



Implementing Alliance for Zero Extinction (AZE) Site Conservation and Preventing Global Extinctions

Project Inception Meeting

Ersin Esen
UN Environment Programme

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Photo: Lisa Murray

A close-up photograph of a man's face and hands. He is looking directly at the camera with a neutral expression. His hands are in the foreground, holding a small, light-colored, textured object between his fingers. The background is a soft-focus green, suggesting an outdoor setting with trees or foliage. A semi-transparent grey box is overlaid on the left side of the image, containing text.

Outline

- The GEF and UNEP
- Roles in project management
- Project cycle and milestones

The UNEP–GEF partnership

A 25-year+ alliance

As a founding GEF partner, UN Environment has been a key implementer and advisor since 1991

Over 900 projects

Together we have collaborated on over 926 projects across more than 160 countries

Over \$1.8 billion in funding

The GEF has invested more than \$1.8 billion in UN Environment-led activities to date



1991

2020



Our expertise

To catalyse action on crucial environmental issues, we bring together the world's best scientific and traditional knowledge to build:



Global policy

International agreements and local policy to protect and restore our shared environment



Technical expertise

The data, knowledge and experience needed to monitor and manage the world's environmental challenges



Innovative approaches

New thinking and science-based policy and action on the environment from the global to the local level



The Global Environment Facility (GEF)

What is the GEF



The Global Environment Facility

- Established in 1991 endorsed by countries at the United Nations Conference on Environment and Development- Earth Summit, 1992
- Goal: To address **global environmental issues** while supporting **national sustainable development** initiatives.
- Mission: The GEF is a mechanism for **international cooperation** for the purpose of providing **new, and additional, grant and concessional funding** to meet the agreed **incremental costs** of measures to achieve agreed **global environmental benefits**.

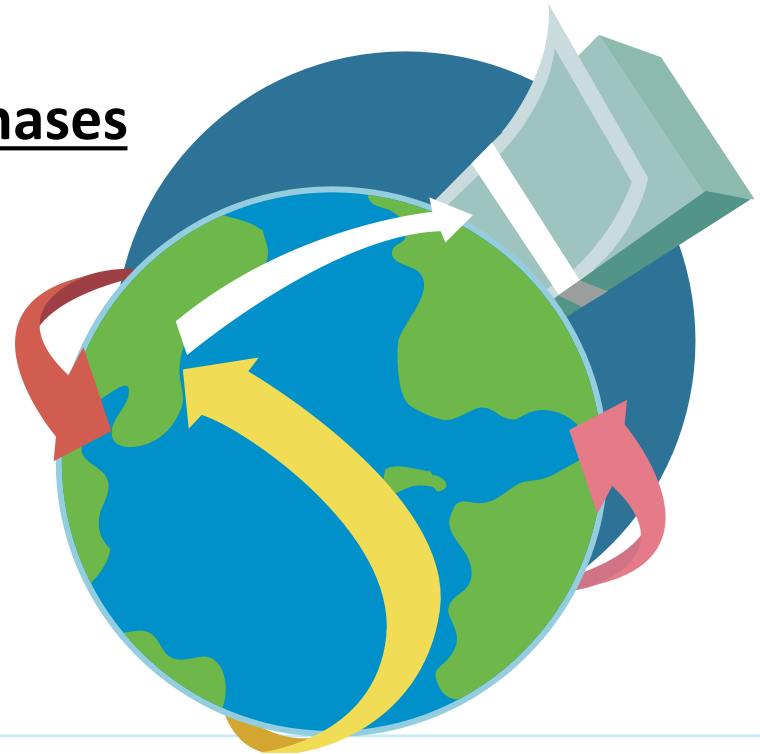


The Global Environmental Facility (the GEF)

- The Global Environment Facility (GEF) is the funding body for the Project
- Provides financing to eligible countries for costs of generating global environmental benefits

GEF Trust Fund - Replenishment Phases

GEF-1 (1994)	US\$ 2.0 billion
GEF-2 (1998)	US\$ 2.75 billion
GEF-3 (2002)	US\$ 3.0 billion
GEF-4 (2006)	US\$ 3.13 billion
GEF-5 (2010)	US\$ 4.25 billion
GEF-6 (2014)	US\$ 4.43 billion
GEF-7 (2018)	US\$ 4.07 billion



GEF Focal Areas



Biodiversity (BD)



Land Degradation (LD)



Climate Change (CC)



International Waters (IW)



Chemicals



Project Cycle: Roles, Responsibilities, Milestones and Deadlines

How the GEF operates ?



