



Global Environment Facility

GEF/C.19/8
April 16, 2002

GEF Council
May 15-17, 2002

**CLARIFYING THE ROLES AND RESPONSIBILITIES
OF THE GEF ENTITIES**

Recommended Council Decision

The Council reviewed document GEF/C.19/8, *Clarifying the Roles and Responsibilities of the GEF Entities*, and welcomes the collaboration among the GEF entities to strengthen their partnership with a view to improving the efficiency and effectiveness of the GEF and its responsiveness to its recipients and donors. The Council recognizes that as the number of conventions, focal areas and executing agencies increase, and as resources are constrained relative to the demand for GEF funding, coordination is more critical than ever within the GEF system. In this regard, the Council takes note of the agreement among the GEF Secretariat and the Implementing Agencies concerning lead responsibilities for institutional roles and functions within the GEF.

INTRODUCTION

1. At its meeting in December 2001, the Council reviewed proposals to strengthen the overall structure, processes and procedures of the GEF (document GEF/C.18/8) and requested the Secretariat, in consultation with the Implementing Agencies, Executing Agencies and Trustee, to revise the proposed concepts, proposals and strategic directions for consideration by the Council at its meeting in May 2002.
2. Document GEF/C.18/8 comprised three main sections. The first section addressed strengthened operational arrangements and strategic programming for maximizing results and impacts. Revisions to this section of the paper have been incorporated into the *GEF Business Plan* which is before the Council as document GEF/C.19/10.
3. The second section of the document concerned clarifying the roles and responsibilities of the GEF entities. Revisions to that section are presented to the Council in this document. This paper was prepared jointly by the GEF Secretariat and the Implementing Agencies on the basis of discussions amongst the CEO and Executive Coordinators of the Implementing Agencies in February 2002.
4. The third section of the paper addressed the need to specify the autonomous institutional authority of the GEF. Issues raised in section III will be elaborated upon in an addendum to this document.

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5. The GEF is a multilateral organizational arrangement that embodies partnerships at different levels and dimensions. The Assembly and the Council review and make policies for the functioning of GEF. The Secretariat is responsible for ensuring that Council decisions are carried out effectively and in a timely manner, and that regular reports are provided to the Council on the implementation of its decisions. The implementation of decisions is facilitated by the Secretariat in partnership with the three Implementing Agencies -- UNDP, UNEP and the World Bank. The World Bank also acts as the Trustee to the GEF Trust Fund and provides administrative support to the Secretariat. STAP provides scientific and technical advice to the GEF, and UNEP provides its Secretariat. These partners collaborate in carrying out the GEF overall agenda.
6. There are also partnerships with countries as well as partnerships with the global environment Conventions. A second level of partnerships is being developed with Executing Agencies under the policy of expanded opportunities. The Secretariat and Implementing Agencies support the proposal that current executing agencies designated under expanded opportunities should have direct access through the GEF Secretariat to the Council for GEF project funding, based on their comparative advantage. This is reflected in the clarification of roles and responsibilities. Another layer of partnerships is with the NGO community, private sector, and other organizations participating in GEF activities.

7. The Second Overall Performance Study emphasized the success of the GEF partnership and noted that, as the GEF partnership has evolved and expanded, there is a need for clarification or re-alignment of roles and responsibilities of the partners in order to improve the efficiency and effectiveness of the GEF and its responsiveness to its recipients and donors. In particular, the GEF partners recognize that as the number of conventions, focal areas and executing agencies increase, and as resources are constrained relative to the demand for GEF funding, coordination is more critical than ever within the GEF system. In seeking to address these objectives and challenges, it is important for the GEF to continue to build on the comparative advantage of the various entities that constitute the partnership and be more responsive to recipients and donors.

8. The GEF Secretariat and Implementing Agencies have consulted and agreed to propose for Council consideration the following matrix outlining the lead roles and responsibilities of the GEF entities (Council, Secretariat, the three Implementing Agencies (UNDP, UNEP and the World Bank), STAP and the Trustee). This proposal is designed to enhance the partnership and interactions among the GEF entities as well as their interactions with countries and the executing agencies.

9. This proposal groups the roles and responsibilities into the following seven broad categories:

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

10. In presenting this proposal, the Secretariat and Implementing Agencies wish to stress that all GEF activities will be undertaken in a spirit of enhanced partnership, with a lead entity exercising its responsibility in continued consultation and collaboration among other GEF entities. In some special circumstances, collaboration may be within the framework of a strategic partnership between two or more GEF entities.

