of the private sector in the Partnership's country engagement process.</p>
<p>Climate as a Non-Priority Risk</p>	<p>Countries and partners consider climate change as a standalone issue that can be dealt with separately from sectoral and economic priorities, and thus this can become of lesser priority especially in challenging times. Countries and partners fail to bring together NDCs and SDGs in a common framework, resulting in potential coordination challenges and resource inefficiency.</p>	<p>M</p>	<p>M</p>	<p>Partners increase efforts to engage key players within their organization/government beyond the climate or sustainable development department and build further understanding of linkages between climate change impacts and opportunities and economic development and sectoral priorities, including as part of support for green recovery strategies.</p> <p>Countries ensure active Focal Point contacts from the Ministry of Finance, Economy, Planning or Investment, and ensure that both Focal Point Ministries engage relatively equally with the Partnership. In-country engagement now includes additional focus on engaging Central Bank representatives and parliamentarians, among others.</p>



TYPE OF RISK	DESCRIPTION OF RISK	PROBABILITY (H/M/L)	IMPACT (H/M/L)	RISK MITIGATION PLAN
Climate as a Non-Priority Risk (cont'd)	<p>Countries and partners consider climate change as a standalone issue that can be dealt with separately from sectoral and economic priorities, and thus this can become of lesser priority especially in challenging times. Countries and partners fail to bring together NDCs and SDGs in a common framework, resulting in potential coordination challenges and resource inefficiency.</p>	M	M	<p>From the early stage of engagement with the Partnership, countries are encouraged to bring NDCs, SDGs, NAPs, the Financing for Development Agenda, and other key strategic climate-related documents together in a common framework, linked directly to national development plans, medium/long-term strategies, and budgeting frameworks. The Partnership supports countries on the integration of NDCs into development and sectoral plans, and COVID-19 recovery.</p>
Operational and Political Risk	<p>Changes in Focal Points of countries and institutions can result in delays and interruptions of members' plans for collaboration with the Partnership. Moreover, frequent changes in countries' political leadership impacts continuity of engagement with the Partnership and may shift country priorities related to climate change.</p>	M	M	<p>The Support Unit maintains a well-functioning CRM system, suggests that every member has day-to-day contact persons in addition to Focal Points that receive regular Partnership information, and follows up with those members that are generally not responsive or have only a single contact point.</p> <p>Focal Points do not generally hold political positions; however, shifts may occur. Support Unit staff and engaged members maintain close relationships with working level staff in Focal Point ministries.</p> <p>Members and Support Unit will work together to ensure continued involvement with new governments in the Partnership's processes.</p>
Expectation Risk	<p>The support needs of countries greatly exceed the amount of support partners can finance and deliver.</p>	M	H	<p>The Partnership focuses on facilitating access to finance as part of its 2021-2025 Work Program, including through a dedicated Finance Strategy. Countries will continue to be encouraged to focus and prioritize requests so support can be directed to priorities and gaps.</p>

TYPE OF RISK	DESCRIPTION OF RISK	PROBABILITY (H/M/L)	IMPACT (H/M/L)	RISK MITIGATION PLAN
Expectation Risk (cont'd)	<p>The support needs of countries greatly exceed the amount of support partners can finance and deliver.</p>	M	H	<p>Partners commit to flexibility and speed in providing support, and further increasing funds to address country requests, including through technical assistance, project financing, and investment. Members will work together to crowd in private sector investments and further optimize the use of resources.</p> <p>Members and Support Unit manage expectations.</p>
Quality Risk	<p>The data and analysis kNook and other Partnership insights are insufficient to inform accelerated member action in practice.</p>	M	M	<p>The kNook will link to the online Partnership Plan tool to ensure continuous updating. Partners are encouraged and offered regular trainings to use kNook directly. Members will engage with the Support Unit to ensure that their expert insights shape Partnership knowledge products.</p> <p>Members step up to produce relevant high-quality analysis, including in response to knowledge needs identified through the Partnership.</p>

ANNEX 3: GLOSSARY OF TERMS

INTERNAL NDC PARTNERSHIP TERMS		
Terms	Abbr.	Definition
Support Unit		The NDC Partnership's Secretariat
Country Engagement (team)	CE	The Partnership's work stream that coordinates support requests and in-country NDC implementation
Knowledge and Learning (team)	K&L	The Partnership's workstream that captures and distills lessons learned from in-country work, the Partnership's knowledge management system, and its broad network of institutions.
Steering Committee	SC	The Partnership's governing body, which is made up of representatives of member developing and developed country governments and institutions. SC members are periodically rotated.
Co-Chairs		The two rotating chairs of the SC, represented by one developing and one developed country that serve for two years.
Country Members		Countries that are NDC Partnership members
Institutional Members		International institutions, including multilateral banks, that are NDC Partnership members.
Associate Members		Non-state actors that do not engage in profit-seeking enterprises and are NDC Partnership members.
Work Program	WP	This document is the 2 nd version of the Partnership's WP.
Climate Action Enhancement Package	CAEP	An NDC Partnership offering designed to deliver targeted, fast-track support to countries to enhance the quality of, increase the ambition of, and implement nationally determined contributions.
Technical Assistance Fund	TAF	Fund established under CAEP to support country requests.
Partnership Plans		Tool to organize a country's NDC priority activities and match them with Partnership member support and in-country stakeholders.

Knowledge Nook	kNook	The Partnership Knowledge Management System.
Partnership in Action	PiA	The Partnership's flagship publication. This annual publication features some of the Partnership's most impactful work.
In-Country Facilitation		Entities or individuals identified and approved by the country government, serving as liaisons between the country and the NDC Partnership and coordinating the implementation of the NDC Action Plan.

CLIMATE ACTION TERMS

Terms	Abbr.	Definition
Major Emerging Economies		High GHG emitters with advanced or large emerging economies.
Whole-of-Government		Policy approaches that effectively leverage a government's full capacity, i.e. ministries, departments, or similar bodies directly or indirectly involved in climate change responses.
Whole-of-Society		Policy approaches that include representatives from civil-society, academia, the private sector, various identity groups, or other groups at various stages of consultation or other processes.
Nature Based Solutions	NBS	Actions for societal challenges that are inspired by processes and functioning of nature (nature-basedsolutions.com).
Nationally Determined Contribution	NDC	Each country's post-2020 climate actions, as established under the Paris Agreement (UNFCCC).
Development Partner	DP	A country providing official financing administered with the promotion of the economic development and welfare of developing countries as an objective.
Implementing Partner	IP	Any partner, member or non-member, that provides support to country requests through the Partnership.
Subnational Actors		Non-sovereign actors within a country. Includes state- and local-level governments and other organizations (public and private) not representing the national level.



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Annex 4

| Contribution Outline

Annex 4 appendices:

| **Appendix D:** Indicative Budget

| Contribution Outline

UNOPS support to the NDC Partnership will be managed as a pooled fund consisting of the contributions provided by the funding sources based on their bilateral Project Agreements with UNOPS, as well as their amendments. These contributions shall be administered by UNOPS in line with its legislative framework and the standard provisions described in this Agreement and its annexes.

Contributions will be added to the pooled fund that can be used for any activity falling within the NDC Partnership Work Program.

Accordingly, the Fund shall cover all required amounts to support its activities, including the direct shared support costs. In total, 1.275 mil USD will be recovered by UNOPS towards the shared direct support costs and 7.75 percent management fee, during the period 2021-2025, for a total contribution from donors of 22.3 mil USD. It is expected that the Fund will increase to a total of USD 56.6 mil, in which case UNOPS' shared direct support costs will be charged up to 2.061 mil USD and 7.75 percent management fee for the duration of the Work Programme 2021-2025.

These figures were computed based on the work program and estimated volumes of transactions communicated by the NDC Partnership, in line with the indicative budget presented in the Appendix D. Additional contributions to the pooled fund (by an existing donor or a new donor) can be considered as an amendment to the Fund's annual work plans and budgets. Accordingly, any additional contributions will be presented to and agreed upon by the Steering Committee Co-Chairs and UNOPS in advance, and in line with UNOPS's legislative framework, without requiring a full amendment to other donors' existing Project Agreements.

UNOPS will inform the Steering Committee if any additional direct and indirect support costs are needed to implement the priorities and activities of the NDC Partnership due to changes required in scope, timelines and transactional volumes of the Partnership, which may arise due to provision of additional contributions. This can be captured as a part of the annual work plans and budgets, and approved through Steering Committee Co-chairs minutes and confirmed through official written communications from the donors as per Annex 1 of this Agreement.

The following table provides an overview of the funds contributed by **the Government of Belgium** toward NDC Partnership's pooled fund.

Donor Contribution

Donor Contribution	
Contribution to be received in one lump sum after the signing of this agreement in October 2021 for PAF Unit activities.	2,000,000 EUR
Total Contribution	2 million EUR

| Indicative Budget

1

BUDGET OVERVIEW FOR 4 YEARS	
Budget Category	Cost
Project management and implementation costs	In line with the NDC Partnership Work Programme (Annex 3 and Appendix C)
Country Engagement Facilitators & Events	USD 6,926,210
Governance and Outreach Events (SC, COP, etc.)	USD 2,000,000
SU Operations (other travel, retreat, procurement)	USD 4,257,644
PAF/Grants	USD 6,303,753
UNOPS' Direct Shared Support Costs (Shared support from regional and sub-regional resources where dedicated resources are not required at the project level for cost-efficiency purposes, covering assistance in areas of project management and oversight, HR management, financial management and reporting, quality assurance of grants processes, legal and audit issues, contract management, etc. shared support costs)	USD 1,275,512
Management Fee (UNOPS indirect management fee allocated to projects based on value and complexity towards UNOPS's corporate governance functions, including coordination with the UN system on management issues, provision of UN security services, etc.)	USD 1,609,142
Grand total incl Management Fee ²	USD 22,372,261

¹ The figures for UNOPS' support costs and management fee are based on the estimated volume of transactions including personnel to be deployed by UNOPS, as per the work programme and resource allocations provided by the NDC Partnerships, and may be subject to change in discussion with UNOPS' donors if the actuals vary during implementation.

² The total amount is made up of 11,655,011.66 USD to be contributed by BMU, 8,386,246.56 USD from Norway and 2,331,002.33 USD from the Government of Belgium through Project Agreements to be signed bilaterally.

Proposal: Belgium – UNOPS Contribution to the NDC Partnership 2021-2025 Work Program

October 2021

This proposal is included for reference only and the project agreement and its annexes will prevail in case of any conflict.

PROJECT OUTLINE

Background

In 2015, the world adopted the Paris Agreement and the 2030 Agenda for Sustainable Development. These historic global accords present countries with an unprecedented opportunity to align the climate and sustainable development agendas to spur sustainable low-emission, climate-resilient inclusive societies to the benefit of people, planet, and future generations. Parties to the Paris Agreement develop Nationally Determined Contributions (NDCs) – each country’s commitment to reduce national emissions and adapt to the impacts of climate change, aiming at limiting warming to 1.5 to 2 degrees C above pre-industrial levels. Countries have committed to update their NDCs every five years. Revised NDCs are expected to be submitted to the UNFCCC prior to COP26 in November 2021.¹

Although 192 countries have submitted their NDCs (Nationally Determined Contributions), the emissions gap, which is the emissions level with existing commitments compared to a safer trajectory, remains large as of 2020. According to the UNFCCC secretariat report synthesizing newly revised national climate plans, the total GHG emission reductions “fall far short of what is required.”² Against this backdrop, there is an urgent need for more ambitious NDCs, their effective implementation and for proving linkages to relevant Sustainable Development Goals (SDGs) and to post COVID-19 recovery measures to promote low-emission, climate resilient and inclusive societies.

The NDC Partnership

The NDC Partnership was launched at the 22nd Conference of the Parties (COP22) in Marrakesh in 2016 by a coalition of countries, institutions, and non-state-actors. Its two overall goals are to support countries to accelerate implementation of their NDCs and related Sustainable Development Goals (SDGs), and to increase ambition with the view to achieving the Paris Climate Agreement goals. The Partnership has grown into a global coalition with more than 190 members made up of developed and developing

¹ Countries were originally expected to submit new or updated NDCs in 2020, but due to the COVID pandemic and in line with the postponement of COP26, most submissions were delayed to 2021.

² https://unfccc.int/sites/default/files/resource/cma2021_02E.pdf

countries, institutions, and non-state actors. To date, more than 70 developing countries are receiving support to implement and enhance their NDCs and over 100 implementing partners, both members and non-members, are providing support.

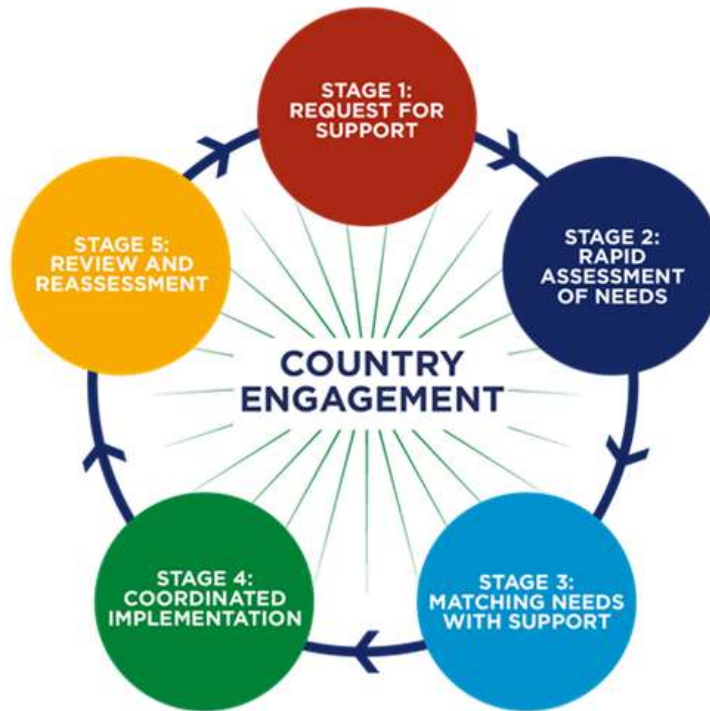
The NDC Partnership applies a ‘whole of government’ approach, which focuses on engaging ministries of finance or planning and ministries of climate or environment through their appointed Focal Points and mobilizing national ownership and coordination across sectors such as energy, industry, transport, and agriculture as well as linkages to national development and investment plans. Furthermore, the NDCP promotes a ‘whole-of-society’ approach by facilitating engagement of civil society organizations, women, youth, disadvantaged groups as well as the private sector.

