

USAID Climate Change Initiative FY00 Reporting Guidance

For the FY 2003 R4

January 2001

This Reporting Guidance applies to all Mission, Regional, and Global Programs participating in the USAID Climate Change Initiative, and applies to ALL climate-related activities taking place in FY 2000 (October 1, 1999 through September 30, 2000).

**Climate Change Team
Global Environment Center
U.S. Agency for International Development
climate@usaid.gov**

**For an electronic copy of this Guidance, or for additional information, please refer to the Climate Change Initiative web site:
<http://www.genv.org/gcc>**

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October 2000

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PART I. INTRODUCTION

In 1998 USAID launched the Climate Change Initiative (CCI) to implement the Agency's climate change action plan for FY 1998-2002. This guidance requests results from activities achieved during FY 2000 (October 1, 1999 through September 30, 2000). This year's reporting is the fourth round for most operating units.

Under this guidance, **all reporting operating units attributing funding to the Climate Change Initiative must prepare an R4 Climate Change Annex.** The Annex must include: **(1) a Narrative** of key accomplishments (see Page 5), and **(2) Data Tables** providing information on climate change indicators (see Page 6). Please note the following:

- **Updates Since Last Year.** A few changes have been made to the guidance since last year, including the inclusion of optional reporting on Result 4 for vulnerability and adaptation. The guidance again provides a uniform outline to report narrative summaries and an electronic reporting format for data tables.
- **Vulnerability Reporting.** Reporting under Result 4 is strongly encouraged, but it is optional.
- Data Tables are provided separately from these instructions as a *Microsoft Excel* file. Each data table is represented on a separate Excel sheet as part of a single file, *FY00 CCI Data Tables.xls*.
- **How Much Should Be Reported?** Missions and other operating units should report on as many indicators as possible except where they are clearly not funded by or otherwise relevant to the Mission's program.

**Please Submit Your Climate Change Annex as Part of the R4
-AND-
by Email to G/ENV**

All climate change reporting units must submit narratives and data tables to PPC in a Climate Change Annex to their R4 submission. In order to process and report climate change data on a global level, **G/ENV also requests reporting units to email completed data tables and narratives electronically, to climate@usaid.gov.**

For more additional information, or assistance on reporting for the CCI, please contact:

Carrie Stokes
Global Climate Change Team
Tel. 202- 712-1672
Fax. 202-216-1374
Email. climate@usaid.gov

Copies of this **FY00 CCI Reporting Guidance** and the **FY00 CCI Data Tables** can be downloaded directly from the Climate Change Initiative web site at www.genv.org/gcc/perfmon.asp.

Who Must Report - Operating Units Required to Report on FY00 GCC Activities

This guidance applies to all USAID operating units attributing resources to climate change-related activities in FY00 under the Climate Change Initiative.

Key countries and regional programs are shown in bold.

** Denotes the first year of reporting for a country or regional program under the Initiative.*

AFR Region

Central Africa Regional Program for the Environment (CARPE) – AFR/SD

Guinea *
Madagascar
Malawi *
Mozambique *
South Africa
Uganda

ANE Region

Bangladesh *
Egypt
India
Indonesia
Philippines
South Asia Regional Initiative (SARI) - Energy *
U.S.-Asia Environmental Partnership (US-AEP)

E&E Region

Armenia
Bulgaria
CEE Regional
Central Asia Republics (CAR)
Georgia
Moldova
NIS Regional
Romania
Russia
Ukraine

LAC Region

Bolivia
Brazil
Central America Program (G-CAP)
Ecuador
Guatemala
Honduras
LAC/RSD
Mexico
Nicaragua
Panama
Paraguay
Peru

Global Bureau

EGAD
G/ENV/EET
G/ENV/ENR
G/ENV/GCC
G/ENV/UP

PART II. PREPARING THE NARRATIVE

As indicated in the R4 cable, all reporting units participating in the USAID Climate Change Initiative (CCI) *must* provide a brief narrative (maximum 4 pages) summarizing key accomplishments of their climate change activities in FY00. The Climate Change Team will use these narrative summaries to prepare the CCI Report to Congress and the Administration. In addition, each submitted narrative will be posted on the on the CCI web site (www.genv.org/gcc).

Reporting units should follow the outline provided below. For each category in the outline, narrative summaries in the outline should:

- **provide details on notable activities and achievements** according to each climate change indicator; and
- **provide descriptions of new initiatives** planned or initiated for FY01.

Reporting units should also describe extraordinary activities (e.g., forest fire response) that provide a climate change benefit not already covered by the CCI indicators.

Examples of narratives from previous reporting years are available on the Climate Change Initiative web site at www.genv.org/gcc/perfmon.asp. FY00 narratives and data tables will be posted on the G/ENV web site after they are submitted and reviewed.

Please refer to Part III for more information about each topic listed in the outline.

| Outline for Narrative | Corresponding Results & Indicators |
|---|------------------------------------|
| I. Increased Participation in the UNFCCC | Result 1 (see p. 7) |
| A. Policy Advances Supporting the UNFCCC | Indicator 1 |
| B. Increased Capacity to Meet Requirements of the UNFCCC | Indicator 2 |
| II. Reduced Greenhouse Gas Emissions from Land Use, Forestry Activities, and Natural Resource Management | Result 2 (see p. 9) |
| A. Land Use/Forest Management Activities | Indicators 1 & 2 |
| B. Policy Advances | Indicator 3 |
| C. Public and Private Funding Leveraged | Indicator 4 |
| D. Institutional Capacity Strengthened | Indicator 5 |
| III. Reduced Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas | Result 3 (see p. 15) |
| A. Energy Sector, Industrial, and Urban Activities | Indicators 1 & 4 |
| B. Policy Advances | Indicator 3 |
| C. Public and Private Funding Leveraged | Indicator 5 |
| D. Institutional Capacity Strengthened | Indicator 6 |
| IV. Reduced Vulnerability to the Threats Posed by Climate Change | Result 4 (see p. 18) |
| V. Other Climate Change Activities | N/A |

PART III. PREPARING INDICATOR DATA TABLES

Introduction. This part of the reporting guidance provides instructions for completing data tables. Data Tables are provided separately from these instructions as a *Microsoft Excel* file. The instructions are divided into four sections corresponding to the CCI results, each of which includes one or more indicators. The four CCI results are:

1. Increased participation in the UN Framework Convention on Climate Change (UNFCCC);
2. Reduced greenhouse gas emissions from the land use/forest management sector;
3. Reduced greenhouse gas emissions from the energy sector, industry and urban areas; and
4. Reduced vulnerability to the threats posed by climate change.

These instructions describe the method for reporting on each indicator, including such information as the indicator unit of measurement, definitions of terms, codes for use in the data tables, and reporting examples. This year, all data tables should be completed in *Microsoft Excel* format (to be submitted electronically to G/ENV as part of R4 reporting). This electronic format is expected to simplify the reporting process.

Data Entry. All climate change data tables are contained in the file *FY00 CCI Data Tables.xls*. This file includes fourteen spreadsheets for the corresponding data tables. The instructions for entering data in each table in this electronic file are provided below by result and indicator. Please fill in only the **yellow cells** of each table, as appropriate. Cells in gray provide **examples** of properly entered data.

Viewing the Data Tables in Microsoft Excel. If part of the table is off the screen, you can move the table from right to left on the screen using the *horizontal* scroll bar (near the bottom of the screen to the right). Depending on the size of your computer monitor, it may be necessary to adjust the “view” of some spreadsheets in order to better view the text of the data tables, or to view more of the table at once. To do so, click on the “Zoom” box on the right-hand side of the toolbar. Select the appropriate size, or type the number in by hand, depending on your preference.

