



# ***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



UN  
DP

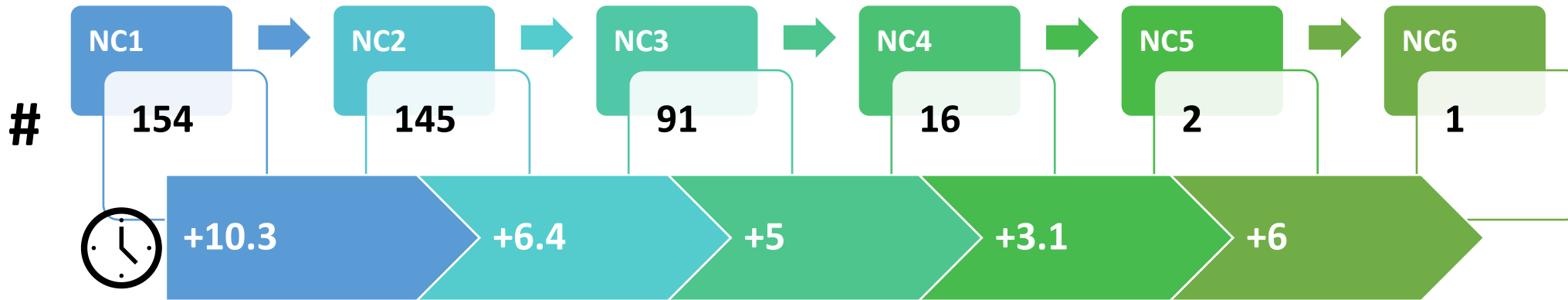
Empowered lives.  
Resilient nations.

# Outline

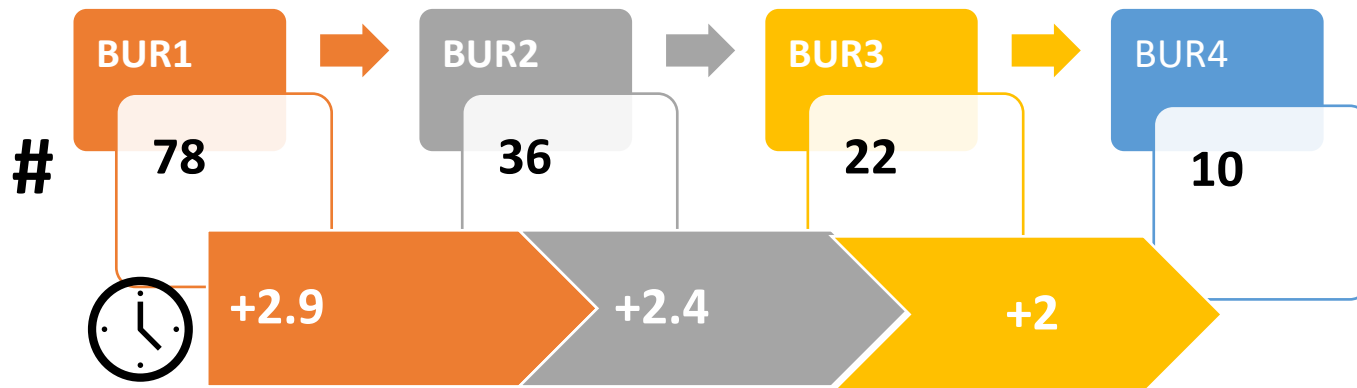
- *UNDP-GEF operational modalities and procedures – efficiency and timeliness vis-à-vis the need to further support countries to prepare and submit their first BTR before December 31, 2024*