Together with the commitment of its partners, the NDC Partnership has delivered its first 2018-20 Work Program with speed and scale. We have mobilized support for climate and development action across member countries, raised country climate ambition, put climate at the heart of recovery packages, catalyzed climate finance, and promoted knowledge exchange.

Mobilizing Climate and Development Action

Based on country needs, priorities and requests communicated by the Focal Points from its environment/climate ministry and finance/planning ministry, the Partnership deploys the Country Engagement Strategy to coordinate, align, and maximize support among members. We support countries to bring climate and development goals together within their broader sustainable development agendas by turning NDCs from stand-alone documents into national policies and implementation plans. These NDC implementation strategies, also known as Partnerships Plans, are public, government-owned documents detailing priority actions for NDC implementation and tracking partner support for those actions. The Partnership responds to country requests through three modalities. Firstly, through support from an existing program run by institutional or development partners that can meet the need. Secondly, when development partners and agencies draw on their global climate programs to offer support. Thirdly, the Support Unit (SU) as a last resort can fund technical assistance if other support channels cannot meet demand. Among the 77 engaged countries, 30 have Partnership Plans under implementation. For more information, please see the [Country Engagement Online Tool](#) which provides a comprehensive overview including the In-Country Engagement process in the table below.

Table 1: Country Engagement Process



Through country engagement, the NDC Partnership is:

- Responding to requests for support from country members
- Coordinating, aligning, and maximizing support among members.
- Bringing climate and development goals together within broader sustainable development agendas by turning NDCs from stand-alone documents into national policies and implementation plans.
- Engaging with a wide range of stakeholders: 50% of member focal points surveyed report improved internal coordination on NDC related action.

The Country Engagement Strategy follows an adaptable five step process to establish, operationalize, and track Partnership activities at the country level. Member countries determine which steps are relevant to them, and when. This module gives an overview of the Country Engagement Strategy. Each of the five stages is explored in more detail in the [Stages of Country Engagement](#) unit.

All NDC implementation activities are the decision of the country – through the Focal Points (FPs), with support from the In-Country Facilitator as needed. To ensure that high-level commitment, ownership over the process needs to be shown by ministries of finance/planning and the environment. With their leadership, momentum to achieve all stages of the Country Engagement process can be sustained. Supporting capacity strengthening of government staff members, governance mechanisms, and/or creation of sector working groups may be required to increase readiness for sustained ownership.

Raising Climate Ambition

Under the Paris Agreement, countries revise their NDCs every five years to cut greenhouse gas emissions and implement solutions to adapt to the effects of climate change. Through the Climate Action Enhancement Package (CAEP) launched in September 2019, the NDC Partnership delivers targeted support to countries to enhance the quality, increase ambition, and fast-track implementation of NDCs. CAEP is supporting 67 countries with the collective effort of 46 partners, deploying USD 46 million, including USD 24.0 million from the Partnership's Technical Assistance Fund (TAF) and more than USD 22.0 million from partners' own resources. TAF is a pooled funding mechanism, with contributions from multiple development partners, which allocates resources to institutional and associate members of the Partnership to respond to NDC updating and implementation requests. By April 2021, 22 of the countries receiving CAEP support had submitted their enhanced NDC to the UNFCCC, all of which raised their mitigation and/or adaptation ambition.

Climate at the Heart of Recovery Packages

Current circumstances underscore the importance of aligning NDCs with social and economic priorities. To support countries in their planning for climate-resilient recovery from COVID-19 impacts, the NDC Partnership launched the Economic Advisors Initiative in July 2020. The initiative allows the Partnership to deploy economic advisors to Ministries of Finance or Planning to help shape recovery packages. To facilitate ongoing learning, the advisors and member countries can participate in a Green Recovery Network and leverage specialized expertise offered by a Thematic Expert Group comprised of institutional and associate Partnership Members. A total of 13 NDC Partnership members are providing advisors to 33 developing country members that have requested support to integrate NDCs in the heart of recovery packages.

Catalyzing Climate Finance

The Partnership supports members to mobilize and guide public and private finance through its in-country activities and knowledge resources. Ninety percent of countries have submitted at least one request for support aimed at mainstreaming NDCs into budgeting, public investment portfolios, and planning processes, in addition to prioritizing new climate financing opportunities. The Partnership also supports countries to prioritize, prepare, and communicate investment needs to potential financing partners; to develop strategies and policies that build enabling environments; and to offer an organized set of information resources and tools to help countries learn how to access finance from diverse sources. A key delivery mechanism for supporting members at the country level would be the rolling out of embedded finance advisors in finance/sectoral ministries. This would provide capacity support for policy, legal reforms for enabling the environment to increase access to finance, and the continuation of Economic Advisory support to identify and further develop climate projects as means of economic recovery. Under the direction of the Steering Committee, the NDC Partnership has established a Task Force with the aim of developing a comprehensive Finance

Strategy to support the Partnership's 2021-2025 Work Program. The Strategy will be presented at the Fall Steering Committee later this year.

At present, 42 countries have translated NDCs into pipelines and bankable projects, including the development of 11 Project Information Notes (PINs) with potential investment over USD 160 million.

Promoting Knowledge Exchange

The Partnership also supports nations in achieving their climate goals by increasing access to knowledge resources and building a peer community around the experiences of countries implementing their NDCs. The NDC Partnership takes lessons learned from its in-country work, as well as insights from its broad network of partners, and shares them to accelerate NDC implementation across its membership and beyond. Through a total of 52 peer exchanges and webinars over three years, the Partnership has engaged over 3,500 participants to share lessons and support peer dialogue.

RATIONALE

The NDC Partnership's unique mandate to accelerate NDC implementation and enhanced ambition linking climate action to the SDGs with a focus on developing countries align with BELGIUM's development policy priorities to combine recovery from the crisis with climate action and nature conservation. Nature based solutions (NBS) ensure healthy ecosystems and biodiversity and provide one of the most effective and cost-efficient ways to address climate change in addition to numerous benefits to human well-being. Nature-based solutions are already a common feature of national climate plans for most countries (130 of 196 first-round NDCs) and make up nearly 6 percent of all NDC implementation requests received by the Partnership. Some few examples of how various aspects of NDC implementation come together under the umbrella of NDC Partnership's work:

1. Costa Rica, previous Co-Chair of the Partnership, enhanced their NDCs with specific targets and measures to maximize the use and impact of nature-based solutions.
2. In Grenada, the NDC Partnership is helping connect them with support to implement their training programs, capacity building workshops, and M&E systems for their afforestation and reforestation programs.
3. In Pakistan, Partnership members are supporting the Government to accelerate the national reforestation flagship project 10 billion tree program.
4. In São Tomé and Príncipe, the World Bank is channeling USD 16 million into the country's Power Sector Recovery Project with the European Investment

Bank and other development partners contributing a further USD 13 million. The project will boost renewables by rehabilitating an existing hydroelectric power plant and improve energy access and management by upgrading the São Tomé's low voltage network and strengthening the regulatory agency and national energy company. In addition, UNDP is also supporting the country's renewable energy policies. This includes policy, strategy, capacity building, and preparation of bankable projects. Other key contributors include the AfDB with USD 3.5 million. Under the Partnership Plan umbrella, the AfDB is supporting capacity building and development of bankable projects in the energy sector and alternative forestry programs that reduce tree cover loss and create a sustainable wood products supply.

5. In Mozambique, NDC Partnership members are supporting the expansion of renewable energies and energy access across the country. In total, the country's NDC Implementation Plan aims for the development and financing of 2,200 MW of new renewable energy projects. Important advances include the European Union's support to the national company Energies of Mozambique (EDM) to support the development of renewable energy projects by private actors through auction mechanisms (PROLER project). Other advances include the construction of the Tsate (50 MW) hydro powerplant financed by KfW and the Metoro solar power plant (41 MW). Proparco and AFD jointly granted USD 40 million in financing to the Metoro, including a concessional tranche aimed at optimizing the proposed tariff and supporting positive environmental and social benefits locally. The solar power plant will be built near the village of Metoro in the north of the country. This region, which contributes to the country's economic dynamism, will thus benefit from a more reliable and renewable electricity supply.
6. In Côte d'Ivoire, implementing partners, led by Germany and the European Union, are helping the country shift from coal to renewable energy by supporting energy reform programs, feasibility studies on renewables projects, and high-level dialogue among relevant ministries.

The achievements of the NDC Partnership's 2018-2020 Work Program

Within its short lifetime, the Partnership has contributed to important results. A summary of the achievements of the 2018-2020 Work Program shows that:

- 30 Partnership Plans have been developed, harmonizing support from donors and providing a mechanism for coordination, improving the effectiveness of support.³

³ These Plans mark a milestone that reflects government-approved prioritized results, linked to national development plans, to achieve NDC targets through coordinated support from partners. Based on the 2021 NDC Partnership Members Survey, 98% of developing country respondents (supported by the Partnership) reported improved NDC coordination between their country and development partners due to Partnership support, citing enhanced transparency and trust between partners and the government, as well as an active coordination mechanism for actions to be implemented.

- Governments across 46 countries have identified and operationalized facilitation mechanisms.⁴
- 48 countries have established or strengthened NDC or Climate Change Sectoral Working Groups at the technical or ministerial levels.
- Over USD 500 million has been mobilized and disbursed through multiple member managed NDC financing facilities.
- Economic Advisory support to the Finance and Planning Ministries of 33 countries is recognized as one of the earliest movers to integrate climate in COVID-19 economic recovery plans.
- Through the Climate Action Enhance Package (CAEP), a total of 67 countries are receiving support to enhance the quality, ambition, and speed of NDC implementation.
- The Partnership's Knowledge Portal contains 1,000 curated tools and resources contributed by members and non-members.
- The Partnership has facilitated a total of 52 peer exchanges and webinars since 2018, engaging more than 3,500 participants.

Belgium, through its climate programs contributed to country engagement and facilitation work of the NDC Partnership during the last work Program. Through this new commitment Belgium funds the implementation of the Partnership in Action Fund and through that directly contributes to the 2021-2025 Work Program and its respective Theory of Change and Monitoring & Evaluation framework.

THEORY OF CHANGE

Theory of change and key assumptions

To support the mission to contain the rise in global temperature to less than 2 °C from 1990 levels, reduce country vulnerability, increase climate resilience and adaptive capacity, and facilitate adequate climate financing, the Partnership has outlined a logic model that is summarized in Table 2.

The Theory of Change (ToC) and the corresponding results matrix (Annex 3) includes indicators at output, intermediary outcomes, outcomes, and impacts level.

⁴ Through facilitation mechanisms (see CE Process Table above) NDC Partnership members support in-country coordination across government and provide added capacity for tracking, planning, and mobilizing NDC support. The Partnership (through its members), with a clear exit strategy, will extend embedded facilitation support from one to three years, giving countries the ability to build the necessary systems and the capacity needed to take over this role.

The results matrix identifies and tracks three intermediate outcomes regarding a) accelerated and coordinated support from implementing and development partners b) member countries' integration of NDC in their development plans and budgets; and c) member countries receive increased investment flows towards climate action capacity. In combination, these intermediate outcomes are expected by 2025 to result in member countries being on track or ahead of NDC implementation and having new and more ambitious NDCs. Put together, the global impact will be reduction of emissions, improved climate adaptation and resilience, and progress in sustainable development.

Achieving the global impact through the outputs and outcomes in the ToC hinges on four underlying assumptions:

1. High-level commitment from members and other stakeholders in line with the guiding principles of the NDC Partnership,
2. Availability of technical and financial resources and capacity building support from members for NDC implementation and updating at the national and subnational levels,
3. Implementing and Development Partner members are willing to answer country requests presented through the Partnership through their own programmed resources. This could happen through dedicated funds⁵ or by making sure that NDC and climate related activities are mainstreamed into their country programming.⁶
4. Members receiving support have cross-government commitment to the ongoing implementation and enhancement of their NDCs and to the work of the Partnership.

A continued commitment by the Partnership's members is thus an overall key assumption for the key impacts. The related risk of not maintaining the members' commitment and will to act is reflected in risk management.

⁵ Funders of bilateral (<https://www.nama-facility.org/>, <https://euroclimaplus.org/en/lao2/v-regional-dialogue-on-climate-financing-in-latin-america>) and multilateral (<https://www.ndcs.undp.org/content/ndc-support-programme/en/home.html>) programs make sure that the resources are addressing needs surfaced through the collective effort of the NDC Partnership in country facilitation.

⁶ AfDB alignment of bilateral work on water sector activities in NDC implementation: AfDB committed USD15.5 million to community resilience-building projects in four drought-prone districts, benefiting around 40,000 people in Mozambique (<https://ndcpartnership.org/news/mozambique-works-toward-transformational-change-through-large-scale-resilience-building/>).