Scrolling through the Data Tables. Each data table is contained on a single spreadsheet. Tabs for each spreadsheet are shown near the bottom of the screen. You can use the arrows to the left of the tabs, or the tabs themselves to select each spreadsheet as you complete each table.

Printing Spreadsheets. Please note that Microsoft Excel can be used to print data tables individually or all together. Choose “Print” under the “File” in the menu bar to open the “Print” dialog box. Print options are shown in the lower left portion of the dialog box. To print only the table currently in view, select “Active sheet(s).” To print all fifteen tables, select “**Entire workbook**”. When you are ready to print, click “OK”.

Incremental (Annual) Reporting. Please note that all reporting of FY00 climate change activities should be done on an incremental (annual) basis, that is, ***report only those activities initiated, completed, or otherwise taking place during FY00 (October 1, 1999 through September 30, 2000)***. Thus, no reporting should reflect results that have been achieved on a cumulative basis (measuring progress from the baseline year or previous years). (Note: This does ***not*** apply to Missions for which FY00 is the first year of climate change reporting.)

Examples: Under Result 3, Indicator 1 (energy sector), a Mission may report that a three-year project has saved 5,500 MW-h through energy efficiency improvements during FY00, but should not report the total savings over the life of the project.

On the other hand, under Result 2, Indicator 1 (land use/forestry sector), a Mission should report the total number of hectares where it has been active in FY00. Thus, if a Mission activity produced results in 109,000 hectares of a biosphere reserve in FY99, and in 125,000 hectares of the same reserve in FY00, the Mission should report the total 125,000 hectares for FY00.

Likewise, reporting on policy advances, capacity building activities, and leveraged funding should also reflect progress made in FY00 only, and not cumulatively over a longer period.

Providing Mission or Program SO, CN, and TN Information. Each indicator table includes columns for units to report the Strategic Objective (SO) number and Congressional Notification (CN) or Technical Notification (TN) number for each activity, enabling more systematic program reporting and analysis Agency-wide.

BACKGROUND INFORMATION

[Excel Sheet: Background](#)

Instructions: Please provide background and contact information in Table 1 (Excel Sheet T1-Background). This information is essential for follow-up coordination and communication on climate change reporting between AID/W and reporting units.

RESULT 1

Increased Participation in UN Framework Convention on Climate Change (UNFCCC)

Background. A significant component of USAID’s contribution to USG climate change activities is to assist developing countries in building the institutional and human capacity to undertake meaningful participation in international efforts to reduce greenhouse gas emissions. Although what constitutes participation will be different for each country, there are some key indicators that missions can use to measure progress they are making to help countries achieve this goal.

Result 1 Indicators. There are two indicators measuring Result 1. Indicator 1 tracks policy advances (Table 2), while indicator 2 tracks capacity building efforts (Table 3).

Result 1, Indicator 1

Policy Advances Supporting the UNFCCC

[Excel Sheet: 1.1 Policy](#)

Unit: Points

Instructions: Using the list of “policy measure” categories in the left-hand column on the table for Indicator 1, please indicate the number of policy advances achieved for each “policy step” and for each “policy measure” category. Then describe the activities contributing to each policy category, as well as the appropriate SO and CN (OR TN) numbers for the activities. Note: *Each legal, regulatory, or policy document or action counts as a single policy advance.* Please consult the following list of definitions for guidance on how to report policy advances supporting the UNFCCC.

Definitions – Policy Steps:

Policy Measure - “Policy measures” may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, “policy measures” would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication

to the IPCC. The term “policy measures” does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).

Policy Preparation and Presentation (Step 1) - Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body

Policy Adoption (Step 2) - Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.

Policy Implementation and Enforcement (Step 3) - Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Definitions – Types of Activities:

Adaptation - Adjustments in practices, processes or structures of systems to projected or actual changes of climate.

Emissions inventory - Listing of GHG sources and sinks.

Growth Baselines - Any approach that would link countries’ emissions targets to improvements in energy efficiency.

Activities Implemented Jointly (AIJ) - The process by which industrialized countries can meet a portion of their emissions reduction obligations in developing countries.

Vulnerability - The potential environmental, social, and economic risk a country faces from climate-related impacts.

Adaptation – The effort made by a country to reduce its vulnerability to climate change.

Mitigation - An action that prevents or slows the increase of GHGs by reducing emissions from sources and sinks.

National Climate Change Action Plan - Plans that delineate specific mitigation and adaptation measures that countries will implement and integrate into their ongoing programs. These plans form the basis for the national communications that countries submit to the UNFCCC Secretariat.

Result 1, Indicator 2
Increased Capacity to Meet Requirements of the UNFCCC

Excel Sheet: 1.2 Capacity

Unit: Points

Instructions: This indicator tracks the number of training or technical assistance activities that strengthen or build the capacity of host countries or regions to meet the requirements of the UNFCCC. For a given activity, provide one point for each training and/or technical assistance activity in each category. (If an activity category involves both training and technical support activities, put the number of activities in each column.) Also, please indicate the SO and CN (or TN) number for each activity.

RESULT 2
Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector

Background. Understanding and strengthening techniques for promoting carbon sequestration has become a priority worldwide. Activities to reduce net emissions from the land use/forest management sector represent a significant portion of the Climate Change Initiative portfolio, include technical assistance, policy development and capacity building.

Result 2 Indicators. There are five indicators measuring Result 2. These indicators track land use/forestry activities (Table 2.1), policy advances (Table 2.3), leveraged funding (Table 2.4), and capacity building efforts (Table 2.5a and Table 2.5b).

Result 2, Indicators 1, 2a, and 2b

Excel Sheet: 2.1 Land Use

Instructions: Table 4 that tracks Indicators 1, 2a, and 2b identifies activities where USAID has initiated land use and forestry activities, and measures the area where USAID has conserved carbon in natural ecosystems and managed lands. In this table, please indicate: the activity name; country; region, province, or state; the site name. Enter the appropriate code for natural ecosystems or managed land categories; results for Indicators 1, 2a, and 2b; and the appropriate SO and CN (OR TN) numbers for each activity. Lastly, note a justification for reporting the site (see below). Please use the list of Codes on the data table, and also provided below on page 11 to indicate the category of USAID-Supported Activities. *To ensure our information is complete, please fill in all the boxes that apply.* We understand that some of the quantitative information you provide may be estimates based on your best judgement. Specific instructions for reporting on Indicator 1, and Indicators 2a and 2b, are provided below.

Justification: *Reporting units should develop and maintain a brief (two-sentence) justification for reporting the area under each indicator for this result.* The justification will serve as support documentation in the event of an audit. For example, with respect to natural ecosystems (Indicator 2a), a justification might describe a partner’s assessment that an area has met rigorous criteria for protection, or documentation of the stabilization of forest area. With respect to managed lands (Indicator 2b), a justification might include a partner’s report documenting an area that has been converted from degraded agricultural land into a functional agroforestry plot. To the extent possible, the justification should be tied to the way information is gathered under your standard R4 indicators.

Result 2, Indicator 1

Excel Sheet: 2.1 Land Use

Area Where USAID has Initiated Interventions to Preserve, Increase, or Reduce the Rate of Loss of Carbon Stocks

Unit: Hectares

Instructions: In order to capture the full scope of USAID land use activities, please report in the column for Indicator 1 the area (in hectares) of land where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss. These activities include on-the-ground carbon impacts that may or may not have been realized, including *one or more* of the following:

- developing resource or land management plans;
- engaging community or household participation in program implementation;
- initiating resource management;
- putting monitoring and evaluation system in place; and
- addressing site-specific policy constraints (as opposed to national policy work under indicator 4).

