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DRAFT POLICY RECOMMENDATIONS FOR THE FIFTH REPLENISHMENT OF THE GEF TRUST FUND

(PREPARED BY THE GEF SECRETARIAT)

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INTRODUCTION

1. Participants emphasize the key role played by the GEF partnership as a multi-lateral, multi-convention financing mechanism for providing assistance to developing countries to generate global environmental benefits. The GEF, in its more than fifteen years of operations after its restructuring, has established a track-record of helping recipient countries deliver results in the different focal areas under its mandate.
2. The GEF serves as the financial mechanism for the Convention on Biological Diversity (CBD), the United Nations Framework Convention on Climate Change (UNFCCC), and the Stockholm Convention on Persistent Organic Pollutants. In this capacity, the GEF functions under the guidance of the Conventions. The GEF is also a financial mechanism of the United Nations Convention to Combat Desertification (UNCCD). In addition, it provides support for the Montreal Protocol on Substances that Deplete the Ozone Layer, for those activities that concern chemicals management as they relate to the GEF focal areas, and the GEF supports activities related to international waters.
3. In addition to the GEF Trust Fund, the GEF manages two funds mandated to it under the UNFCCC: (i) the Special Climate Change Fund (SCCF); and (ii) the Least-Developed Country Fund (LDCF). Since 2008, the GEF has been providing secretariat services to the Adaptation Fund Board, and has helped the Board develop the strategy, policy and institutional architecture of the Adaptation Fund under the Kyoto Protocol.
4. The GEF is built around a core partnership between developed and developing countries directed toward stewardship of the global environment. This partnership is articulated through the decision-making structure of the GEF Assembly and the GEF Council, and the policy formulation and implementation network of the GEF Secretariat, the GEF Trustee, the Scientific and Technical Advisory Panel (STAP), and the GEF Agencies.¹ The GEF Evaluation Office plays a key role in keeping the focus of the partnership on delivering results. Participants reaffirm the importance of close collaboration and communication among the various entities that comprise the GEF partnership.
5. Participants agree that the GEF should continue to strengthen the strong and transparent delivery mechanism with governments, civil society organizations, the private sector, and other stakeholders that has already helped achieve results-on-the-ground.
6. During GEF-4, the GEF has been implementing a number of key reforms directed towards improving the effectiveness and efficiency of the partnership:
 - (a) the design and implementation of the Resource Allocation Framework to direct funds to countries under a more objective set of criteria, and to put countries in the lead when it comes to setting programming priorities;

¹ Implementing Agencies, and Executing Agencies under the Policy of Expanded Opportunities.

- (b) the development of programmatic approaches so that issues of national, regional and global importance can be better tackled in coordination with GEF Agencies and other co-financiers;
- (c) the continued streamlining and shortening of the project cycle on the basis of an independent joint evaluation, and the development of rules and procedures for the management of project cycle processes to increase efficiency and transparency;
- (d) the design of a results-based management strategy to show how GEF delivers on its objectives;
- (e) the development of a new simplified methodology of applying incremental cost on the basis of the report of the GEF Evaluation Office;
- (f) the creation of a strengthened communications and outreach strategy;
- (g) the establishment of a level playing field among all GEF Agencies to equalize program and project-level opportunities among those with similar comparative advantages;
- (h) the launch of the Earth Fund to enhance engagement with the private sector; and
- (i) the establishment of minimum fiduciary standards and the review of compliance by the GEF Agencies.

7. Re-affirming the critical role of the GEF in providing resources for global environmental protection, and recognizing the important strides that it has made in its evolution, Participants agree that the replenishment of the GEF at a significant level over GEF-4 is critical. Participants emphasize the importance of building upon the reforms of GEF-4 to provide the GEF with a resilient structure within the framework of the GEF Instrument.

PROGRAMMING DIRECTIONS IN GEF-5

Integrated Approach to Generating Global Environmental Benefits

8. One of the major strengths of the GEF as a financial mechanism is its ability to support activities in recipient countries that can meet their commitments to more than one global convention within the context of their sustainable development needs. The climate change problem is well articulated, and has finally caught the attention of decision-makers at all levels. In its wake there is a series of other complex interacting drivers impacting natural systems – in particular biodiversity, forests, land, and water. Widespread changes are starting to systematically affect the provision of ecosystem goods and services, from climate stability globally and regionally all the way to local services on which rural and coastal communities depend for their survival and livelihood on a daily basis.

9. Participants emphasize that even while strategies are articulated focal area by focal area, project development, design and implementation approaches should seek synergies and connections across the different focal areas, embodying an ecosystem approach, and reflecting the actual needs of recipient countries as they work to contribute to both global goals and national priorities.

Supporting Transformative Programs

10. Participants support the proposal to develop an approach to financing that will provide opportunities for supporting transformational programs in several countries, comprised of the following elements:

- (a) Voluntary National GEF Business Plans for Programming. All recipient countries may request GEF resources to prepare *Voluntary National GEF Business Plans* for GEF Programming under the guidance of national steering committees, and linked with other planning process in the country, including any planning processes of GEF Agencies. Finalized Business Plans will not be a requirement for obtaining GEF grants. The national business plans will be shared with the respective conventions for public disclosure. The national business plans would lay out possible programs and projects, and could serve as the framework for programming GEF resources, and also be used as a basis for supporting transformative programs, as outlined below.
- (b) Transformative Programs in Sustainable Forest Management. Some national plans may embody a programmatic approach or major multi-focal area projects that aim to combine resources and objectives in more than one of GEF's focal areas for a transformative impact in sustainable forest management. These programs or projects should receive additional resources as incentives on top of the indicative resources allocated to the respective countries.
- (c) Transformative Programs Employing Non-Grant Instruments. Countries that propose to employ non-grant instruments to finance projects, and propose programmatic approaches in any of the GEF focal areas should similarly receive additional resources for such programs in addition to their country allocations.

11. The Secretariat, in collaboration with the GEF Agencies, shall develop the details of the transformative programs in: (i) sustainable forest management; and (ii) employing non-grant instruments for Council review and approval in May/June 2010.

STRATEGIES AND POLICIES

Enhancing Accountability to the Conventions

12. Participants emphasize the *raison d'être* of the GEF as a/the operating entity of the financial mechanism of four international environmental conventions; the GEF formally functions under the guidance of, and is accountable to, the Conferences of the Parties of these conventions. Participants support the proposal whereby convention representatives would be invited to participate in Council discussions related to focal area strategies and programming, and request the Secretariat, in consultation with the convention secretariats, to table a detailed proposal for Council review in May/June 2010.

13. In addition, the GEF is encouraged to work with the convention secretariats to explore additional steps to strengthen the relationships with conventions, including:

- (a) Periodic and increased consultations between the GEF and the convention secretariats, including more engagement during the replenishment process;
- (b) Strategic engagements between the GEF and the conventions in developing and implementing convention guidance;
- (c) Systematic involvement of the various convention focal points at the country-level in country dialogue and voluntary national GEF business plan development;
- (d) Involvement of the convention secretariats in GEF national dialogues and other sub-regional meetings.
- (e) Participation by the GEF, to the extent possible, in the various awareness raising, scientific and technical workshops organized by the conventions;
- (f) Refinement of the GEF reporting process to the conventions; and
- (g) Sharing of *National GEF Business Plans* with the conventions.

Aligning GEF Programming with Country Needs

Reforming Corporate Programs

14. Participants support the reforms proposed in the design and implementation of Corporate Programs, as outlined in the *GEF-5 Programming Document*. These reforms will be centered on: (i) support to recipient countries to prepare *Voluntary National GEF Business Plans* for GEF Programming; and (ii) delivery of a reformed *Country Support Program* that includes the *National Dialogue Initiative*. Both these activities will be facilitated by the GEF Secretariat directly with the recipient countries.²

15. Country Support Program. Participants support the proposal, as outlined in the GEF-5 Programming Document (GEF/R.5/19) of a Country Support Program, managed by the GEF Secretariat, and composed of the following elements: (i) multi-stakeholder dialogues along the lines of the current National Dialogue Initiative; (ii) constituency-level workshops to keep GEF national focal points, convention focal points, and other key stakeholders, including civil society, abreast of GEF strategies, policies and procedures, and to encourage coordination; (iii) Council Member support; (iv) direct support to operational focal points; (v) knowledge management tool; and (vi) familiarization seminars.

16. Voluntary National Business Plans. Participants support the proposal of providing GEF resources, on an as needed basis, to recipient countries to prepare voluntary *National GEF Business Plans* to provide a framework for programming GEF resources. Such national plans should be prepared by the GEF operational focal point in the recipient country in consultation with the national steering committees through a broad stakeholder consultation process. The preparation of national plans through a participatory and consultative process, will help raise the awareness of global environmental issues among stakeholders and decision-makers, and help place these issues more prominently on the national sustainable development agenda. The national business plans will not be mandatory, and will not be a requirement for obtaining GEF

² The voluntary national business plans will be country-executed, while the Country Support Program will be executed by the GEF Secretariat.

grants. The preparation of the national plans will need to be facilitated by the Secretariat, and coordinated with the GEF Agencies, to ensure that planning for GEF programming is undertaken on a level playing field, yet giving the primary role to countries that will directly manage the resources provided for this exercise (see Annex 1).

17. Participants support the general approach proposed by the Secretariat, in consultation with the World Bank, as outlined in Annex 1, whereby the Secretariat would enter into grant agreements with recipient countries to fund the preparation by such recipients of national GEF business plans.

18. Detailed proposals for: (i) a reformed Country Support Program and: (ii) funding the voluntary national GEF business plans shall be prepared for Council review in May/June 2010.

Funding of National Communications to Conventions

19. The funding of national communications/reports to the conventions is a fundamental obligation of the GEF as the financial mechanism of various conventions, and is an activity that can benefit from a streamlined, cost-effective and expedited provision of resources.

20. Participants support the general approach proposed by the Secretariat, in consultation with the World Bank, as outlined in Annex 1, whereby the Secretariat would enter into grant agreements with recipient countries to fund the preparation by such recipients of national communications/reports to the conventions. Continuing the consultative process, the Secretariat shall prepare a detailed proposal for funding and managing national communications/reports to the conventions for Council review in May/June 2010.

21. Participants note that recipient countries will have the option to continue to receive resources and technical support for national communications through GEF Agencies as is current practice.

Conflict Resolution.

22. Transparent and consistent dispute resolution related to projects is essential for the GEF partnership. Participants recommend that the Secretariat, in collaboration with the GEF Agencies, build upon the incipient conflict resolution mechanism established at the Secretariat during GEF-4, and develop a more formal structure in GEF-5. The Secretariat, in consultation with the GEF Agencies, shall develop a detailed proposal for Council review in November/December 2010.