Table 2: Theory of Change

IMPACT	OUTCOMES	INTERMEDIATE OUTCOMES	OUTPUTS	ASSUMPTIONS	
<p>Countries successfully reduce emissions, improve climate resilience, and advance sustainable development, with strong international support consistent with the achievement of the Paris Agreement and the 2030 Agenda for Sustainable Development</p>	<p>By 2025, member countries are on track or ahead of schedule to implement their NDCs with the support of the Partnership</p>	<p>Implementing and development partners accelerate and coordinate support so that member countries have the capacity and resources needed to implement and update their NDCs using a whole-of-society approach</p>	<p>Implementing and development partners have the capacity and resources to respond with speed and flexibility to requests from countries through the Partnership</p>	<p>High level commitment from members and other stakeholders in line with the Guiding Principles of the NDC Partnership</p>	
			<p>Member countries have results-based, equitable, and inclusive NDC implementation plans in place, aligned with development and recovery plans</p>		<p>Availability of technical and financial resources and capacity building support from members for NDC implementation and updating at the national and subnational levels.</p>
	<p>Member countries communicate new NDCs reflecting greater quality and ambition by 2025 with the support of the Partnership, inspiring and informing others</p>	<p>Member countries have integrated NDC mitigation and adaptation targets into national and subnational development plans, policies, budgets, and recovery plans</p>	<p>Member countries have participatory NDC coordination mechanisms and resources for inclusive and transparent NDC implementation and updating</p>	<p>Implementing and development partner members are willing to use country requests presented through the Partnership as a key element in their resource programming</p>	
			<p>Increased country access to knowledge and capacity development</p>		
			<p>Member countries receive increased investment flows towards climate action</p>	<p>Improved enabling environment established and public and private finance providers mobilized</p>	<p>Members receiving support have cross-government commitment to the ongoing implementation and enhancement of their NDCs and to the work of the Partnership</p>
				<p>Implementing and development partners use Partnership data and insights to program support in alignment with NDC implementation plans</p>	

2021-2025 WORK PROGRAM

The 2021-2025 Work Program aims to build on the Partnership's successful model of country-driven engagement and is designed to intentionally coincide with the next five-year revision-cycle for countries' NDCs. Due to the COVID crises, the focus on economic recovery has opened an expansive discussion about how countries can "build back better". This focus on social and economic inequalities matches the Partnership's approach of combining climate and sustainable development action as well as its strategic engagement on subjects such as gender equality and youth. In addition, countries will require sustained support as they face competing public policy priorities and tighter budgets.

The new Work Program includes measures to take a more proactive stance in engaging Major Emerging Economies (MEEs). They are key to achieving the Paris Agreement's goals and have considerable knowledge and expertise that could be shared across the Partnership. Under this elements of the Work Program, the NDC Partnership members committed themselves to support the development of business cases for transformational NDCs implementation. MEEs can share their experiences and demonstrate their regional/global leadership on specific topics. First collaborative steps have been carried out with Indonesia, South Africa and Mexico.

The 2021-2025 Work Program retains the twin objectives of accelerating implementation of NDCs and enhancing their ambition while driving sustainable development (see Table for Theory of Change). By 2025, we seek to ensure both that members are well on the way to implementing their NDC goals for 2030 and that they have submitted revised NDCs setting greater ambition beyond 2030, empowered by growing and effective support. This Work Program also seeks to:

- Strengthen the links between development and climate action by supporting coordinated actions across governments and societies.
- Promote greater commitment, coordination and engagement from members, including political engagement and commitment to a whole-of-society approach from countries, and "whole-of-institution" engagement from institutional and associate members.
- Scale up resource mobilization to support country action both through the increased commitment from members and by using Partnership Plans as the basis for engaging a wider community of investors.
- Deepen engagement on NDC implementation and enhancement with major emerging economies within the Partnership.
- Drive action beyond the Partnership by sharing learning and demonstrating political leadership.

New priorities in this Work Program include: 1) focus on both implementation and on raising ambition; 2) stronger focus on mobilizing members; 3) implementation of climate

and development priorities with speed and scale; 4) more action to mobilize finance; 5) coordination mechanisms for collective impact, nationally, sub-nationally and internationally; 6) and systematic knowledge management to continually improve the Partnership's work.

Sustainability

The Steering Committee approves the Partnership's Work Program and the associated Monitoring & Evaluation Framework for the NDC Partnership; provides overall strategic direction, review progress reports, provide guidance on communication and planning of events by the SU. At present, the SU, under the coordination of the Co-Chairs and with a mandate from the Steering Committee is fundraising to facilitate the implementation of the new Work Program. Under the leadership of the Co-Chairs, the Support Unit is executing a funding strategy and outreach to additional governments and seeking to maintain its diversified funding base.

The demand-driven approach of the Partnership is key to ensure that interventions are rooted in national ownership and priorities. Country members nominate focal points from both the Ministry of Environment and the Ministry of Finance or Planning to facilitate a whole of government approach and embed the NDCs into national environment and development plans, policies, and budgets. Moreover, the political dialogue on the value proposition of the Partnership is supported by a robust communications and outreach strategy to highlight results and success stories.

An independent midterm review was also conducted to thoroughly evaluate the performance of the Partnership, including potential risks. The Midterm Review found the Partnership very efficient and responsive. Below is an overview of their recommendations and the Partnership's initial response:

- finalize 2018-2020 Work Program;⁷
- moderately expand Support Unit staffing to manage increased engagement with more countries;
- initiate a 'deeper' framework to make Partnership plans as starting points to specify NDC implementation and alignment of support from development and implementing partners. Build on Partnership Plans so facilitation identifies gaps of support and defines requests from countries in more detail, to:
 - develop and institutionalize further the role of facilitators;
 - review members' expectations and consider an accountability matrix or country level partnership assessment tool to follow up on the delivery of support;
- review its Theory of Change and Monitoring and Evaluation Framework (MEF);⁸

⁷ The Partnership closed out the 2018-2020 Work Program and is now in year one of the 2021-2025 Work Program.

⁸ The MTR consultants advised that the linkages between the impact level results that the Partnership sought to achieve were not sufficiently linked to the lower-level outcomes and outputs outlined in in our

- develop the Knowledge and Learning Strategy further;
- increase resources for implementation of the gender strategy;
- explore criteria for the use and funding level of a permanent Technical Assistance Fund (TAF) with the mandate from the Steering Committee.

These recommendations including the review of the ToC and MEF have been integrated into the 2021-25 Work Program which builds on the success of the first program.

Main Partners

The NDC Partnership is made up of country members, institutional members, and associate members. Currently, our membership is at a total of 195 (114 countries, 44 institutions, and 37 associate members).

The NDC Partnership is open to countries and international institutions that are committed to ambitious implementation of nationally determined contributions (NDCs) under the Paris Agreement and the 2030 Sustainable Development Goals. Country members, at the core of the NDC Partnership strategy, may receive support, contribute expertise, and/or serve as a development partner. Countries are empowered to lead their own NDC implementation and enhancement strategies. Development and implementing partners mobilize support in line with their comparative advantages and in coordination with others. Shared public plans avoid the risk of duplicating efforts. The Partnership provides the methods and the instruments for countries to make sure international support is gathered and coordinated behind countries' requests. While membership is fundamental, the Partnership actively promotes engagement with non-members and works directly with a diverse group of stakeholders including multilateral institutions, international initiatives, subnational actors and the private sector. The Partnership invites all committed stakeholders to seek opportunities to participate in both national, regional, and global activities hosted by governments and supported through the NDC Partnership and to utilize the knowledge tools and platforms available. Many non-member organizations already play an important role in our success. To further enhance non-member collaboration, the 2021-2025 Work Program includes a section on non-member engagement.

In the overall landscape of NDC support to countries, other partners have put in place programs (UNDP's Climate Promise, World Bank NDC Support Facility) to deliver on the NDC related requests and make sure there is coordinated supply. These support offerings are delivered through the NDC Partnership, engaging in the Partnership's existing coordination mechanisms. For instance, CAEP support is complementing existing ambition raising efforts by these implementing partners focusing on improving quality and processes to strength the NDCs. For instance, the Support Unit and UNDP have weekly coordination calls to discuss linkages and complementarities between

Theory of Change). We have addressed this in our 2021-2025 Work Program's TOC by adding another layer of "intermediary outcomes" to draw a clearer through line between higher level results with the results that the Partnership is contributing to.

CAEP and Climate Promise support, ensuring that support responses are aligned and coordinated. This helps to maximize support available to countries and ensure that efforts across the Partnership are strengthened. Of the 67 countries receiving CAEP support, close to 60 are also receiving support through UNDP's Climate Promise. To ensure HQ coordination translates to the national level, NDC Partnership coordination activities will always engage UNDP Climate Promise colleagues, particularly when NDC enhancement is being discussed. These common efforts have also translated into collaboration around the Partnership's Knowledge and Learning activities. For instance, the Support Unit organized a Partnership briefing in April 2020 on the topic of NDC Enhancement together with UNDP, and in November 2020 the Support Unit and UNDP organized a joint session on NDC Enhancement as part of the UNFCCC Climate Dialogues. In 2021, the Support Unit is engaging with UNDP, GIZ and other CAEP implementing partners to discuss lessons learned and insights on the 2020 NDC update process, helping to strengthen support offerings for future NDC update efforts.

IADB and WB are both members of the Steering Committee of the Partnership and there is a very lively exchange based on the close cooperation along the line of the following two programs.

The World Bank NDC Support Facility (NDC-SF) is a multi-donor trust fund created to facilitate the implementation of the Nationally Determined Contributions (NDC) pledged by countries under the Paris Agreement in 2015. Its activities are implemented in close coordination with and in support of the country engagement process of the NDC Partnership, a global coalition of developed and developing countries and international institutions, including the World Bank Group, working together to mobilize financial and technical support to achieve countries' climate goals and enhance sustainable development. Currently most of the funding comes from GER budget (BMZ).

To support the countries of the LAC region, IADB has created NDC Invest, a platform where the Bank offers financial solutions and technical support to help build national goals and transform them into attainable plans that generate prosperous, resilient, and neutral carbon economies by 2050.

Our membership continues to grow today and for more information, please see the [membership webpage](#) and separate attachment regarding our partners.

PROJECT ORGANIZATION

The Partnership is country-driven and member led. Governed by two Co-Chairs at ministerial level, they serve with the endorsement of the Steering Committee on a consensual basis for a two-year mandate. As a matter of principle, one co-chair is from a developed country and one from a developing country. The 13-member Steering Committee consists of four representatives from developed countries, four from

developing countries, and three from member institutions balanced both regionally and between climate/environment and finance/planning institutions.

The NDC Partnership's work is facilitated by a Support Unit (SU) which is not a legal entity itself but run by three parties, WRI, UNFCCC and UNOPS. The three parties will collaborate, under the NDC Partnership's principles and governance mechanisms, to enable the effective management and operations of the NDC Partnership Support Unit. UNFCCC Secretariat, UNOPS as well as WRI are ex-officio members of the Steering Committee.

A cooperation agreement between WRI, UNFCCC and UNOPS that is part of this grant agreement sets the framework for the collaboration to facilitate the implementation of the goals and objectives of NDC Partnership's 2021-2025 Work Program. Accordingly, the Cooperation Agreement, based on the Steering Committee decision, outlines the roles, responsibilities and decision-making processes that will be applicable, including on the funding and resourcing relating to the operations of the NDC Partnership Support Unit. Furthermore, the joint activities and implementation arrangements, financial management and reporting mechanisms, and grants management related considerations are outlined in the Cooperation Agreement. The Cooperation Agreement will be annexed to each bilateral donor/project agreement to ensure coherence by harmonizing the terms and conditions applicable with all funding sources.

In this case, a grant agreement between BELGIUM and UNOPS will be established, and the Cooperation Agreement will be annexed to this bilateral agreement. UNOPS will follow all their established procedures in setting up grant agreements with each donor. This will establish the accountability for fund management and provide details on the scope of this contribution.

Partnership Action Fund (PAF)

The NDC Partnership supports NDC enhancement and implementation by enabling its many members to respond rapidly to country needs in a coordinated way. To reinforce its capacity to do so, the Partnership is establishing a new funding mechanism, the Partnership Action Fund (PAF).

Through the PAF, NDC Partnership members' best available technical expertise and capacities will be matched and funded to address gaps in developing country members' NDC enhancement and implementation needs. The PAF will complement the NDC Partnership's implementing and development partners' existing support offerings to catalyze further climate action.

Through extensive consultation with NDC Partnership members, including country recipients, funders, and implementing partners, the PAF has been designed with the following attributes:

- **Serve as a complementary source of funds** to fill gaps in support from country member requests. PAF resources will only be considered after exhausting support available from NDC Partnership members.
- **Respond with flexibility and speed**, ensuring funding is readily available to institutional and associate members to support all developing country members in their urgent climate needs.
- **Engage more members**, ensuring their technical expertise and experiences are best matched to more country needs.
- **Maximize coordinated engagement with members**, including country recipients, implementing partners, and funders.
- **Leverage existing NDC Partnership structures and strategies**, including staff, governance, and resources.
- **Act as a neutral broker** to match unsupported requests from all NDC Partnership developing country members to financial resources and technical expertise.

Process

The NDC Partnership will deploy PAF resources to support its country engagement. The first step remains to circulate country support needs to NDC Partnership implementing and development partners on a rolling basis and invite partners to respond using their own resources through existing programs or projects. Only when a request for support receives no response from members will PAF resources be considered, ensuring that the PAF complements member resources.



The PAF will operate through two funding windows.

- *Window 1: "Facilitation support"* will provide resources to engage in-country facilitators in the form of embedded advisory support, reporting directly to NDC Partnership focal points in environment and finance ministries. Facilitators provide support to coordinate, implement, track progress, and mobilize resources for NDC implementation.