# Frequency of submissions to UNFCCC (global)

## NC every 4 years:



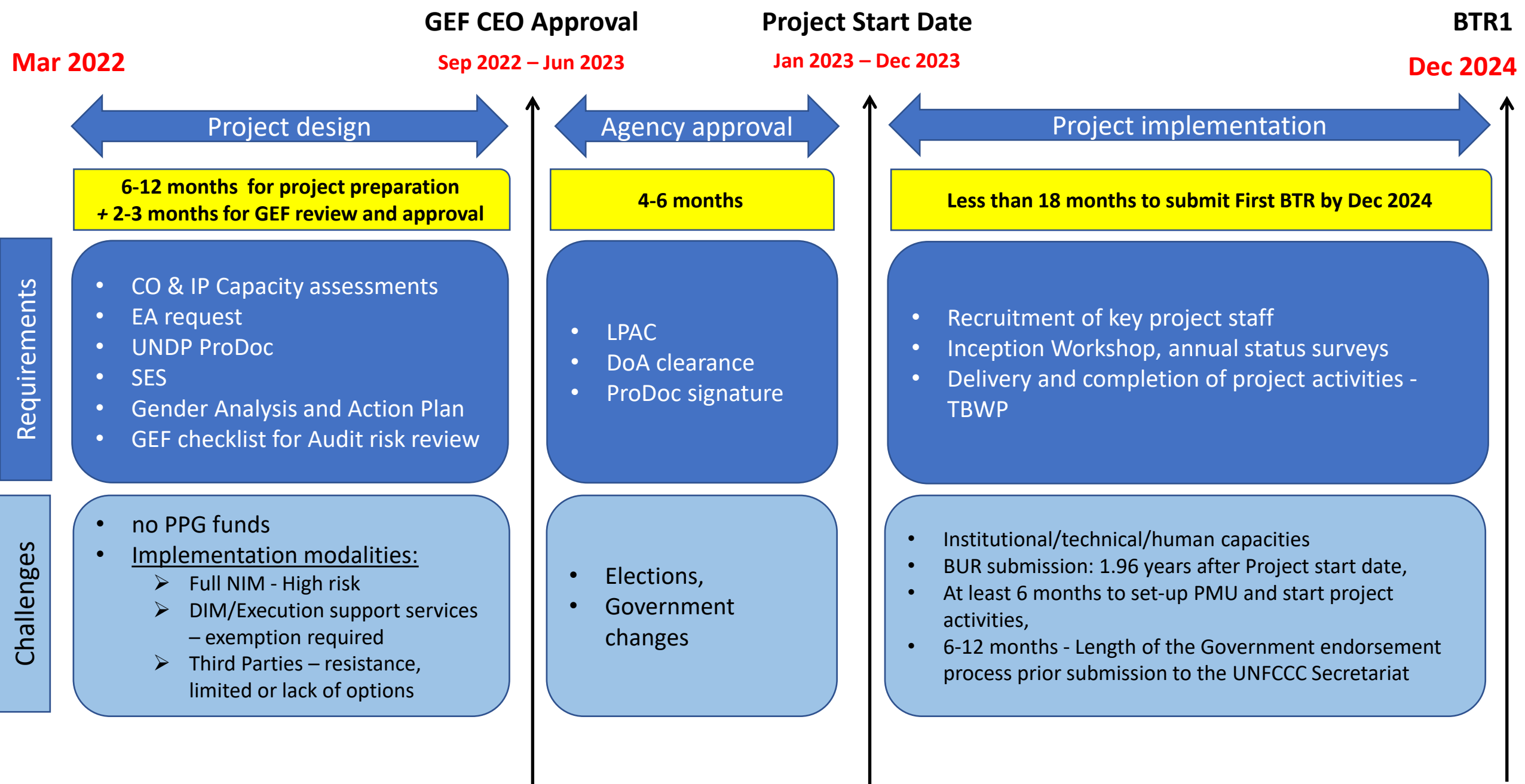
## BUR every 2 years:

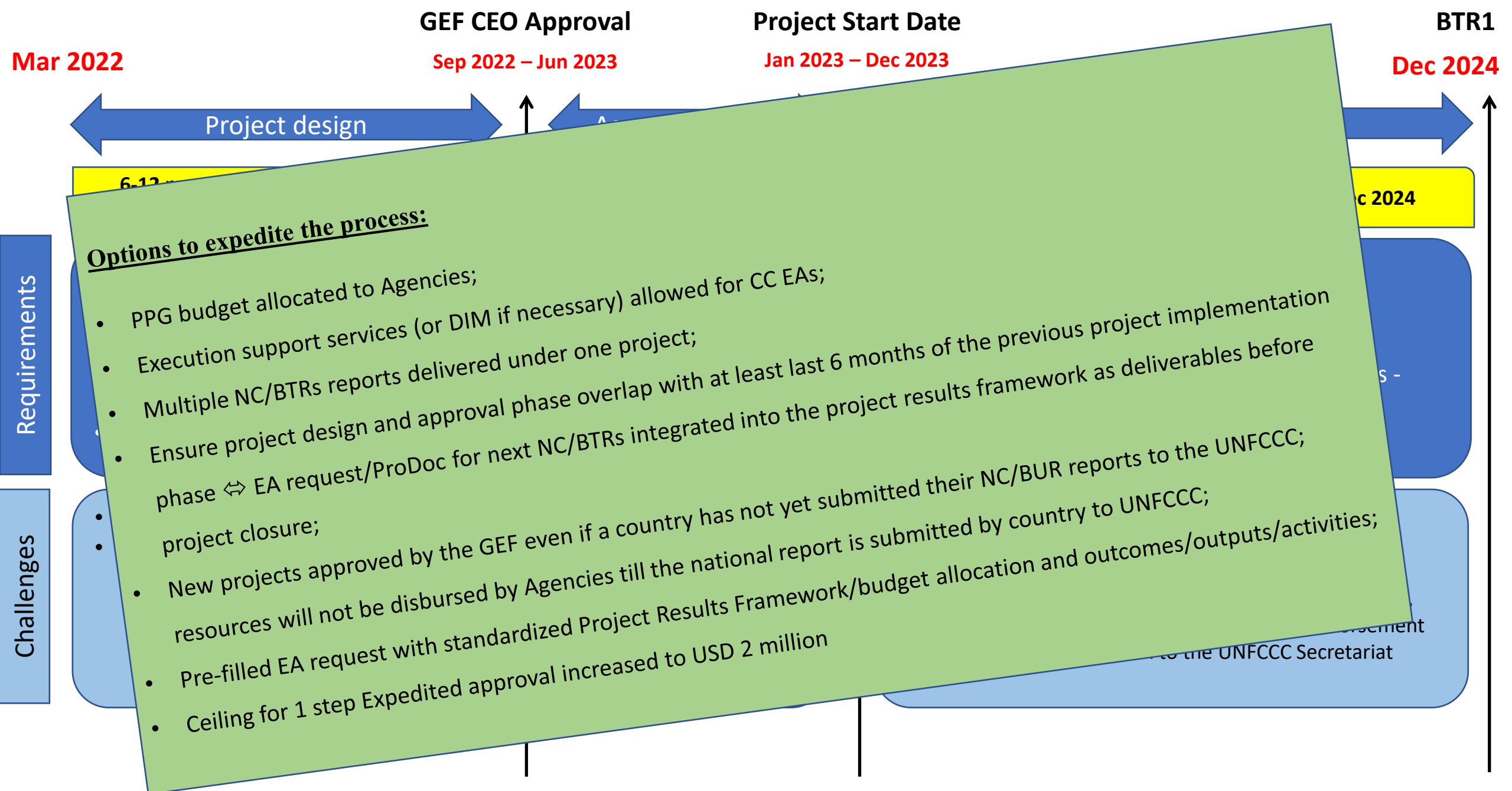


### UNDP-GEF support:

250 out of 409 NCs  
(61%)

92 out of 146 BURs  
(63%)





# 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
Project Origination	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 request and prodoc	Oversight and QA of preparation of EA request, UNDP prodoc, TBWP and procurement plan (including procuring consultants and project developer when needed)
	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 prodoc through 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 oversight 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)