Implementation and execution activities

Implementation refers to the oversight of execution to determine if the activity is being carried out in accordance with all relevant requirements and is achieving its objectives. This includes review of the activity proposal, oversight of procurement and contracting; disbursement of funds needed for execution; and oversight of activity execution.

Execution refers to the actual preparation and execution of the activity, including the preparation of the proposal, procurement and contracting of the goods and services needed to carry it out, and making payments for such goods and services in accordance with the terms of the relevant contracts with the suppliers. Execution implies accountability for the successful carrying out of the activity and for the intended and appropriate use of funds.

What is the Role of the UNEP? (Implementing Agency)

- Project oversight
 - to ensure that GEF policies and criteria are adhered to
 - the project meets its objectives and achieves expected outcomes in an efficient and effective manner
- Provide cash advance (US\$ 1,961,239)
- Have a representative in the project governance
- Perform the liaison function with the GEF Secretariat on the project
- Rate progress in meeting project objectives, project implementation progress, and risk
- Report to the GEF Secretariat
- Review and clear manuscripts prepared by the Executing Agency before publication
- Undertake an independent terminal evaluation
- Clearance of procurement and service contracts which are not included in the procurement plan

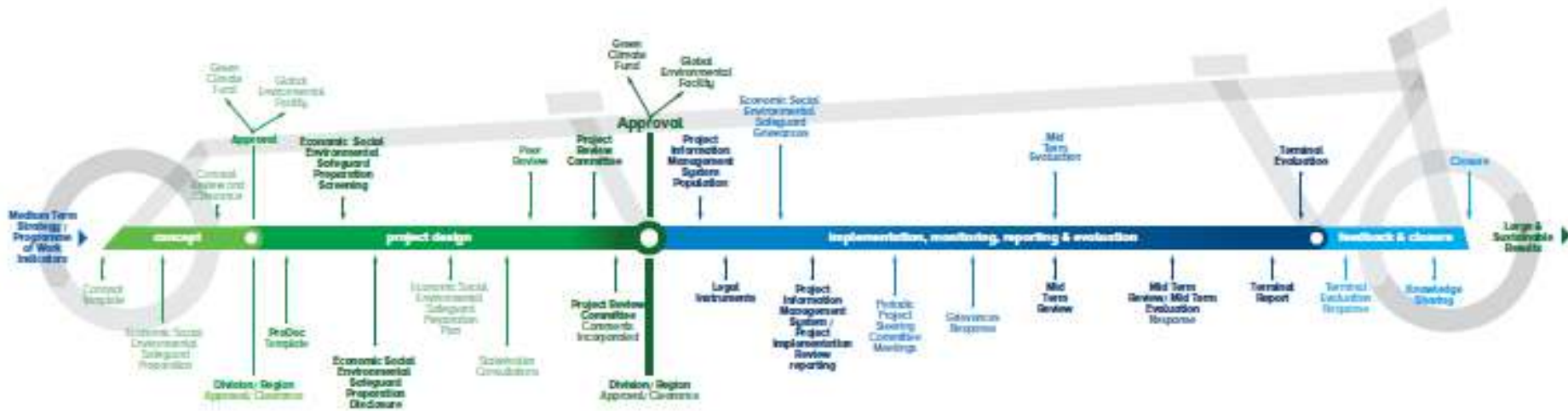
Required Terms and Obligations of the Executing Agency (implementing & accountability)