- *Window 2: “Technical assistance and scoping support”* will address technical assistance and scoping requests from developing country members. Technical assistance support will fund urgent or strategic country needs that have not attracted member support. Scoping support will allow institutional or associate members to lead the initial engagement with a member country on behalf of the Partnership and will include needs identification, preparation of the NDC Action Plan, and initial resource mobilization by consolidating support offers from development and implementing partners.

For Window 1, the NDC Partnership Support Unit will directly hire facilitators. For Window 2, the NDC Partnership will batch requests and invite members to respond once every quarter. Responses will be evaluated and matched to country needs, with funds disbursed to implementing partners through grants.

Thematic calls may be issued periodically, inviting countries to request support on topics identified as priorities by the NDC Partnership’s Steering Committee. Matchmaking for support will follow the Window 2 process outlined above.

The NDC Partnership Support Unit will manage the PAF through UNOPS and the World Resources Institute (WRI).

- **Countries:** All developing countries engaged with the Partnership will be eligible to receive support with PAF resources. Countries do not need to submit additional requests to benefit from the PAF. The PAF will operate within Partnership’s existing country engagement process.
- **Implementing Partner members:** All NDC Partnership institutional and associate members will be eligible to apply for PAF resources to support country needs. They will apply in response to “Calls for Proposals” to be issued quarterly by the Support Unit.
- **Funders:** PAF funds will be pooled through UNOPS, allowing funds to be deployed with speed and flexibility. Funders can also contribute to the PAF through WRI.

As a key donor to the PAF, Belgium will be invited to partake in the PAF Advisory Group that provides insights and recommendations to the NDC Partnership Steering Committee. The PAF Advisory Group is advising fund management and

- Proposes suggestions on PAF strategy and guidelines, including investment requirements, eligibility criteria, and reporting requirements to the Steering Committee
- Provides guidance on fiduciary requirements to the PAF Grant Managers.

For details please see Appendix F.

Knowledge management and communications

The Partnership builds on its country work and member expertise by sharing knowledge and learning to drive impact. By sharing lessons learned by members and resources from its network of knowledge partners, the Partnership drives and informs effective climate action worldwide. The Partnership's Knowledge Portal helps governments navigate NDC planning and implementation with easy access to practical guidance, tools, and funding opportunities. The Partnership supports direct learning between member countries and institutions through peer exchange events. It also uses a shared knowledge management system to identify trends in country needs and fill gaps in requests for support. In view of limitations posed by COVID-19, many knowledge and learning activities have focused on virtual formats.

The NDC Partnership Communication and Visibility Strategy outlines both a logic and intended approaches aligned with indicative activities. This strategy is an evolving document that provides tools to ensure uniform implementation, improved prioritization of tactics and suggestions emerging from across the governance structure. The logic, framework and tools outlined will also ensure structured alignment with all categories of members. The NDC Partnership Communication and Visibility Strategy serves to streamline, give purpose to, and strengthen the efficacy of communication and visibility activities, including events, meetings, publications and the launch of new partnerships and work. The strategy is informed by research-based communication approaches, environmental communications best practices and findings from a comprehensive external audit of the Partnership's digital assets.

Cross-cutting issues:

Human rights

All the Partnership's members have agreed to the ten Guiding Principles of the Partnership, which highlight a commitment to equitable and inclusive development through whole-of-government and whole-of-society approaches. With a membership of more than 190 countries, human rights standards vary among country members. The Partnership supports public participation through whole-of-society consultation processes, accountability through M&E tools, and non-discrimination through a multi-stakeholder engagement including enhanced integration of gender and youth.

The support undertaken by the Partnership is made transparent to other members and to relevant actors in the concerned countries. Human rights are referenced into the CAEP or Partnership Plan activities in more than 20 countries. These are addressed in several ways. For example, the Republic of the Marshall Islands has demonstrated strong political will and investment in integrating gender and human rights throughout its planned climate actions. Implementing Partners are supporting gender and human rights integration through sectoral actions, including relevant key performance indicators and specific gender outcomes.

Climate and Environment

Climate change threatens natural life resources, economies, and personal incomes of millions of people. Comprehensive and ambitious climate action are required urgently. The Partnership is a collective response to address critical interactions of climate-relevant development practices through participatory and coordinated approaches. Countries drive the articulation of their own climate-resilient development pathways, and through the Partnership, Institutional Partners converge in their objectives to deliver a flexible array of technical, financial, and knowledge services. This support is particularly important for the Partnership's developing country members that are often the most vulnerable to climate change. The Partnership is recognized as a neutral broker among stakeholders and a trusted partner, evidencing a strong governance structure and transparent strategy.

In terms of the institutional sustainability efforts, the Partnership as an initiative hosted by WRI, UNFCCC and UNOPS, is obliged to apply their respective policies. We therefore engage in these efforts and can reference individual hosts policies, but it is not possible for the Support Unit to report on these as one entity.

Gender

Women and other disadvantaged groups face higher risks of climate-related hazards and are disproportionately affected by negative climate change effects due to their reduced agency to respond to them. They also face unequal participation in climate-related planning, decision-making, and implementation. Therefore, international actors such as UNFCCC and the NDC Partnership have established frameworks for gender mainstreaming and gender-disaggregated data collection.

The Partnership has formulated a Gender Strategy to address these opportunities. This includes minimum standards and higher-level opportunities of gender-balanced participation on all stages, revision of existing gender policies, exploring existing and new gender analyses, gender-responsive activities and KPI's, reflecting identified gender-equality needs in the Partnership Plans, building country capacity for gender mainstreaming in NDCs, ensuring gender balance among in-country facilitators and tracking progress on gender equality results. The Support Unit of the NDC Partnership has engaged the International Union for Conservation of Nature (IUCN),⁹ as part of a Gender Consultancy until the end of 2021, to design a series of capacity building opportunities that facilitate access to knowledge on gender concepts and to provide direct technical support to Support Unit staff and in-country facilitators.

Anti-corruption

The actual activities in the countries are to a large extent carried out by implementing partners that apply their own corruption assessment and rules. When the Support Unit

⁹ IUCN, recruited through a competitive bidding process, has a strong gender team with significant experience on gender mainstreaming in the climate space. Thus far, they have been highly effective in flagging opportunities for advancing gender equality in Partnership Plans and project information notes (investments) to countries, as well as supporting the Partnership to track gender responsiveness of Partnership Plans.

directly engages with countries, e.g., through hiring of consultants, the anti-corruption policy and clauses of the WRI, UNFCCC, and UNOPS apply. In this context, WRI has an internal Code of Conduct with a section on “Anti-Corruption, Bribery, & Conflict of Interest Policy”, that demands highest anti-corruption standards: “Where standard practices differ between foreign and U.S.-based operations, the higher standard will be observed” (WRI 2018: 6). In the case of UNFCCC, the Staff Regulations of the United Nations apply, Regulation 1.2 (g) on the use of knowledge gained from official functions for private gain or the private gain of any third party, Regulation.

In accordance with the United Nations Staff Regulations and Rules, UNOPS requires its personnel not to accept any honour, decoration, gift or remuneration from any third parties, if such acceptance is incompatible with their status as international civil servants. Similarly, UNOPS requires that its personnel will not at any time and in any way use information known to them by reason of their official position, to their private advantage and that they will not accept, hold or engage in any office or occupation which is incompatible with the proper discharge of their duties with UNOPS.

Where appropriate UNOPS will promptly terminate arrangements with grantees, implementing partners, recipients, partners, contractors or agents involved in irregularities, fraudulent behaviour or corrupt practices in connection with any actions implemented by UNOPS and financed under the agreement, and shall take all reasonable measures to recover funds unduly paid. UNOPS will credit any funds so recovered to the Project account in accordance with its organizational directives and administrative instructions. Any costs incurred by UNOPS in connection with the recovery of such misused funds will be chargeable to the Project account.

UNOPS will immediately inform the funder of any illegal or corrupt practice in any activity financed under the agreement, whether or not under UNOPS’ responsibility, to the extent such notification does not jeopardize the conduct of UNOPS’ investigation.

Monitoring and Evaluation

The Monitoring & Evaluation Framework (MEF) for the 2021-2025 NDC Partnership Work Program outlines a set of key result statements, indicators, and targets to track progress on implementation. The MEF is structured around the Partnership’s Theory of Change which maps out necessary preconditions and building blocks for how change is proposed to take place. Through the MEF, the Partnership can monitor and assess the extent to which the Partnership is delivering on results; track progress on the Partnership’s efforts and those of its members at both the country and the global level; and make evidence-based course adjustments as needed to achieve Work Program targets. A key MEF goal is to support continuous learning to improve the programmatic and operational design of Partnership initiatives and support to members.

Risk Management

Potential risks associated with the three key sections of the Work Program have been identified and are included in the risk management matrix in Annex 2 Some examples of

contextual, programmatic, and operational risks and risk mitigation options are highlighted below.

Climate as a Non-Priority Risk (Contextual)

Countries and partners may consider climate change as a standalone issue that can be dealt with separately from sectoral and economic priorities, and thus this can become of lesser priority especially in challenging times. Countries and partners fail to bring together NDCs and SDGs in a common framework, resulting in potential coordination challenges and resource inefficiency. To mitigate this, partners increase efforts to engage key players within their organization/government beyond the climate or sustainable development department and build further understanding of linkages between climate change impacts and opportunities and economic development and sectoral priorities, including as part of support for green recovery strategies. Furthermore, countries ensure active Focal Point contacts from the Ministry of Finance, Economy, Planning or Investment, and ensure that both Focal Point Ministries engage relatively equally with the Partnership. In-country engagement now includes additional focus on engaging Central Bank representatives and parliamentarians, among others.

Delivery and Delay Risk (Programmatic)

The support committed by partners may be delivered with significant delays and not fully meet the needs of the country requests. For climate-related projects, programs, and investments, partners will accelerate the planning and preparation phase. Partners will also respond to requests for support primarily with new or realigned support. Partners will specify the scope of their support in Partnership Plans and other Partnership mechanisms, allowing for quick identification of remaining gaps. New Pool Funding Mechanism of the Partnership will allow to fulfill additional gaps in support. Support Unit tracks progress and reports challenges to the Steering Committee. Members keep the Support Unit informed of progress with implementation.

Operational and Political Risk (Operational)

Changes in Focal Points of countries and institutions can result in delays and interruptions of members' plans for collaboration with the Partnership. Moreover, frequent changes in countries' political leadership impacts continuity of engagement with the Partnership and may shift country priorities related to climate change. For this, the Support Unit maintains a well-functioning CRM system, suggests that every member has day-to-day contact persons in addition to Focal Points that receive regular Partnership information, and follows up with those members that are generally not responsive or have only a single contact point. Focal Points do not generally hold political positions; however, shifts may occur. Support Unit staff and engaged members maintain close relationships with working level staff in Focal Point ministries. Members and Support Unit will work together to ensure continued involvement with new governments in the Partnership's processes.

BUDGET

The total contribution from Belgium shall be EUR 2 Mil. It is the intention of the Government of Belgium to continue to contribute to the NDC Partnership Action Fund at least at the same level until 2024, subject to approval and within its financial means. This contribution shall be used for the Partnership Action Fund. For details on the budget please refer to Appendix D.