Result 2, Indicator 2**Excel Sheet: 2.1 Land Use*****Area Where USAID Has Achieved On-the-Ground Impacts to Preserve, Increase, or Reduce the Rate of Loss of Carbon Stocks*****Unit:** Hectares

Instructions: Indicator 2 captures a subset of the area reported under Indicator 1, either in the category of natural ecosystems or managed lands, or both. Please report only on areas where carbon impacts *have been achieved*. Specific measurement and monitoring of biomass or carbon are not required under Indicator 2. Please use the list of Codes on the data table, and also provided below on page 11, to identify Predominant Vegetation Type and Predominant Managed Land type. Indicate Predominant Vegetation Type for **all** areas being reported (both Indicators 2a and 2b). Indicate Predominant Managed Land Type **only** for Managed Lands (Indicator 2b).

Indicator 2a**Excel Sheet: 2.1 Land Use*****Area of Natural Ecosystems Where Carbon Stocks Are Preserved and/or Increasing (areas with minimal or no harvest of biomass)***

Instructions for Reporting Area of Natural Ecosystems: Please report the number of hectares for areas where on-the-ground impacts have been realized and documented, or where improved management techniques have been comprehensively adopted. Include only the hectares where on-the-ground impacts have been documented or comprehensive management has been implemented (e.g., areas of a protected area where deforestation has been halted). It is acceptable to count parts of an area where deforestation or degradation has been stabilized, or additional areas as they achieve management goals and demonstrate that degradation has been halted.

Please refer to the definitions, below, for a description of “natural ecosystems.”

Definition: *Natural Ecosystems* - Any areas that have not experienced serious degradation or exploitation of biomass, and without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community-managed forests with minimal timber extraction. Areas where non-timber forest products are harvested can be counted in this category but *not* those that are managed for timber. The latter are included in 2b below. The distinction is important as different approaches are employed in estimating carbon for “natural areas” (2a) and “managed areas” (2b). Natural areas include: (1) protected areas; (2) areas where non-timber forest products are extracted if significant biomass is not removed (often managed as community-based forest management areas); and (3) any other areas which exclude larger-scale biomass harvest from a management regime including many areas managed by communities and/or indigenous groups.

Indicator 2b**Excel Sheet: 2.1 Land Use*****Area of Managed Forest, Rangeland, and Agricultural Lands with Reduced Rate of Loss of Carbon or Increased Carbon Stock (areas with moderate or high levels of harvest of biomass)***

Instructions for Reporting Area of Managed Lands: Please report the number of hectares where reduced rates of carbon emissions or increased carbon stock are apparent (e.g., through an increase in standing biomass, decrease in decomposition or fire risk, etc). Please report under the following categories for managed lands:

- sustainable forest management for timber using reduced impact harvesting;
- agroforestry;
- reforestation/afforestation;
- sustainable agriculture.

Please refer to the definitions below for a description of “managed lands” categories.

Definitions:

Sustainable Forest Management for Timber, using Reduced Impact Harvesting (RIH) - A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven to minimize environmental damage and carbon emissions during the logging of natural tropical forest. To be included as RIH, an activity must include most of the following practices:

- tree inventorying, marking and mapping;
- careful planning and marking of skidder trails;
- vine cutting prior to harvest, where appropriate;
- directional felling of trees;
- appropriate skidding techniques that *employ winching* and best available equipment (rubber tired skidder/animal traction) to minimize soil damage;
- proper road and log deck construction;
- a trained work force and implementation of proper safety practices;
- fire mitigation techniques (fire breaks);
- existence of a long-term management plan.

Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been “certified” as environmentally sound by a recognized independent party. *Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).*

Agroforestry covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the *deliberate* growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is *significant interaction* between woody and non-woody components, either ecological or economical. To be counted, at least 15 percent of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak).

Report the area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). *Do not include agroforestry systems being established on forestlands that were deforested since 1990.*

Reforestation/Afforestation - The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes.

Report the area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). *Do not include natural forested areas that have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry).*

Sustainable Agriculture - Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven agricultural practices known to reduce carbon transport or emission. This will require consideration of soil, water and nutrient/crop management. *Do not include agricultural*

systems being established on lands deforested since 1990. For reporting purposes, sustainable agriculture systems are those that employ or promote *at least three* of the following:

- no-tillage or reduced tillage
- erosion control/soil conservation techniques, especially on hillsides
- perennial crops in the system
- higher crop yields through better nitrogen and soil management
- long-term rotations with legumes
- the use of organic mulches, crop residues and other organic inputs into the soil
- better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based agrochemicals which increase emissions.

Codes for Result 2, Indicators 1 and 2

For each site where USAID has initiated activities, pick up to 3 primary activity codes from the list below to best describe your program. *If more than one activity code applies to a site, please use a separate row to describe each activity.* For example, a USAID program could include a component to improve the internal management of a strictly protected area and also a sustainable agricultural component in the buffer zone.

Codes for USAID-Supported Activities

- 1 Conservation of natural ecosystems (may include protected area management, extraction of non timber products, etc. but *not* timber harvesting)
- 2 Sustainable forest management for timber using reduced-impact harvesting (non-timber forest products may also be harvested)
- 3 Afforestation/reforestation/plantation forests
- 4 Agroforestry
- 5 Sustainable agriculture

Codes for Predominant Vegetation Types

Natural Ecosystems:

- a Tropical evergreen forest
- b Tropical seasonal forest
- c Temperate evergreen forest
- d Temperate deciduous forest
- e Boreal forest
- f Temperate woodland
- g Tropical open forest/woodland
- h Tropical grassland and pasture
- i Temperate grassland and pasture
- j Tundra and alpine meadow
- k Desert scrub
- l Swamp and marsh
- m Coastal mangrove
- n Wetlands
- o Mediterranean forest/vegetation

Managed Land Types:

- 1 Agricultural systems - (less than 15% of the area under trees)

- 2 Agroforestry systems - (greater than 15% of the area under trees)
- 3 Plantation forests - (at least 80% of the area under planted trees)
- 4 Protected areas

Codes for Additional Information

- 1 Maps
- 2 Geo-referenced site coordinates
- 3 Biomass inventory
- 4 Rainfall data
- 5 Soil type data

Result 2, Indicator 3 Excel Sheet: 2.3 Policy
National/Sub-National Policy Advances in the Land Use/Forestry Sector that Contribute to the Preservation or Increase of Carbon Stocks and Sinks, and to the Avoidance of Greenhouse Gas Emissions

Unit: Points

Instructions: Indicator 3 conveys the climate change-related impact of USAID’s work to promote policy reform. In the land use/forestry area, this indicator focuses on policies that are intended to improve carbon stocks either directly by protecting land or improving its management, or indirectly by creating economic incentives for better land use practices and trends. Policies listed should affect at least the community or municipal level, but policies that are national in scope should also be included.

Using the list of “policy measure” categories in the left-hand column on the table for Indicator 3, please indicate whether the policy is national (N) or sub-national (S) in scope, and the number of policy advances achieved for each policy step and for each policy measure category. Please describe the activities contributing to each policy category, as well as the appropriate SO and CN (OR TN) numbers for the activities. Note: *Each legal, regulatory, or policy document or action counts as a single policy advance.* Please refer to the following list of definitions for guidance on how to report policy advances in the land use/forestry sector.

Definitions – Scope:

National Policies (N) - Policies that influence issues on a countrywide level.

Sub-national Policies (S) - Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.

Definitions – Policy Steps:

Policy Measure - “Policy measures” may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, “policy measures” would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term “policy measures” does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).

Policy Preparation and Presentation (Step 1) - Draft bill, policy or regulation, vetted through relevant stakeholders

in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body

Policy Adoption (Step 2) - Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.

