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EXECUTIVE COMMITTEE OF THE MULTILATERAL FUND FOR THE IMPLEMENTATION OF THE MONTREAL PROTOCOL Eighty-sixth Meeting Montreal, 2-6 November 2020 Postponed to 8-12 March 2021<sup>1</sup>

## UNIDO BUSINESS PLAN FOR 2021–2023

1. This document presents the UNIDO business plan for 2021–2023<sup>2</sup> and includes: the planned activities for the phase-out of controlled substances under the Montreal Protocol (controlled substances) during the 2021–2023 period; the business plan performance indicators; and a recommendation for consideration by the Executive Committee. The narrative of UNIDO's business plan for 2021–2023 is attached to the present document.

## Planned activities during the 2021–2023 period

2. Table 1 sets out, by year, the value of activities included in UNIDO's business plan.

able 1. Resource allocation in the UNIDO business plan for $2021-2023$ as submitted (US $5000s)^*$						
Description	2021	2022	2023	Total (2021–2023)	Total after 2023	
HCFC activities						
Approved HCFC phase-out management plans (HPMPs)	25,746	6,825	15,085	47,656	31,580	
HPMP project preparation (PRP) – stage II	0	76	0	76	0	
HPMP stage II	10,997	2,537	10,000	23,535	37,362	
HPMP PRP – stage III	268	96	43	407	0	
HPMP stage III	3,376	10,699	4,391	18,467	32,633	
HCFC technical assistance	482	0	0	482	0	
HCFC activities subtotal	40,869	20,234	29,519	90,622	101,574	
HFC activities						
HFC – investment	3,531	0	0	3,531	0	

## Table 1. Resource allocation in the UNIDO business plan for 2021–2023 as submitted (US \$000s)\*

<sup>&</sup>lt;sup>1</sup> Due to coronavirus disease (COVID-19)

<sup>&</sup>lt;sup>2</sup> Given the constraints imposed by the COVID-19 pandemic, the Secretariat's comments on the initial submission of the UNIDO business plan for 2021–2023 were addressed through bilateral discussions and numerous exchanges of electronic messages. All issues were satisfactorily addressed.

Pre-session documents of the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol are without prejudice to any decision that the Executive Committee might take following issuance of the document.

Description	2021	2022	2023	Total (2021–2023)	Total after 2023
HFC phase-down plan – PRP	2,009	1,148	0	3,157	0
HFC activities subtotal	5,540	1,148	0	6,688	0
Standard activities					
Institutional strengthening (IS)	848	1,819	848	3,514	0
Core unit	2,128	2,143	2,158	6,429	0
Standard activities subtotal	2,976	3,962	3,006	9,943	0
Total	49,385	25,343	32,525	107,253	101,574

\* Including agency support costs where applicable.

#### Secretariat's comments

#### Stage II of HPMPs

3. The total levels of funding for stage II of HPMPs in low-volume-consuming (LVC) countries to meet the 67.5 per cent reduction of the HCFC baseline amount to US \$3.83 million (including US \$3.1 million for 2021–2023), and to US \$588,479 including (US \$257,902 for 2021–2023) to meet 100 per cent reduction.

4. The funding distribution of stage II of HPMPs for non-LVC countries by sector is provided in Table 2.

Sector	2021-2023	After 2023	Total	Per cent of total (%)
Rigid foam	2,536	605	3,141	5.6
Refrigeration air-conditioning	1,739	0	1,739	3.1
Refrigeration assembly	840	0	840	1.5
Refrigeration manufacturing	5,017	25,738	30,755	54.5
Refrigeration servicing	10,040	9,962	20,002	35.4
Total	20,172	36,305	56,477	100.0

 Table 2. Funding distribution of stage II of HPMPs in non-LVC countries by sector (US \$000)

## Stage III of HPMPs

5. A total of US \$51.1 million is included in the business plan for stage III of HPMPs for 11 countries (Armenia, Argentina, Brazil, Chile, Jordan, Mexico, Nigeria, Oman, Pakistan, the Philippines, and the Sudan) (including US \$18.47 million for 2021–2023). Inclusion of stage III of HPMPs in the business plan is allowed only for those countries with an approved stage II of HPMPs with reduction targets below the 2025 compliance targets (decision 84/46(e)).

## HCFC technical assistance regional project

6. UNIDO has included one HCFC technical assistance regional project for "promoting low-global warming potential refrigerants for air-conditioning sectors in high ambient temperature countries (PRAHA-III)," amounting to US \$481,500 in 2021. No funding window for such demonstration project is available.