Table 3. NDC Partnership 2021-2025 WORK PROGRAM BUDGET TASK LEVEL SUMMARY

WORKSTREAM	2021	2022	2023	2024	2025	TOTAL WP BUDGET	NOTES/STRATEGY HIGHLIGHTS
KNOWLEDGE & LEARNING	\$ 2,521,624	\$ 2,874,286	\$ 3,322,215	\$ 3,261,937	\$ 3,665,130	\$ 15,645,192	
Staff	\$ 1,526,624	\$ 1,679,286	\$ 1,847,215	\$ 2,031,937	\$ 2,235,130	\$ 9,320,192	2021 includes the addition of a Youth and Gender Specialist
Consultants	\$ 350,000	\$ 350,000	\$ 350,000	\$ 350,000	\$ 470,000	\$ 9,320,192	Gender and Enhancement Consultant Support
Knowledge Portal	\$ 150,000	\$ 100,000	\$ 150,000	\$ 100,000	\$ 180,000	\$ 680,000	Maintain navigators, update portal content, outreach and training to users/members for increased uptake and supports Climate Watch initiatives
Knowledge Mgmt. Systems	\$ 155,000	\$ 155,000	\$ 275,000	\$ 80,000	\$ 80,000	\$ 745,000	Building of IT platforms to support information sharing and support Partnership Plan Tool implementation
Reports & Case Studies	\$ 200,000	\$ 200,000	\$ 200,000	\$ 200,000	\$ 200,000	\$ 1,000,000	
Travel	\$ 100,000	\$ 200,000	\$ 200,000	\$ 200,000	\$ 200,000	\$ 900,000	Staff travel
Convenings	\$ 150,000	\$ 300,000	\$ 300,000	\$ 300,000	\$ 300,000	\$ 1,350,000	Peer to peer exchanges
Convenings Support	\$ (110,000)	\$ (110,000)	\$ -	\$ -	\$ -	\$ (220,000)	Support from UNFCCC funds for Knowledge & Learning convenings
COUNTRY ENGAGEMENT	\$ 2,696,613	\$ 3,792,793	\$ 5,184,240	\$ 5,712,143	\$ 5,860,022	\$ 23,245,810	
Staff	\$ 1,751,613	\$ 2,273,793	\$ 2,862,440	\$ 3,148,683	\$ 3,463,552	\$ 13,500,080	2021 includes two new roles for senior level Country Engagement support and two new roles for senior level Finance support. Additionally in 2021 includes transition of two Junior Country Engagement roles to Senior Country Engagement Specialists. In 2023 includes addition of two Senior Country Engagement Specialists
Regional Support Staff	\$ -	\$ -	\$ 350,000	\$ 350,000	\$ 350,000	\$ 1,050,000	In 2021 and 2022 Regional Support staff funds are paid for by UNFCCC
Multi Stakeholder Dialogues	\$ 200,000	\$ 400,000	\$ 450,000	\$ 450,000	\$ 450,000	\$ 1,950,000	In-country workshops associated with the implementation of the Country Engagement, including kick-off meetings, Partnership Plan Workshops and Stop & Reflect exercises to evaluate progress
Partnership Plan Tool	\$ 50,000	\$ 50,000	\$ 50,000	\$ -	\$ -	\$ 150,000	The online Partnership Plan tool is a web-based platform developed by the Partnership to improve coordination of climate-development projects, programs and investments. These funds support consultant needed for the first 3 years of implementation
In Country Consultants	\$ 420,000	\$ 504,000	\$ 604,800	\$ 725,760	\$ 504,000	\$ 2,758,560	Embedded consultant to support the preparation of Partnership Plans and initial coordination of implementation
CAEP Consultants	\$ -	\$ -	\$ 120,000	\$ 180,000	\$ 120,000	\$ 420,000	
In Country Consultant Support	\$ (75,000)	\$ (75,000)	\$ -	\$ -	\$ -	\$ (150,000)	Support from UNFCCC funds for Country Engagement in country consultants
Country Engagement Travel	\$ 150,000	\$ 370,000	\$ 407,000	\$ 447,700	\$ 492,470	\$ 1,867,170	
Finance Consultants	\$ 100,000	\$ 150,000	\$ 200,000	\$ 250,000	\$ 300,000	\$ 1,000,000	Support country-level facilitation related to finance as well as preparation of publications related to finance in support of Work Program objectives
Finance Travel	\$ 100,000	\$ 120,000	\$ 140,000	\$ 160,000	\$ 180,000	\$ 700,000	
GOVERNANCE & OUTREACH	\$ 788,830	\$ 916,213	\$ 1,079,910	\$ 1,151,901	\$ 1,230,091	\$ 5,166,946	
Staff	\$ 423,830	\$ 466,213	\$ 619,910	\$ 681,901	\$ 750,091	\$ 2,941,946	2021 includes addition of a CRM specialist. In 2023 include addition of Membership Support Specialist
Consultants	\$ 75,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 375,000	
Membership CRM	\$ 150,000	\$ 50,000	\$ 60,000	\$ 70,000	\$ 80,000	\$ 410,000	Launch, development and maintenance of new membership CRM to support Work Program initiatives
Steering Committee	\$ 100,000	\$ 250,000	\$ 250,000	\$ 250,000	\$ 250,000	\$ 1,100,000	Includes travel support for Members
Convenings/Travel	\$ 40,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 340,000	Meetings to engage with members on the sidelines of major climate events
COMMUNICATIONS	\$ 1,848,000	\$ 1,865,300	\$ 1,938,830	\$ 2,019,213	\$ 2,107,134	\$ 9,778,477	
Staff	\$ 623,000	\$ 685,300	\$ 753,830	\$ 829,213	\$ 912,134	\$ 3,803,477	In 2021 includes addition of a Communications Specialist and a Senior Communications Specialist
Communications Support	\$ 285,000	\$ 340,000	\$ 240,000	\$ 245,000	\$ 250,000	\$ 1,260,000	Covers the further development and maintenance of the ndcpartnership.org website to create a comprehensive hub for our members and the general public to access and learn about our work. Additionally, supports in-country report writing
Event Support / COP / Forum	\$ 600,000	\$ 600,000	\$ 600,000	\$ 600,000	\$ 600,000	\$ 3,000,000	Logistical support for services around major NDC Partnership events (including COP and the annual Members' Forum). Also includes participation in events organized by Members, regional dialogues, and other external events. Includes Member travel budget
Printing Design, Materials & Translation	\$ 175,000	\$ 175,000	\$ 175,000	\$ 175,000	\$ 175,000	\$ 875,000	Development, design, and printing of NDC Partnership materials and reports, including translation
Video / Photography / Multimedia	\$ 165,000	\$ 165,000	\$ 170,000	\$ 170,000	\$ 170,000	\$ 840,000	Supports development of the Partnership in Action video to promote Partnership initiatives. Supports photo and video procurement to document NDC Partnership work in country and at major events. Also includes development of multimedia tools
OPERATIONS	\$ 1,087,160	\$ 1,235,876	\$ 1,441,964	\$ 1,406,160	\$ 1,754,276	\$ 6,925,436	
Staff	\$ 737,160	\$ 810,876	\$ 891,964	\$ 981,160	\$ 1,079,276	\$ 4,500,436	
Staff Development & Trainings	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 500,000	
External Reviews	\$ -	\$ -	\$ 125,000	\$ -	\$ 250,000	\$ 375,000	Includes an external review of the Partnership
Staff Retreat Budget	\$ 75,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 375,000	
Support Unit Subscriptions	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 500,000	Includes subscriptions to project management tools utilized by all staff of the Support Unit
Travel	\$ 75,000	\$ 150,000	\$ 150,000	\$ 150,000	\$ 150,000	\$ 675,000	
TOTAL WORKSTREAMS	\$ 8,942,227	\$ 10,684,468	\$ 12,967,158	\$ 13,551,354	\$ 14,616,654	\$ 60,761,862	
WRI INDIRECT EXPENSES	\$ 776,000	\$ 953,800	\$ 1,128,360	\$ 1,105,692	\$ 1,165,294	\$ 5,129,146	This is an estimate of indirect charges due to host institution, WRI, and is subject to change based on individual funding arrangements established between respective donors
TOTAL SUPPORT UNIT	\$ 9,718,227	\$ 11,638,268	\$ 14,095,518	\$ 14,657,046	\$ 15,781,948	\$ 65,891,008	

FINANCIAL MANAGEMENT AND REPORTING

The funding from BELGIUM will be administered by UNOPS. All details of financial management and reporting schedules will be determined in the project agreement.

The funds received by UNOPS will be used to directly source three main financial activities: personnel, procurement, and travel. On personnel, these will be both staff and international consultant positions needed to facilitate the work of the Support Unit and to manage the PAF. Some examples of procurement involve our country facilitators, support we need around events (catering, translations, etc.). We also have a travel budget for SU staff and participants who we might sponsor. The funds received by UNOPS will also support the PAF which is outlined above. For funds allocated through Window 1, UNOPS will facilitate the standard HR process and for funds allocated through Window 2, UNOPS will facilitate grant funding.

Where appropriate UNOPS shall promptly terminate agreements with partners, contractors or agents, involved in irregularities, fraudulent behaviour or corrupt practices in connection with this or any other actions implemented by UNOPS and financed under the agreement, and take all reasonable measures to recover funds unduly paid.

As for reporting, UNOPS will provide the funder with the following reports/statements prepared in USD and in accordance with UNOPS' standard requirements and formats.

- Joint bi-annual financial status reports;
- A joint annual certified financial statement as of 30 June of the subsequent year;
- A joint final certified financial statement no later than 30 June following the calendar year during which activities have been finalized;
- A biannual results-based narrative progress report (as of 30 June and 31 December each year).

Narrative reports shall include a general description of the progress of the Fund Management Support to the NDC Partnership and specific notes on the results, impact and sustainability of results, in accordance with the governance documentation. In addition, the project team to be deployed by UNOPS will prepare and present status reports on progress and results for the NDC Partnership Steering Committee Co Chairs informing the Steering Committee meetings.

This Operating Manual is included for reference only and the project agreement and its annexes will prevail in case of any conflict.

NDC Partnership

Partnership Action Fund (PAF)

Operating Manual

October 2021

Note on Draft PAF Operating Manual

This version of the Operating Manual is subject to change as discussions evolve on the operational details of the PAF process. These changes will not affect the overall proposed strategy. Further details will be added as they become available on the PAF process (i.e., the management of UNOPS grants), the division of labor between the various Support Unit teams split across the PAF Grant Managers and the financial policy framework.



INTRODUCTION

The NDC Partnership supports NDC enhancement and implementation by enabling its many members to respond rapidly to country needs in a coordinated way. To reinforce its capacity to do so, the Partnership has established a new funding mechanism, the Partnership Action Fund (PAF).

Through the PAF, NDC Partnership members' best available technical expertise and capacities are matched and funded to address gaps in developing country members' NDC enhancement and implementation needs. The PAF complements the NDC Partnership's implementing and development partners' existing support offerings to catalyze further climate action.

This Operating Manual outlines the PAF process, from request to implementation, outlines the governance structure and roles and responsibilities of each actor, and identifies risks and corresponding mitigation measures.

PAF KEY ATTRIBUTES

Through extensive consultation with NDC Partnership members, including country recipients, funders, and implementing partners,¹ the PAF has been designed with the following attributes:

- **Serve as a complementary source of funds** to fill gaps in support from member country requests. PAF resources will only be considered after exhausting support available from NDC Partnership members.
- **Respond with flexibility and speed**, ensuring funding is readily available to institutional and associate members to support all developing country members in their climate needs.
- **Engage more members in providing support to county needs**, ensuring unique technical expertise and experiences are best matched to more country needs.
- **Maximize coordinated and aligned engagement with members**, including country recipients, implementing partners, and funders.
- **Leverage existing NDC Partnership structures and strategies**, including staff, governance, and resources.
- **Match requests from developing country members** to financial resources and technical expertise.

The PAF will operate as a complement to the NDC Partnership's Country Engagement Strategy. All requests received through the NDC Partnership will continue to be circulated to members for their response, utilizing their existing projects or programs. Only after exhausting support available from members will requests be eligible for PAF support. The following section describes the PAF process in detail, including: the PAF structure, the entry screening criteria, the processes for Windows 1 and 2, and implementation monitoring.

¹ Consultations were led by an externally commissioned third-party (Dalberg).

OVERVIEW OF THE PAF TEAM STRUCTURE

The process of connecting PAF resources to requests under either window, will be implemented by the Support Unit through three distinct functions.

- **PAF Operations:** In charge of executing the PAF-related financial activities. Staff will be based in both WRI and UNOPS to manage distinct funding sources.
- **Country Engagement:** In charge of the programmatic activities of the PAF.
- **PAF Core:** In charge of the administrative tasks to facilitate the Call for Proposals (CFP), evaluations, and grant and contractual activities of the PAF Grant Managers.

OVERVIEW OF THE PAF PROCESS

The PAF will operate through two funding windows.² This will allow the Support Unit to use one process to provide facilitation support and another to match requests for technical assistance with partner support.

Window 1: “Facilitation support” will provide resources to engage in-country facilitation support. Support for facilitators will be quickly deployed either for the entire duration of the facilitation support, or as bridge funding before a member is able to take over the responsibility.

Window 2: “Technical assistance and scoping support” will address unsupported technical assistance and scoping requests, as well as provide dedicated resources for thematic calls. It will work to fund urgent country needs, including on priority topics, which require immediate financial resources. Scoping support will include needs identification, preparation of the NDC Partnership Plan or other similar implementation or investment plans, and initial resource mobilization by consolidating support offers from development and implementing partners, etc.

All requests submitted to the NDC Partnership will be handled through existing Partnership models, where requests are first submitted to the full membership for offers of support. If no member is able to respond with support from their own resources, requests will then be entered in the PAF process. The following sections describe the PAF process for Window 1 (facilitation support) and Window 2 (technical assistance support).

² The NDC Partnership Steering Committee had approved three funding windows for the PAF: facilitation, technical assistance, and scoping support. To improve efficiency and effectiveness in the management of the PAF, Window 3 has been merged with Window 2. The requests for scoping country engagement work, which include needs assessment and preparation of NDC Implementation Plan, will come directly from the member countries and treated as technical assistance requests. Window 2 and Window 3 will be referred as Window 2 throughout this document.



OVERVIEW OF THE PROCESS FOR WINDOW 1

Window 1 supports facilitation requests and operates on a rolling basis, ensuring in-country facilitators are hired with speed. As facilitators are central to the NDC Partnership’s Country Engagement Strategy, countries will be able to request assistance on a rolling basis, with requests circulated to implementing partners for their response on a monthly basis. Requests to expand embedded advisory support, for example support to other line ministries, are considered technical assistance through Window 2.