Policy Implementation and Enforcement (Step 3) - Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Result 2, Indicator 4 **Excel Sheet: 2.4 Funding**
Value of Public and Private Investment Leveraged by USAID for Activities that Contribute to the Preservation or Increase of Carbon Stocks and Reduction of Greenhouse Gas Emissions

Unit: U.S. dollars

Instructions: Please provide the dollars leveraged *directly or indirectly*, as appropriate, through agreements with USAID partners in the land use and forestry sectors. For each activity, include a description (title) of the activity, the source of leveraged funds (i.e., name of partner), the amount of funding leveraged, and the SO and CN (OR TN) for that activity. *Due to the variety of ways that dollars leveraged may be calculated, please include a brief description of your methodology.* Please refer to the following list of definitions to for guidance on how to report public and private investment leveraged in the land use/forestry sector

Definitions:

Direct Leveraged Funding – Funding leveraged directly in support of USAID activities and programs includes:

- funding leveraged from partners for joint USAID activities;
- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);
- obligated or committed funding for direct follow-on MDB loan programs (prorated);
- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);
- joint implementation investments;
- Development Credit Authority investments.

Indirect Leveraged Funding – Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

Result 2, Indicator 5
Institutional Capacity Strengthened

Indicator 5a
Increased Capacity to Address Global Climate Change Issues

Excel Sheet: 2.5a Capacity

Unit: Number

Instructions: This indicator tracks the number of USAID-assisted associations, NGOs or other public and private institutions that have been strengthened to address GCC issues in the

land use/forest management sector. Please provide the number of institutions strengthened for each category, and indicate the names of the institutions. Also, please indicate the SO and CN (OR TN) number for each activity.

Indicator 5b

Excel Sheet: 2.5b Capacity

Technical Capacity Strengthened through Workshops, Research, and/or Training Activities

Unit: Number

Instructions: This indicator tracks the number of training and technical assistance activities that strengthen or build the capacity of host countries to contribute to the preservation or increase of carbon stocks and sinks, and to avoid greenhouse gas emissions. Please provide the number of training and/or technical assistance activities in each category and provide a brief description of the activities contributing to each capacity building category. Also, please indicate the SO and CN (OR TN) number for each activity.

RESULT 3

Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Background. By reducing greenhouse gas emissions from the energy and industrial sectors and from urban areas, developing and transition countries both reduce their contributions to global warming as well as demonstrate a commitment to supporting the UNFCCC. USAID activities worldwide assist developing and transition countries in their efforts to reduce emissions in these areas. These activities include projects, technical assistance, policy development and capacity building.

Result 3 Indicators. There are five indicators measuring Result 3. Indicators under Result 3 track carbon dioxide equivalents avoided (Table 3.1), policy advances (Table 3.3), strategies/audits completed (table 3.4), leveraged funding (Table 3.5), and capacity building efforts (Table 3.6a and Table 3.6b).

Please note that Result 3, Indicator 2 has been omitted for FY00 reporting.

Result 3, Indicator 1

Excel Sheet: 3.1 Emissions Avoided

Emissions of Carbon Dioxide (CO₂) Equivalents Avoided, due to USAID Assistance (measuring Carbon Dioxide, Methane, and Nitrous Oxide)

Unit: MW-hrs or BTUs (AID/W will determine metric tons of carbon dioxide equivalents avoided)

Instructions: For each activity contributing to Result 3, Indicator 1, write a brief description of the activity in the first column, and write the result in whichever of the reporting columns (1a through 1f) that corresponds to this activity. For columns 1a through 1d, please report data relating to *either* MW-hrs or BTUs produced or saved, and then the fuel type replaced or saved. For columns 1e and 1f, please indicate the tons of methane captured or nitrous oxide avoided, respectively. USAID/W will make the necessary conversions from these results to obtain the metric tons of carbon dioxide equivalents avoided. Also, please indicate the SO and CN (OR TN) number for each activity.

Result 3, Indicator 2
Decreased CO₂ Emitted per MW-h of Energy Produced

Omitted

Omitted. This indicator will not be required for FY00 reporting under the CCI.

Result 3, Indicator 3
Policy Advances, Due to USAID Assistance, that Contribute to the Avoidance of Greenhouse Gas Emissions

Excel Sheet: 3.3 Policy

Unit: Points

Instructions: Indicator 3 conveys the climate change-related impact of USAID’s work to promote policy reform. In the areas of energy, industry, and urban development, the indicator focuses on policies that lead to increased energy efficiency, and the use of renewable energy and cleaner fuel technologies. Policies listed should affect at least the community or municipal level, but policies that are national in scope should also be included.

Using the list of “policy measure” categories in the left-hand column on the table for Indicator 3, please indicate whether the policy is national (N) or sub-national (S) in scope, and the number of policy advances achieved for each policy step and for each policy measure category. Please describe the activities contributing to each policy category, as well as the appropriate SO and CN (OR TN) numbers for the activities. *Each legal, regulatory, or policy document or action counts as a single policy advance.* Please consult the following list of definitions to for guidance on how to report policy advances in the energy sector.

Definitions – Scope:

National Policies (N) - Policies that influence issues on a countrywide level.

Sub-national Policies (S) - Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.

Definitions – Policy Steps:

Policy Measure - “Policy measures” may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, “policy measures” would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term “policy measures” does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).

Policy Preparation and Presentation (Step 1) - Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body

Policy Adoption (Step 2) - Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.

Policy Implementation and Enforcement (Step 3) - Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Result 3, Indicator 4**Excel Sheet: 3.4 Audits****Strategies/Audits that Contribute to the Avoidance of Greenhouse Gas Emissions****Unit:** Points

Instructions: Please describe the activity in the first column (e.g. “industrial pollution prevention and energy efficiency auditing in metal finishing”). In the second column, indicate the number of industrial firms/municipalities that have undertaken audits or developed greenhouse gas reduction strategies. In the third column, provide the number of industrial firms or municipalities that have implemented the strategies or audit results. Also, please indicate the SO and CN (OR TN) number for each activity.

Note: The third column has been renamed “Number of Strategy or Audit Recommendations Implemented.” This more accurately reflects the difference between the completion of strategies/audits and implementation of the results of those strategies/audits.

Result 3, Indicator 5**Excel Sheet: 3.5 Funding****Value of Public and Private Investment Leveraged by USAID for Activities that Reduce Greenhouse Gas Emissions****Unit:** U.S. Dollars

Instructions: Please provide the dollars leveraged *directly or indirectly*, as appropriate, through agreements with USAID partners in the energy sector, industry, and urban areas. For each activity, include a description (title) of the activity, the source of leveraged funds (i.e., name of partner), and the amount of funding leveraged. *Due to the variety of ways that dollars leveraged may be calculated, please include a brief description of your methodology.* Please refer to the following list of definitions for guidance on how to report public and private investment leveraged in the land use/forestry sector. Also, please indicate the SO and CN (OR TN) number for each activity.

Definitions:

Direct Leveraged Funding – Funding leveraged directly in support of USAID activities and programs includes:

- funding leveraged from partners for joint USAID activities;
- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);
- obligated or committed funding for direct follow-on MDB loan programs (prorated);
- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);
- joint implementation investments;
- Development Credit Authority investments.

Indirect Leveraged Funding – Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

Result 3, Indicator 6 ***Institutional Capacity Strengthened***

Indicator 6a
Increased Capacity to Address Global Climate Change Issues

[Excel Sheet: 3.6a Capacity](#)

Unit: Number

Instructions: This indicator tracks the number of USAID-assisted associations, NGOs or other public and private institutions that have been strengthened to address GCC issues in the energy sector, industry, and urban areas. Please provide the number of institutions strengthened for each category, and indicate the names of the institutions. Also, please indicate the SO and CN (OR TN) number for each activity.

Indicator 6b
Technical Capacity Strengthened through Workshops, Research, and/or Training Activities

[Excel Sheet: 3.6b Capacity](#)

Unit: Number

Instructions: This indicator tracks the number of training and technical assistance activities that strengthen or build the capacity of host countries to contribute to the avoidance of greenhouse gas emissions in the energy sector, industry or urban areas. Please provide the number of training and/or technical assistance activities in each category and provide a brief description of the activities contributing to each capacity building category. Also, please indicate the SO and CN (OR TN) number for each activity.

