

Perspectives on modalities for enhanced BTR support

Third Informal Consultation Meeting on Financial Support for Biennial Transparency Reports

Date: February 24, 2022 (THURSDAY) Time: 8:00-11:00 Eastern Standard Time

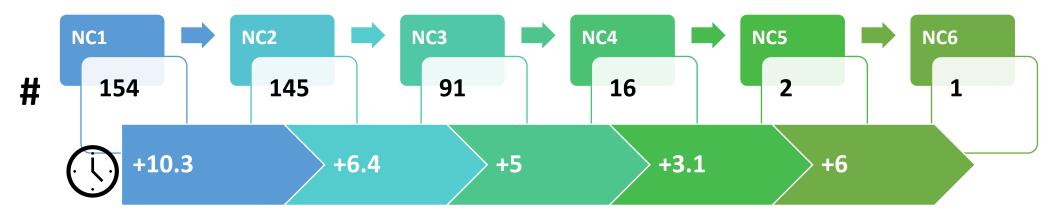


Outline

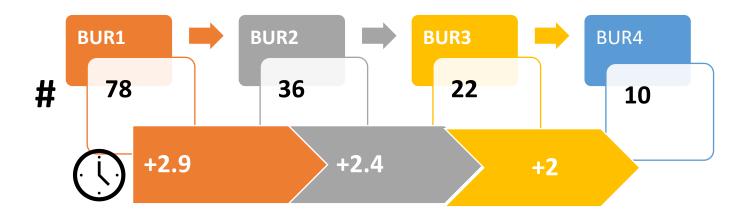
• UNDP-GEF operational modalities and procedures – efficiency and timeliness vis-à-vis the need to further support countries to prepare and submit their first BTR before December 31, 2024

Frequency of submissions to UNFCCC (global)

NC every 4 years:



BUR every 2 years:



UNDP-GEF support: 250 out 409 NCs (61%) 92 out of 146 BURs (63%)

Dec 2024

Mar 2022 Sep 2022 – Jun 2023 Jan 2023 – Dec 2023

Project design

6-12 months for project preparation + 2-3 months for GEF review and approval

- CO & IP Capacity assessments
- EA request
- UNDP ProDoc
- SES
- Gender Analysis and Action Plan
- GEF checklist for Audit risk review
- no PPG funds
- Implementation modalities:
 - Full NIM High risk
 - DIM/Execution support services– exemption required
 - Third Parties resistance, limited or lack of options

Agency approval

4-6 months

- LPAC
- DoA clearance
- ProDoc signature

- Elections,
- Government changes

Project implementation

Less than 18 months to submit First BTR by Dec 2024

- Recruitment of key project staff
- Inception Workshop, annual status surveys
- Delivery and completion of project activities -TBWP

- Institutional/technical/human capacities
- BUR submission: 1.96 years after Project start date,
- At least 6 months to set-up PMU and start project activities,
- 6-12 months Length of the Government endorsement process prior submission to the UNFCCC Secretariat

Mar 2022

Jan 2023 - Dec 2023

Sep 2022 - Jun 2023

Project design

Options to expedite the process:

- PPG budget allocated to Agencies;
- Execution support services (or DIM if necessary) allowed for CC EAs;
- Multiple NC/BTRs reports delivered under one project;
- Ensure project design and approval phase overlap with at least last 6 months of the previous project implementation phase \Leftrightarrow EA request/ProDoc for next NC/BTRs integrated into the project results framework as deliverables before New projects approved by the GEF even if a country has not yet submitted their NC/BUR reports to the UNFCCC;
 - resources will not be disbursed by Agencies till the national report is submitted by country to UNFCCC; Pre-filled EA request with standardized Project Results Framework/budget allocation and outcomes/outputs/activities;
 - Ceiling for 1 step Expedited approval increased to USD 2 million

BTR1

Dec 2024

c 2024

List of Oversight tasks for 1 EA Project

| Oversight tasks undertaken per 1 EA project | | | | |
|---|---|--|--|--|
| Stage | Oversight tasks | | | |
| Corporate | GEF policy support, business plans, strategies. | | | |
| | Portfolio management, financial management and data management at the portfolio level | | | |
| | Outreach and knowledge sharing | | | |
| | Support to evaluations | | | |
| | Pre-Investment Screening Committee (PISC) package preparation | | | |
| | PISC Package Quality Assurance | | | |
| | PISC recommendation including agreement on implementation modality | | | |
| | consult with appropriate stakeholders in-country, including GEF OFPs | | | |
| | review options for co-financing and partnerships | | | |
| | Securing GEF OFP LOE | | | |
| | Conduct Partner Capacity Assessment (PCAT) and Harmonized Approach to Cash Transfers (HACT) and assess implications | | | |
| Preparation of EA | Oversight and QA of preparation of EA request, UNDP prodoc, TBWP and procurement plan (including procuring consultants and project developer when needed) | | | |
| request and | Conduct Social and Environmental Safeguards Procedure (SESP) | | | |
| | Safeguards and Gender QA for GEF compliance | | | |
| | GEF Checklist for audit risk review (preparation, QA, clearance and signature) | | | |
| | Financial and technical clearance of EA request and prodoc | | | |
| | Completion of package for submission to GEF SEC with UNDP QA | | | |
| | Respond to GEF SEC and Council review comments | | | |
| | Technical and financial clearance of response to GEF SEC and Council review comments | | | |
| | Advance EA request and prodocthrough GEF SEC review and engage with GEF to achieve approval by GEF council | | | |
| | LPAC and Quality Appraisal process | | | |

