

GLOBAL  
ENVIRONMENT  
FACILITY

TERMS OF REFERENCE OF THE SCIENTIFIC AND  
TECHNICAL ADVISORY PANEL (STAP)  
Mandate, Composition and Role  
(Prepared by UNEP)

GEF Council Meeting  
Washington, D.C.  
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GEF/C.5/5  
June 26, 1995

**RECOMMENDED DRAFT COUNCIL DECISION**

The Council reviewed document GEF/C.5/5, *Role and Mandate of STAP*, and approves the mandate, composition and role of STAP and the terms of reference presented therein.

## INTRODUCTION

1. In March 1994, Participants in the Global Environment Facility (GEF) endorsed the Instrument for the Establishment of the Restructured GEF. Article 24 of the Instrument states that "UNEP shall establish, in consultation with UNDP and the World Bank and on the basis of guidelines and criteria established by the Council, the Scientific and Technical Advisory Panel (STAP) as an advisory body to the Facility".
2. In order to initiate the process of establishing STAP, UNEP prepared a paper (GEF/C.1/5), **Issues Paper on the Scientific and Technical Advisory Panel of the GEF**, for the first meeting of the Council in July 1994. The paper outlined issues concerning the establishment of STAP and highlighted possible features which could guide the development of STAP's terms of reference.
3. A revised paper (GEF/C.2/4), **Role and Mandate of STAP**, was presented to the second meeting of the Council in November 1994. It provided the Council several options that could be appropriately employed in structuring STAP. In particular, GEF/C.2/4 was firmly anchored in the views of the Independent Evaluation, and as further defined by Council at the July meeting. Council expressed its opinion on these options and invited UNEP to develop the option for a STAP concentrating on providing strategic advice and selectively reviewing projects. The Council broadly endorsed the paper and requested that it now be fully developed, including STAP's Terms of Reference, as a document for future reference. The present document takes into account subsequent Council discussions of the role of STAP particularly in the GEF Project Cycle. UNEP has also consulted appropriately with the GEF Secretariat, UNDP and the World Bank in finalizing this document. The proposed membership of STAP is given in Annex A

## MANDATE

4. STAP is established as an advisory body to the GEF. STAP shall provide objective, strategic scientific and technical advice on GEF policies, operational strategies, and programmes; conduct selective reviews of projects in certain circumstances and at specific points in the project cycle; and maintain a Roster of Experts. STAP shall not be vested with any clearance authority.
5. For focal areas in which the GEF is not operating as a Convention's financial mechanism, STAP shall advise on the development of scientific and technical criteria and provide scientific and technical advice on priorities for GEF funding.
6. Pursuant to this mandate, STAP shall report to each regular meeting of the GEF Council and, if requested, to the GEF Assembly on the status of its activities.
7. UNEP shall provide STAP's Secretariat and operate as its liaison with the GEF.

## **COMPOSITION**

8. The Executive Director of UNEP, in consultation with UNDP, the World Bank and the GEF Secretariat, shall appoint the members of STAP and shall also designate a Chairperson and Vice Chairperson. The members shall ordinarily be appointed for a term of three years. Members may be removed by the Executive Director of UNEP only for cause.

9. The composition of STAP, including the Roster of Experts, shall reflect:

- (a) Recognized leadership in specific relevant fields, and with an ability to bridge scientific, technological, economic, social and policy issues;
- (b) Geographical and gender balance;
- (c) Experience in the management of science and with knowledge of issues in the implementation of complex international initiatives;
- (d) An understanding of the organizational and operational setting of the Implementing Agencies; and
- (e) Knowledge about the scientific processes required for the implementation of relevant conventions and familiarity with relevant international assessments.

10. To avoid any potential conflicts of interest, members who hold positions in Government, non-governmental organizations, or who are working in, or have any contractual arrangement, as consultants or otherwise, with an Implementing Agency or the GEF Secretariat shall disclose this information to the Executive Director of UNEP. At the discretion of the Chairperson, members may be excluded from attending Panel discussions in which he/she has a personal interest or has had significant involvement in any capacity.

11. STAP may convene ad-hoc working groups to address particular issues or questions which arise and to obtain specialized technical opinions as needed. The ad-hoc working groups may also be designed as resource groups for the Implementing Agencies on specific technical aspects of project design and provide advice on technological options, cost-effectiveness, and related social issues.

12. The Chairperson of STAP shall act as the spokesperson in various meetings, and may assign members to represent STAP at meetings. The Chairperson shall be provided adequate financial support in carrying out these responsibilities.