## HFC-related activities

7. HFC activities include three investment activities amounting to US \$3.53 million in 2021 for three countries (Egypt, India and the Sudan) and HFC phase-down plan preparation<sup>3</sup> for 25 countries amounting

<sup>&</sup>lt;sup>3</sup> Funding for the preparation of national implementation plans to meet initial reduction obligations for the phase-down of HFCs could be provided, at the earliest, five years prior to those obligations, after a country had ratified the Kigali

to US \$3.16 million in 2021 and 2022.

8. The HFC investment projects in Egypt and the Sudan were included in the business plan pursuant to decision 78/3(g); the request for project preparation for the Sudan has been submitted to the  $86^{th}$  meeting. The HFC investment project in India is not for the manufacturing sector and therefore, not eligible pursuant to decision 78/3(g).

9. Seventeen of the 25 countries for which preparation activities for HFC phase-down have been included have not ratified the Kigali Amendment, but have submitted the required letter from their Government indicating their intent to make best efforts to ratify the Amendment.

#### Core unit costs

10. The core unit  $cost^4$  in 2021 is expected to increase at 5.2 per cent over the 2020 funding level, which is above the agreed level of increase of 0.7 per cent.

#### Proposed adjustments by the Secretariat

11. The adjustments to the UNIDO business plan for 2021–2023 were based on relevant decisions of the Executive Committee. Further adjustments may be required pending a decision by the Parties on the level of the replenishment of the Multilateral Fund for the 2021–2023 triennium.<sup>5</sup>

12. In reviewing the revised UNIDO business plan for 2021–2023, the Secretariat noted that the following adjustments were not included:

Adjustment	2021-2023	After 2023
PRP for stage III of HPMPs pursuant to decision 71/42 or 84/46(e)	(34)	0
Stage III of HPMPs in non-LVC countries with the refrigeration	(236)	(575)
manufacturing sector based on a maximum cost-effectiveness of		
US $8.40/kg^{6}$		
HCFC technical assistance	(482)	0
HFC investment projects pursuant to decision 78/3(g)	(1,070)	0
PRP for HFC phase-down plans pursuant to decision 56/16(c)	(324)	0
Core unit to reflect 0.7 percent increase over the 2020 funding level	(277)	0

 Table 3. Adjustments to the UNIDO business plan for 2021–2023 (US \$000)

13. Table 4 presents the results of the Secretariat's proposed adjustments to the UNIDO business plan for 2021–2023, which are also addressed in the context of the Consolidated business plan of the Multilateral Fund for 2021–2023.<sup>7</sup>

Amendment and on the basis of guidelines to be approved in the future (decision 79/46(b)(iii)). In addition, decision 84/46(f) allowed the inclusion of HFC phase-down preparation activities in the business plan for countries that had not ratified the Kigali Amendment but had submitted a letter indicating their Government's intent to make best efforts to ratify the Kigali Amendment.

<sup>&</sup>lt;sup>4</sup> UNIDO's 2021 core unit cost has been approved at the intersessional approval process of the 86<sup>th</sup> meeting (UNEP/OzL.Pro/ExCom/86/37).

 $<sup>^{5}</sup>$  In the absence of a decision by the Parties on the level of the replenishment of the Multilateral Fund for the 2021-2023 triennium, and in light of decision XXXII/1, the indicative budget for resource allocation of the business plan for 2021–2023 was assumed at the same level of the replenishment of the 2018–2020 triennium. This issue is discussed in UNEP/OzL.Pro/ExCom/86/25.

<sup>&</sup>lt;sup>6</sup> As agreed at the Inter-agency coordination meeting.

<sup>&</sup>lt;sup>7</sup> UNEP/OzL.Pro/ExCom/86/25

Table 4. Resource anocation in 0.	i i z o s najaste				000)	
Description	2021	2022	2023	Total (2021–2023)	Total after 2023	
HCFC activities						
Approved HPMPs	25,746	6,825	15,085	47,656	31,580	
HPMP PRP – stage II	0	76	0	76	0	
HPMP stage II	10,997	2,537	10,000	23,535	37,362	
HPMP PRP – stage III	256	96	21	374	0	
HPMP stage III	3,376	10,463	4,391	18,231	32,058	
HCFC technical assistance	0	0	0	0	0	
HCFC activities subtotal	40,375	19,998	29,498	89,871	100,999	
HFC activities						
HFC – investment	2,461	0	0	2,461	0	
HFC phase-down plan – PRP	1,818	1,015	0	2,833	0	
HFC activities subtotal	4,279	1,015	0	5,294	0	
Standard activities						
IS	848	1,819	848	3,514	0	
Core unit	2,036	2,050	2,065	6,151	0	
Standard activities subtotal	2,884	3,869	2,913	9,666	0	
Total	47,538	24,882	32,410	104,831	100,999	

Table 4. Resource allocation in UNIDO's adjusted business plan for 2021–2023 (US \$000s)\*

\* Including agency support costs where applicable.

