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 at 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**

<table>
<thead>
<tr>
<th>ROLE</th>
<th>LEAD RESPONSIBILITY</th>
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<tbody>
<tr>
<td><strong>General Responsibilities</strong></td>
<td></td>
</tr>
<tr>
<td>Approve policies and direct utilization of GEF resources</td>
<td>Assembly and Council</td>
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<tr>
<td>Serve as Trustee for the GEF Trust Fund</td>
<td>World Bank</td>
</tr>
<tr>
<td>Mobilize financial resources for GEF Trust Fund</td>
<td>World Bank as Trustee</td>
</tr>
<tr>
<td>Provide administrative support for the Secretariat</td>
<td>World Bank</td>
</tr>
<tr>
<td>Provide scientific and technical advice</td>
<td>STAP</td>
</tr>
<tr>
<td>Provide Secretariat support for STAP</td>
<td>UNEP</td>
</tr>
<tr>
<td>Implement GEF operations at country level</td>
<td>Implementing Agencies</td>
</tr>
<tr>
<td>Ensure implementation of Council and Assembly decisions</td>
<td>Secretariat</td>
</tr>
<tr>
<td><strong>Relations with Conventions</strong></td>
<td></td>
</tr>
<tr>
<td>Approve GEF reports to conventions and MOUs with conventions. Ensure GEF-financed activities relating to the conventions conform to the guidance of the conventions.</td>
<td>Council</td>
</tr>
<tr>
<td>Coordinate with convention secretariats</td>
<td>Secretariat</td>
</tr>
<tr>
<td>Represent GEF at meetings of convention bodies (COPs and subsidiary)</td>
<td>Secretariat</td>
</tr>
<tr>
<td>Operationalize convention guidance</td>
<td>Secretariat</td>
</tr>
<tr>
<td><strong>Country Coordination and Programming</strong></td>
<td></td>
</tr>
<tr>
<td>Approve program of support for national focal points</td>
<td>Council</td>
</tr>
<tr>
<td>Plan, agree, and coordinate GEF program of support for national focal points</td>
<td>Secretariat</td>
</tr>
<tr>
<td>Deliver support for specific national focal point</td>
<td>Implementing Agencies</td>
</tr>
<tr>
<td>Plan, agree, and coordinate GEF program for support for constituency coordination</td>
<td>Secretariat</td>
</tr>
<tr>
<td>Provide support for specific constituency</td>
<td>Implementing Agencies</td>
</tr>
<tr>
<td>Identify national priorities, utilizing a multi-</td>
<td>Country (Operational Focal Point)</td>
</tr>
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</table>
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, 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

Undertake country dialogue on mainstreaming GEF operations within overall country programming and on sector policies

<table>
<thead>
<tr>
<th><strong>GEF Policy and Program Development</strong></th>
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<tbody>
<tr>
<td>Approve strategic priorities through the business plan, and approve Operational Programs</td>
</tr>
<tr>
<td>Council</td>
</tr>
<tr>
<td>Prepare the business plan, including strategic priorities; develop Operational Programs, Operational Criteria, and GEF Pipeline</td>
</tr>
<tr>
<td>Secretariat</td>
</tr>
<tr>
<td>Program at country or multi-country level</td>
</tr>
<tr>
<td>Implementing Agencies</td>
</tr>
<tr>
<td>Prepare project concepts</td>
</tr>
<tr>
<td>Implementing Agencies/Executing Agencies</td>
</tr>
<tr>
<td>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</td>
</tr>
<tr>
<td>Secretariat</td>
</tr>
<tr>
<td>Develop, prepare, and supervise the implementation of projects</td>
</tr>
<tr>
<td>Implementing Agencies/Executing Agencies</td>
</tr>
<tr>
<td>Manage relations with Implementing Agencies,</td>
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<tr>
<td>Secretariat</td>
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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.
<table>
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<tr>
<th>and with Executing Agencies under Expanded Opportunities</th>
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<tbody>
<tr>
<td>Manage relations with other executing agencies</td>
<td>Implementing Agencies</td>
</tr>
<tr>
<td>Mobilize project cofinancing</td>
<td>Implementing Agencies/Executing Agencies</td>
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**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**

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