## **STRATEGIC ADVICE**

13. STAP shall advise the GEF on ways to advance a better understanding of the issues of the global environment and how to address them; provide a forum for integrating expertise on science and technology, including their social, economic and institutional aspects; and, function as an

important conduit between the GEF and the natural and social science communities and relevant technologists, and, synthesize, promote and galvanize state of the art contributions from them.

14. STAP's role in providing strategic advice to the GEF shall be as follows:

- (a) Advise on the state of scientific, technical and technological knowledge related to each focal area, highlighting policy and operational implications for the GEF;
- (b) Advise on the scientific and technical aspects of specific strategic matters such as cross-cutting issues; scientific coherence of GEF operational strategies and programs, and their consistency with GEF policies and objectives; and integration of national and global benefits in GEF interventions;
- (c) Advise on the development of a research agenda for the GEF, by identifying applied/targeted research which would improve the design and implementation of GEF projects, and by reviewing the research work of the Implementing Agencies and the GEF Secretariat; and
- (d) Participate in the editorial review board for GEF scientific and technical publications, that has been established by the GEF Secretariat.

15. As part of its strategic role, STAP shall provide a number of specific products on a regular basis. For example:

- (a) Annual reports to the GEF Council on the state of the science, including an analysis of relevant international environmental assessments, as it relates to the GEF, including recommendations for a research agenda;
- (b) Triennial reports to the GEF Assembly on the broad scientific and technical issues that emerged during the preceding phase of the GEF and on emerging issues and gaps;
- (c) Reviews of the scientific and technical aspects of GEF operational strategies and programs; and
- (d) Occasional papers of a scientific and technical nature relevant to GEF strategies and programmes for publication in the GEF Working Paper Series.

#### **SELECTIVE REVIEW OF PROJECTS**

16. STAP shall contribute to ensuring the scientific soundness and technical quality of GEF projects through independent reviews and objective scientific and technical advice. STAP's activities shall be integrated into the processes and timing set out in the GEF Project Cycle, conducted in close cooperation with the Implementing Agencies and GEF Secretariat, and based on the standard

documentation provided by the Implementing Agencies during various phases of the GEF Project Cycle.

17. STAP shall develop and maintain a Roster of Experts, consisting of a wide range of internationally-recognized specialists in the scientific and technical areas relevant to the GEF operations, to review the scientific and technical soundness of individual projects through the Implementing Agencies' technical review process. In consultation with the Implementing Agencies and the GEF Secretariat, STAP shall prepare guidelines for the management and use of the Roster. Each GEF project proposal will require an external technical opinion by at least one expert from the Roster, to be selected by the Implementing Agency, prior to GEF Operations Committee (GEFOP) consideration in Phase I of the project cycle.

18. STAP shall standardize the types of information needed in the technical review process and establish generic guidelines for the terms of reference for external technical reviewers from the Roster, in consultation with GEF Secretariat and the Implementing Agencies. STAP shall continuously update and revise the Roster based on experience. It shall also advise the GEF Council on GEF technical review procedures.

19. STAP shall develop criteria, which will be reviewed and approved by the Council, for the Panel to initiate additional reviews of projects on a selective basis. STAP shall have the discretion and initiative to selectively review, in accordance with the criteria approved by the Council, any project proposal, after notifying the Chief Executive Officer.

20. STAP's selective reviews of projects, in line with the Council-approved criteria, may take place at any of the following points in the GEF Project Cycle:

- (a) Phase I: The STAP Chairperson shall be a member of GEFOP, and he/she shall receive all project documentation accordingly. STAP shall review all targeted research project proposals prior to the GEFOP in Phase I of the project cycle. STAP may selectively review project proposals (including those for Project Development Facility Blocks B and C funding):
  - (i) prior to GEFOP consideration, on the basis of an assessment of the technical reviews conducted by experts from the Roster; and,
  - (ii) after GEFOP, based on the STAP Chairperson's participation in the GEFOP, or when referred to STAP for its review by the Chief Executive Officer.
- (b) Phase II: STAP shall receive all draft final project documentation circulated to Council members prior to final approval by an Implementing Agency. STAP may, upon request by the Chief Executive Officer or as defined in Council-approved criteria for STAP's selective review of projects, advise on the scientific and technical aspects of projects submitted to the Chief Executive Officer for his/her endorsement. The Council may also request STAP to review a project prior to the Chief Executive Officer's endorsement.