#### **Performance indicators**

14. UNIDO submitted performance indicators pursuant to decision 71/28 in its business plan narrative. The Secretariat informed UNIDO of the targets shown in Table 5.

Type of	Short title	Calculation	2021 target
indicator			
Planning	Tranches approved	Number of tranches approved vs. those planned*	52
Approval			
Planning	Projects/activities	Number of projects/activities approved vs. those	30
Approval	approved	planned (including project preparation activities)**	
Implementation	Funds disbursed	Based on estimated disbursement in progress report	US \$24,801,519
Implementation	ODS phase-out	ODS phase-out for the tranche when the next	760.70 ODP
-	-	tranche is approved vs. those planned per business	tonnes
		plans	
Implementation	Project completion for	Project completion vs. planned in progress reports	107
	activities	for all activities (excluding project preparation)	
Administrative	Speed of financial	The extent to which projects are financially	12 months after
	completion	completed 12 months after project completion	operational
			completion
Administrative	Timely submission of	Timely submission of project completion reports	On time (1)
	project completion	vs. those agreed	
	reports		
Administrative	Timely submission of	Timely submission of progress reports and business	On time
	progress reports	plans and responses unless otherwise agreed	

\* The target of an agency would be reduced if it could not submit a tranche owing to another cooperating or lead agency, if agreed by that agency.

\*\* Project preparation should not be assessed if the Executive Committee has not taken a decision on its funding.

#### RECOMMENDATION

- 15. The Executive Committee may wish:
  - (a) To note the UNIDO business plan for 2021–2023, contained in document UNEP/OzL.Pro/ExCom/86/29; and
  - (b) To approve the performance indicators for UNIDO as set out in Table 5 of document UNEP/OzL.Pro/ExCom/86/29.



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

# **UNIDO BUSINESS PLAN 2021**

Presented to the 86<sup>th</sup> Meeting of the Executive Committee of the Multilateral Fund

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## EXECUTIVE SUMMARY

The 2021 Business Plan of UNIDO together with the forecast for 2022 and 2023 represents the Rolling Business Plan of Montreal Protocol activities of the Organization. Funding estimates up to 2023 and beyond have also been provided. This provides useful information for Executive Committee members on the funding needed to reach the 2021 control measures for HCFCs and beyond.

UNIDO's Business Plan was prepared based on the previous rolling business plan, taking into consideration the approvals and experience of previous years, the requests received from Article 5 countries, priorities established and the decisions taken by the Executive Committee, in particular Decision 84/46, 82/45, 80/34, 79/45, 79/46(c), 78/3(g), 77/27(c), 75/3(b)(i), 74/51(c), 74/18(b), 74/50(c), 71/18, 71/42, 62/17, 57/6(c) and 56/16(c). It also reflects the discussions held in Montreal during the Inter-Agency Coordination Meeting from 25 to 27 February 2020. It is also largely inspired from the historical decision of the 19th Meeting of the Parties agreeing on the acceleration of the phase-out of HCFCs, and the relevant ExCom decisions on HPMPs, HCFC investment, demonstration projects and activities to facilitate the early ratification of the Kigali Amendment. The countries' needs have been calculated based on approved HPMPs and based on reported HCFC Baseline consumption.

In 2021, UNIDO will submit for approval by the Executive Committee forward commitments amounting to USD 49.3 million. New activities are focusing mainly on HCFC phase-out plans projects that amount to USD 14.4 million. In addition in 2021, UNIDO is planning to submit new activities for HFC Phase-down amounting to USD 5,540,396, including HFC related projects. As listed in the business plan, about 81 % (USD 40.1 million) of UNIDO's 2021 Business Plan is focusing on the phase out of HCFCs without accounting for the institutional strengthening projects and the preparatory funding.