Developing and Implementing a More Flexible System for the Allocation of GEF Resources

23. The GEF Resource Allocation Framework (RAF) implemented in GEF-4 for biodiversity and climate change projects has helped to strengthen country ownership, at least where countries have an individual allocation. However, the independent mid-term review carried out by the Evaluation Office also found many limitations with the current system. Participants request that the Secretariat, in consultation with the GEF Agencies and other appropriate stakeholders, develop and implement a more flexible system for allocation of resources by the effectiveness of GEF-5.

Broadening Engagement with Agencies

24. Participants emphasize the key roles played by GEF Agencies, within their areas of comparative advantage, in working with recipient countries to help develop, implement and manage GEF projects. It is essential for the GEF partnership, that in addition to being the main channel between recipient countries and the GEF, Agencies participate in policy and strategy development processes. Since the Agencies have been instrumental in achieving the goals of the GEF, the choice of mix of Agencies is a critical consideration in the overall functioning of the GEF partnership.

25. Participants acknowledge that the evolution of engagement of the GEF Agencies in the partnership has gone through three phases: (i) from the inception of the GEF to 1999, when only the three Implementing Agencies³ had direct access to GEF resources; (ii) from 1999 to 2006, when seven Executing Agencies⁴ were added through a phased approach, and progressively gained direct access to GEF resources; and (iii) the post-2006 period, when a level playing field was established for all ten GEF Agencies based on a clarification by the Council of the comparative advantages of the GEF Agencies in supporting the design and implementation of projects and programs, as well as through the abolishment of the corporate budget for the Implementing Agencies.

26. Participants recognize that during GEF-5, the GEF is poised to be active in new areas. These include: (i) enlarged scope in chemicals; (ii) an expanded approach in climate change to support both countries' efforts to adopt low carbon development strategies and an increased engagement in adaptation under the LDCF and SCCF; and (iii) integrated water resources management involving both surface and groundwater.

27. Participants acknowledge that there are multilateral agencies such as the World Food Program (WFP), the United Nations Educational, Scientific, and Cultural Organisation (UNESCO), and World Health Organisation (WHO) that could play useful roles in the GEF partnership as outlined in Annex 2.

28. Participants also recognize the capacities of some non-governmental organizations to provide the GEF partnership with the reach and access to new partners on-the-ground as outlined in Annex 2, and agree that the Council should consider the feasibility of involving them in the GEF partnership as GEF Agencies.

29. Participants request the Secretariat, in collaboration with appropriate entities in the GEF partnership, to prepare a proposal for the inclusion of additional agencies in the GEF under the Policy of Expanded Opportunities, and to submit it for Council review in May/June 2010.

³ United Nations Environment Programme (UNEP), United Nations Development Programme (UNDP), and the World Bank.

⁴ African Development Bank (AfDB), Asian Development Bank (ADB), European Bank for Reconstruction and Development (EBRD), Food and Agriculture Organisation (FAO), International Fund for Agricultural Development (IFAD), Inter-American Development Bank (IADB), United Nations Industrial Development Organisation (UNIDO).

Streamlining the Project Cycle and Refining the Programmatic Approach

Project Cycle

30. Participants acknowledge the efforts made over the last several years by the Secretariat and the Agencies to streamline the GEF project cycle. Nevertheless, there is need to continue exploring options to further streamline policies, procedures and criteria associated with the project cycle for stand-alone projects.

31. Participants support the general approach outlined in Annex 3. The Secretariat, in collaboration with the GEF Agencies, the Trustee, and other stakeholders, shall prepare a detailed proposal for project cycle reform for Council review in May/June 2011 that covers both the GEF cycle and the Agencies' own streamlining efforts.

Programmatic Approach

32. Participants acknowledge the advantage of using programmatic approaches over the project-by-project approach, specifically in: (i) shifting national economic sectors that are negatively affecting the global environment to a more sustainable path; (ii) enhancing opportunities to generate synergies across the focal areas of the GEF within the framework of national and/or regional sustainable development; (iii) increasing the scope for catalyzing action, replication, and innovation; (iv) improving opportunities for maximizing and scaling up global environmental benefits; (v) disbursing effectively and efficiently large-scale GEF resources to countries and regions without losing accountability and other MRV standards; and (vi) creating opportunities for interested donors and other partners, including the private sector, to invest additional and focused funding, at a program-level.

33. Participants note several deficiencies in the current approach on financing programs, inter-alia: (i) an obligation for each project (under a Council-approved program) to go through the entire project cycle; (ii) a lack of delegated authority for all or some steps in the project cycle for projects under an approved program; and (iii) no funding envelope being set-aside by the Council when approving a program.

34. Participants support the general approach outlined in Annex 3. The Secretariat, in collaboration with the GEF Agencies, the Trustee, and other stakeholders, shall prepare a detailed proposal for refining programmatic approaches for Council review in May/June 2010.

Enhancing Engagement with the Private Sector

35. Participants appreciated the initial efforts of the Earth Fund, established by the Council in May 2008, in demonstrating ways to more systematically engage with the private sector to foster innovation and open new markets, and demonstrate the potential for strategic partnerships than generally achievable through working with the private sector on individual projects through the normal GEF project cycle.

36. Participants support the proposal to further capitalize the Earth Fund, as outlined in the programming document, with an infusion of additional resources during the GEF-5 period. It is important to leverage resources from the private sector and seek long-term sustainability of the Fund by developing options for the future structuring. The Secretariat, in collaboration with the

GEF Agencies, shall prepare a document, detailing the next phase of the GEF's engagement with the private sector for Council discussion in November/December 2010.

Implementing the Results-based Management Framework

37. Participants acknowledge that Results Based Management (RBM) has been on the GEF agenda for several years, that it is codified in policy and embedded in strategy at the focal area level, and that it helps to drive reporting. While these steps have generated well-documented successes, a number of challenges still remain in order to consistently report outcome level results, such as: (i) paying more attention to employing information for management; (ii) tracking the contribution of GEF funding to results more consistently; and (iii) focusing more on immediate outcomes, outputs and other measures of performance that are good proxies or progress for achieving higher-level results.

38. Participants commend the fact that RBM has been given a central place in GEF-5 strategy development, and that all focal area (and corporate program) strategies have been developed with results-frameworks that are integrated within the overall corporate results framework.

39. Participants support the implementation of RBM, and the role of the Secretariat in portfolio monitoring, as outlined in the GEF-5 Programming Document and they request the Secretariat, in collaboration with the GEF Agencies and the GEF Evaluation Office, to present a work-plan for the implementation of activities associated with RBM for Council review in November/December 2010. Participants recommend that a progress report on the implementation of RBM be submitted for Council review at its meeting in November/December 2011.

40. GEF-wide Knowledge Management Initiative. Participants support robust lessons learned and knowledge management in the GEF, and support a GEF-wide knowledge management initiative to be linked to the results-based management framework. The Secretariat, in close collaboration with the GEF Agencies, Evaluation Office, and STAP, shall prepare a knowledge management proposal for Council review in November/December 2010.

Financial Issues in the GEF Trust Fund

41. Since the restructuring of the GEF, the Trust Fund has been replenished every four years in a well-defined replenishment process. This approach has allowed Participants and other stakeholders to identify and introduce periodic reforms to improve the GEF's effectiveness. Participants agree that this replenishment process does not preclude new or existing Contributing Participants from providing new or additional contributions to the GEF during the four-year replenishment period under the agreed terms of the replenishment. Participants also agree that in addition to replenishment resources, it is possible to use separate trust funds to target further funding for specific purposes under the mandate of the GEF.

INSTITUTIONAL ARRANGEMENTS

42. Participants recognize that in order to implement many of the recommendations outlined in this document, it is essential to clarify roles and responsibilities of the different entities in the GEF partnership.

Clarifying the Roles and Responsibilities of GEF Entities

43. Participants reaffirm their commitment to the GEF partnership and acknowledge the need to review the roles and responsibilities of the GEF entities given developments that have taken place in the GEF over the last several years. Clarification of these roles and responsibilities is aimed at facilitating and building synergies in the context of the operations of the GEF, a multi-lateral organizational arrangement that embodies partnerships at different levels and dimensions, that includes countries, conventions, an Assembly, a Council, the Secretariat, the Trustee, Implementing and Executing Agencies, Scientific and Technical Advisory Panel, and civil society organizations. GEF operations must conform to national priorities and country strategies, and its activities should be consistent with guidance from the global environmental conventions for which it serves as the financial mechanism.

44. Participants recognize that the Council's last discussion of this subject during 2002-2003 resulted in the document, GEF/C.21/Inf.5, *Clarifying the Roles and Responsibilities of the GEF Entities*, submitted to the May 2003 Council meeting. The GEF partnership has evolved in the last nine years, and it would be useful to revisit the roles and responsibilities of the various partners.

45. Participants note and support the clarification of the roles of the different entities, presented in Annex 4, prepared by the Secretariat in consultation with the other GEF entities, and request the Secretariat to present it for Council review in May/June 2010.

Mobilization of Resources

46. Participants agree that in practice the Secretariat and the GEF Trustee share joint responsibility for mobilizing resources for the GEF Trust Fund and other funds under the GEF, and request the Council to recommend amendments to the GEF Instrument as follows:

- (a) paragraph 21, to recognize the role of the Secretariat, "jointly with the Trustee, to mobilize resources for the GEF Trust Fund."
- (b) paragraph 4(a) in Annex B be modified as, "the mobilization of resources for the Fund, jointly with the Secretariat, and the preparation of such studies and arrangements as may be required for this purpose."

Table 1: Action Plan for Implementing GEF-5 Policy Recommendations

Date	Action
Council meeting in May/June 2010	<ul style="list-style-type: none"> • Council to review proposals prepared by the Secretariat, in consultation with the GEF Agencies, regarding rules to employ resources in a transformative manner: (i) to fund SFM activities; and (ii) to encourage the deployment of non-grant resources. • Council to consider proposal prepared by the Secretariat, in consultation with the convention secretariats, to enhance the participation of the conventions in Council decision-making processes associated with relevant focal area strategies and work programming. • Council to consider proposals, prepared by the Secretariat, in consultation with the GEF Agencies, countries, and other stakeholder, for (i) reforming the country support program; (ii) funding voluntary national business plans; and (iii) funding national communications/reports to the conventions. • Council to consider a proposal prepared by the Secretariat for the consideration of additional agencies in the GEF partnership under the Policy of Expanded Opportunities. • Council to consider a proposal, prepared by the Secretariat, in consultation with the GEF Agencies and other stakeholders, to refine programmatic approaches. • Council to consider a document, prepared by the Secretariat, in collaboration with the Trustee, Evaluation Office, GEF Agencies, and STAP, delineating the roles and responsibilities of GEF entities.
Council meeting in November/December 2010	<ul style="list-style-type: none"> • Council to review a proposal prepared by the Secretariat, in consultation with GEF Agencies and other stakeholders, to further strengthen the conflict and dispute resolution mechanisms of the GEF. • Council to consider a proposed strategy prepared by the Secretariat, in consultation with the GEF Agencies, the private sector, and other stakeholders, to further enhance engagement with the private sector. • Council to review a work plan, prepared by the Secretariat, in consultation with the Evaluation Office, the GEF Agencies, Evaluation Office, and STAP, to (i) implement the GEF results-based management framework; and (ii) to establish a GEF-wide knowledge management initiative.