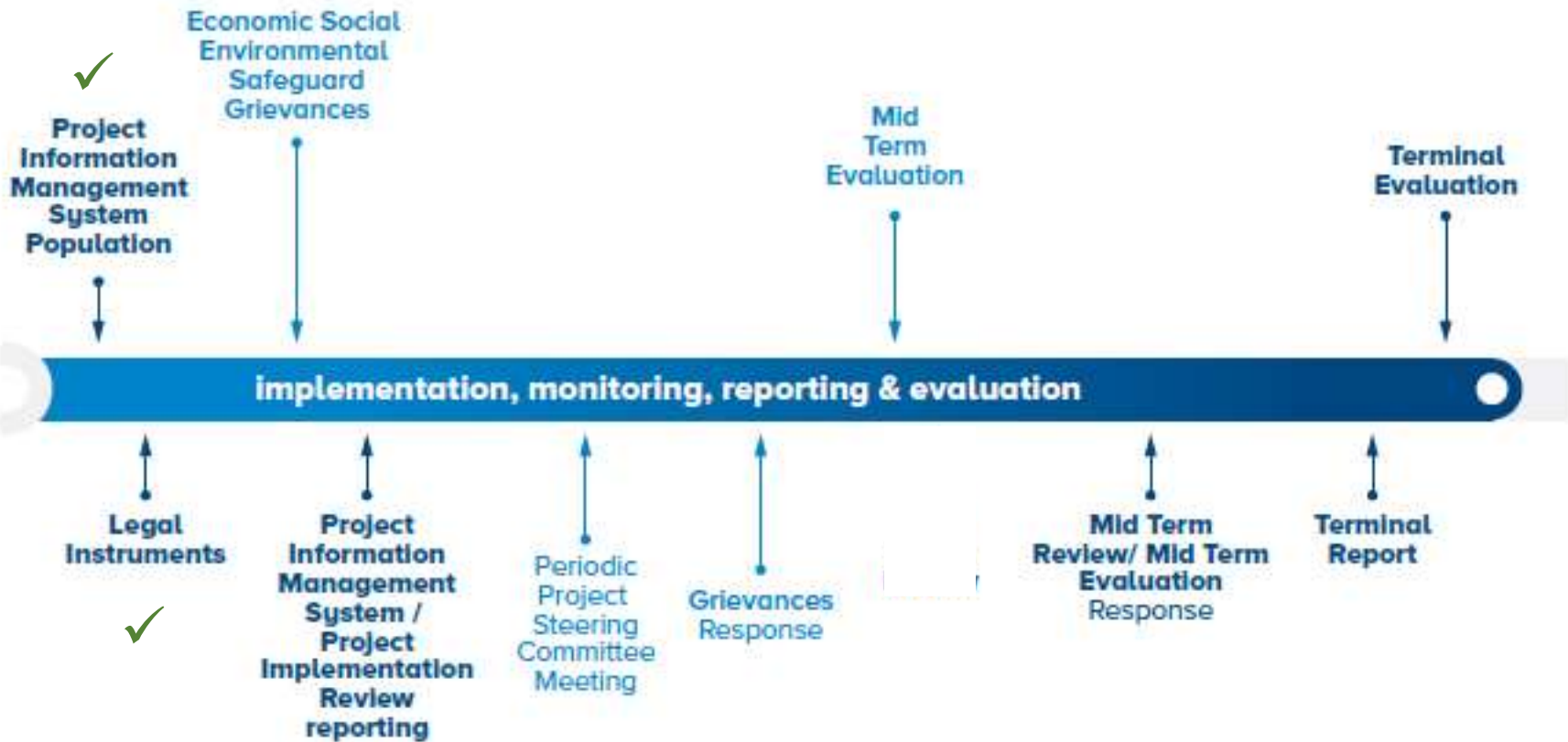
- Adhere to the GEF Communication and Visibility Policy, including the Brand Guidelines and Graphics Standards of the GEF
- Establish all subcontracts in writing, maintain primary responsibility for ensuring successful completion of the project and monitor the performance of the contractors
- Notify in writing, about any expected variations on the project budget or co-finance
- Maintain complete and accurate records of non-expendable equipment