Result 4 ***Reduced Vulnerability to the Threats Posed by Climate Change***

Indicator
USAID Programs that Reduce Vulnerability to Climate Change

[Excel Sheet: 4 Vulnerability](#)

Instructions: This indicator is not meant to measure performance, but to provide general information about USAID programs that reduce vulnerability to the threats posed by climate change. These programs should be described under one or more key areas, defined below, including: coastal zone management; disaster preparedness; agriculture and food security; and biodiversity and forestry. We recognize that there may be some overlap between each area. Please include each activity in only one place and include a reference to other relevant categories in your brief description. Codes are provided below to match types of programs with each key vulnerability area.

Definitions - Key Areas:

- (i) **Coastal Zones** - Number of programs that are reducing the vulnerability of coastal populations, infrastructure, habitats and living resources to accelerated sea level rise or other environmental changes associated with climate change (e.g., water availability, resource availability, temperature).
- (ii) **Emergency Preparedness** - Number of programs that are increasing ability to cope with and minimize the damage from natural disasters (e.g., drought, famine, disease outbreaks) through surveillance, early warning, emergency preparedness, capacity building, etc.

- (iii) **Agriculture and Food Security** - Number of programs that are increasing adaptability and resilience of agriculture and food systems to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., crop diversification, water conservation and delivery, flexible market and trade systems).
- (iv) **Biodiversity/Natural Resources** - Number of programs that are increasing the adaptability of natural ecosystems and levels of biodiversity to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., establishment of biological corridors, habitat conservation, preservation of ex situ germplasm).
- (v) **Human Health and Nutrition** - Number of programs that are reducing vulnerability to climate change through improved access to and quality of health services, vector control, nutrition and environmental health interventions.

Codes for Tracking and Recording Vulnerability Programs

| Key Area | Program Types |
|----------------------------------|--|
| i. Coastal Zone | <ul style="list-style-type: none"> 1. Urban/Infrastructure 2. Natural Resource |
| ii. Disaster Preparation Relief | <ul style="list-style-type: none"> 1. Early Warning System 2. Humanitarian Response 3. Capacity Building |
| iii. Agriculture & Food Security | <ul style="list-style-type: none"> 1. Research and Development 2. Policy Reform 3. Extension/Demonstration |
| iv. Biodiversity & Forestry | <ul style="list-style-type: none"> 1. Preservation of Biodiversity 2. Forest Conservation |
| v. Human Health and Nutrition | <ul style="list-style-type: none"> 1. Improved Quality of Health Services 2. Vector Control 3. Improved Nutrition |

***** End of FY00 CCI Reporting Guidance ****

FY99 Climate Change Reporting Guidance - Data Tables

Please fill in the YELLOW cells to complete the table.

Table 1.0 - Background Information

| | | |
|--|--|--|
| | Country, Region, Office, or Program Reporting: (Type in the exact spelling of the appropriate entry from table below) | |
| | Telephone number: | |
| Name of person(s) & IR Teams completing tables: | Name #1: | |
| | SO Team Name and number1: | |
| | Name #2: | |
| | SO Team Name and number2: | |
| | Name #3: | |
| Contact | Address (1): | |
| | Address (2): | |
| | Street: | |
| | City, Address Codes: | |
| | Telephone number: | |
| | Fax number: | |
| | Email address: | |
| | Other relevant information: | |

Country / Region / Office / Program Reference Table

| | | |
|------------------------------------|------------|--------------------------------|
| AFR/SD – CARPE | G/ENV/UP | Mozambique |
| AFR/SD – FEWS | G/ENV/ENR | Nepal |
| Albania | G/ENV/GCC | Nicaragua |
| Armenia | G/ENV/UP | NIS Regional |
| Bangladesh | Georgia | Panama |
| Bolivia | Guatemala | Paraguay |
| Brazil | Guinea | Peru |
| Bulgaria | Honduras | Philippines |
| CEE Regional | India | Poland |
| Central America (G-CAP) | Indonesia | RCSA |
| Central Asia Republics | LAC/RSD | Romania |
| East Asia Environmental Initiative | Lithuania | Russia |
| Ecuador | Macedonia | South Africa |
| EGAD | Madagascar | South Asia Regional Initiative |
| Egypt | Malawi | Uganda |
| G/ENV/EET | Mali | Ukraine |
| G/ENV/ENR | Mexico | US-AEP |
| G/ENV/GCC | Moldova | |

Please fill in the YELLOW cells to complete the table.

TABLE 1.1

Result 1: Increased Participation in the UNFCCC

Indicator 1: Policy Development Supporting the Framework Convention on Climate Change

PLEASE SEE DEFINITIONS BELOW

| Policy Measure | STEP 1: Policy Preparation and Presentation | STEP 2: Policy Adoption | STEP 3: Implementation and Enforcement | List Activities Contributing to Each Policy Category | SO Number for Activity | CN/TN Number for Activity |
|---|---|-------------------------|--|---|------------------------|---------------------------|
| Ex: Integration of climate change into national strategic, energy, and sustainable development strategies | 1 | 1 | | Gov't-established interagency group has completed all necessary analysis and preparation to develop NEAP. The government has also signed Annex b of the FCCC. | 3.2 | CN-23-222 |
| Integration of climate change into national strategic, energy, and sustainable development strategies | | | | | | |
| Emissions inventory | | | | | | |
| Mitigation analysis | | | | | | |
| Vulnerability and adaptation analysis | | | | | | |
| National Climate Change Action Plan | | | | | | |
| Procedures for receiving, evaluating, and approving Activities Implemented Jointly (AIJ) proposals | | | | | | |
| Procedures for monitoring and verifying greenhouse gas emissions | | | | | | |
| Growth baselines for pegging greenhouse gas emissions to economic growth | | | | | | |
| Legally binding emission reduction targets and timetables | | | | | | |
| Other (describe) | | | | | | |
| Other | | | | | | |
| Other | | | | | | |
| Other | | | | | | |
| Other | | | | | | |
| Sub-total (number of policy steps achieved): | 0 | 0 | 0 | | | |
| | TOTAL (number of policy steps achieved): | | | | | |
| | | | 0 | | | |

Definitions: Policy Steps Achieved

| | |
|---|--|
| Policy Measure | "Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location). |
| Policy Preparation and Presentation (Step 1) | Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body. |
| Policy Adoption (Step 2) | Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc. |
| Policy Implementation and Enforcement (Step 3) | Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency. |
| Definitions: Types of Activities | |
| Adaptation | Adjustments in practices, processes or structures of systems to projected or actual changes of climate (may be spontaneous or planned). |
| Emissions inventory | Detailed listing of GHG sources and sinks. |
| Growth Baselines | An approach that would link countries' emissions targets to improvements in energy efficiency. |
| Joint Implementation (JI) | The process by which industrialized countries can meet a portion of their emissions reduction obligations by receiving credits for investing in GHG reductions in developing countries. |
| Mitigation | An action that prevents or slows the increase of greenhouse gases (GHGs) by reducing emissions from sources and sinks. |
| National Climate Change Action Plan | Plans that delineate specific mitigation and adaptation measures that countries will implement and integrate into their ongoing programs. These plans form the basis for the national communications that countries submit to the UNFCCC Secretariat. |

Please fill in the YELLOW cells to complete the table.