Date	Action
Council meeting in May/June 2011	<ul style="list-style-type: none"> • Council to consider a proposal, prepared by the Secretariat, in consultation with the GEF Agencies and other stakeholders, to streamline the project cycle that covers both the GEF cycle and the Agencies' own streamlining efforts.
Council meeting in November/December 2011	<ul style="list-style-type: none"> • Council to review a progress report, prepared by the Secretariat, in the implementation of the GEF Results-based Management Framework.

Annex 1: Outline of Proposal for the Provision of Resources for the Preparation of National GEF Business Plans and National Communications/Reports to the Conventions

1.1. Within the GEF partnership there are two activities for which GEF resources could be provided directly to countries: (i) the preparation of voluntary national GEF business plans; and (ii) the preparation of national communications/reports to the conventions. This annex outlines the proposal that is under development between the Secretariat, the Trustee, the Legal Department, and other relevant units of the World Bank. A detailed proposal will be prepared for Council review in May/June 2010.

General Approach

1.2. Recipient countries will be responsible for the preparation and implementation, including the conduct of procurement for the two activities noted above. These activities would be funded by GEF grants up to \$30,000 per recipient for the preparation of national GEF business plans and up to \$500,000 per recipient for the preparation of the national communication/report for a convention.

1.3. For both the above-mentioned activities, GEF policies and guidelines would apply to the preparation and approval of the proposals and the content of the activities. The overall approach will be to use streamlined, simplified policies and procedures. The World Bank's applicable, simplified policies and procedures for recipient-executed small grants funded by trust funds would apply.⁵ Such policies and procedures would include those relating to procurement, financial management, reporting and disbursement, and (if applicable) safeguards.

Voluntary GEF National Business Plans

1.4. To provide resources directly to recipient countries for the development of GEF national business plans, the GEF Secretariat will enter into grant agreements directly with national agencies in recipient countries to provide up to US\$30,000, following general steps as shown in Figure 1.

National Communications/Reports to the Conventions

1.5. The GEF Secretariat will enter into grant agreements directly with national agencies in recipient countries to provide resources for the preparation of national communications/reports to the conventions. The process is very similar to the one for national business plans, except that, instead of a single lump-sum disbursement, it is expected that there would be a two-tranched disbursement, following general steps as shown in Figure 2.

⁵ The World Bank has recently issued *Financial Management Guidelines for Small Grants* (of under \$5million); new Guidelines on *Simplified Procurement Procedures for Small Recipient-executed Trust Fund Grants* are soon to be finalized. The Secretariat will work with the World Bank to determine how to apply these Guidelines.

Signing Authority for CEO

1.6. The CEO would be delegated such authority as would be necessary from the GEF Council and the World Bank to sign such grant agreements. The delegation of authority would be accompanied by applicable obligations, if any, from delegatee to delegator. The Council would also be asked to recommend such amendments to the GEF Instrument as would be needed to permit the provision of such grants.

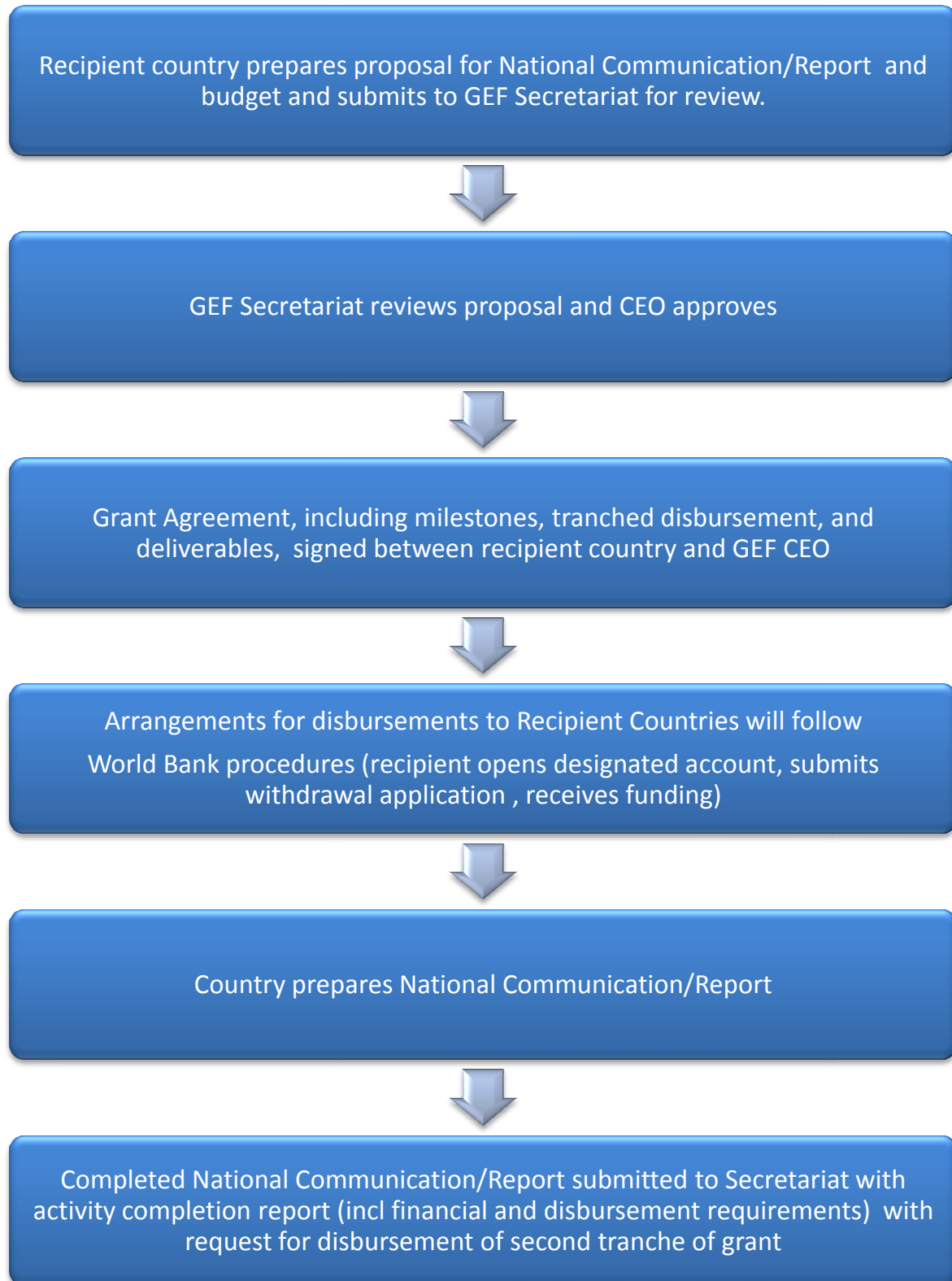
1.7. Under the proposed approach, the Secretariat would be accountable to the Council for supervision of the use of the grant by the recipient. The World Bank is currently examining details related to the Secretariat's accountability to the World Bank and the World Bank's liability to the GEF for actions by staff assigned to the Secretariat with respect to such grant agreements that are signed by the CEO with authority delegated by the World Bank. The detailed proposal will provide more information on these matters.

1.8. The costs incurred by the Secretariat and the Bank with respect to the preparation and supervision of such grants would be fully funded by the GEF.

Figure 1: GEF National Business Plan: Activity Implementation Process



Figure 2: National Communications/Reports – Activity Implementation Process



Annex 2: Potential Additional GEF Agencies under the Policy of Expanded Opportunities

2.1. The GEF is poised to see further growth in its business during GEF-5 as described in the programming document. In response to guidance from the conventions and demand from recipient countries, activities are expected to expand in the different GEF focal areas and cross-cutting themes, such as (i) enlarged scope in chemicals; (ii) a more aggressive approach in climate change to support both countries' efforts to adopt low-carbon development strategies and increased engagement in adaptation under LDCF and SCCF; and (iii) sustainable forest management. As the business areas expand along with the necessity to work with new stakeholders, it could be beneficial to bring on board additional expertise. Expertise is required, for example, in disaster management and prevention, health, agriculture and food security, etc, to help the GEF deal with its growing engagement in adaptation in the most vulnerable countries through the LDCF and SCCF.

2.2. In the above context, the GEF could benefit from the addition of new partners as Executing Agencies under the Policy of Expanded Opportunities. Three candidate UN agencies can be considered: (i) World Health Organization (WHO); (ii) the United Nations Education, Science and Culture Organization (UNESCO); and (iii) the World Food Programme (WFP). Also, there are several NGOs with the potential to strengthen the GEF partnership as GEF Agencies. The projected costs for each additional agency are presented at the end of this annex.

2.3. Any potential new GEF Agencies will be required to fulfill the minimum fiduciary standards, as approved by GEF Council, and present their self assessments on these standards along with their stated comparative advantages for consideration by GEF Council.

Mandates and Expertise of the Three UN Organizations

2.4. The three UN organizations have mandates that bring strength to the GEF, and comparative advantages that are complementary to the Agencies in the GEF partnership. In addition, these organizations have extensive and, in some cases unique, field presence that are key for supporting GEF activities in recipient countries. They also have a track-record of having executed GEF-financed projects through Implementing Agencies, and hence likely to fulfill qualifications, including meeting minimum GEF fiduciary standards, to function as a GEF Agency.

World Food Programme (WFP)

2.5. The World Food Programme is the world's largest humanitarian agency dealing with hunger worldwide. WFP has had a policy shift from a food aid agency to a food assistance agency since 1998 and has adopted a number of strategic objectives, including Investing in Disaster Preparedness and Mitigation Measures, an objective that is directly relevant to the work of the GEF, especially with respect to the adaptation activities financed under the LDCF and SCCF. Both funds have food security/agriculture and disaster risk management as key components. WFP's goals are to support and strengthen capacities of governments to prepare for, assess and respond to acute hunger arising from disasters; and support and strengthen resiliency of communities to shocks through safety nets or asset creation, including adaptation to climate change.