Decision 79/41 has maintained the administrative cost regime adopted by Decisions 67/15, namely, for new projects with a value over USD 250,000 as well as for institutional strengthening and project preparation activities are subject to 7% agency fee. Support cost for Agreements made before the 67th Meeting of the Executive Committee remained valid, except for the second and subsequent tranches of HPMPs approved at the 66th Meeting of the Executive Committee, where the 7,5% agency fee has been reduced to 7% in line with Decision 72/20. For new projects with a value at or below USD 250,000, the agency fee of 9% was maintained. Furthermore, for Core Unit Funding an annual increase of maximum 0.7% is allowed for the current triennium. For this reason and in line with the Fund Secretariat's recommendation, Core Unit Costs for the years 2021-2023 have been budgeted based on a maximum 0.7% increase. Thus, USD 2,127,939 has been allocated in the 2021 Business Plan for the Core Unit for the year 2022. This has been calculated based on the eligible funding for 2021 (US\$ 2,113,147), not the actually requested funding (2,022,000). The reasons for the lower request for 2021 have been described in the submission.

The total amount foreseen in UNIDO's 2021 Business Plan, including forward commitments, new investment, non-investment activities, project preparation and funding of core unit is USD 49.3 million including support costs and with an impact of 760.7 ODP tonnes for HCFC Phase-out activities.

USD 49,384,979 worth of projects are earmarked for 2021 with an impact of 760.7 ODP tonnes, while for 2022 USD 25,343,015 with an impact of 329.24 ODP tonnes are forecasted.

## 1. CONTEXT

UNIDO prepared its business plan for 2021 to 2023 based on ExCom Decisions 84/46, 82/45, 80/34, 79/45, 79/46(c), 78/3(g), 77/27(c), 75/3(b)(i), 74/51(c), 74/18(b), 74/50(c), 71/18, 71/42, 62/17, 57/6(c) and 56/16(c) as well as the Government requests received from Article 5 countries. The countries' needs have been calculated for most countries based on the actual HCFC baseline data as well as based on approved HPMP Agreements.

The Business Plan is also largely inspired from the historical decision of the 19th Meeting of the Parties agreeing on the acceleration of the phase-out of HCFCs, and the Decision 74/50 on the draft criteria for funding HCFC phaseout in the consumption sector for Stage II of HCFC Phase-Out Management Plans and other relevant ExCom decisions on HPMPs and HCFC investment and demonstration projects. In addition, the Kigali Amendment of the Montreal Protocol and related ExCom decisions also had an important impact on UNIDO's planning. As many enabling activities are close to completion, significant number of countries have ratified the Kigali Amendment which entered into force on 1st of January 2019, countries are interested in progressing with the preparation of national HFC phase-down strategies in order to comply with the first control measures of the Kigali Amendment.

Any projects submitted to, but not approved at the 85th or 86th Meeting should be added afterwards to the 2021 Business Plan.

# 2. RESOURCE ALLOCATION

In 2021, UNIDO is planning to submit USD 49.3 million worth of projects, the majority of which is focused on phase-out of HCFCs, including core unit funding in the value of about USD 2.127 million.

HCFC phase-out activities form large part of UNIDO's 2021 Business Plan. Most HPMPs for non-LVCs include investment projects for the conversion of manufacturing enterprises to HCFC-free alternatives taking into consideration new technological developments to ensure sustainable conversion of HCFC-based manufacturing enterprises.

Funding requests for the preparation of Stage II and Stage III HPMPs should be submitted two years before the last tranche of Stage I and Stage II, respectively. UNIDO made careful consideration of each country to ensure smooth implementation, without interruptions between Stage I, Stage II and Stage III activities.

Furthermore, renewal of institutional strengthening projects also form part of UNIDO's 2021-2023 Business Plan. Estimates for funding needs for institutional strengthening projects have been included for those countries which have institutional strengthening projects incorporated in their ongoing HPMP.

In addition, in 2021 UNIDO is planning to submit new activities for HFC Phase-down to facilitate initial actions towards the phase down of HFC and compliance with Kigali amendment. The inclusion of the proposed projects will facilitate and support Article 5 countries that need to meet the first obligations of the Kigali Amendment after ratification in 2024. Furthermore, UNIDO plans to submit HFC demonstration project in Egypt and two stand-alone investment projects in Sudan and India in line with decision 84/53.

The total budget for 2021 for the above activities is USD 49,384,978 including USD 2,127,939 core unit funding for UNIDO. Table 1 below summarizes the resource allocation of UNIDO's 2021 Business Plan.