**MATRIX OUTLINING LEAD RESPONSIBILITIES FOR INSTITUTIONAL ROLES AND FUNCTIONS WITHIN
THE GEF**

ROLE	LEAD RESPONSIBILITY
GENERAL RESPONSIBILITIES	
Approve policies and direct utilization of GEF resources	Assembly and Council
Serve as Trustee for the GEF Trust Fund	World Bank
Mobilize financial resources for GEF Trust Fund	World Bank as Trustee
Provide administrative support for the Secretariat	World Bank
Provide scientific and technical advice	STAP
Provide Secretariat support for STAP	UNEP
Implement GEF operations at country level	Implementing Agencies
Ensure implementation of Council and Assembly decisions	Secretariat
RELATIONS WITH CONVENTIONS	
Approve GEF reports to conventions and MOUs with conventions. Ensure GEF-financed activities relating to the conventions conform to the guidance of the conventions.	Council
Coordinate with convention secretariats	Secretariat
Represent GEF at meetings of convention bodies (COPs and subsidiary)	Secretariat
Operationalize convention guidance	Secretariat
COUNTRY COORDINATION AND PROGRAMMING	
Approve program of support for national focal points	Council
Plan, agree, and coordinate GEF program of support for national focal points	Secretariat
Deliver support for specific national focal point	Implementing Agencies
Plan, agree, and coordinate GEF program for support for constituency coordination	Secretariat
Provide support for specific constituency	Implementing Agencies
Identify national priorities, utilizing a multi-	Country (Operational Focal Point)

stakeholder process; ensure consistency with national priorities for conventions through coordination with national focal points for the conventions; ensure GEF projects conform to national priorities and country strategies	
Coordinate the program of national, subregional and regional dialogue workshops, ¹ including chairing of an interagency Steering Committee for these workshops. Acting through a strategic partnership, organize at national level, with the national focal point concerned, the country dialogue workshop, including multi-stakeholder consultations	Secretariat UNDP
Undertake country dialogue on mainstreaming GEF operations within overall country programming and on sector policies	Implementing Agencies
GEF POLICY AND PROGRAM DEVELOPMENT	
Approve strategic priorities through the business plan, and approve Operational Programs	Council
Prepare the business plan, including strategic priorities; develop Operational Programs, Operational Criteria, and GEF Pipeline	Secretariat
Program at country or multi-country level	Implementing Agencies
Prepare project concepts	Implementing Agencies/Executing Agencies
Review project concepts (i) for eligibility, according to Project Review Criteria; and (ii) for strategic fit, according to the strategic priorities of the business plan; and manage Pipeline entry and exit	Secretariat
Develop, prepare, and supervise the implementation of projects	Implementing Agencies/Executing Agencies
Manage relations with Implementing Agencies,	Secretariat

¹ 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.

and with Executing Agencies under Expanded Opportunities	
Manage relations with other executing agencies	Implementing Agencies
Mobilize project cofinancing	Implementing Agencies/Executing Agencies
PROGRAMMATIC APPROACHES	
Approve criteria, standards and priorities for programmatic approaches	Council
Prepare criteria, standards and priorities for programmatic approaches for Council consideration	Secretariat
Identify country opportunities for programmatic approaches	Implementing Agencies
(i) Ascertain that each proposed programmatic approach is consistent with the approved criteria, standards and priorities; (ii) provide guidance on the resources that can be committed; (iii) agree on the roles of participating GEF agencies; (iv) make “go/no go” recommendation.	Secretariat
Prepare detailed design of an agreed programmatic approach and undertake sector dialogue	Implementing Agencies
Develop individual project proposals within the framework of the agreed programmatic approach	Implementing Agencies/Executing Agencies
Review progress and consistency of programmatic approach with the agreed criteria, standards, and priorities as it develops through the project cycle	Secretariat
Evaluate outcomes of programmatic approaches and identify lessons	Monitoring and evaluation unit
MONITORING AND EVALUATION	
Approve monitoring and evaluation work program	Council
Commission the independent Overall Performance Evaluations of the GEF, and undertake Program Impact Studies	Monitoring and evaluation unit
Undertake mid-term reviews, Project	Implementing Agencies/Executing Agencies

Completion Reports, project monitoring and evaluation, including projects under programmatic approaches	
Review project achievement of global environmental objectives (i.e., Secretariat Managed Project Reviews in association with above)	Monitoring and evaluation unit
Undertake annual Program Performance Review (based on individual Implementing Agency reports on projects, including projects under programmatic approaches)	Monitoring and evaluation unit
COMMUNICATIONS AND INFORMATION DISSEMINATION	
Approve strategy for communication and information dissemination	Council
Promote GEF awareness and visibility; undertake outreach for countries, convention meetings, NGOs, private sector	Secretariat
Manage GEF-wide relationships with NGOs, private sector, bilateral development cooperation agencies others.	Secretariat
Disseminate project level information, including lessons learned	Implementing Agencies/Executing Agencies