2.6. There are clear synergies in a potential partnership with the GEF as WFP is deploying tools such as vulnerability analysis and mapping; early warning and preparedness systems; disaster risk reduction programmes; and programmes to help communities' adaptability to climate change. Moreover, over the last several years, WFP's Executive Board has approved six policy documents that address WFP's role and potential impact in a range of areas including: WFP and the Environment (1998); Enabling Development (1999); Disaster Mitigation: a Strategic Approach (2002); Safety Nets (2004); Capacity Development (2004); Engagement with Poverty Reduction Strategies (2006); and Disaster Risk Reduction (2009). Taken together, these policy documents have helped provide a foundation for WFP to establish an unparalleled field-level operational network across the globe, and to develop a wide range of capacities that are highly relevant to carry out interventions in the field of the environment. The organization has garnered considerable experience in capacity development in vulnerability analysis and mapping, disaster risk reduction. It participated in 88 joint programmes in 29 countries in 2008 and continues to be the lead agency for the logistics cluster in several humanitarian activities and emergencies.

2.7. WFP activities relevant to the GEF's focal areas fall into two main categories; Water conservation and management, particularly in drought-prone areas and land rehabilitation and management to transform marginal, eroded-lands into a sustainable, livelihood-enhancing resource base. These activities address the challenges raised by climate change, such as desertification, soil erosion, floods and droughts and therefore contribute to build resilience and adaptive capacity to climate-related shocks.

2.8. Considering the positive environmental spillovers of these activities, and current ongoing efforts to climate proof the organization's activities, a successful partnership with the GEF would add further impetus to WFP's drive to make adaptation to climate change a central element of its recovery and development work, especially at local levels, where interventions help households and communities shift to sustainable livelihoods, improve productivity and prevent degradation of the natural resource base. Despite their diverse geophysical and social contexts, a screening of NAPA documents reveals that most Least Developed Countries have identified similar adaptation priorities in their National Adaptation Plans of Action. WFP expertise in flood simulation and natural disaster management, especially in the world's most vulnerable communities will help to take effective preventive measures and comprehensive response actions, and also to better design mitigation programmes.

United Nations Education, Science, and Culture Organisation (UNESCO)

2.9. UNESCO plays a unique role in the UN System, of promoting science, education and culture for human advancement and sustainable development. UNESCO's ability to translate cutting edge scientific knowledge into new pathways to sustainability, to mobilize and enhance local science, to bring together the academic world and the development community, represent potential key assets for the GEF. UNESCO's full participation in the GEF would substantially contribute to the technical assistance and capacity building programmes of the GEF in those areas of its mandate. It would expand the ability of the GEF to identify and promote innovations and to create synergies with existing science networks and global and regional programmes, enhance the role and quality of science with multidisciplinary approach in its activities and projects. In addition, it would help the GEF strengthen its ability to assess and monitor global environmental conditions and trends.

2.10. Since the Earth Summit, UNESCO has reoriented its programmes and priorities to address and promote sustainable development in the domain of water resources management,⁶ conflicts between environment issues and development issues,⁷ ocean environment through its Intergovernmental Oceanographic Commission), and disaster risk reduction. UNESCO's inclusion as a GEF Agency would build on its past partnership with the GEF in groundwater management, including assistance in the formulation of a conceptual framework for the GEF action on groundwater and transboundary aquifers and the establishment of a portfolio of groundwater projects. UNESCO's partnerships with recipient countries would facilitate further development of the international water portfolio. As GEF's work in the groundwater, freshwater and marine environment expand, UNESCO's hydrological programme (IHP) and the International Oceanographic Commission (IOC) with its proven expertise could provide a good anchor. In addition, UNESCO could bring to the GEF its expanded and scientific work and knowledge base in climate change and also help to support and strengthen the work of STAP with its array of scientific and technical networks.

World Health Organisation (WHO)

2.11. WHO, the lead United Nations Organization mandated to deal with health issues focuses on health and environment related linkages, and has developed expertise that is well recognized. The environment-health linkage is important for the GEF -- one-quarter of all preventable illnesses are directly caused by environmental factors, and about thirteen million deaths annually are due to preventable environmental causes. WHO's environment-health expertise covers air pollution, chemical safety, human environmental health, and environmental health in emergencies. WHO has also a robust framework for handling deliberate events attributable to environmental risk factors. These include substantial fraction of the disease burden derived from emergencies, conflicts, and disasters that happen frequently, including natural disasters, chemical or radiological incidents, complex emergencies. WHO's participation as agency in the GEF could be of special significance to support the GEF chemicals programs, including current activities such as Persistent Organic Pollutants (POPS) and elements of Sound Chemicals Management". It will also help the GEF broaden the scope of its expertise to respond to adaptation needs of countries to climate change, particularly on aspects related to health and sanitation.

Other Organizational and Operation Factors Relevant to the GEF

2.12. All three UN organizations are uniquely positioned to work with the GEF given the depth and extent of their field presence, their extensive network and logistics capacity. The proximity to the field is relevant for GEF-5 strategies designed to put more emphasis, among other things, on country-driven actions, cost effectiveness, refinement of the country allocation system and the need for tailored technical assistance to meet the needs of recipient countries. Equally important

⁶ The International Hydrological Programme (IHP) is an international endeavor to improve data on available water resources, both surface and groundwater, to upgrade knowledge of the global hydrological cycle, and to improve the development and management of water resources.

⁷ UNESCO's Man and the Biosphere Programme (MAB) (There is a worldwide network of over 300 biosphere reserves, covering the vast majority of climatic ones, ecosystems and socio-economic conditions) addresses conflicts between environment issues and development issues which involve terrestrial and coastal natural resources, studying the impact of human activities on the environment and society's response to the resulting change. It involves both the natural and the social sciences and other fields of UNESCO's expertise, notably those of education, communication and culture.

is that by extending the policy of expanded opportunities to include them, the GEF will be recognizing their implementation role in full, considering their long experience in executing GEF projects.

2.13. WFP provides assistance in 74 countries in six regions and has an operational presence in 7 more. In many situations, WFP may be one of the few – and sometimes the only – international organization present in remote areas that often are not accessible, yet important to serve. This field base enables WFP to ensure that assistance gets to the people who need it in a timely manner. It also has tremendous operational capacity. In May 2009, 91 percent of WFP's 10,200 staff members were based in field offices, while 9 percent worked in Headquarters in Rome and in the liaison offices. WFP's expenditures distribution follows the same logic. 93 percent of WFP total expenditures were dedicated to field operations. WFP normally delivers its assistance through a vast network of partners. Non-Governmental Organizations represent a significant part of these in activities relevant for the GEF's focal areas, whether in land or water development and improvement, agroforestry, agriculture or on issues such as disaster preparedness and disaster planning. In 2008, WFP carried out environmental activities with 964 NGO's, of which 795 were national or local. WFP has joint work with GEF Agencies, including FAO, UNDP, IFAD, UNEP, and UNIDO. Its pioneering innovative work on community-based approach that empowers communities to transform their marginal, eroded lands into a sustainable, livelihood-enhancing resource base would be helpful in GEF adaptation work, especially for the LDCF.

2.14. UNESCO has proven capacity in ensuring delivery and management of projects through its capillary field presence and worldwide well-established contact networks at national, regional and international levels. Beside its headquarters, there are 52 field Offices. 164 IHP National Committees, 135 IOC National Committees and 580 UNESCO Chairs. UNESCO National Commissions are operational in 191 Member and Associate States where they help provide insights and help implement many initiatives. It has 27 cluster offices, covering 148 Member States. There are also regional bureaus, liaison offices and partner organizations and scientific institutes and centers which are integral part of UNESCO.

2.15. UNESCO is not new to the GEF. One of its most substantive contributions to the GEF has been its help to fill a major gap in the GEF portfolio on groundwater and aquifers. UNESCO assisted in the formulation of a conceptual framework for GEF in this area and in the establishment of a portfolio of groundwater projects addressing key global resources and issues. This effort has progressively led to the establishment of a highly successful cooperation between the GEF and UNESCO's IHP and with its global long term initiative to promote assessments and scientific collaboration on transboundary aquifers. Thanks to the concerted action of the GEF, its Agencies and UNESCO, a number of highly representative projects has entered the GEF portfolio, and the GEF has come to the forefront as the leader funding institution in the field of transboundary groundwater. Cooperation with UNESCO is a typical case where specific expertise from additional agencies is most warranted in the GEF. Prior to initiation of systematic cooperation with UNESCO in 1999, limited successes were achieved in dealing with multi-country aquifers and groundwater. While the Operational Strategy included these ecosystems in all International Waters Operational programmes, no project relating to this very important area had ever been submitted by the GEF Implementing Agencies. The other focal areas of the GEF, with the exception of few wetland biodiversity related projects, did not include consideration of groundwater. This lack of response reflected the limited understanding and capacity within the Implementing Agencies concerning these issues. UNESCO has acted as Executing Agency on a

number of projects implemented by UNDP (Managing the Dinaric Karst Transboundary Aquifer System, Regional Dialogue and Twinning to Improve Transboundary Water Resources Governance in Africa and Joint Actions to reduce PTS and Nutrients pollution in Lake Baikal Through Integrated Basin Management) and UNEP (Management of the Mediterranean Coastal Aquifers, part of the GEF-UNEP-World Bank Strategic Partnership for the Mediterranean LME, Development of the Methodology and Arrangements for the GEF Transboundary Waters Assessment Programme, Ground Water component, Enhancing the Use of Science in International Waters Projects to improve Project Results). The total commitment of GEF funds for these ongoing UNESCO Executed activities amounts to about \$6 million. UNESCO has matched GEF grant with equivalent amounts of co-financing, including part from the Agency's own budget. In addition to the action on groundwater led by IHP, IOC has been successfully collaborating with the GEF Agencies in the execution of a number of marine projects. These include: Adaption to climate Change – Responding to Shoreline and Its human dimension through Integrated coastal Area management (UNDP), Sustainable Management of the Shared Living marine Resources of the Caribbean LME and Adjacent regions (UNDP), Development of the Methodology and Arrangements for the GEF Transboundary waters Assessment Program – Marine component (UNEP), Fostering Global Dialogue on Oceans, Coasts and SIDS and on freshwater-Coastal-Marine Interlinkages (UNEP) and promoting Ecosystem-based Approaches to Fisheries conservation and LMEs (UNEP). They have executed about 10 main full and medium size projects. UNESCO has also been cooperating with STAP on issues of groundwater, including on strategic options and priorities for groundwater, review of existing portfolio from the perspective of groundwater, development of groundwater indicators. With these positive development, consideration of the policy of expanded opportunities for UNESCO would harness additional synergies between this organization and the GEF biodiversity, climate change and land degradation focal areas.