Requests for facilitators must meet basic criteria, including:

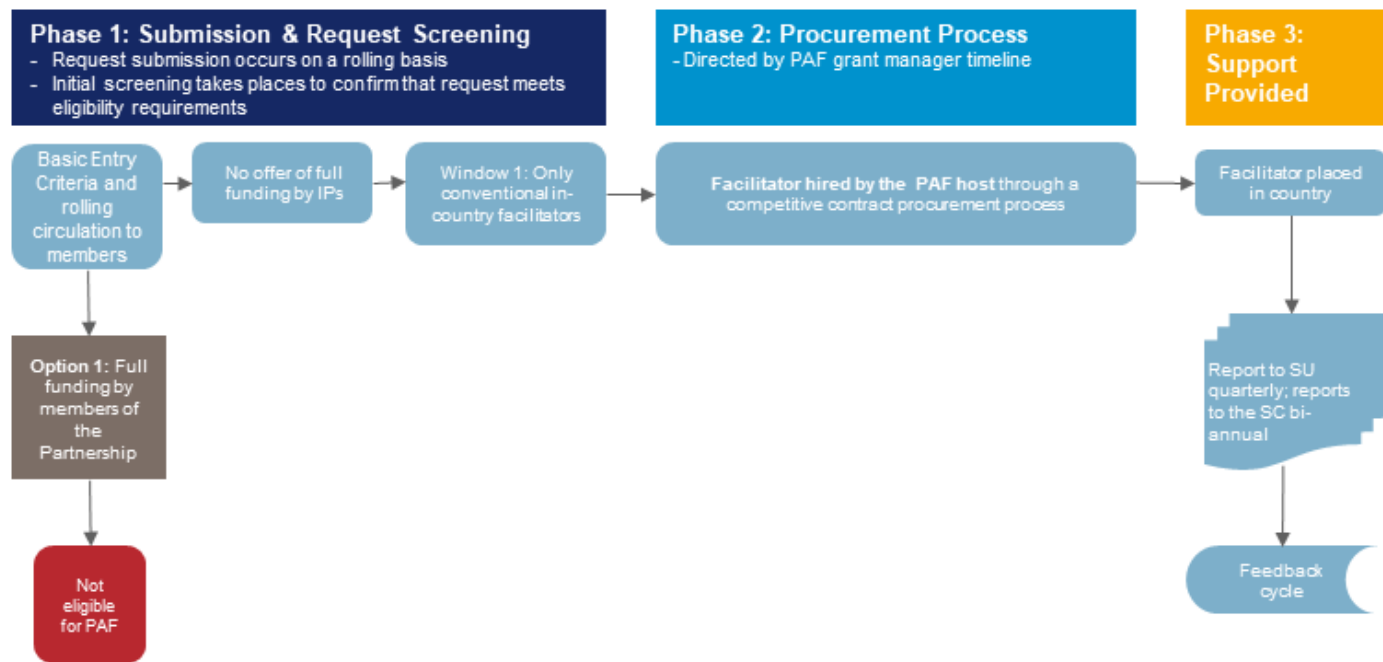
- **Meet the definition of facilitation support**, in comparison to technical assistance in Window 2
- **Include TORs for the in-country facilitation**, allowing for quick facilitator placement
- **Include an offer of office space from the requesting country government space** which a facilitator will be able to actively work from
- **Specify the duration of the facilitation support**, providing a clear window of time during which facilitation support from the Partnership will be needed
- **Mention how the facilitator role will be sustained after Partnership support ends**, with next steps and timeline outlined from the onset and regularly tracked jointly with the focal points.

Facilitator requests, under Window 1, will then be circulated to the members of the Partnership. Members will have four weeks to respond to these requests with their own resources. In the case where multiple partners respond to the facilitation request, the Support Unit will assist in a matchmaking process between the requesting countries and the Implementing Partner (IP), with final selection based on decision from the focal points.

If no members offer full funding for a facilitation request, the TOR will be advertised by the PAF Operations Team, initiating a competitive recruitment process following the PAF Grant Manager procurement rules.³ Government representatives will be invited to participate in the procurement committee to assist in the selection of the facilitator, provided no-conflict of interest is confirmed with the PAF Grant Manager.

³ The procurement of facilitators would include a competitive recruitment process under the rules of the PAF Grant Managers.

Process for Window 1



Roles and Responsibilities for Window 1

	Phase 1: Submission & Request Screening	Phase 2: PAF Procurement Process
Country Recipient	<ul style="list-style-type: none"> - Request submission occurs on a rolling basis - Confirm that requests meets Entry Screening Criteria 	
	<ul style="list-style-type: none"> • Develop Request for Support Letters (RSLs) and Terms of Reference (TORs) for country facilitator • Submit RSL and TOR to the Support Unit 	<ul style="list-style-type: none"> • Sit on procurement committees for the hiring of facilitators, as desired • Confirm 'no conflict' of interest in selection of facilitators
Country Engagement Team	<ul style="list-style-type: none"> • Provide support to countries to formulate requests • Receive and review country requests and confirm Entry Screening Criteria met • Circulate country requests to partners • Receive and review partner responses 	<ul style="list-style-type: none"> • Compile TOR content and hand off to PAF Core team • Share TORs through country networks • Participate in procurement committees • Invite government to participate in procurement committees • Share final selection with government
Implementing Partners	<ul style="list-style-type: none"> • Respond to facilitator requests with full funding offers 	
PAF Core Team		<ul style="list-style-type: none"> • Finalize drafting of TORs to be advertised • Organize, coordinate and participate in procurement committees • Process contracts for selected facilitators
Operations Team		<ul style="list-style-type: none"> • Participate in procurement committees • Collect 'no conflict' of interest confirmations from external procurement committee members • Issue TORs to hire Facilitators • Review, record and execute all contracts

OVERVIEW OF THE PROCESS FOR WINDOW 2

Under Window 2, PAF will provide targeted, fast support to enable countries to achieve their commitments to the Paris Agreement, through responding to country requests for technical assistance that enable accelerated NDC implementation or for raising NDC ambitions. These requests received through the NDC Partnership Support Unit may include technical assistance or scoping support, starting with requests received since March 2021.⁴

All Request for Support Letters (RSLs) submitted to the NDC Partnership, through the Support Unit, will adhere to a basic set of Entry Screening criteria to guarantee that only requests with sufficient context and clarity are circulated to members. Requests will be formulated with support from in-country facilitators where possible. The NDC Partnership Country Engagement team may also provide guidance or support to countries in formulating requests within a basic template, with accompanying guidelines. This will allow for continuity of requests to the partners, as well as ease the burden on the Support Unit in screening requests that enter the PAF process.

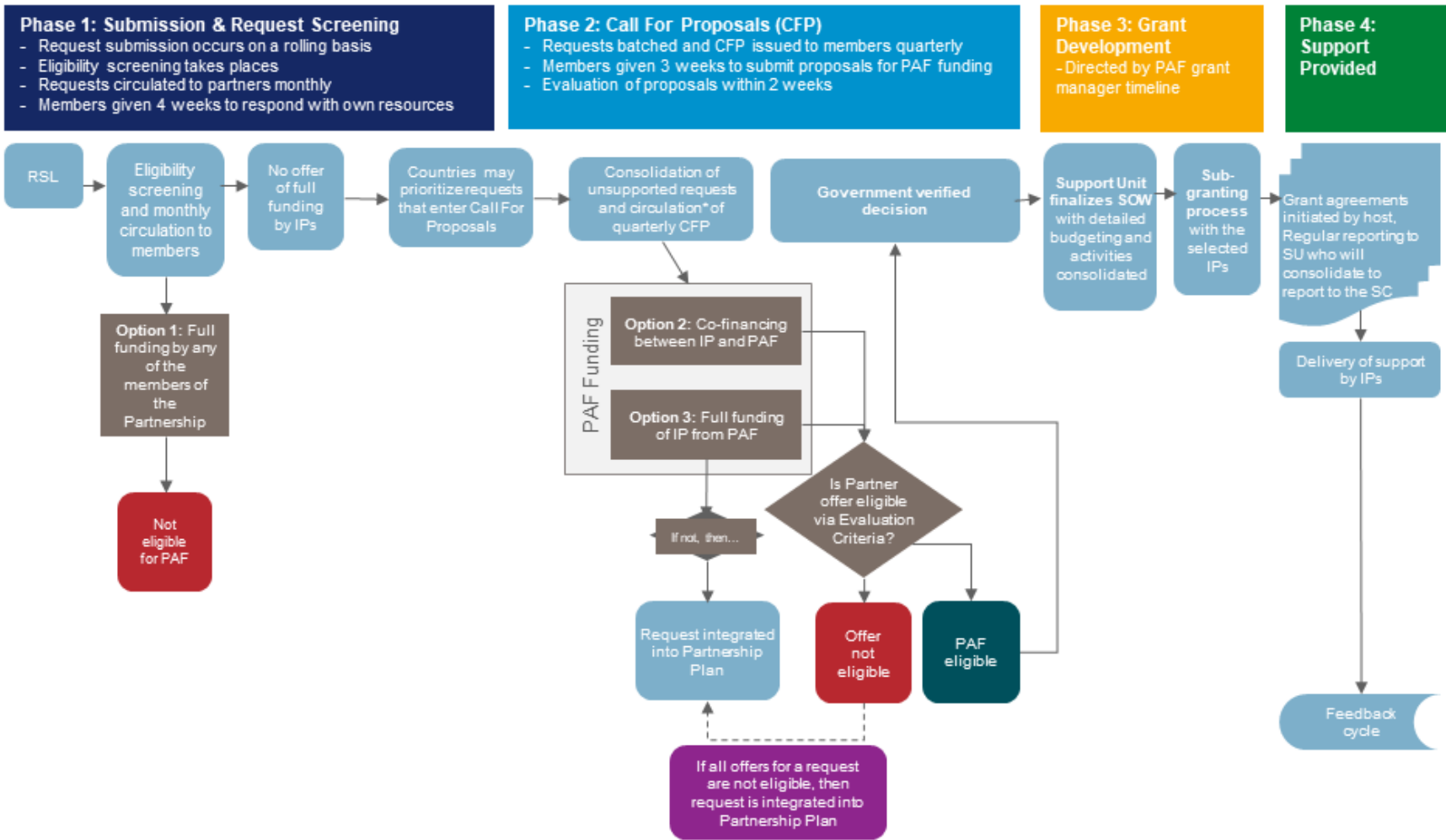
The Entry Screening criteria for all requests submitted to the NDC Partnership include:

- Request must mention how they directly contribute to the countries' NDC implementation and/or investment plans (e.g. Partnership Plans where they exist) or the enhancement of the NDC, as well alignment with the Partnership's 2021-2025 Work Program Monitoring and Evaluation Framework
- Request must provide specific project details, such as (i) outputs/deliverables, (ii) activities, (iii) estimated cost, (iv) expected start date and project duration, (v) lead government institution, (vi) contribution to the Partnership's Work Program and NDC implementation plans and strategies, and other information as per the NDC Partnership's Request for Support template
- Requests must be signed off by a focal point of the NDC Partnership (or a more senior official in the same ministry) and sent with copy to all focal points.

Requests that pass the entry screening will be consolidated on a rolling basis and circulated to NDC Partnership institutional and associate members on a monthly basis, for their offers of support. (Additional details on how requests are prepared from countries are available in Annex 1.) Implementing Partners will have at least four weeks to respond with their own resources. If no offers for fully funded support are received, unsupported requests that can be implemented within the PAF timeframe then enter PAF process, outlined below.

⁴ If a country is looking for support for an existing request prior to March 2021 (from an existing RSL or Partnership Plan), they will need to submit a new request with sufficient details to meet PAF Entry Screening criteria.

Process for Window 2



Requests for Support

Requests that have met the entry screening criteria, not received offers for full support upon circulation to members, will be consolidated into a single Call for Proposals (CFP), by the PAF Core Team, which will be circulated to IPs, once per quarter. If needed, the Country Engagement team may reach out to the countries to prioritize unsupported requests that are eligible to be included in the CFP. Countries may also be asked to revise requests, in instances where an IP has offered partial support. Requests circulated through the CFP will follow a standardized template (outlined below in Annex 1).

Calls for Proposals

The CFP will be posted on the PAF Grant Manager websites and emailed (from the Support Unit Director of Country Engagement) to all IPs for their response. Implementing Partners will have 3 weeks to prepare and submit their proposals. To be eligible for PAF funding, IPs must:

- Be institutional or associate members of the NDC Partnership and
- Have submitted Financial Management Capacity Assessment (FMCA) documentation to UNOPS, or organizational assessments to WRI, ahead of (or in parallel to) responding to CFPs.

To respond to the CFP, IPs can apply to one, several or all requests listed in the CFP. For each request they are proposing to support, IPs must submit a complete proposal that includes:

- Technical Proposal:
 - o Indication of whether the proposal responds to the full nature of the request, including all deliverables/outputs and activities
 - o Description of the implementation approach to ensure completion of the deliverables/outputs being requested, including adherence to estimated project duration
 - o Description of the project team and management structure
 - o Description of the monitoring plan for implementation of project activities
 - o Previous Experience Form:
 - In-country or regional experience
 - Technical expertise and capacity to conduct activities requested
 - o Risk Matrix Form
- Financial Proposal:
 - o Within overhead limits
 - o Costs are realistic
 - o Commitment of co-financing, where applicable

CFP Proposal Evaluation

After the CFP deadline has passed, all eligible proposals received will be evaluated by an evaluation and selection committee, organized by the PAF Core Team. Committees will be established for each country for which proposals are being evaluated and members will include a mix of Country Engagement team members (including relevant Regional Managers and Country Engagement Specialists, or Regional Program Officers), PAF Core team members, and Operation team members. The evaluation committee may also include outside technical experts or representatives from the requesting country. The PAF Grant Manager

will require 'no conflict of interest' confirmations from panelists not under a UNOPS or WRI contract.

The evaluation will follow the process elaborated in the CFP, with review of technical and financial components of IP proposals. Evaluation committees will be established at the country level, with the evaluation and selection to be conducted at the request level.

For each request, proposals will be evaluated against criteria designed to ensure that support fulfills the goals of the country and falls within the PAF guidelines. Each criterion is weighted to determine a minimum threshold of points to be achieved for further consideration. The evaluation criteria and scoring in the CFP for the technical components include:

- Project activities and implementation approach
 - o Detailed description of the implementation approach to fully achieve the deliverables outlined in the request
 - o Ability to deploy support quickly and meet deadlines outlined in the request
- Project team and management structure
 - o Proven technical expertise to provide support offered against the request
 - o Country experience which includes a minimum number of past projects or years of relevant in-country experience
- Monitoring plan for project activities
- Organization background, capacity and country experience
- Risk assessment and mitigation

Once the technical evaluation is complete, proposals that score at least 70% will be evaluated against financial criteria. The financial evaluation criteria include:

- Overall costs (i.e., daily rates) are reasonable and overheads are within certain limits
- Overall costs ensure best value for money, considering qualifications of team and associated budget items (i.e., workshop costs, travel, etc.)
- Offer of co-finance
 - o Additional evaluation points will be awarded for proposals that provide co-financing for programmatic activities, as opposed to in-kind support

If a request has no eligible offers for support by the end of the PAF evaluation process, it will be integrated into the NDC Partnership's Country Engagement process, including Partnership Plans or other climate action planning efforts.