| TABLE 1.2 | | | | | |
|--|--|----------------------|--|------------------------|---------------------------|
| Result 1: Increased Participation in the UNFCCC | | | | | |
| Indicator 2: Increased capacity to meet requirements of the UNFCCC | | | | | |
| | Types of Support Provided (Enter the number of Training/TA activities for each category) | | | | |
| Categories | Training | Technical Assistance | List the Activities that Contribute to Each Capacity Building Category | SO Number for Activity | CN/TN Number for Activity |
| Ex: Support for joint implementation activities | 1 | 3 | Provided training and assistance in the economic and financial evaluation of energy efficient projects for consideration in JI activities. | 2.4 | CN-23-222 |
| Monitoring and verifying GHG emissions | | | | | |
| Growth baselines for pegging GHG emissions to economic growth | | | | | |
| Development of emissions reduction targets and timetables | | | | | |
| Support for joint implementation activities | | | | | |
| Support for Vulnerability and Adaptaion Activities | | | | | |
| Other (describe) | | | | | |
| Other | | | | | |
| Total number of points for Training/Technical Assistance: | 0 | 0 | | | |

| Codes for Land Use and Forestry Sector | | | | | | | | | |
|--|---|------------------------------|---------------------------------|---|---------------------------------|---|---|---|---------------------------------|
| Principal Activities: | | Predominant Vegetation Type: | | | Predominant Managed Land Type: | | Codes for Additional Information: | | |
| 1 | Conservation of natural ecosystems (may include protected area management, extraction of non-timber products, etc. but <i>not</i> timber harvesting.) | A | Tropical evergreen forest | H | Tropical grassland and pasture | 1 | Agricultural systems: Less than 15% of the area under trees | 1 | Maps |
| 2 | Sustainable forest management for timber using reduced-impact harvesting (non-timber forest products may also be harvested) | B | Tropical seasonal forest | I | Temperate grassland and pasture | 2 | Agroforestry systems: Greater than 15% of the area under trees | 2 | Geo-referenced site coordinates |
| 3 | Afforestation/reforestation/plantation forests | C | Temperate evergreen forest | J | Tundra and alpine meadow | 3 | Plantation Forests: At least 80% of the area under planted trees | 3 | Biomass inventory |
| 4 | Agroforestry | D | Temperate deciduous forest | K | Desert scrub | 4 | Protected areas | 4 | Rainfall data |
| 5 | Sustainable agriculture | E | Boreal forest | L | Swamp and marsh | | | 5 | Soil type data |
| | | F | Temperate woodland | M | Coastal mangrove | | | | |
| | | G | Tropical open forest / woodland | N | Wetlands | | | | |

| Definitions: Natural Ecosystems | |
|--|--|
| Natural Ecosystems | Any areas that have not experienced serious degradation or exploitation of biomass, and without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community-managed forests with minimal timber extraction. Areas where non-timber forest products are harvested can be counted in this category but not those that are managed for timber. The latter are included in 2b below. The distinction is important as different approaches are employed in estimating carbon for "natural areas" (2a) and "managed areas" (2b). Natural areas include: (1) protected areas; (2) areas where non-timber forest products are extracted if significant biomass is not removed (often managed as community-based forest management areas); and (3) any other areas which exclude larger-scale biomass harvest from a management regime including many areas managed by communities and/or indigenous groups. |
| Definitions: Managed Lands Categories | |
| Sustainable Forest Management for Timber, using Reduced Impact Harvesting (RIH) | <p>A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven to minimize environmental damage and carbon emissions during the logging of natural tropical forest. To be included, an activity must include most of the following practices:</p> <ul style="list-style-type: none"> - tree inventorying, marking and mapping; - careful planning and marking of skidder trails; - vine cutting prior to harvest, where appropriate; - directional felling of trees; - appropriate skidding techniques that employ winching and best available equipment (rubber tired skidder/animal traction) to minimize soil damage; - proper road and log deck construction; - a trained work force and implementation of proper safety practices; - fire mitigation techniques (fire breaks); - existence of a long-term management plan. <p>Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been "certified" as environmentally sound by a recognized independent party. Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).</p> |
| Agroforestry | Agroforestry covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the deliberate growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is significant interaction between woody and non-woody components, either ecological or economical. To be counted, at least 15 percent of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak). -- Include the area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). Do not include agroforestry systems being established on forestlands that were deforested since 1990. |
| Reforestation/ Afforestation | The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes. -- Include the area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). Do not include natural forested areas that have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry). |
| Sustainable Agriculture | <p>Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven cultural practices known to</p> <ul style="list-style-type: none"> - no-tillage or reduced tillage - erosion control/soil conservation techniques, especially on hillsides - perennial crops in the system - higher crop yields through better nitrogen and soil management - long-term rotations with legumes - the use of organic mulches, crop residues and other organic inputs into the soil - better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based |
| Special Instructions: Creating a Copy of this Spreadsheet | |
| Step 1 | Finish filling any cells you are working on and hit "Return" or "Enter". |
| Step 2 | Click on "Edit" in the menu bar, above. Go down and click on "Move or Copy Sheet". The "Move or Copy" dialog box will open. (NOTE: You may also open this dialog box by using the right button on your mouse to click on the "T4-2.1 Land Use" tab near the bottom of the screen.) |
| Step 3 | Next, scroll down in the dialog box and click on "T2.1 Land Use". |
| Step 4 | Next, click on the box at bottom to Create a copy. |
| Step 5 | Hit "OK". A new copy of T2.1 Land Use will appear in the row of tabs near the bottom of the screen. PLEASE NOTE: Some cells may not retain all the original text when the sheet is copied, especially in the definitions sections. |

Please fill in the YELLOW cells to complete the table.

| TABLE 2.3 | | | | | | | |
|---|----------------|---|-------------------------|--|---|------------------------|---------------------------|
| Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector | | | | | | | |
| Indicator 3: National/sub-national policy advances in the land use/forestry sector that contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions | | | | | | | |
| PLEASE SEE DEFINITIONS BELOW | | Enter the number of separate steps for each measure | | | | | |
| Policy Measure | Scope (N or S) | STEP 1: Policy Preparation and Presentation | STEP 2: Policy Adoption | STEP 3: Implementation and Enforcement | List Activities Contributing to Each Policy Category | SO Number for Activity | CN/TN Number for Activity |
| Ex: Facilitates establishment and conservation of protected areas | N | 2 | 1 | | Two studies completed on national protected areas law for the Environment Min., including recommendations for legal reform; revised National Protected Areas Law adopted, Min. Decree No. 1999/304. | 3.1 | TN-556-27 |
| Facilitates improved land use planning | | | | | | | |
| Facilitates sustainable forest management | | | | | | | |
| Facilitates establishment and conservation of protected areas | | | | | | | |
| Improves integrated coastal management | | | | | | | |
| Decreases agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management | | | | | | | |
| Corrects protective trade policies that devalue forest resources | | | | | | | |
| Clarifies and improves land and resource tenure | | | | | | | |
| Other (describe) | | | | | | | |
| Other | | | | | | | |
| Other | | | | | | | |
| Other | | | | | | | |
| Other | | | | | | | |
| Sub-total(number of policy steps achieved) | | 0 | 0 | 0 | | | |
| Total (number of policy steps achieved): | | | | 0 | | | |

| Definitions: Scope | |
|---|---|
| National Policies (N) | Policies that influence issues on a countrywide level. |
| Sub-national Policies (S) | Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact. |
| Definitions: Policy Steps Achieved | |
| Policy Measure | "Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or |
| Policy Preparation and Presentation (Step 1) | Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body. |
| Policy Adoption (Step 2) | Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc. |
| Policy Implementation and Enforcement (Step 3) | Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency. |

Please fill in the YELLOW cells to complete the table.