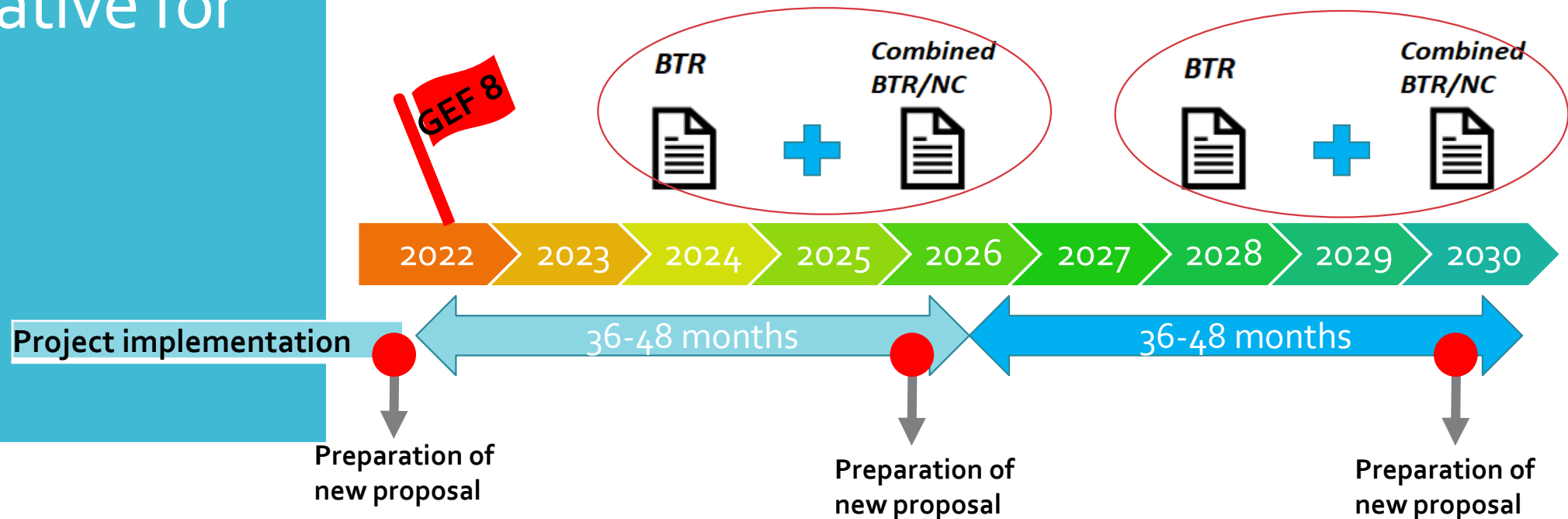
Modality 1: up to \$484,000 for stand-alone BTR	Modality 2: up to \$517,000 for combined BTR and NC.	Modality 3: additional (top-up) of \$200,000 maximum to an ongoing EA project
Available: January 2021 (GEF-7)	Available: January 2021 (GEF-7)	Available: January 2023 (GEF8)
<p>3 countries in pipeline</p>	<p>4 countries in the pipeline</p> <ul style="list-style-type: none"> <li>- Countries revising NC and BUR proposals to combined BTR/NC report difficulties to reduce the budget from \$ 852K to \$ 517 K USD.</li> <li>- Lack of experience with combined reports.</li> </ul>	<ul style="list-style-type: none"> <li>- Clarification needed on the process and requirements for the approval of the top-up amount.</li> <li>- High transaction cost going through amendment of individual projects.</li> <li>- Ongoing BUR with expected submission date after January 2023: 5 countries in UNDP portfolio (+ 8 countries with last BUR submission date expected in 2022)</li> </ul>
<p><b>NC: up to \$ 500K for:</b></p> <ul style="list-style-type: none"> <li>❖ 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.</li> <li>❖ Countries that have not ratified/acceded to the Paris Agreement.</li> </ul>		



# Proposed alternative for GEF8

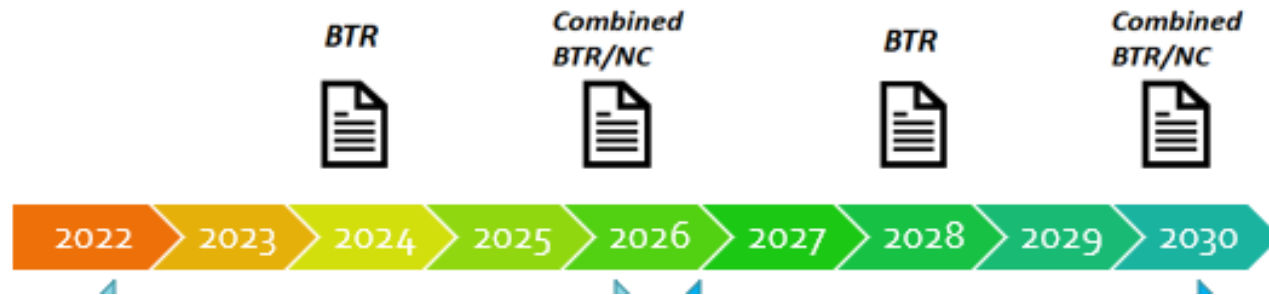
## Combined "BTR/NC+BTR" with Expedited Approval process, USD 1 M

- + 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):