The distribution of PAF support under Window 2 across countries will largely depend on the level of PAF capitalization and the number of eligible requests received. Through this distribution, the Partnership will seek to ensure that resources are equitably distributed across regions and are prioritized for high-impact activities that support accelerating NDC implementation, or further enable a country to raise its NDC ambitions.

Scope of Work

After the evaluation committee has reviewed all proposals per activity, scored and decided the winning proposals, the Country Engagement team will inform the focal points, and begin a process of finalizing the specific Scope of Work (SOW), to refine the deliverable and activity list and timeline for the work to be conducted. The SOW will form the grant agreement with the IP and the PAF Grant Manager. The Country Engagement team will initiate this

discussion with the country and the selected IPs. The PAF Core Team will review and consolidate all SOWs per IP to develop the terms of the grant agreement.

OVERVIEW OF IMPLEMENTATION

Progress tracking of all PAF activities will be the responsibility of the Country Engagement team and the recipient countries (assigned technical team identified by the focal points), per the contract or grant terms of the support. The management of PAF supported activities will be between the country recipient and the IP, with the Country Engagement team monitoring progress and tracking approvals of deliverables. The PAF Core and Operations teams will support the Country Engagement team in tracking deliverables and confirming country approvals.

Window 1: Facilitator Contract management:

- Finalization of workplan and inception report approved by the country
- Monitoring of work delivery
- Verification of deliverables
- Monthly and quarterly reporting
- Approvals for payment

Window 2: Technical Assistance Grant management:

- Finalization of workplan and inception report
- Monitoring of work delivery
- Integration with Partnership Plans and coordination with other initiatives
- Verification of deliverables
- Approvals for payment
- Status reporting and final report

Roles and Responsibilities for Window 1 and 2 Implementation

	Window 1: Facilitation Support	Window 2: Technical Assistance
Country Recipient	<ul style="list-style-type: none"> Oversee facilitator deliverables and work activities Approve monthly and quarterly reports 	<ul style="list-style-type: none"> Oversee implementation of activities Approve deliverables
Country Engagement	<ul style="list-style-type: none"> Review deliverables and coordinate approval of deliverables with government 	<ul style="list-style-type: none"> Monitor progress against timeline and submission of deliverables in the SOW Verify approval of deliverables with the country Share approvals with PAF Core Team
Implementing Partners		<ul style="list-style-type: none"> Begin support as agreed in the SOW within 1.5 months Provide feedback and progress updates to the Support Unit
PAF Core Team	<ul style="list-style-type: none"> Collect payment requests and approvals (from CE team input) Develop and submit programmatic reporting to funders Complete programmatic close out of funder agreements 	<ul style="list-style-type: none"> Review and approve disbursements to IPs Conduct ongoing programmatic monitoring of IPs Develop funder reports
Operations Team	<ul style="list-style-type: none"> Review, record, and execute funder agreements Develop and submit financial reporting to funders Issue payments upon approval of deliverables Monitor budget and spending, and confirm billing for financial monitoring 	<ul style="list-style-type: none"> Maintain deliverable list per grant SOWs for CE team monitoring Disburse PAF funds Perform compliance review Monitoring partner financial performance Coordinate audits

GOVERNANCE STRUCTURE

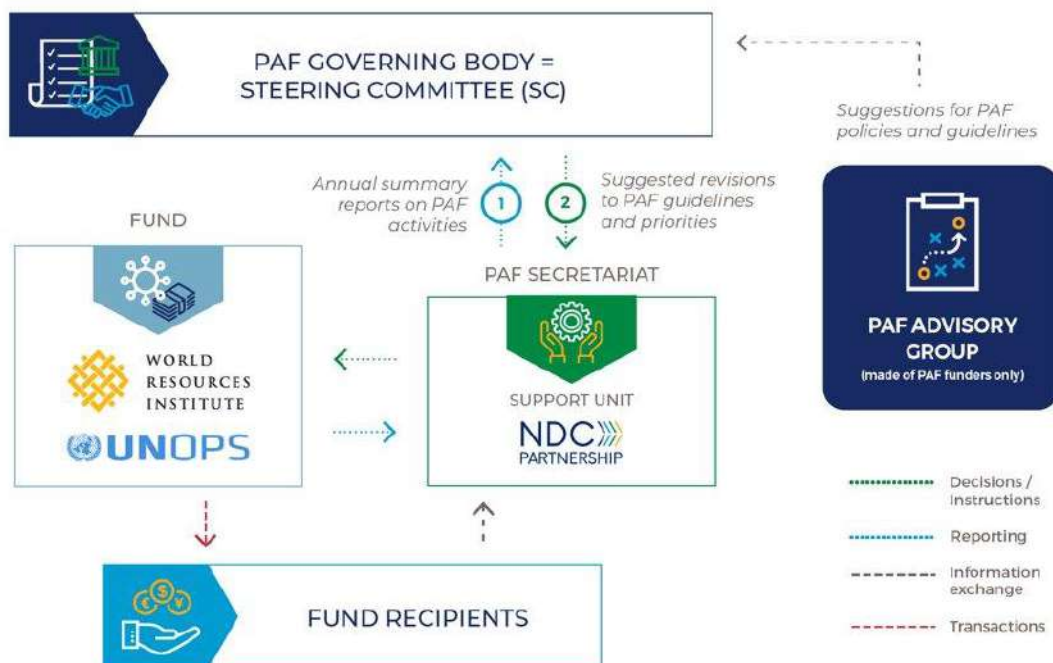
KEY FUNCTIONS AND ACTIVITIES

General task distribution

The governance of the PAF builds on the NDC Partnership’s existing governance structure. The task distribution is as follows:

- **NDC Partnership Steering Committee** serves as the governing and decision-making body for the PAF
- **PAF Advisory Group** provides insights and recommendations to the NDC Partnership Steering Committee – participating in PAF-related Steering Committee discussions as observers
- **NDC Partnership Support Unit** serves as the Secretariat of the PAF – together with the PAF Grant Managers
- **PAF Grant Managers (UNOPS and WRI)** manages the PAF financial activities, including, but not limited to: grant management, contractual arrangement, and financial payments.

The figure below illustrates the overall governance structure to operationalize the PAF – including (i) the decision and instruction lines, (ii) the reporting lines and (iii) the information exchange channels among the NDC Partnership Steering Committee, the NDC Partnership Support Unit, the PAF Advisory Group (DAG) and the PAF Grant Managers (UNOPS and WRI).



The table below provides details on the task distribution among these PAF actors. Roles and responsibilities are further elaborated in the sections below.

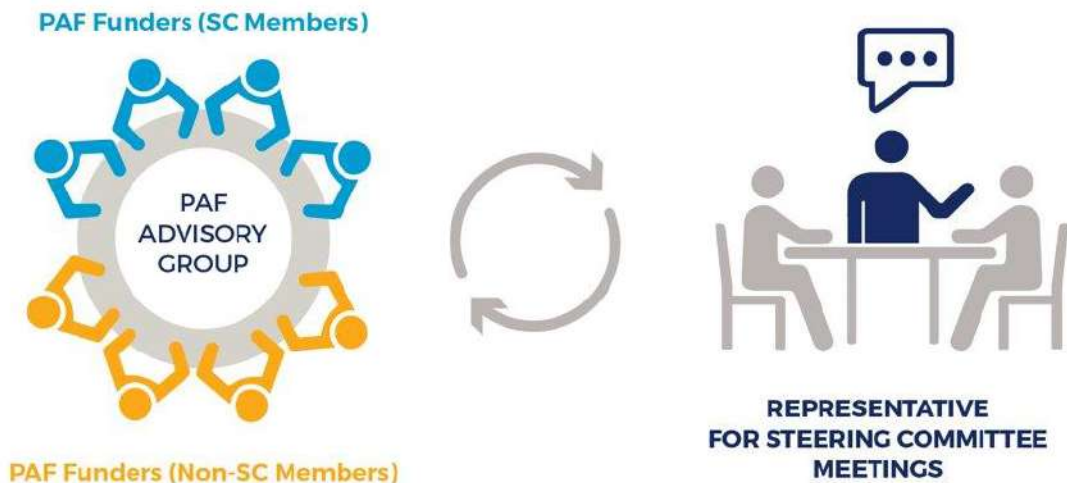
Key Actors and Roles	Activities	Description
Steering Committee executing fund oversight	Fund strategy	<ul style="list-style-type: none"> Approves key policies for the selection of PAF structures, processes Ensures results of overall Monitoring and Evaluation (M&E) are acted upon Sets and periodically updates the Fund's strategy and guidelines
PAF Advisory Group advising fund management	Fund strategy advisory	<ul style="list-style-type: none"> Proposes suggestions on PAF strategy and guidelines, including investment requirements, eligibility criteria, and reporting requirements to the Steering Committee Provides guidance on fiduciary requirements to the PAF Grant Managers
NDC Partnership Support Unit acting as fund secretariat	Fund implementation	<ul style="list-style-type: none"> Selects/guides/ reviews selection of country recipients and implementing partners Approves allocation of PAF funds based on PAF TOR
	Monitoring and evaluation	<ul style="list-style-type: none"> Collects and collates project-level M&E data from recipients and conducts fund-level M&E Conducts project/ program due diligence by reporting on impact and value for money Disseminates lessons learned in achieving development outcomes
	Technical policy framework	<ul style="list-style-type: none"> Sets technical policies, including investment requirements, eligibility criteria, and reporting requirements (financial and non-financial) – from the PAF strategy
	Resource mobilization	<ul style="list-style-type: none"> Engages donors to periodically/continually raise funding to support the Fund's operations
	External relations	<ul style="list-style-type: none"> Develops materials for external communications, and engages media and external stakeholders Facilitates the preparation of SC meetings, providing materials required if necessary Disseminates knowledge and lessons learned
PAF Grant Managers executing fund management	Financial policy framework	<ul style="list-style-type: none"> Sets financial policies, including around procurement, HR, and fiduciary requirements
	Contribution management	<ul style="list-style-type: none"> Receives and administers contributions and provides legal support Negotiates contracts and grant agreements with recipients
	Fund management	<ul style="list-style-type: none"> Administers and invests/ reinvests funds as required, with additional engagement and decision making to be discussed with the selected Grant Manager
	Financial disbursements	<ul style="list-style-type: none"> Conducts financial due diligence, disburses funds to the approved recipients, following instructions
	Financial reporting	<ul style="list-style-type: none"> Provides periodic reports on all financial activities

Role of the NDC Partnership Steering Committee

The Steering Committee will be responsible for the approval of key policies and strategic priorities for the fund, including the approval of thematic call topics. It will also ensure that the PAF is effectively contributing to the results of overall Monitoring and Evaluation (M&E) framework for the NDC Partnership, and periodically review and approve updates to the PAF strategy and guidelines. Steering Committee meetings are held biannually and will include space to discuss PAF-related matters.

Role of the PAF Advisory Group

The PAF Advisory Group, comprised of all funders contributing to the PAF, will be responsible for making suggestions to the NDC Partnership Steering Committee on PAF funding strategy and policies. The Advisory Group will be light touch, providing suggestions only; the NDC Partnership Steering Committee retains ultimate decision-making authority. Suggestions from the Advisory Group may be related to funding strategy and guidelines, including around eligibility criteria, reporting requirements, and any other investments or funding requirements specified in the PAF Advisory Group Terms of Reference (TORs).



Role of the Support Unit

The Support Unit is responsible for overseeing the day-to-day operations of the PAF – including fund implementation, monitoring and evaluation (M&E), and external relations. These responsibilities include the review of requests for support from countries to determine PAF eligibility and the review and evaluation implementing partners responses to each CFP.

The Support Unit will also collect and collate project-level M&E and due-diligence results, reporting back the lessons learned to the Steering Committee, the PAF Advisory Group, and the broader NDC Partnership. They will also engage in an external-facing role, developing communications for external audiences, facilitating interactions with donors, and engaging in fundraising efforts.

The Support Unit will lead all outreach to countries and implementing partners, and as such, will also implement trainings to enable members to better understand the PAF process and requirements to enable their engagement.

Role of PAF Grant Managers (UNOPS and WRI)

UNOPS and WRI, as the PAF Grant Managers will be responsible for the financial activities of the PAF – upon instructions from the NDC Partnership Steering Committee and Support Unit. A dedicated Support Unit team will be hired through UNOPS/WRI to manage the PAF financial operations. UNOPS and WRI will receive and administer funder contributions, provide legal support, conduct and maintain financial due diligence assessments of PAF recipients, issue CFPs and RFPs, organize evaluation committees to select eligible recipients for PAF resources, disburse funds to approved recipients, and conduct financial reporting of fund disbursement on a biannual basis for the Steering Committee. The PAF Grant Managers will manage the liability linked to holding and disbursing funds, as well as ensuring no misappropriation of funds. The financial risk, mentioned in the risk section below (Annex 3), will also be a primary function and responsibility of the Grant Manager to manage and mitigate.

Role of Implementing Partners (IPs)

Implementing Partners (IPs) will be responsible for responding to PAF-eligible requests from member countries and providing corresponding support. Only IPs that have been pre-vetted by the Grant Managers will be able to receive funding from the PAF. All NDC Partnership associate and institutional members will be eligible as an IP for the PAF, once pre-vetted. Through the pre-vetting, the Grant Managers will assess the IPs' risk levels as potential PAF funding recipients (based on their levels of financial stability, internal processes, etc.), thereby establishing the financial relationship between the Grant Manager and fund recipients. Pre-vetting procedures will differ depending on the organization type and legal status (e.g. NGO vs. intergovernmental organization).

ANNEX 1 – GUIDANCE FOR PREPARING A REQUEST FOR SUPPORT

What is a Request for Support Letter?