- (c) Phase III: On the basis of the project implementation review, and consistent with criteria approved by the Council, STAP may selectively identify projects for further review of the scientific and technical aspects of project implementation. In consultation with the Chief Executive Officer and the Implementing Agencies, and in line with the Council-approved criteria and on a selective basis, STAP may also conduct ex-post evaluations of the strategic scientific and technical aspects of project implementation and of the scientific and technical effectiveness of the GEF portfolio, particularly for those projects that are innovative or contain research, monitoring and assessment components. The objective of such selective reviews shall be to advise the Implementing Agencies and the GEF Secretariat on scientific and technical issues, particularly those of a strategic nature, raised in the project implementation review.

21. STAP shall inform the Implementing Agencies of its requirements for minimum documentation to be made available to its members for all projects throughout the project cycle so that it has a complete perspective on GEF operations. These requirements shall be based on the Implementing Agencies' standard documentation as it applies throughout the GEF Project Cycle.

#### **EVALUATION**

22. STAP shall guide the choice of scientific indicators that would measure project impact in the four focal areas. STAP shall provide strategic guidance on the annual evaluation agenda, methodologies for evaluating global environmental impacts, and scientific and technical evaluation of the portfolio. In particular, STAP shall advise on special topics for evaluation and on terms of reference for evaluation processes. The STAP Chairperson shall be a member of the GEF Monitoring & Evaluation Advisory Group.

#### **SECRETARIAT**

23. STAP and its ad-hoc working groups shall be served by a Secretariat. This Secretariat shall be provided by UNEP. The Secretary of STAP shall be responsible for the Secretariat functions. Under the guidance of the Chairperson, these functions shall include:

- (a) Making arrangements for sessions of STAP and its working groups and providing them with services as required;
- (b) Compiling and transmitting reports submitted to it;
- (c) Preparing the budget and reporting on its status;
- (d) Ensuring the necessary coordination with the GEF Secretariat, Implementing Agencies, Conventions subsidiary bodies and other relevant bodies;

- (e) Entering, in accordance with the Rules and Regulations of UNEP, into such administrative and contractual arrangements as may be required by STAP for the effective discharge of its functions;
- (f) Assisting in maintaining, keeping under review and constantly updating the Roster of Experts;
- (g) Assisting in and facilitating the preparation of documents, reviews and reports; and
- (h) Performing such other functions as may be assigned by STAP.

24. Appropriate budgetary procedures shall be instituted to ensure the independence of the operations of STAP.

#### **COOPERATION WITH THE SCIENTIFIC AND TECHNICAL BODIES OF CONVENTIONS AND OTHER RESEARCH BODIES**

25. STAP shall interact with other relevant scientific and technical bodies. These shall include the subsidiary bodies on scientific, technical and technological advice of the Conventions on Biological Diversity, Climate Change, and Desertification, the international assessments by the Intergovernmental Panel on Climate Change, and the ozone assessment panels under the Montreal Protocol; research bodies including the International Geosphere-Biosphere Programme, International Social Science Council, Scientific Committee on Problems of the Environment and Consultative Group on International Agricultural Research; and other relevant organizations. STAP's activities shall not duplicate their work.

26. STAP's role shall be considered complementary to the subsidiary bodies on scientific, technical and technological advice of the Conventions on Biological Diversity, Climate Change, and Desertification, and the inter-governmental assessments. STAP's comparative advantage lies in the multi-issue orientation of its membership as related to the four focal areas (which would enable it to address cross-cutting issues) and its objective scientific status (which would enable it to review and synthesize scientific and technical information relevant to the GEF from within and external to the Convention and assessment processes).

27. Cooperation and coordination between STAP and these bodies may be enhanced through arrangements for common memberships in STAP and/or its working groups, which would promote greater collaboration. The Chairpersons of the subsidiary bodies and assessment panels may be invited as ex-officio (non-voting) members of STAP and/or its working groups, thus maintaining the scientific and technical objectivity of STAP while promoting a close cooperative relationship.

28. STAP shall establish practical working arrangements for meeting and consulting with the subsidiary bodies of the Conventions, advisory and assessment panels as well as with relevant research bodies.



## **SPECIAL CONDITIONS**

29. The disclosure of information related to STAP's activities shall be conducted according to the Policy Procedures related to Public Availability of Documentary Information on GEF Operations of UNEP. STAP may make exceptions in consultation with the Executive Director of UNEP and the Chief Executive Officer.