2.16. More than 8000 people from over 150 countries work for the WHO in 147 country offices, six regional offices and at the headquarters. In addition to other scientists, WHO staff include experts in the fields of emergency relief. Over 800 institutions are WHO's collaborating spread in 90 countries. They form part of an international collaborative network carrying out activities in support of the organization's programmes.

2.17. WHO has GEF experience with execution of some 9 projects implemented by UNEP and UNDP. For example, with [UNEP](#) and the [Secretariat of Stockholm Convention \(SSC\)](#), WHO has supported a number of National and Regional GEF Projects to reduce reliance on DDT (one in Central America and Mexico, the other in Africa East Mediterranean and the third in Asia and Pacific regions). Other important projects include the Africa Stockpiles Programme that deals with the accumulation of obsolete pesticide stockpiles across the continent, the DSSA Malaria Decision Analysis Support Tool (MDAST): Evaluating Health Social and Environmental Impacts and Policy Tradeoffs, Demonstrating and Promoting Best Techniques and Practices for Reducing Health-care Waste to Avoid Environmental Releases of Dioxins and Mercury and Demonstration of Sustainable Alternatives to DDT and Strengthening of National Vector Control Capabilities in Middle East and North Africa. WHO has naturally executed projects that are clearly within its purview and for which there is compelling evidence of its leadership that no other GEF Agency can claim.

2.18. Furthermore, WFP, UNESCO and WHO have in place well-established structures and procedures, including audit procedures, financial management and control frameworks. They

have independent evaluation offices with overall performances regularly assessed and management plans rigorously developed. For example, WFP's 2008-2009 Management Plan outlines a total Programme of Work of US\$11.8 billion⁸, excluding provision for unseen emergencies –more than a 100 percent increase from the original Management Plan presented in October 2007 as a consequence of the unprecedented volatility in global markets and large new operational requirements. Every six years, UNESCO adopts a medium term strategy. Its Results-based management approach is applied to all organizational units and programmes, including funds from donors and extra budgetary projects. The regular 2006 and 2007 budget was \$610 million and in 2008-2009 it was \$631 million. To achieve the strategic objectives as set out in its Medium-term strategic plan, WHO planned an overall budget of approximately US\$ 14 400 million over the period of six years and a budget of US\$ 4227 million over the two years of the programme budget 2008–2009. The organization raises resources through assessed contributions from Member States and voluntary contributions.

2.19. Equally important is the organizations' resource mobilization success which is very important in leveraging GEF resources. UNESCO had extra budgetary resources amounting to \$322 million in 2006 and 2007 and \$358.3 million is expected in 2009. WFP's 2008-2009 Management Plan outlines a total Programme of Work of US\$11.8 billion,⁹ excluding provision for unseen emergencies –more than a 100 percent increase from the original Management Plan presented in October 2007 as a consequence of the unprecedented volatility in global markets and large new operational requirements. In 2008, donors contributed more resources to WFP than in any other year: US\$5 billion. WFP's extra-budgetary resources include bilaterals, trust funds and special accounts. These have often allowed WFP to develop innovative ways of improving its work. A number of private companies have established trust fund agreements with WFP, making it a potential ally of the GEF's Earth Fund. Contributions through trust funds and bilaterals for 2008-2009 are estimated at US\$179 million.

2.20. In 2006-2007, WHO was to raise \$ 2.4 billion in voluntary contributions coming from countries, specialized agencies and other partners.

2.21. There are currently about 700 civil society organizations (CSOs) that are accredited to the GEF and they contribute to the GEF Council meetings through a network. Some of them have the potential to function as GEF Agencies under the Policy of Expanded Opportunities, in view of their expertise, capacity, outreach, and operational capabilities, and partnerships with global, regional, and national partner organization and governments. NGOs to be considered will have to meet requirements as set by the Council like any other GEF Agency.

2.22. Several NGOs have contributed to the creation of the GEF and its development over the last two decades, and are key partners of the Facility through a number of major initiatives, often functioning as executing agencies working with GEF Implementing Agencies.

2.23. NGOs have also been good at leveraging GEF resources. Recently, for example, a consortium of NGOs contributed to funding the GEF Coral Triangle Initiative (CTI) with \$41.2 Million (\$72.5 GEF funding). NGOs are also involved in the Congo Basin where they have invested 30 years to protect the forest ecosystem and brought co-financing to the recent GEF initiative to the tune of \$16.5 million. Furthermore, they are present in the Amazon with

⁸ *Fifth Update on the WFP Management Plan (2008-2009)*. WFP/EB.A/2009/6-F/1

⁹ *Fifth Update on the WFP Management Plan (2008-2009)*. WFP/EB.A/2009/6-F/1

significant contributions (co-financing of \$15 million for a \$ 30 million GEF project). Of particular note are the engagements of NGOs with certifications schemes and partnerships with large multinationals to ensure better practices in natural resources management. NGOs have acted as catalysts of major GEF programs and projects, providing significant co-financing and mobilizing additional public funding as well as recipient country governments' support (i.e. the Caribbean Challenge to protect the marine resources of 10 Caribbean countries, where The Nature Conservancy provides \$8.6 Million, KfW \$10 Million, GEF: \$18.4 Million and recipient countries over \$2 million)

2.24. NGOs are very effective for conceiving and catalyzing parties for regional approaches. They are complementary to current implementing agencies in their bilateral agreement with governments. For regional projects, where no single country's sovereign 'right' to GEF funding is challenged, NGOs are well placed to facilitate coordinated and concerted action among countries in a manner that will allow the results to be sustained beyond the life of the project. In the case of the CTI, the NGOs (TNC, WWF and CI) have invested several years of careful, participatory planning and neutral policy engagement leading to countries to share regional strategic vision and practical operational approaches, involving strong partnership with national and local authorities.

2.25. NGOs have the relatively neutral convening power, vision, on-the-ground presence, and patience that were needed early on to help the governments create collaborative platforms for regional action (i.e. CTI). This practical, long-term support for building multi-government relations is not the same type of support that intergovernmental agencies like current implementing Agencies can provide.

2.26. NGOs have the field presence and deep relationships which have proven key to allowing engagement in long term, participatory dialogues that build intergovernmental consensus.

2.27. NGOs have and continue to execute a whole range of projects on behalf of GEF Agencies, in all the focal areas and around places as diverse as Belize (Sustainable Development and Management of Biological Diverse Coastal Resources with UNDP as implementing agency, Wildlife Conservation Society), Benin (National Park Conservation and Management, implemented by the World Bank, IUCN) and Cambodia (Biodiversity and Protected Area Management Pilot Project for the Virachey National Park with the World Bank as implementing Agency). There are cases when consortia of NGOs execute GEF projects. For example, IUCN was contracted to do the outreach component for the Ratankiri and Streung Treung communities together with WWF, CARE, OXFAM and World Concern; IUCN alone was contracted to do the toolkit for the outreach. NGO involvement have been particularly significant in some of the project activities such as the Wildlife Protection in the Democratic Republic of Congo implemented by the World Bank where IUCN, WCS, and MDC were contracted to manage three important parks in Noubale Ndoki and Lefini Nord, Concouati and Lefini-Sud, and Dimonica.

2.28. Finally, some of these NGOs have the ability to meet minimum GEF fiduciary standards and other qualifications. For example, International Union for Conservation and Nature (IUCN) has a secretariat with over 1,000 full-time staff in more than 60 countries. Seventy per cent of staff members are from developing countries. The World Wide Fund for Nature, World Wildlife Fund in North America (WWF), operates in more than 100 countries, employs over 5,000 people worldwide with about 69 offices including the Secretariat. It is supported by close to 5 million members globally. By 2020, WWF estimates that it will conserve 35 of the world's most

important natural places and significantly change global markets to protect the future of nature. Their operating revenues in FY08 were \$706.7 million. They received \$429.3 million from their members and donors, \$121.5 million in government awards, \$57.7 million from foundations, \$68.1 million from corporations, with the remainder coming from other sources. The Nature Conservancy (TNC) employs 3,000 staff in over 30 countries in North America, Latin America and the Caribbean, Africa, Europe and Asia and currently has over 1 million members. In fiscal year 2008 dues and contributions, private contracts and government grants received by TNC added up to \$641 million. Conservation International (CI) has over 900 employees and more than 30 offices with more than 1,000 partners around the world. Its expenses totaled \$118 million in FY07 and \$135 million in FY08, funded through a variety of individual, public and private sector sources. CI has managed the multi-donor Critical Ecosystem Partnership Fund (CEPF) since 2000, as well as the Global Conservation Fund and the Verde Ventures Investment Fund, demonstrating that the NGOs have the capacity to act as both implementing agencies and grant fund managers. CEPF also exemplifies NGO's ability to mobilize significant additional funding to match GEF contributions; the GEF contribution to CEPF (\$25 million over a period of 5 years) has leveraged an additional \$125 million from CI and four other donors (World Bank, the MacArthur Foundation, the Government of Japan and the Government of France).

Cost Estimates for Additional GEF Agencies

2.29. The Trustee has prepared a projection of baseline costs associated with the additional work required to manage the relationship with new agencies and strengthen the control framework for the GEF Trust Fund. For each additional Agency, the Trustee will incur start-up costs totaling approximately \$50,000 and thereafter an ongoing cost of about \$45,000. Start-up costs include (i) negotiation and implementation of a Financial Procedures Agreement; (ii) financial consultations and training of agency staff (e.g., Trustee commitment and disbursement procedures); (iii) process of establishing the agency as a recipient of the GEF Trust Fund to facilitate the financial relationship between the Trustee and the agency. Annual ongoing costs are incurred based on: (i) the amount of time taken to maintain the relationship (ongoing financial consultations and training); (ii) transaction and administrative costs associated with commitments and disbursements; (iii) reporting between the Trustee and the agency; and (iv) the annual reconciliation between Trustee and the agency.

Annex 3: Streamlining the Project Cycle & Refining the Programmatic Approach

3.1. This annex describes approaches towards improving the efficiency and effectiveness of GEF processes by (i) streamlining the GEF project cycle for stand-alone projects; and (ii) refining the programmatic approach.

STREAMLINING THE GEF PROJECT CYCLE FOR STAND-ALONE PROJECTS

3.2. The project cycle can be streamlined only if all the actors in the project cycle management process – Council, Secretariat, and GEF Agencies – work together to identify bottlenecks and adjust procedures and processes in order to deliver GEF resources more swiftly and cost effectively, without compromising on quality.

3.3. Currently, the Council’s review and approval for full-sized projects is done at two stages – first at concept stage (based on a Project Identification Form) and, secondly when the project is fully prepared (based on a final project document) prior to CEO endorsement. Some improvement was achieved by the Council in 2007 by streamlining the old multi-stage Council and CEO approval process. However, there is room for further streamlining, without negatively affecting the key functions of the Council with regard to project approval.