Financial

- Total expenditures do not exceed the GEF-approved budget (US\$ 1,961,239)
- Any variations exceeding 10 per cent on any budget line shall be consulted with the implementing agency
- Project Management budget cannot exceed 10% of the total budget
- the EA shall return the unspent funds

Project Implementation in UNEP





UNEP Project At Risk System

- UNEP reviews:
 - Whether the identified risks have changed;
 - Whether the planned management responses need to be modified; and
 - Whether any new risks have emerged or become known
- UNEP/GEF monitors and assessed three types of risks through 15 thresholds

1. Budget and Delivery

Overspending: Project disbursement is in excess of GEF approved budget

Underspending: Projects with accumulative expenditure less than 50% of the current year's accumulative allotment (exclude first six months as project is starting up).

Receivables: Projects with receivable older than 12 months (“aged receivables”)

Audit certificates: Projects whose audit certificates are delayed more than 12 months

Progress/financial reports: Such reports are more than 8 months behind schedule, incomplete or inaccurate

Mismanagement and corruption: Annual Audit reports flag major problems.

UNEP Project At Risk System

2. Performance

Off track: Projects with a red (off-track) project performance rating in project management system (less than 60% of milestones met in the last 6 month reporting period)

PIR ratings: Projects where PIR ratings are marginally satisfactory or unsatisfactory. Special attention is paid to those projects that continue to be in this range over several years

Environmental and Social impacts : Projects that fail to implement their Environmental and Social Mitigation Plans, or have unanticipated negative impacts

Force majeure: Country at risk due to catastrophe, political unrest, etc.

UNEP Project At Risk System

3. Project Cycle Management

Mid-term Evaluation/Review: Projects who fail to conduct the MTE/MTR at the mid-point of the project life.

Ageing Projects: Projects are ongoing and extended more than 6 months past the originally approved project completion date

Unclosed Projects: Completed projects pending administrative closure for more than 6 months

Suspension : Project is suspended and all disbursements frozen

Terminal Evaluations : Completed projects whose TEs are not conducted within 6 months of project completion

Monitoring & Evaluation Framework

- Continuous process to ensure project implementation activities and achievements are in line with project planning
- Main documents that inform the M&E process:
 - M&E Plan (Annex L)
 - Deliverables and benchmarks (Annex J)
 - Results framework (Annex A)
 - GEF Core Indicators (it should be updated at midterm and at project closure) (Annex F)
- Project activities and achievements are reported twice per year (Progress Report, PIR)
- Project Midterm review after the first two years
- Further, there will be the Terminal evaluation (organized by UNEP EO)

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Reporting (1)

- Progress report (Semi-annual)
 - Consolidated report on national and international activities;
 - Project progress and risk management;
 - Assessment against project implementation plan and agreed targets;
 - Monitoring and evaluation;
 - Inventory of staff, contracts, meetings and outputs;

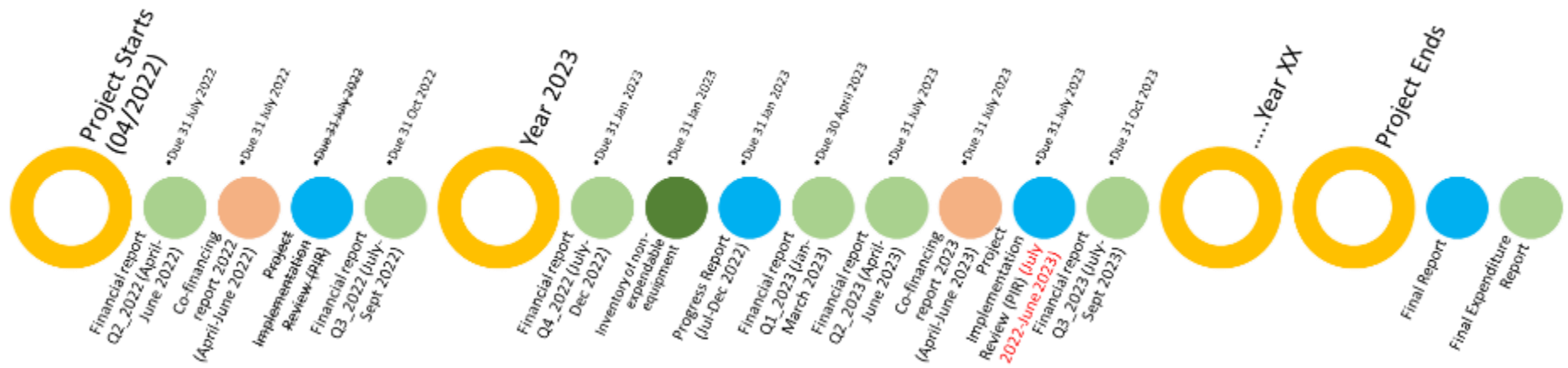
Timeline: (~~January-June~~) (July-December) shall be submitted before 31 January
- Annual Project Implementation Review (PIR)
 - Full report covering all activities and expenditure for the GEF fiscal year;
 - Joint evaluation and rating of project performance, progress and risk;
 - Capturing lessons learned (institutional, social and financial sustainability; country ownership; and stakeholder involvement; project governance; capacity building; scientific issues; outreach and communications; project management