## **AMENDMENTS**

30. The GEF Council may approve amendments to the present arrangements upon the recommendation of UNEP.



## BIOGRAPHICAL NOTES ON STAP MEMBERS

## Biodiversity

**DR MOHD NOR SALLEH**

Dr. Salleh (Malaysia) has been the Director General of the Forest Research Institute of Malaysia (FRIM) since its founding in 1985. Salleh graduated from the University of Adelaide and the Australian Forestry School, Canberra with a B.Sc. (Forestry) and Diploma in Forestry in 1964. He obtained a Diploma in Photo interpretation from the International Institute for Aerial Survey and Sciences (ITC) in Delft, Netherlands. From 1973 to 1977, Salleh pursued an M.Sc. and Ph.D. in Forest Inventory and Forest Management respectively from Michigan State University.

Dr Salleh is currently the President (for the Period 1991 - 1995) of the International Union of Forest Research Organizations (IUFRO). He is the first President from outside Europe and North America in IUFRO's one hundred years history. He has been the President of the Malaysian Nature Society since 1978.

Dr Salleh was made Honourary Member of the Society of American Foresters and winner of the Third World Network of Scientific Organizations (TWMISO) Prize on Public Understanding of Science. He was also the inaugural winner of the Langkawi Award in 1991 in recognition of his outstanding services to environment and conservation of Malaysia and most recently won the National Science Award in 1993.

**DR JORGE SOBERON MAINERO**

Dr Soberon (Mexico) completed his B.Sc. (1976) and M.Sc (1979) in Biology, with majors in Ecology and Biogeography at the School of Sciences, National University of Mexico (UNAM). His Ph.D. (1983) was undertaken at Imperial College, London University.

Dr Soberon's main research Interests are in the fields of population biology, mathematical modelling and conservation biology.

Dr Soberon was Associated Researcher in the Institute of Biology, UNAM from 1983 to 1985 and Senior Researcher in the Center of Ecology, UNAM since 1989. He was the Co-ordinator of the Ph.D. program in the Center of Ecology from 1985 to 1990 and Head of Graduate Students in the School of Sciences of UNAM from 1990 to 1992. He has been the Co-ordinator of the Reserve of Pedregal the San Angel from 1984 to 1992 and Co-ordinator of the Ecological Restoration Program in Lomas del Seminario, since 1990.

At present, Dr Soberon is the CEO of CONABIO, the Mexican Commission on Biodiversity, which is the government agency in charge of coordinating and promoting knowledge and sustainable use of Mexico's large biological diversity. As such, he represents Mexico in a number of international bodies related to biodiversity.

## **Climate Change**

### **DR STEPHEN KAREKEZI**

Dr Stephen Karekezi (Rwanda) is the Director of the African Energy Policy Research Network (AFREPREN) as well as the Executive Secretary of the Foundation for Woodstove Dissemination (FWD), Nairobi, Kenya. Stephen Karekezi is an engineer with postgraduate qualifications in management and economics. Prior to his current appointment, he was a Senior Energy and Natural Resources Advisor to USAID's Regional Office for eastern and southern Africa.

In recognition of his work with AFREPREN, the December 1994 issue of the International TIME magazine named Stephen Karekezi as one of the select "Global 100" Roster of leaders for the new millennium. Stephen Karekezi has written extensively on energy policy, renewable, energy efficiency, environment and development. He has written and edited over 60 publications, journal articles and papers on energy and sustainable development.

### **PROFESSOR JYOTI K. PARIKH**

Professor Jyoti K. Parikh (India) obtained her M.Sc. from University of California, Berkeley, and Ph.D. in the Theoretical Physics from University of Maryland, College Park. She has worked at the International Institute for Applied Systems Analysis for nearly eight years on energy and environment problems of the developing countries. She has served as energy consultant to the World Bank, the US government, EEC, and various UN agencies.

Prof. Parikh's research interests include: energy demand modelling, alternative fuels, biomass allocation in rural energy systems, impacts of climate change, energy policy, demand side management in electricity sector, natural resource accounting, sustainable development and restructuring consumption patterns, incremental costs and GEF, North-South issues in IPCC response strategies, She has also initiated projects on valuing air pollution as well as biodiversity. She is the convening lead author for the second assessment report of IPCC. She is the member of Advisory Panel of the Executive Director, United Nations Environment Programme on Biodiversity. For her contribution to energy and environment, the Systems Society of India honoured her with the Gold Medal for the year 1988.