3.4. It is proposed that the current two-step Council approval process for full-sized stand-alone projects (FSPs) be modified to a one-step Council approval.

3.5. Project cycle procedures for medium-sized projects will be modified to provide the CEO with delegated authority to approve projects without circulation to Council for comments. In addition, the criteria employed for MSPs will be revisited in order to ensure that the documentation requirements and review processes are in line with the size of the grant request. Expedited procedures for enabling activities will remain unchanged.

Full-Sized Project Approval Process

3.6. GEF Agencies will work with recipient countries to develop concepts and prepare Project Identification Forms (PIFs). These concepts will be based on directions and priorities as established in the country’s voluntary *National GEF Business Plan or its equivalent*.

3.7. It is proposed that the Council continue to approve a work program comprised of PIFs as is currently done. Following Council approval, Agencies, as before and in partnership with recipient countries, will undertake detailed project development.

3.8. Once a project is fully developed and appraised, and a final project document is agreed upon, the CEO will endorse the project document. All endorsed project documents will be posted on the website for information. The approving authority inside the Agency will then approve the project and the project can start implementation.

3.9. It should be noted that, under present rules, the Council has been able to review all final project documents before endorsement during a four week webposting. However, Council has not rejected any projects coming back for endorsement during the last five years, and it is felt that the significant savings in time by cutting out this step is worthwhile.

Figure 3: Streamlined Project Approval for Full-sized Stand-alone Projects



3.10. The Secretariat, in collaboration with the GEF Agencies and Evaluation Office, will review the efficacy and impact of the 22-month elapsed time and other service standards. Such reviews will take into account the differences between single-country vs multiple-country projects and multiple focal area projects.

3.11. All project cycle streamlining measures will be aimed speeding up the project approval system while strengthening due-diligence and quality at entry. The Secretariat, in collaboration with the Agencies and the Trustee, shall prepare a proposal for project cycle reform for Council discussion and approval in May/June 2011 that covers both the GEF cycle and the Agencies' own streamlining efforts.

Medium-sized Project Approval Process

3.12. The CEO will continue to have delegated authority to approve PIFs. It is proposed that the Council delegate authority to the CEO for approval of the MSP final project document, without prior circulation to the Council for a two-week comment period. Approved project documents will be posted on the website for information.

3.13. Even while the MSP project cycle is streamlined, as above, there are concerns that these proposals are subjected to the same degree of review as full-sized projects, resulting in onerous documentation requirements. The MSP project review criteria for both PIFs and final project documents will be re-considered to achieve a balance between speeding up the process further and receiving critical information necessary to achieve core GEF objectives.

Enabling Activities and Project Preparation Grant Approval Process

3.14. The CEO will continue to have delegated authority for the approval of Enabling Activities under expedited procedures, and Project Preparation Grants.

Disbursement of Resources

3.15. Full-sized Projects. Resources associated with PIFs approved by the Council will be set-aside by the Trustee. The resources will be committed by the Trustee to the GEF Agency upon CEO endorsement of the final project document, and disbursed based on agreed existing procedures between the Trustee and the Agencies.

3.16. Project Preparation Grants, Medium-sized Projects and Enabling Activities. Resources associated with the projects will be committed by the Trustee to the relevant GEF Agency upon CEO approval, and disbursed based on agreed existing procedures between the Trustee and the Agencies.

Results-based Management Framework and Performance Monitoring

3.17. All projects will follow the *GEF Monitoring and Evaluation Policies*. All projects will contain project results frameworks that align with focal area objectives and outcomes, with relevant targets and indicators.

3.18. Projects that are under implementation for at least a year will submit annual project implementation reports (PIRs) to the GEF Secretariat as input to the Annual Monitoring Report (AMR).

3.19. Projects are encouraged to undertake mid-term reviews. All projects are required to undertake terminal evaluations on completion of implementation and submit the evaluations to the GEF Evaluation Office as input to the Annual Performance Report (APR).

REFINING THE PROGRAMMATIC APPROACH

3.20. In recent years, the GEF has looked for strategic impact and has experienced a rapid increase in submissions of programs for Council approval. The current policy on programmatic approaches, however, still obliges the countries and agencies to go through the same project cycle for every project financed under a program, even after the program has been approved by Council. There is neither delegated authority for approval steps in the project cycle, nor does the Council usually set aside a GEF funding envelope for an entire program, from which projects can draw, within an agreed timing framework. As the GEF moves into GEF-5, a need for improving the efficiency and effectiveness of GEF operations has led to a need for renewed efforts to streamline the GEF programmatic approach.

3.21. The overall objective of the GEF programmatic approach is to secure a larger-scale and more sustained impact on the global environment by integrating global environmental objectives into national or regional strategies and plans using wide ranging and dynamic partnerships.

3.22. The advantage of a programmatic approach over a project-by-project approach is that it allows for: (i) shifting national economic sectors that are impacting the global environment to a more sustainable path; (ii) enhanced opportunities to generate synergies across the focal areas of

the GEF within the framework of national and/or regional sustainable development; (iii) an enhanced scope for catalyzing action, replication and innovation; (iv) improved opportunities for maximizing and scaling up global environmental benefits; (v) development of capacity building activities that are strategically positioned to achieve program impacts; (vi) effective and efficient disbursement of large scale GEF resources to countries and regions without the loss of accountability and other MRV standards; and (vi) an opportunity for interested donors or other partners (including the private sector) to invest additional and focused funding based on the scope of the program.

Strategic Principles

3.23. The GEF programmatic approach must observe the following overarching strategic principles: (i) be country-owned, and build on national priorities designed to support sustainable development, as identified within the voluntary National GEF Business Plans or its equivalent within the context of national and/or regional planning frameworks; (ii) emphasize GEF's catalytic role and leverage additional financing from other sources (e.g. donors, private sector, NGOs); (iii) be based on an open and transparent process of multi-stakeholder representation and consultation - from dialogue to implementation, and in conformity with the GEF public involvement policy; (iv) provide for program-level monitoring and evaluation consistent with the GEF M&E policy to reflect on program performance and results; (v) maintain the principle of adaptive management to respond to experience gained from monitoring and evaluation activities; and (vi) be cost-effective and seek to maximize global environmental benefits.

Proposed Approval Procedures for the GEF Programmatic Approach

3.24. The GEF programmatic approach can be broadly classified into two types: (i) national/regional. e.g., land degradation program for a country ; and (ii) thematic, covering a sector within a country or across several countries, e.g., energy efficient light bulbs in Africa.

3.25. The coordination of the parties involved in a program is critical for its successful design and implementation. Each program will have a Lead GEF Agency with overall responsibility for its design. Implementation will be the responsibility of the Agencies participating in the program. The Lead GEF Agency, with the assistance of the GEF Secretariat, will coordinate the preparation work, including consultations with various stakeholders, drafting of the final Program Framework Document (PFD) for CEO clearance, and submission to Council for approval as part of a work program.

Council Approval of Program-Framework Document

3.26. The first official step in agreement on a programmatic approach is the approval of the Program Framework Document by the Council as part of a work program presented for Council review. The overarching objective of the Program Framework Document is to clearly spell out and quantify the impacts to be achieved by the program and provide sufficient information to judge whether they can be achieved in a cost-effective manner.

3.27. To meet the above objective, the Program Framework Document, inter-alia, will: (i) present the rationale for the proposed program, its strategic mid-term and long-term vision for the targeted sector in the countries and regions to mainstream global environmental concerns; (ii) describe a results management framework, including risks and assumptions, at the program level

that conform with the most recent GEF M&E policy: (iii) provide a detailed knowledge management mechanism(s) at the programmatic level (either in place or to be designed); (iv) in addition to the Lead Agency, identify roles of other relevant GEF and non-GEF agencies, including clarification on their responsibilities in the program; (v) provide full details on the proposed total program amount requested by GEF focal area (to include all project grants, PPGs and Agency fees) for Trustee to set aside; (vi) provide full details of proposed co-financing, including sources; (vi) contain endorsements from eligible countries for the relevant GEF amounts within the program budget or commitments from the Secretariat on Global and Regional Set-aside under the resource allocation system; and (vii) provide brief descriptions of projects intended to be financed under the program, including the criteria for the selection of such projects.

3.28. While approving the Program Framework Document, Council will approve the total resource envelope for all projects and activities to be funded under the program; these resources may be from a single focal area or from a number of focal areas. The approved GEF amount for projects under the program will be deducted from this envelope, in their relative proportions, until it is depleted. All projects financed under a program have to be approved and begin implementation strictly within 22 months of approval of the Program Framework Document, unless otherwise noted (and approved by Council) in the Program Framework Document. No extensions would be granted beyond these elapsed time standards.

Approval of Individual Projects under a Program

3.29. Following approval by the Council of the Program Framework Document and the corresponding amount to be set-aside¹⁰ by the Trustee, the lead GEF Agency, in coordination with other partners, will begin preparing the documentation associated with individual projects under these respective responsibilities. Streamlined approval procedures are suggested for individual projects under different Agencies as follows.

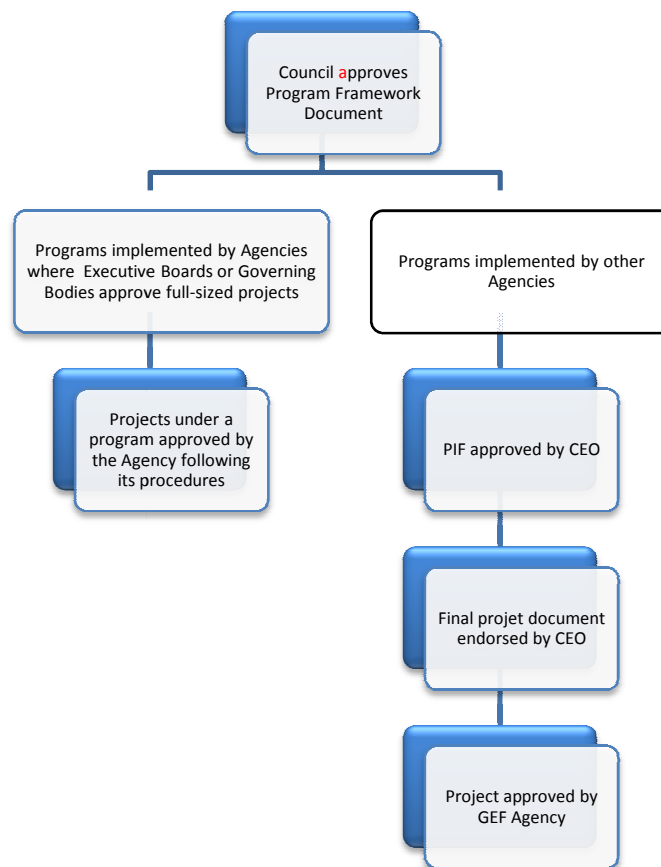
3.30. Where a program is being implemented by an Agency with an Executive Board or Governing Body that approves full-sized projects, it is proposed that the Council delegate authority to that Agency for processing and approval of projects under the program, following the Agency's own processes. Neither the CEO nor the Council will be involved in the approval of individual projects.¹¹

3.31. For all other Agencies, it is proposed that Council delegate authority to the CEO for the approval of PIFs and endorsement of final project documents of projects under the program. After CEO approval/endorsement, the document will be posted on the web for information.