List of Oversight tasks for 1 EA Project (continued)

| Implementation | Delegate authority for GEF project resources to Country Office (including NCE financial and technical clearance, DOA signed by CO, Reg Bureau, and Directorate |
|----------------|--|
| | Project Document Signature |
| | First Disbursement of GEF funds |
| | Inception Workshop (prepare documentation and presentations, participate in workshop, elaborate inception report, QA of inception report, and follow-up) |
| | Annual Work Plan review at CO level |
| | AWP: NCE technical and financial quality assurance |
| | AWP approval |
| | Periodic CO overisight and monitoring visits, consultations, interviews to validate, supervise and QA PMU/IP and field work |
| | Maintenance and archiving of records of all project-related documentation/deliverables. |
| | Financial auditing |
| | QA of annual status survey and end of project report |
| | Monitor and review project expenditure reports |
| | Prepare budget revisions when needed |
| | Risk management: manage and escalate risks/ critical issues as per UNDP ERM |
| | Risk-based second tier portfolio oversight and address escalated GEF project risks /critical issues through action plan - options for additional oversight/ suspension/ ca |
| | Project revisions: manage in-country consultations, prepare revision proposals, including addressing comments from QA |
| | Project revision QA and submission for approval by GEF SEC/ Council |
| | Project unfunded extension - consultation with government and participation in project board |
| | Project unfunded extension - preparation of documentation for request |
| | QA and technical and financial clearance of unfunded extension request |
| | approval/rejection of extension request |
| Closure | operational and financial closure: undertake as per PPM requirements |
| | operational and financial closure: verification and reporting to GEF Sec and GEF trustee |



GEF funds available for BTR and NC (national projects)

| Modality 1: up to \$484,000 for stand-alone BTR | Modality 2: up to \$517,000 for combined BTR and NC. | Modality 3: additional (top-up) of \$200,000 maximum to an ongoing EA project |
|---|---|--|
| Available: January 2021 (GEF-7) | Available: January 2021 (GEF-7) | Available: January 2023 (GEF8) |
| 3 countries in pipeline | Countries in the pipeline Countries revising NC and BUR proposals to combined BTR/NC report difficulties to reduce the budget from \$ 852K to \$ 517 K USD. Lack of experience with combined reports. | Clarification needed on the process and requirements for the approval of the top-up amount. High transaction cost going through amendment of individual projects. Ongoing BUR with expected submission date after January 2023: 5 countries in UNDP portfolio (+ 8 countries with last BUR submission date expected in 2022) |

NC: up to \$ 500K for:

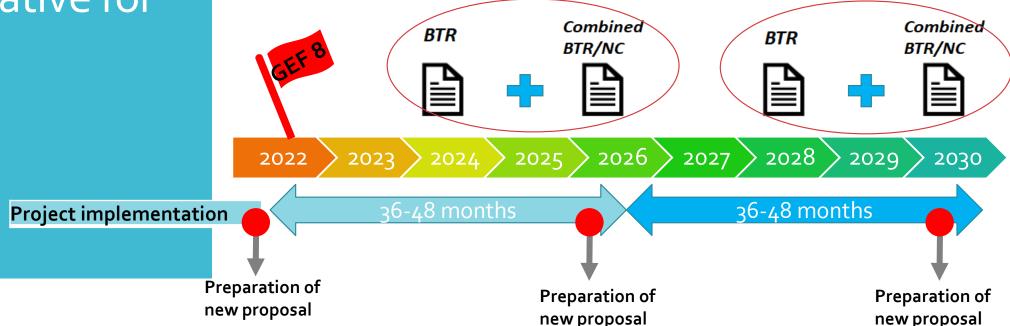
- Countries that do not wish to submit NC and BTR together. In this case, NC and/or BTR may be subject to reduction of budget from the set-aside resources to avoid duplication of resources.
- Countries that have not ratified/acceded to the Paris Agreement.



Proposed alternative for GEF8

Combined "BTR/NC+BTR" with Expedited Approval process, USD 1 M

- + decrease in the number of projects;
- + reduction of transaction cost (1 EA request/ProDoc instead of 2 or 3);
- + lower risk for countries in not meeting reporting requirements due to lengthy process of EA request/ProDoc development and delayed access to funds;
- + focus on project implementation oversight/quality assurance, rather than RM and new EA requests/ProDoc development;
- + higher PMC budget for countries.



Alignment of the reporting timelines - to avoid duplication between NCs and BTRs, reduce reporting burden on a country and support the timely submission of reports

Scenario A (if currently preparing NC):



Scenario B (if previous NC is already submitted):