Type/sector	Value (\$) including support costs	Share of Business Plan allocation (%)
HCFC consumption sector excluding PRPs	40,118,998	81%
Non-investment projects (INS)	847,754	1.72%
Preparation of Stage III HPMP activities	268,392	0.54%
HFC related projects	5,540,396	11.14%
HCFC technical assistance	481,500	1%
Funding of core unit	2,127,939	4.28%
Total	49,384,978	100%

Table 1: Resource allocation per type/sector

#### UNIDO BUSINESS PLAN 2021

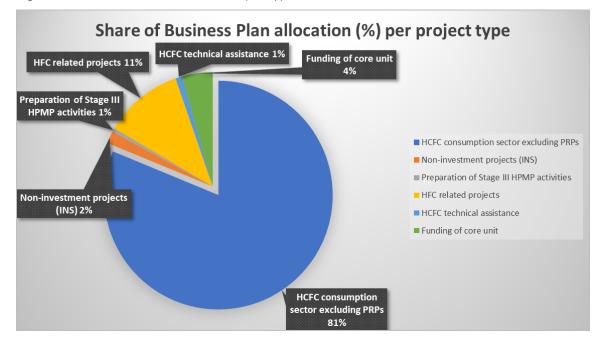


Figure 1: Resource Allocation for 2021 per type/sector

The details of the 2021-2023 rolling Business Plan are spelled out in the Business Plan Database.

## 3. GENERAL OVERVIEW ON ASSISTANCE TO COUNTRIES IN NON-COMPLIANCE

In UNIDO's portfolio, there is currently no country being in non-compliance with the HCFC phase-out schedule. UNIDO has been providing continuous assistance to countries that had been in non-compliance in previous years.

All activities presented in UNIDO's business plan aim at providing assistance to Article 5 countries to comply with their obligations towards the Montreal Protocol. Currently the main focus is the 67.5% reduction target by 2025 and 100% by 2030. UNIDO is ready to support countries with new HFC commitments since the entry into force of the Kigali Amendment in January 2019. Should there be any countries in non-compliance under UNIDO's responsibility, UNIDO will work closely with the countries concerned to bring them back to compliance and will assist them to report the required data to the Ozone Secretariat.

## 4. PROGRAMME EXPANSION

In the years 2021 to 2023 UNIDO aims to enhance its assistance to Article 5 countries by strengthening its project portfolio through the implementation of HCFC phase-out management plans, institutional strengthening projects, preparations of new stages of HPMPs as well as HFC phase down management plans. UNIDO plans to submit HCFC technical assistance projects, as well as three other HFC related projects.

UNIDO continues providing support with Stage II and Stage III HPMPs to all the countries assisted during Stage I and Stage II, respectively. The last country for which no HPMP was approved, i.e. Syria, had its HPMP Stage I approved at the intersessional approval process in December 2020, and UNIDO will continue supporting the country in meeting its obligations.

The main objective of this Business Plan is to assist Article 5 countries in meeting their obligations under the Montreal Protocol, in particular the 67.5% reduction target in 2025 and the 100% in 2030 for HCFCs.

The analysis of the activities of UNIDO's Business Plan reveals that the major share of UNIDO's MP project portfolio consists of HPMPs in different sub-sectors.

In 2021, UNIDO will continue to cover all regions (Latin America and the Caribbean, Africa, Asia and Pacific, Europe) with planned activities in various sectors and countries (including project preparation and non-investment activities).

In addition, in 2021 UNIDO is planning to submit new activities for HFC Phase-down to facilitate initial actions towards the phase down of HFC and compliance with Kigali amendment. The inclusion of the proposed projects will facilitate and support countries to meet the first obligations of the Kigali Amendment after ratification.

## Africa

In Africa, funding requests for 26 countries, with a total value of USD 20,764,226 will be submitted in 2021. Planned projects are HPMPs, preparatory assistance for HFC phase-down plan and two HFC related projects. UNIDO is cooperating with UNEP on several HPMPs in African countries. UNIDO is planning to submit 10 preparatory assistance requests for HFC phase-down in 2021.

## Asia and the Pacific

In Asia and the Pacific requests for funding for eleven countries with a value of USD 16,595,235 will be submitted in 2021. The main concentration will be in HPMPs Stage II, preparation of HPMP Stage III and HFC related project.