¹⁰ This may include the program/project preparation amount, the program amount, and the associated fees.

¹¹ A number of GEF Agencies have Executive Boards or Governing Bodies where country representatives, similar to representation on the GEF Council, review projects and have opportunities to express their comments/views on projects prior to approval. Therefore, oversight by country representation is maintained.

Figure 4: Proposed Approval Procedures for Program and Projects under a Program



Set Aside, Commitment, and Disbursement of Resources

3.32. In all cases, the Trustee will set aside the total amount approved by the Council for an individual program. Commitment of resources by the Trustee will depend upon the approval process for individual projects under the program.

3.33. For those projects where approval is fully delegated to the GEF Agency, the Trustee will commit the funds on a project-by-project basis upon Agency confirmation to the Trustee of the approval of the full project document. Disbursements for projects will be based on existing agreed procedures between the Trustee and the Agencies.

3.34. For those projects where approval is delegated to the CEO, the Trustee will commit the funds on a project-by-project basis upon CEO endorsement of the full project document. Disbursement for projects will be based on agreed procedures between Trustee and the Agencies.

Result-based Management Framework (RBM) and Performance Monitoring

3.35. To ensure that projects or programs receiving GEF funding are progressing as planned and on track to achieve the expected global environmental benefits, the use of a results-based management framework and performance monitoring at the program level is critical. A results framework, included in the Program Framework Document will lay out objectives, expected impacts, SMART outcomes, indicators and targets, and core outputs with targets, to allow for tracking program progress towards outcomes and for tracking process results. Process indicators will include targets for key performance measures, for example, disbursement rates, and milestones would be included to provide evidence that each program and component projects are on track.

3.36. The GEF Secretariat will review the quality of the results frameworks and ensure that a performance monitoring plan includes sufficient oversight and funding. All projects under a program will contain fully prepared project results frameworks, aligned with the program objective and outcomes, GEF strategic goals and respective focal area objectives. The project results framework will need to clarify what and how this project will contribute to the program objective and outcomes.

3.37. Currently all GEF Agencies submit on an annual basis a Project Implementation Review report (PIR) for each project in implementation more than one year. This process will also apply to all programs that are under implementation. In the case of a program the GEF Lead Agency for a program will be obliged to submit a program implementation report to the GEF Secretariat on an annual basis for each program, with the status of projects that are under implementation in a program. Project Implementation Reports should also be submitted for projects that are under implementation in a program. The Secretariat will review the program and project implementation reports to better support the preparation of Annual Monitoring Report (AMR). The AMR will be submitted to Council as a status report and an analysis of portfolio and program implementation progress.

3.38. All programs should plan for mid-term review and submit to the GEF Secretariat a mid-term review report with progress on outcome and process results. Mid-term reviews should also be prepared for projects under a program, and submitted to the GEF Secretariat.

3.39. All programs and projects will, upon completion of implementation, undertake a terminal evaluation, and be subject to assessment by the GEF Evaluation Office.

Annex 4: Clarifying Roles and Responsibilities of the GEF Entities

3.40. The Instrument for the Establishment of the Restructured Global Environment Facility outlines the broad roles and responsibilities of the GEF entities: the Assembly, the Council, the Secretariat, the Trustee, STAP and the Implementing Agencies.

3.41. **The Assembly** reviews and evaluates the general policies and operation of the Facility. The Assembly also considers, for approval, amendments to the Instrument on the basis of recommendations by the Council.

3.42. **The Council** is responsible for developing, adopting, and evaluating the operational policies and programs for GEF-financed activities, implementing the guidance of the Conferences of the Parties of the conventions for which the GEF serves as an operating entity of the financial mechanism. The Council provides oversight for the financial management of GEF resources, and the implementation of GEF policies and operations.

3.43. **The Secretariat** services and reports to the Assembly and the Council, and is responsible for implementing their decisions. The Secretariat is responsible for facilitating and coordinating GEF-financed activities, coordinating and collaborating among the GEF Agencies and with the Secretariats of other relevant international bodies. It chairs the inter-agency group meetings, and in coordination with the GEF Agencies, the Secretariat ensures the implementation of the operational policies of the GEF.

3.44. **The Trustee** is responsible for managing the resources in the GEF Trust Fund, including transfer of resources to the GEF Agencies. The Trustee is responsible for the mobilization of resources for the GEF Trust Fund and for other funds managed by the GEF.

3.45. **The Scientific and Technical Advisory Panel (STAP)** provides scientific and technical advice to the GEF. STAP's terms of reference was revised in June 2007 to enhance its advisory functions. These include: support to the Secretariat in making operational convention guidance; preparation of GEF strategies; review of project concepts and project documents and review of program framework documents. STAP also does targeted research, liaises with scientific bodies of conventions, gathers lessons learned, and undertakes the generation and dissemination of knowledge products.

3.46. **The Implementing Agencies.** The GEF Instrument identifies UNDP, UNEP, and the World Bank as the Implementing Agencies of the GEF. The Implementing Agencies are responsible for the preparation, cost-effectiveness and for the implementation their GEF-financed activities. They are also responsible for the implementation of the operational policies, strategies and decisions of the Council within their respective areas of competence and in accordance with an interagency agreement. UNDP plays a primary role in ensuring the development and management of capacity building programs and technical assistance projects. UNEP plays a primary role in catalyzing the development of scientific and technical analysis and in advancing environmental management in GEF-financed activities. UNEP provides the STAP's Secretariat and operates as the liaison between the Facility and the STAP. The World Bank plays a primary role in ensuring the development and management of investment projects. It promotes investment opportunities and mobilizes private sector resources.

3.47. **The Executing Agencies.** The *Policy of Expanded Opportunities* adopted by the Council in 2006 granted to seven additional agencies the opportunity to develop and implement GEF-financed activities within their respective areas of competence..

3.48. **The Evaluation Office** undertakes independent evaluations of the GEF strategies and operations, according to the GEF Monitoring and Evaluation Policy, adopted by the Council in February 2006. The Office also provides oversight over monitoring and evaluation undertaken by the Secretariat and the GEF Agencies.

3.49. **The CEO and Chairperson,** appointed by the Council, heads the Secretariat, co-chairs Council and Replenishment meetings and periodically convenes meetings with the heads of the Implementing Agencies and transmits their conclusions and recommendations to the Council.

3.50. To help provide clarity in GEF operations, the roles and responsibilities of the GEF entities as outlined in the *Instrument* were reviewed in the past for the purpose of articulating them a little more specifically. At its meeting in May 2002, the Council reviewed a document, prepared by the Secretariat, clarifying the roles and responsibilities of the different GEF entities,¹² and taking note of the agreement among the GEF Secretariat, the Trustee and the Implementing Agencies concerning lead responsibilities for institutional roles and functions within the GEF, amended and endorsed the document at its meeting in May 2003.¹³

3.51. This Council-endorsed document served as a reference in preparing the current matrix. It reflects recent developments in the GEF partnership, as well as the international context within which the partnership functions.

3.52. The attached matrix outlining the roles and responsibilities of the GEF entities reflects the following nine broad categories:

- (a) General Responsibilities;
- (b) Relations with Conventions;
- (c) Resource Mobilization;
- (d) Country Coordination and Programming;
- (e) GEF Policy and Program Development;
- (f) Programmatic Approaches;
- (g) Monitoring;
- (h) Evaluation;
- (i) Communications and Information Dissemination.

3.53. The matrix identifies the GEF entity with the lead responsibility for a function in the partnership. The identified lead entity will work with other entities in the partnership, as appropriate, to ensure that the referenced function is executed appropriately.

3.54. It is important to note that lead responsibilities identified vis-à-vis various functions listed in the 2003 document have not changed. However, since 2003, the Council has directed the GEF to undertake new functions and lead responsibilities have been identified against these new

¹² Document GEF/C.19/8, *Clarifying the Roles and Responsibilities of the GEF Entities*.

¹³ Document GEF/C.21/Inf.5, *Clarifying the Roles and Responsibilities of the GEF Entities*.

functions. In addition, there are potentially new functions (included in the matrix with square brackets and with footnotes) that may emerge as a result of the replenishment process for which lead responsibilities are suggested.

Table 2: Roles and Responsibilities of GEF Entities

ROLE	SUGGESTED LEAD FOR GEF-5		AS NOTED IN GEF/C.21/INF.5, DATED APRIL 16, 2003
	LEAD RESPONSIBILITY	SUPPORTING PARTNER (S)	
General Responsibilities			
<p>Review the general policies of the GEF</p> <p>Review and evaluate the operation of the GEF on the basis of reports submitted by the Council</p> <p>Keep under review the membership of the GEF.</p> <p>Consider, for approval by consensus, amendments to the GEF Instrument on the basis of recommendations by Council.</p>	Assembly	Council	Assembly and council
<p>Serve as Trustee for the GEF Trust Fund</p> <p>Prepare periodic financial reports on GEF Trust Fund to the Council.</p> <p>On request by the CEO, provide financial reporting necessary to support GEF programming.</p>	World Bank		World Bank
Approve amendments to the GEF Instrument	Assembly, UNDP, UNEP, World Bank		Not a new function, but not included in April 2003
Ensure implementation of Council and Assembly decisions	Secretariat Evaluation Office (for matters related to M&E policies)	GEF Agencies and other GEF entities, as appropriate	Secretariat
Provide administrative support for the Secretariat	World Bank		World Bank
Provide scientific and technical advice	STAP	GEF Agencies	STAP
Provide Secretariat support for STAP	UNEP		UNEP
Organize mediation, and conflict and dispute resolution for issues brought to the attention of the GEF Secretariat	Secretariat	GEF Agencies	New function

ROLE	SUGGESTED LEAD FOR GEF-5		AS NOTED IN GEF/C.21/INF.5, DATED APRIL 16, 2003
	LEAD RESPONSIBILITY	SUPPORTING PARTNER (S)	
Organize consultations with Civil Society Organization (CSOs) Organize inter-agency consultations Organize GEF Council meetings Organize GEF Assemblies Prepare summaries of GEF Council meetings and reports of GEF Assemblies	Secretariat, Evaluation Office for matters related to M&E policies.		Not a new function, but not included in April 2003
Prepare documents for Council meeting and Assembly	Secretariat, Trustee, GEF Evaluation Office, STAP, GEF Agencies, as appropriate.		Not a new function, but not included in April 2003
Implement GEF operations at country-level	GEF Agencies ¹⁴	Recipient countries	Implementing Agencies
Relations with Conventions ON GEF Related Activities			
Prepare GEF reports to the conventions	Secretariat	GEF Agencies, Evaluation Office, STAP	Not a new function, but not included in April 2003
Approve GEF reports to conventions and MOUs with conventions	Council		Council
Ensure that GEF-financed activities related to conventions conform to the guidance of the conventions	Council	Secretariat, GEF Agencies, recipient countries	Council
Coordinate with convention secretariats	Secretariat		Secretariat
Represent GEF at meetings of convention bodies (COPs and subsidiary)	Secretariat	STAP (liaise with scientific bodies of conventions) Evaluation Office (on evaluations)	Secretariat
Promote dialogue with stakeholders (including CSOs) participating in Conventions	Secretariat	GEF Agencies, Evaluation Office (on evaluations)	Secretariat
Operationalize convention guidance	Secretariat	GEF Agencies, STAP	Secretariat

¹⁴ Implementing Agencies and Executing Agencies.