TABLE 2.4

Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector

Indicator 4: Value of Public and Private Investment Leveraged by USAID for Activities that Contribute to the Preservation or Increase of Carbon Stocks and Reduction of Greenhouse Gas Emissions

PLEASE SEE DEFINITIONS BELOW

| Activity | Source of Leveraged Funds | Methodology for determining amount of funding | Direct Leveraged Funds | Indirect Leveraged Funds | SO Number for Activity | CN/TN Number for Activity |
|--|---|--|------------------------|--------------------------|------------------------|---------------------------|
| National Nature Conservation Fund | National Government | Figure reflects direct, in-kind contribution of national government. | \$572,800 | | 3.3 | TN-556-27 |
| Big Forest Climate Change Action Project | The Nature Conservancy and the Friends of Nature Foundation | NGOs initiated independent activity with separate funding, building on earlier USAID conservation project. | | \$1,700,000 | 3.3 | CN-23-222 |
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| | | | | | | |
| | | | | | | |
| Total: | | | \$0 | \$0 | | |

| Definitions: Funding Leveraged | |
|-----------------------------------|--|
| Direct Leveraged Funding | Funding leveraged directly in support of current USAID activities and programs, including: - funding leveraged from partners for joint USAID activities; - funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated); - obligated or committed funding for direct follow-on MDB loan programs (prorated); - obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated); - joint implementation investments; - Development Credit Authority investments. |
| Indirect Leveraged Funding | Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund. |

Please fill in the **YELLOW** cells to complete the table.

| TABLE 2.5a | | | | |
|---|-------------------------------------|---|------------------------|---------------------------|
| Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector | | | | |
| Indicator 5a: Increased Capacity to Address Global Climate Change Issues | | | | |
| Types of institutions strengthened to address GCC issues | Number of Institutions Strengthened | Names of Associations, NGOs, or other Institutions Strengthened | SO Number for Activity | CN/TN Number for Activity |
| Ex: NGOs | 3 | Friends of Nature Foundation, SITA, Sustainable Forests Unlimited | 3.2 | CN-23-222 |
| NGOs | | | | |
| Private Institutions | | | | |
| Research / Educational Institutions | | | | |
| Public Institutions | | | | |
| Total Number of Institutions Strengthened: | 0 | | | |

Please fill in the YELLOW cells to complete the table.

| Table 2.5b | | | | | |
|---|--|----------------------|--|------------------------|---------------------------|
| Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector | | | | | |
| Indicator 5b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities | | | | | |
| Category | Types of Support Provided (Enter the number of Training/TA activities for each category) | | List the Activities that Contribute to Each Capacity Building Category | SO Number for Activity | CN/TN Number for Activity |
| | Training | Technical Assistance | | | |
| Ex: Advancing sustainable forest management | 1 | 3 | Presentation of nursery & reforestation studies; US training on resource mgmt; env'l impact assessment law training; forest restoration & recovery workshop. TA for fire prevention. | 3.3 | CN-23-222 |
| Advancing improved land use planning | | | | | |
| Advancing sustainable forest management | | | | | |
| Advancing establishment and conservation of protected areas | | | | | |
| Advancing integrated coastal management | | | | | |
| Advancing decreases in agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management | | | | | |
| Advancing the correction of protective trade policies that devalue forest resources | | | | | |
| Advancing the clarification and improvement of land and resource tenure | | | | | |
| Other (describe) | | | | | |
| Other | | | | | |
| Number of categories where training and technical assistance has been provided: | 0 | 0 | | | |

Please fill in the YELLOW cells to complete the table.

| TABLE 3.1 | | | | | | | | | | | | |
|--|---|---|--|--|------------------|---|--|------------------|---|------------------------|---------------------------|-----------------------------------|
| Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas | | | | | | | | | | | | |
| Indicator 1: Emissions of Carbon Dioxide Equivalents Avoided, due to USAID Assistance (Measuring Carbon Dioxide, Methane, and Nitrous Oxide) | | | | | | | | | | | | |
| PLEASE SEE FUEL TYPE CODES BELOW | 3.1 A - CO2 Emissions avoided through renewable energy activities | | | 3.1 B - CO2 emissions avoided through end use energy efficiency improvements | | | 3.1 C - CO2 emissions avoided through energy efficiency improvements in generation, transmission, and distribution (including new production capacity) | | | SO number for Activity | CN/TN Number for Activity | |
| | Activity | 3.1A: MW-h produced in electricity generation | 3.1A: BTU's produced in thermal combustion | 3.1A: Fuel type replaced (use codes) | 3.1B: MW-h saved | 3.1B: BTU's saved in thermal combustion | 3.1B: Fuel type saved (use codes) | 3.1C: MW-h saved | 3.1C: BTU's saved in thermal combustion | | | 3.1C: Fuel type saved (use codes) |
| Renewable Energy Production Prog. | 512,258 | | J | | | | | | | | 2.1 | CN-120-97 |
| Steam & Combustion Efficiency Pilot Proj. | | | | | 1,832,144 | J | | | | | 2.1 | CN-120-97 |
| Power Sector Retrofits | | | | | | | 912,733 | | | T | 2.1 | CN-120-97 |
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| Totals: | 0 | 0 | | 0 | 0 | | 0 | 0 | 0 | | | |

| PLEASE SEE FUEL TYPE CODES BELOW | 3.1 D - CO2 emissions avoided as a result of switching to cleaner fossil fuels (including new production capacity) | | | | 3.1 E - Methane emissions captured from solid waste, coal mining, or sewage treatment | 3.1 F - Tonnes of nitrous oxide emissions avoided through improved agriculture | SO number for Activity | CN/TN Number for Activity |
|----------------------------------|--|---|--|--------------------------------|---|--|------------------------|---------------------------|
| | Activity | 3.1D: MW-h produced in electricity generation | 3.1D BTUs produced in thermal combustion | 3.1D Old fuel type (use codes) | 3.1D New fuel type (use codes) | 3.1E: Tonnes of methane | | |
| Clean Fuels Program | 4,551 | | H | FF | | | 2 | CN-120-97 |
| Municipal Landfill Proj. | | | | | 450 | | 2 | CN-120-97 |
| Sust. Ag. & Devt. Proj. | | | | | | 575 | 2 | CN-120-97 |
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| Totals: | 0 | 0 | | | 0 | 0 | | |

| Codes for Fuel Type | | | |
|------------------------------|-----------------------|----------------|---------------------|
| Fuel Types | | Code | Fuel Name |
| Liquid Fossil | Primary Fuels | A | Crude oil |
| | | B | Orimulsion |
| | | C | Natural gas liquid |
| | Secondary Fuels | D | Gasoline |
| | | E | Jet kerosene |
| | | F | Other kerosene |
| | | G | Shale oil |
| | | H | Gas/diesel oil |
| | | J | Residual fuel oil |
| | | K | LPG |
| | | L | Ethane |
| | | M | Naphtha |
| | | N | Bitumen |
| | | O | Lubricants |
| | | P | Petroleum coke |
| | | Q | Refinery feedstocks |
| | | R | Refinery gas |
| | | S | Other oil |
| | | Solid Fossil | Primary Fuels |
| U | Coking coal | | |
| V | Other bituminous coal | | |
| W | Sub-bituminous coal | | |
| X | Lignite | | |
| Y | Oil shale | | |
| Z | Peat | | |
| Secondary fuels/ products | AA | | BKB & patent fuels |
| | BB | | Coke oven/gas coke |
| | CC | | Coke oven gas |
| | DD | | Blast furnace gas |
| | EE | | Natural gas (dry) |
| | FF | | Solid biomass |
| Gaseous Fossil | GG | Liquid biomass | |
| Biomass | HH | Gas biomass | |

Please fill in the YELLOW cells to complete the table.