Timeline: Annual (July - June) shall be submitted before 31 July; will be accepted in lieu of progress report for the period January-June

Reporting (2)

- Co-financing report
 - amount of **cash and in-kind** co-financing realized compared to the committed;
 - US\$ 8,000,000;
 - Timeline:** Annual(July (Y-1) – June Y) shall be submitted before 31 July;
- Final report
 - Detailed report on national project activities, objectives achieved and lessons learned; expenditure of project funds and co-financing; inventory of supplies and equipment;
 - Timeline:** 2 months after the operational completion;
- Financial reports
 - Detailed account of project funds spent, incl. co-financing received, committed and spent per quarter;
 - Timeline:** 30 days after completion of each three months (30 April, 31 July, 30 October and 31 January);
- Inventory of non-expendable equipment
 - Timeline:** Annually, before 31 January,
- Signed final statement of accounts
 - within 3 months of operational completion of project activities;

Reporting (3)



No	Report Type	Template
1	Financial Reports	Annex 11
2	Co-financing report	Annex 12
3	Project Implementation Review (PIR)	Annex 9
4	Progress report	Annex 8
5	Inventory of non-expendable equipment	Annex 6A
6	Final report	Annex 10
7	Final expenditure statement	Annex 11

Reporting on cash and in-kind co-financing

- The Project agreed co-funding: US\$ 8 Million, of which ~35% as cash and 65% in-kind
- To be delivered 'over life of project'
- No audit on co-funding but to be reported at least once annually
- True co-funding contributes directly in implementing the workplan & achieving the project objective
- Co-funding handled by EAs & partners

Procurement Plan

- Annex P. Procurement Plan: (Procurement only includes consultancies which will follow ABC and the partners' consultant hiring protocols. The procurement has been drafted by ABC).
- List of goods and services procured and paid through GEF grant
- The Procurement plan needs to be completed.
- Procurement of additional items not included in the above mentioned plan and costing above \$2,500 shall be cleared by the Implementing Agency
- Same principle on clearance for service contracts, consultancies or agreements - costing above \$7,500.
- Should be updated annually, if needed.

ANUBIS (Project Management System)

- Holds all database information details of the project such as progress and expense reports. Provides comprehensive project information
- But also as Repository on all reports (as PDF) both progress, administration/finance, as well as technical reports, ..
- Anubis allows all authorized project staff (IA & EA) to contribute and pass on and share information.
- We will start using Anubis step by step to get used to the system
- Reduces human error
- Simplifies budgeting, including revisions (annually)
- Control instrument (quick check)
- Access from anywhere in the world
- Export/import reporting templates
- Paperless

Access to Project Documents

← → ↻ 🏠 🔒 open.unep.org/project/GEF-5201



Open Data

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Alliance for Zero Extinction (AZE): Conserving Earth's Most Irreplaceable Sites for Endangered Biodiversity

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Thank you!



UN Environment Programme

ersin.esen@un.org

+41 22 917 8196

www.unep.org