A letter that identifies a country's external support needs in relation to its NDC implementation, submitted to the NDC Partnership Support Unit, as part of the [NDC Partnership country engagement process](#). It provides the core information necessary for the NDC Partnership Support Unit to engage implementing and development partners and help align their existing and future projects with a country's identified priorities.

Who prepares it and when?

The Request for Support Letter (RSL) must be submitted and signed by a NDC Partnership focal point, or their more senior level officials. For countries with focal points in more than one ministry, RSLs must be sent with copy to all other focal points.

The RSL can be prepared at any time: either at the beginning of the engagement with the NDC Partnership or at a later stage, for example after developing the Partnership Plan. The NDC Partnership Support Unit team can provide examples on when and how different countries have used the RSL. Requests for Support from member countries will be compiled by the Support Unit and shared with partners at Head Quarter-level and in-country IP/DP contacts on a monthly basis.

What must RSLs include?

RSLs are comprised of two sections:

1. **Cover Letter:** Brief overview of the country's context in terms of climate change, including relevant contextualization to the request (i.e. reference to NDC targets and priorities, strategies and/or plans); and a summary of areas of support being requested.
2. **NDC Partnership Request Form (excel template):** Details of the support being requested. The NDC Partnership Scoping Lead can assist member countries in the preparation of requests and engagement with relevant ministries and institutions upon request. The NDC Partnership Support Unit encourages countries to share the draft **NDC Partnership Request Form** with the respective Country Engagement team to ensure sufficient details are included to enable adequate responses from Partnership members. All requests must contain details of the work, including:
 - Request title.
 - Brief description of how the activity contributes to NDC implementation plans or strategies (including excerpts when applicable), and an overview of existing support from implementing partners related to this request.
 - Specific outputs and deliverables.
 - Activities to achieve outputs/deliverables.
 - Operating language support should be delivered in.
 - Estimated cost.
 - Estimated project duration and time sensitivities.
 - Government project management team.

- Relation to the Partnership's Work Program.

What can be included in a Request for Support Letter?

A focused and detailed Request for Support Letter will be most likely to generate interest among partners and set a solid basis for collaboration with the NDC Partnership. Below a non-exhaustive list of documents and processes that can guide the elaboration of requests to the NDC Partnership.

- i. The country's NDC and associated Implementation Plans (i.e. Partnership Plans):
 - a. Identifying actions that contribute to NDC measures and targets and the enabling environment for climate action.
- ii. Alignment with national and sectoral development plans:
 - a. Including climate-related actions that are already in the national and sectoral development plans.
- iii. Consulting with other ministries and relevant stakeholders:
 - a. Consultations to identify priority actions or projects from different stakeholders (i.e., planning and finance, energy, agriculture, forestry, transport, private sector, CSOs, academia, gender groups, etc.). In some cases, this activity has been performed with assistance of the Partnership Scoping Lead.
 - b. Some countries have also assigned or used NDC/climate focal points in other ministries to support this process.
- iv. Strategic selection of priority actions:
 - a. Include activities that can trigger transformational actions with high impact (i.e., review or design of strategic regulatory frameworks, feasibility studies and structuring of priority NDC projects or portfolios, resource mobilization vehicles, mainstreaming of climate into Public Financial Management, etc.).
 - b. Focus on actions and measures that are time sensitive and necessary to enable key national processes (i.e. national and sectoral legislation, plans and strategies) and actions that have initiated but need additional support for completion.
- v. Consideration of the NDC Partnership's [Gender Strategy \(infographic\)](#) and potential specific implementation needs and gaps related to gender equality in the context of climate change.

ANNEX 2 – PAF ADVISORY GROUP TERMS OF REFERENCE

CONTEXT

The NDC Partnership supports NDC enhancement and implementation by enabling its many members to respond rapidly to country needs in a coordinated way. To reinforce its capacity to do so, the Partnership has established a new funding mechanism, the Partnership Action Fund (PAF). Through the PAF, NDC Partnership members' best available technical expertise and capacities are matched and funded to address gaps in developing country members' NDC enhancement and implementation needs. Additionally, the PAF supports the scoping and facilitation support that is at the heart of the Partnership's work. The PAF complements the NDC Partnership's implementing and development partners' existing support offerings to catalyze further climate action.

ROLE

The PAF Advisory Group will be responsible for reviewing PAF progress and for making suggestions to the NDC Partnership Steering Committee on PAF funding strategy and policies. The Advisory Group will be light touch, providing suggestions only, with the NDC Partnership Steering Committee retaining decision-making power.

SCOPE

The Advisory Group reviews PAF progress and performance and makes recommendations for the NDC Partnership's Steering Committee's consideration. These recommendations are non-binding, with the Steering Committee retaining decision making authority.

Specifically, the PAF AG:

1. Reviews progress made by PAF and provides recommendations on improving efficiency, effectiveness, and economy of the PAF.
2. Provides policy and strategic recommendations on operational aspects of the Fund to ensure transparency and accountability, including eligibility criteria and reporting requirements.
3. Reviews operational plans and budgets for the Fund.
4. Assesses annual capitalization requirement and suggests corresponding fundraising strategy.
5. Make suggestions on possible topics for thematic calls.

COMPOSITION AND MODALITIES OF WORK

The Advisory Group will be comprised of all funders contributing to the PAF, including those who sit on the Steering Committee.

The Support Unit will organize a PAF Advisory Group meeting one month before each Steering Committee meeting, to discuss PAF performance and align on key messages and recommendations to be put forward to the Steering Committee. Following the Advisory Group meeting, the Support Unit will prepare a short paper to share the Advisory Group's key messages and recommendations with the Steering Committee. This document will be circulated as part of the Steering Committee background documents.

The Advisory Group conducts its work remotely, unless exceptional circumstances necessitate physical meetings. The Support Unit provides all the necessary operational and administrative support to the PAF AG. This includes the scheduling and coordination of meetings, and assistance in the preparation of meeting minutes and documents for the SC.

The Advisory Group is invited to participate, as a non-voting observer, in the PAF specific session of the NDC Partnership's Steering Committee meetings.

The PAF AG will nominate a single representative from the Advisory Group on a one-year rotational basis, who will attend Steering Committee meetings and speak on behalf of the Advisory Group. The members of the Advisory Group will decide on the mechanism to select and rotate this representative. This representative can be either an existing Steering Committee member or a non-member.

ANNEX 3 - RISK IDENTIFICATION AND MITIGATION

RISK MANAGEMENT FOR THE PAF OVERALL

In the operationalization of the PAF, there are three main categories of risks to mitigate: (i) programmatic and performance risks, (ii) financial and fiduciary risks, and (iii) governance, oversight and management risks. Each of these risks have been subdivided into more specific risk categories – as shown in the table below.

Risk Categories and Description

LEGEND

■ : High Risk Areas ■ : Med. Risk Areas ■ : Low Risk Areas

Risk area	Rationale
Poor financial efficiency for recipient	Both donor countries and IPs will be involved in the transfer of funds.
Poor financial efficiency for Grant Managers	Predetermined Grant Managers processes for grant-making and procurement may lead to inefficiencies or bottlenecks
Inadequate recipient reporting & compliance	Both countries and IPs will be involved in reporting, with grants of various scopes
Inadequate recipient governance & oversight	It will be important to continuously monitor recipients as they work to meet grant objectives
Low absorption or over commitment	Given the high need for the funding, there is a risk of overcommitment
Inadequate M&E and poor data quality	Given the wide range of projects and recipients, attention should be paid to gathering relevant M&E data that directly applies to goals
Not achieving program outcome & impact targets	Given the wide range of projects and recipients, attention should be paid to making sure that goals of different grants coalesce towards the Partnership's larger programmatic goals and targets
Not achieving grant output targets	Given the wide range of projects and recipients, attention should be paid to ensuring that goals and impact targets are met to defined standards
Poor financial reporting to Grant Manager	It will be important to continue to monitor the financial reports being produced by the Grant Managers
Fraud, corruption and theft	While the risk of fraud, corruption or theft should be mitigated through vetting processes, it will continue to be important to interrogate locations where fraud, corruption or theft may occur
Theft or diversion of non-financial assets	While the risk of fraud, corruption or theft should be mitigated through vetting processes, it will continue to be important to interrogate locations where fraud, corruption or theft may occur
Poor aid effectiveness & sustainability	Effectiveness and sustainability of the support to the requesting countries
Inadequate governance & oversight	PAF management at the oversight level
Inadequate Secretariat oversight & management	PAF management at the Secretariat level
Market and macro-economic losses	While market and macro-economic factors cannot be controlled, they should be monitored; although they would have limited impact once PAF is capitalized
Limited program relevance	Programmatic relevance for the NDC Partnership theory of change

These risks can be classified based on their impact and the likelihood they might occur – as shown in the figure below. Since a critical component of the PAF is to provide efficient funding, financial efficiency should be considered a ‘high-risk’ area for the PAF. To mitigate these risk types, priority should be taken to ensure that financial processes are as streamlined and efficient as possible. Beyond this, given the number of recipients receiving grants and the variety of scopes of works that the Partnership will be issuing funds for, reporting should be considered another ‘high-risk’ area. In order to mitigate this risk, procedures and guidelines should be set early and agreed upon by all stakeholders involved. Other rationales for medium- and low-risk areas are included in the table below.

Heat map of possible PAF-related risks

LEGEND

■ : High Risk Areas
 ■ : Med. Risk Areas
 ■ : Low Risk Areas

High Impact	<ul style="list-style-type: none"> Poor financial reporting from Grant Manager Fraud, corruption & theft Theft or diversion of non-financial assets 	<ul style="list-style-type: none"> Poor financial efficiency of Grant Manager Inadequate recipient reporting & compliance Inadequate recipient governance & oversight Low absorption or over-commitment 	<ul style="list-style-type: none"> Poor financial efficiency of recipients
Medium Impact	<ul style="list-style-type: none"> Poor aid effectiveness & sustainability Inadequate governance & oversight Inadequate Secretariat oversight & management 	<ul style="list-style-type: none"> Inadequate M&E and poor data quality Not achieving program outcome & impact targets Not achieving grant output targets 	
Low Impact	<ul style="list-style-type: none"> Limited program relevance 	<ul style="list-style-type: none"> Market & macro-economic losses 	
	Low Likelihood	Medium Likelihood	High Likelihood

For each risk level, corresponding mitigation measures are identified to manage potential negative consequences. High risk areas warrant closer attention by the governing bodies, including monitoring, management and mitigation. At the same time, low risk areas should be monitored closely and managed when necessary.

Proposed risk mitigation options

LEGEND

■ : High Risk Areas
 ■ : Med. Risk Areas
 ■ : Low Risk Areas

High Impact	Necessary Management <ul style="list-style-type: none"> Dedicated management with emphasis on risk area Frequent assessment (ex. quarterly) 	Necessary Management <ul style="list-style-type: none"> Dedicated management with emphasis on risk area Frequent assessment (ex. quarterly) 	Necessary Mitigation <ul style="list-style-type: none"> Active allocation of resources to guard against risk areas Frequent assessment (ex. quarterly)
Medium Impact	Necessary Monitoring <ul style="list-style-type: none"> Normal management and monitoring Regular assessment (ex. annually) 	Necessary Management <ul style="list-style-type: none"> Dedicated management with emphasis on risk area Regular assessment (ex. annually) 	Necessary Management <ul style="list-style-type: none"> Dedicate management with emphasis on risk area Regular assessment (ex. annually)
Low Impact	Necessary Monitoring <ul style="list-style-type: none"> Normal management and monitoring Regular assessment (ex. every 2 years) 	Necessary Monitoring <ul style="list-style-type: none"> Normal management and monitoring Regular assessment (ex. every 2 years) 	Necessary Management <ul style="list-style-type: none"> Dedicated management with emphasis on risk area Regular assessment (ex. every 2 years)
	Low Likelihood	Medium Likelihood	High Likelihood

RISK MITIGATION THROUGHOUT THE PAF PROCESS

Throughout the PAF process, several actions are identified to mitigate potential risks. As shown in the figure below, these recommendations center around promoting actionable requests from countries and matching these requests with strong and effective implementing partners who will be able to quickly deliver support.

Recommended Risk Mitigation Measures for PAF Process

Risk Mitigation Measures

Phase 1: Submission & Request Screening (Pre-PAF)

- Request for Support Letters (RSLs) and Partnership Plans developed, received, reviewed and circulated to partners monthly

Only fund actionable requests

- Reject requests that do not meet PFM guidelines
- Emphasize the need for clear deliverables within set timelines

Phase 2: Call for Proposals

- Requests batched and circulated to members quarterly
- Members given 3 weeks to respond to requests with PAF funding
- Evaluation of support offers given 2 weeks

Only provide funds to recipient countries with strong determination to pursue projects

- Enable countries to choose preferred development partners with whom projects will be most likely to succeed
- Nullify requests if governments do not respond within 2 weeks of receiving support offer

Only provide funds to Implementing Partners with a strong drive and alignment towards request goals and the technical and financial capacity to provide support

- Pre-vet all Partners wishing to receive funding from the PAF to ensure their management, reporting and financial capabilities
- Nullify funding if Implementing Partners do not respond within the given timeline
- Establish strong reporting timelines for Implementing Partners as part of support offer

Create strong reporting procedures within sub-grants

- Establish strong reporting procedures and guidelines in SOWs
- Establish a timeline to release funds (preference towards releasing funds in smaller sums, rather than a single lump sum)

Phase 3: Grant Development

- Directed by PAF Grant Manager timeline

Only provide continued funding if goals are being met

- Withdraw funding if implementation does not begin within 1.5 month from contract awarding
- Develop reactionary protocols if pre-determined deliverables or timelines are not met
- Set 'tolerance limits' around deliverable deadlines, as needed