#### Europe

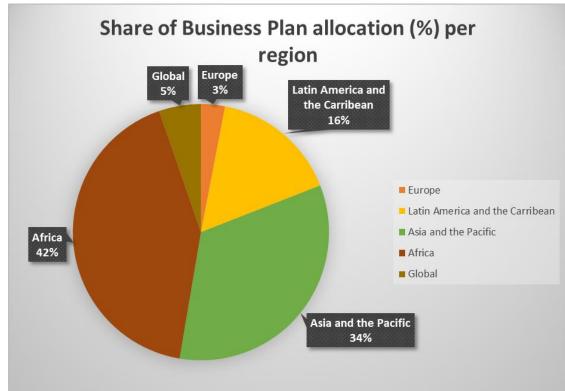
In Europe, requests for five countries with a value of USD 1,495,026 will be submitted in 2021, targeting the phase-out of HCFCs, institutional strengthening and HFC phase-down preparation.

## Latin America and the Caribbean

In Latin America and the Caribbean region the planned requests to be submitted in 2021 amount to USD 7,921,052 for eleven countries. This includes HPMPs and preparatory assistance for HPMPs Stage III and HFC phase – down activities.

## Global

Besides the Core Unit Budget, UNIDO plans to submit funding request for PRAHA III, together with UNEP. The planned request including support costs is in the amount of USD 481,500.





# 5. PERFORMANCE INDICATORS

The 71<sup>st</sup> Meeting of the Executive Committee has reviewed the performance indicators. The new weightings, based on Decision 71/28, are indicated in the below table.

Type of Indicator	Short title	Calculation	Weighting	Target 2021
Planning Approval	Tranches approved	Number of tranches approved vs. those planned	10	50
Planning Approval	Projects/ activities approved	Number of projects/activities approved vs. those planned (including project preparation activities)	10	32
	Sub-total		20	
Implementation	Funds disbursed	Based on estimated disbursement in progress report	15	USD 24.8 million
Implementation	ODS phase-out	ODS phase-out for the tranche when the next tranche is approved vs. those planned per business plans	25	760.7 ODPt
Implementation	Project completion for Activities	Project completion vs. planned in progress reports for all activities (excluding project preparation)	20	65
	Sub-total		60	
Administrative	Speed of financial completion	The extent to which projects are financially completed 12 months after project completion	10	12 months after operational completion
Administrative	Timely submission of project completion reports	Timely submission of project completion reports vs. those agreed	5	On time
Administrative	Timely submission of progress reports	Timely submission of progress reports and business plans and responses unless otherwise agreed	5	On time
	Sub-total		20	
	Total		100	

Based on Decision 71/28, the performance indicator on milestone activities for MYAs was changed as listed now in the above table.

# 6. INITIATIVES TO ENSURE COMPLIANCE

Successful and timely implementation of ongoing activities is essential for the current compliance period.

Special attention is provided to countries that may previously have been in non-compliance and that have decisions outlining plans of actions with time-specific benchmarks for return to compliance.

UNIDO has continued to provide supportive initiatives in order to ensure timely project completion of projects approved so far, and to facilitate compliance of the recipient countries with their Montreal Protocol obligations, which supported successful project implementation:

- Regular follow up of the implementation process is being done by the staff of the ozone office together with UNIDO's national and international consultants and project managers. This ensures that effective actions on critical issues such as resolving bottlenecks in site preparation, customs clearance, installation, commissioning and safety certification, monitoring of HCFC-related equipment are taken.
- UNIDO is frequently attending Regional Network online Meetings and respective webinars providing additional support to our counterpart countries.
- Communication and interaction between regional and country offices about the implementation process has ensured the smooth flow of project plans. As in previous years, directors of UNIDO regional and country offices are regularly briefed on ongoing and possible future activities. They are involved in the implementation process and are following up the progress of the programmes. In turn, the representatives brief headquarter staff working in a specific country on the regular activities in the field and problems faced, if any.
- UNIDO also provides, when requested, support such as policy assistance, putting in place relevant legislation etc. Additionally, UNIDO project managers have developed various webinars and online trainings to compensate for the project site visits and in-person trainings.
- Based on recommendation of the Implementation Committee, additional assistance will be offered to the countries with delays in reporting of its ozone-depleting substance data.
- Based on the recommendations from the Ozone Secretariat, and taking into consideration that countries that have already ratified the Kigali Amendment will have to have HFC licensing system established by 1st of January 2021, UNIDO organized webinars on HFC licensing systems. UNIDO will continue to implement webinars to assist countries with meeting their obligations under the Kigali Amendment.
- Taking into consecration the travel and physical meetings limitations imposed worldwide due to the Covid-19 pandemic, UNIDO continues to provide support to the countries while prioritizing the health of its staff, consultants and counterparts. To compensate for the physical meetings and trainings, UNIDO is organizing webinars, frequent video calls and online trainings until travel will be allowed again.