ROLE	SUGGESTED LEAD FOR GEF-5		AS NOTED IN GEF/C.21/INF.5, DATED APRIL 16, 2003
	LEAD RESPONSIBILITY	SUPPORTING PARTNER (S)	
RESOURCE MOBILIZATION			
Mobilize financial resources for GEF Trust Fund	World Bank as Trustee [and Secretariat] ¹⁵		World Bank as Trustee
Mobilize project and program co-financing	GEF Agencies/Countries		Implementing Agencies/Executing Agencies
COUNTRY COORDINATION & PROGRAMMING			
Identify national priorities, utilizing a multi-stakeholder process that includes civil society organizations Ensure consistency with national priorities for conventions through coordination with national focal points for conventions Ensure that projects proposed for GEF financing conform to national priorities and country strategies	Operational Focal Point in consultation with the GEF National Steering Committee	Secretariat	Participating country
Prepare the <i>National GEF Business Plan</i>	Operational Focal Point in consultation with the GEF National Steering Committee/ GEF Secretariat	GEF Agencies	New function
Coordinate strategic dialogue with countries on overarching GEF issues	Secretariat	GEF Agencies, Political Focal Point, Operational Focal Point, Evaluation Office (on M&E issues)	New function
Dialogue with countries on GEF program and project-related issues and on sector policies	GEF Agencies	Secretariat, Political Focal Point, Operational Focal Point	Implementing Agencies
Act as Country contact for Council matters and constituency coordination	Political Focal Point		Political Focal Point
Act as Country contact for national policy	Operational Focal Point		Operational Focal

¹⁵ Need amendment of GEF instrument

ROLE	SUGGESTED LEAD FOR GEF-5		AS NOTED IN GEF/C.21/INF.5, DATED APRIL 16, 2003
	LEAD RESPONSIBILITY	SUPPORTING PARTNER (S)	
and project coordination and endorse programs and projects to be submitted for GEF approval			point
[Prepare and implement GEF support programs for national focal points and constituencies, including their representation and coordination] [Prepare and implement the program of national, subregional and regional dialogue workshops, ¹⁶ including chairing of an interagency Steering Committee for these workshops]	Secretariat	GEF Agencies, Evaluation Office (on M&E issues)	Secretariat Secretariat (strategic partnership with UNDP)
Approve support programs for national focal points and constituencies, including their representation and coordination Approve program of national, sub-regional and regional dialogue workshops	Council		Council
GEF STRATEGY & POLICY DEVELOPMENT			
Prepare GEF strategies (including focal area strategies), policies, GEF Corporate Business Plan, with the exception of M&E issues (see below). Develop GEF program and project cycle and review criteria for programs and projects	Secretariat	GEF Agencies, STAP	Secretariat
Prepare GEF Corporate Budget	Secretariat	Evaluation Office for GEFE budget	Not a new function, but not included in April 2003
Prepare GEF Monitoring and Evaluation Policy	Evaluation office	Secretariat, STAP, GEF Agencies	New function
Approve GEF strategies (including focal area strategies), policies, GEF Corporate Business Plan, GEF Corporate Budget Approve GEF program and project cycle and review criteria for programs and projects	Council		Council

¹⁶ National, subregional, and regional workshops will promote, among other things:

- a) national coordination,
- b) dialogue on national strategies and priorities,
- c) exchange of information on GEF strategic priorities and business plan as well as GEF policies and procedures,
- d) dissemination of lessons learned.

ROLE	SUGGESTED LEAD FOR GEF-5		AS NOTED IN GEF/C.21/INF.5, DATED APRIL 16, 2003
	LEAD RESPONSIBILITY	SUPPORTING PARTNER (S)	
Promote multi-stakeholder consultations and access to information	Secretariat	GEF Agencies, GEF NGO Network Evaluation Office (on evaluations)	NGO network
GEF PROJECT CYCLE MANAGEMENT			
With the Support of the GEF Agencies prepare project concept (Project Identification Form) in line with the <i>National GEF Business Plan</i>	National Project Executing Agencies, Other national entities, as appropriate	GEF Agencies	Implementing Agencies/Executing Agencies
Help the project executing agency develop detailed project design and prepare final project document	GEF Agencies		Implementing Agencies/Executing Agencies
Review project concepts and project documents for consistency with GEF review criteria	Secretariat	STAP	Secretariat
Approve project concepts and project documents at appropriate stages in the project cycle	Council and CEO, as appropriate, at different stages of the project cycle		
Supervise the implementation of projects.	GEF Agencies	Countries	Implementing Agencies/Executing Agencies
[project development for voluntary national business plans, and national communications/reports to conventions] ¹⁷	Recipient countries	Secretariat, STAP, Evaluation Office	Proposed new function
Programmatic Approaches			
Identify opportunities for programmatic approaches	Recipient Countries, GEF Agencies	Secretariat STAP	Implementing Agencies
Help participating country/countries prepare the Program Framework Document	GEF Agencies		Implementing Agencies
Review Program Framework Document for consistency with GEF program review criteria	Secretariat	STAP	Secretariat
Approve Program Framework Document	Council		
Help program executing agency develop individual project proposals within the approved program framework	GEF Agencies		Implementing Agencies

¹⁷ For Council decision.

ROLE	SUGGESTED LEAD FOR GEF-5		AS NOTED IN GEF/C.21/INF.5, DATED APRIL 16, 2003
	LEAD RESPONSIBILITY	SUPPORTING PARTNER (S)	
[Review and approve individual project proposals within the framework of the agreed program] ¹⁸	GEF Secretariat or GEF Agencies (depending upon the degree of delegation agreed by the Council)	GEF Agencies, STAP	New function
Monitor implementation progress of program as agreed under the program framework	Secretariat	GEF Agencies	New function
MONITORING			
Undertake project monitoring, mid-term reviews, including for projects under programmatic approaches	GEF Agencies		Implementing/Executing Agencies
Review of GEF M&E requirements in project proposals GEF portfolio monitoring and reporting. Undertake activities associated with implementation of GEF Results-based Management Framework	Secretariat	GEF Agencies	Not a new function, but not included in April 2003
Prepare Annual Monitoring Report for Council review (based on reviews of project and program implementation reports prepared by GEF implementing and executing agencies, and other monitoring activities)	Secretariat	GEF Agencies	Monitoring and evaluation unit
Gather lessons learned, undertake generation and dissemination of knowledge products	Secretariat & GEF Agencies, STAP as appropriate.		Not a new function, but not included in April 2003
Evaluation (based on GEF M&E Policy approved by Council, Feb 2006) ¹⁹			
Accountability and Oversight of GEF performance: develop and approve policy-making on M&E, oversight of M&E functions, enabling environments for M&E in GEF through adequate resources and due independence.	Council		New function
Approval of GEFEO evaluation work program and budget	Council	Evaluation Office	Council
Independent evaluations, including the Overall Performance Evaluation of the GEF every replenishment period	Evaluation Office	GEF Agencies' evaluation offices	Monitoring and evaluation unit

¹⁸ For Council decision.

¹⁹ The GEF Council has requested the Evaluation Office to undertake a consultative process with all GEF partners to prepare a revision of the GEF Monitoring and Evaluation Policy to be presented to the Council in November 2010.

ROLE	SUGGESTED LEAD FOR GEF-5		AS NOTED IN GEF/C.21/INF.5, DATED APRIL 16, 2003
	LEAD RESPONSIBILITY	SUPPORTING PARTNER (S)	
Oversight of M&E	Evaluation Office	Secretariat, GEF Agencies, participating countries	New function
Setting minimum requirements for M&E	Evaluation Office	Secretariat (for monitoring)	New function
Corporate Agency evaluations Project and program evaluations	GEF Agencies		Implementing/Exec uting Agencies
Advice on scientific and technical matters Support on scientific and technical matters	STAP	Secretariat and Evaluation Office	New function
COMMUNICATIONS AND INFORMATION DISSEMINATION			
Approve strategy for communication and information dissemination	Council		Council
Promote GEF awareness and visibility Undertake outreach for countries, convention meetings, CSOs, private sector	Secretariat	GEF Agencies	Secretariat
Manage GEF-wide relationships with CSOs, private sector, bilateral development cooperation agencies and others	Secretariat	GEF Agencies	Secretariat
Disseminate project level information	GEF Agencies	Secretariat	Implementing Agencies/Executing Agencies
Disseminate GEF policy and project information to multi-stakeholders including CSOs	Secretariat	GEF Agencies, GEF NGO Network	NGO network
REPLENISHMENT			
Request the Trustee and Secretariat to initiate replenishment negotiations	Council		Not a new function, but not included in April 2003
Chair replenishment meetings	Trustee & Secretariat		Not a new function, but not included in April 2003
Preparation of documents for replenishment meeting	Trustee, Secretariat and other GEF entities as appropriate		Not a new function, but not included in April 2003
Preparation of Overall Performance Study	Evaluation Office		New function
Preparation of Summary of Replenishment Negotiations	Trustee & Secretariat		Not a new function, but not included in April 2003

ROLE	SUGGESTED LEAD FOR GEF-5		AS NOTED IN GEF/C.21/INF.5, DATED APRIL 16, 2003
	LEAD RESPONSIBILITY	SUPPORTING PARTNER (S)	
Endorsement of the Summary of Negotiations, including policy recommendations and resource allocations	Council		Not a new function, but not included in April 2003
Approval of the Replenishment Resolution for the GEF Trust Fund	World Bank (Executive Directors)		Not a new function, but not included in April 2003