TABLE 3.3

Result 3: Decreased Net Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas

Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions

PLEASE SEE DEFINITIONS BELOW

| Policy Measure | Scope (N or S) | STEP 1: Policy Preparation and Presentation | STEP 2: Policy Adoption | STEP 3: Implementation and Enforcement | List Activities Contributing to Each Policy Category | SO Number for Activity | CN/TN Number for Activity |
|---|----------------|---|-------------------------|--|--|------------------------|---------------------------|
| Example: Facilitates improved demand side management or integrated resource planning | N | 2 | 1 | | Mission supported introduction of two decrees for energy tariff reforms (pursuant to National Energy Reform Law) in the national parliament; one decree was adopted. | 2.4 | CN-577-92 |
| Facilitates improved demand side management or integrated resource planning | | | | | | | |
| Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers | | | | | | | |
| Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes | | | | | | | |
| Facilitates the use of renewable energy technologies | | | | | | | |
| Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas) | | | | | | | |
| Facilitates the introduction of cleaner modes of transportation and efficient transportation systems | | | | | | | |
| Promotes the use of cogeneration | | | | | | | |
| Other (describe) | | | | | | | |
| Other | | | | | | | |
| Other | | | | | | | |
| Other | | | | | | | |
| Other | | | | | | | |
| Sub-total (number of policy steps achieved): | | 0 | 0 | 0 | | | |
| Total (number of policy steps achieved): | | | | | | 0 | |

| Definitions: Scope | |
|---|--|
| National Policies (N) | Policies that influence issues on a countrywide level. |
| Sub-national Policies (S) | Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact. |
| Definitions: Policy Steps Achieved | |
| Policy Measure | "Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location). |
| Policy Preparation and Presentation (Step 1) | Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body. |
| Policy Adoption (Step 2) | Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc. |
| Policy Implementation and Enforcement (Step 3) | Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency. |

Please fill in the YELLOW cells to complete the table.

Table 3.4

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 4: Strategies/Audits that Contribute to the Avoidance of Greenhouse Gas Emissions

| Activity | Number of audits or strategies completed | Number or audit recommendations or strategies implemented | SO Number for Activity | CN/TN Number for Activity |
|---|--|---|------------------------|---------------------------|
| Steam & Combustion Efficiency Pilot Project | 41 | 35 | 2.1 | CN-577-92 |
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| Total: | 0 | 0 | | |

Please fill in the YELLOW cells to complete the table.

| TABLE 3.5 | | | | | | |
|--|---------------------------------|---|------------------------|--------------------------|------------------------|---------------------------|
| Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas | | | | | | |
| Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities that Reduce Greenhouse Gas Emissions | | | | | | |
| PLEASE SEE DEFINITIONS BELOW | | | | | | |
| Activity | Source of Leveraged Funds | Methodology for determining amount of funding | Direct Leveraged Funds | Indirect Leveraged Funds | SO Number for Activity | CN/TN Number for Activity |
| National Renewable Energy Program | Dept. of Energy, World Bank-GEF | DOE direct buy-in to USAID. In FY99, GEF funded replication of NREP activity begun in FY98. | \$120,000 | \$2,500,000 | 2 | CN-577-92 |
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| Total: | | | \$0 | \$0 | | |

| Definitions: Funding Leveraged | |
|-----------------------------------|---|
| Direct Leveraged Funding | Funding leveraged directly in support of USAID activities and programs, including: - funding leveraged from partners for joint USAID activities; - funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated); - obligated or committed funding for direct follow-on MDB loan programs (prorated); - obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated); - joint implementation investments; - Development Credit Authority investments. |
| Indirect Leveraged Funding | Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund. |

Please fill in the **YELLOW** cells to complete the table.

TABLE 3.6a

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 6a: Increased Capacity to Address Global Climate Change Issues

| Types of institutions strengthened to address GCC issues | Number of Institutions Strength-ened | Names of Associations, NGOs, or other Institutions Strengthened | SO Number for Activity | CN/TN Number for Activity |
|--|--------------------------------------|---|------------------------|---------------------------|
| Ex: NGOs | 3 | Center for Cleaner Production, Association of Industrial Engineers, National Solar Energy Foundation, Clean Air Alliance, Institute for Industrial Efficiency | 2.4 | CN-577-92 |
| NGOs | | | | |
| Private Institutions | | | | |
| Research/Educational Institutions | | | | |
| Public Institutions | | | | |
| Total Number of Institutions Strengthened: | 0 | | | |

Please fill in the YELLOW cells to complete the table.

| Table 3.6b | | | | | |
|---|--|----------------------|--|------------------------|---------------------------|
| Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas | | | | | |
| Indicator 6b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities | | | | | |
| | Types of Support Provided (Enter the number of Training/TA activities for each category) | | | | |
| Category | Training | Technical Assistance | List the Activities that Contribute to Each Capacity Building Category | SO Number for Activity | CN/TN Number for Activity |
| Example: Use of renewable energy technologies | 1 | 3 | Developed sustainable markets for renewable energy technologies. Over 200 renewable energy systems installed. Training for utilities, government officials, NGOs. Study on renewable energy applications | 2.4 | CN-577-92 |
| Improved demand-side management or integrated resource planning | | | | | |
| Competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers | | | | | |
| Installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes | | | | | |
| Use of renewable energy technologies | | | | | |
| Use of cleaner fossil fuels (cleaner coal or natural gas) | | | | | |
| Introduction of cleaner modes of transportation and efficient transportation systems | | | | | |
| Use of cogeneration | | | | | |
| Other (describe) | | | | | |
| Other | | | | | |
| Total number of points for Training/Technical Assistance: | 0 | 0 | | | |

Please fill in the YELLOW cells to complete the table.

| Table 4 | | | | | | | | |
|--|-----------------|-------------|-----------|--------------------------------------|--|--|---------------------------|---------------------------------|
| Result 4: Reduced Vulnerability to the Threats Posed by Climate Change | | | | | | | | |
| Indicator: USAID Programs that Reduce Vulnerability to Climate Change | | | | | | | | |
| PLEASE SEE DEFINITIONS BELOW | | | | | | | | |
| Key Area | Country | Budget | Duration | Type of Program (see codes below) | Description | SO Name | SO Number for Activity | CN/TN Number for Activity |
| Example: | ii South Africa | \$1,200,000 | FY96-FY99 | 3 | Technical assistance to Rand Water Board to address water resources planning for water shortages | Increased Access to Environmentally Sustainable Housing and Urban Services for the HDP | SO6 | |
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| Definitions: Key Areas | |
|---------------------------------------|---|
| Coastal Zones | Number of programs that are reducing the vulnerability of coastal populations, infrastructure, habitats and living resources to accelerated sea level rise or other environmental changes associated with climate change (e.g., water availability, resource availability, temperature). |
| Emergency Preparedness | Number of programs that are increasing ability to cope with and minimize the damage from natural disasters (e.g., drought, famine, disease outbreaks) through surveillance, early warning, emergency preparedness, capacity building, etc. |
| Agriculture and Food Security | Number of programs that are increasing adaptability and resilience of agriculture and food systems to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., crop diversification, water conservation and delivery, flexible market and trade systems). |
| Biodiversity/Natural Resources | Number of programs that are increasing the adaptability of natural ecosystems and levels of biodiversity to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., establishment of biological corridors, habitat conservation, preservation of ex situ germplasm). |
| Human Health and Nutrition | Number of programs that are reducing vulnerability to climate change through improved access to and quality of health services, vector control, nutrition and environmental health interventions. |

| | Key Area Codes | Codes for Type of Programs |
|--------------------------------|----------------|--|
| Coastal Zones | i | 1. Urban/Infrastructure 2. Natural Resource |
| Emergency Preparedness | ii | 1. Early Warning System 2. Humanitarian Response 3. Capacity Building |
| Agriculture & Food Security | iii | 1. Research and Development 2. Policy Reform 3. Extension/ Demonstration |
| Biodiversity/Natural Resources | iv | 1. Preservation of Biodiversity 2. Forest Conservation |
| Human Health and Nutrition | v | 1. Improved Quality of Health Services 2. Vector Control 3. Improved Nutrition |