### **DR ROBERT H. WILLIAMS**

Robert H. Williams (USA) is a Senior Research Scientist at the Center for Energy and Environmental Studies, Princeton University and head of the Center's Technology Assessment/Energy Policy Analysis group. He received a B.S. in Physics from Yale in 1962 and a Ph.D. in theoretical physics at the University of California, Berkeley in 1967.

Dr Williams' research interests include: energy technology assessment; the changing role of basic materials in industrialized societies; energy policy analysis relating to efficient energy use; nuclear energy policy; bioenergy; the hydrogen economy; global energy problems; cogeneration; advanced

gas turbines for power generation; fuel cells and alternative fuels for transportation; strategies for separating and sequestering CO<sub>2</sub>; the economic costs of reducing green-house gas emissions.

He is a founding Director and former Chairman of the American Council for an Energy-Efficient Economy and a Fellow of the American Physical Society. In 1988 he was awarded the Leo Szilard Award for Physics in the Public Interest. In 1991 he received the US Department of Energy's Sadi Carnot Award for his work related to energy efficiency. He is the 1995 recipient of the Joan Hodges Queneau Palladium Medal of the National Audubon Society and the American Association of Engineering Societies for his work on innovative engineering solutions to environmental problems.

### **International Waters**

#### **PROFESSOR JOHN D. WOODS**

Professor Woods (UK) is Dean of the Graduate School of the Environment at Imperial College, University of London, where he is Professor of Oceanography. He also heads the Department of Mineral Resources Engineering in the Royal School of Mines. He was previously Director of Marine and Atmospheric Science at the UK Natural Environment Research Council, and before that Director of Regional Oceanography at the Institut für Meereskunde an der Universität Kiel, Germany.

He is a member of Academia Europea and has honorary doctorates from the Universities of Liège and Plymouth. He has served on the scientific committees responsible for the following international programmes: Global Atmospheric Research Committee, World Climate Research Programme, International Geosphere Biosphere Programme, Global Ocean Observing System. Professor Woods has published two books and over one hundred scientific papers on marine and atmospheric science. His current research is on theoretical ecology and ocean forecasting.

#### **DR HELEN T. YAP**

Dr Helen Yap (Philippines), is an Associate Professor at the Marine Science Institute, University of the Philippines. She received her Ph.D. in marine biology from the University of Rostock, Germany.

Dr Yap is a member of the Group of Experts on the Scientific Aspects of Marine Pollution (GESAMP), member of the National Research Council of the Philippines and Secretary and Treasurer of the Association of South East Asian Marine Scientists.

## **Cross Cutting Issues**

### **DR PIER VELLINGA**

Dr Pier Vellinga (the Netherlands), is the Director of the Institute for Environmental Studies at the Vrije Universiteit, Amsterdam, the Netherlands. He received his Ph.D in Technical Sciences (coastal zone management/morphology and fluid dynamics from Delft University of Technology in 1986.

Dr Vellinga has broad international experience in consultancy and governmental policy. He is bureau member of the Intergovernmental Panel on Climate Change and co-chairman of the IPCC Working Group II-B (Coastal Zones, Small Islands, Oceans and marine Ecosystems, Changes in Sea Level, Tropical Cyclones and Storm Surges), a member of the UNEP Scientific Advisory Committee on Climate Change (UNEP/SAC) and member of the International Geosphere-Biosphere Programme - System for Analysis Research and Training (IGBP-START).

### **DR MARY H. ALLEGRETTI**

Dr Allegretti (Brazil), is the Secretary of the Planning and Environment Department in the state of Amapa, Brazil. She graduated in 1979 with a M.Sc. in Anthropology from the University of Brasilia.

Formerly Dr Allegretti was the president of the Board of Directors of the Institute of Amazonian Studies in Brazil. She was the first person to propose and champion the concept of "extractive reserves" saving more than seven million acres of rainforest, and setting this area aside for sustainable utilization by local populations. Dr Allegretti has been a long term advisor to indigenous and rural community organizations.

### **DR STEIN HANSEN**

Dr Stein Hansen, ( Norway) is currently president of Stein Hansen Consulting Ltd, and a senior partner in Nordic Consulting Group Ltd. He is a research fellow at the Fridjof Nansen Institute and the Center for Development and Environment at University of Oslo. Dr Hansen graduated in 1968 in Economics from the University of Oslo, Norway.

Dr Hansen has pursued economic analysis and research throughout his professional career. He has particular experience in the fields of development economics, transport economics, energy (renewable and nonrenewable), resources and environment, population and employment, pricing, investment and macroeconomic policy analysis.

## **PROFESSOR CHIHIRO WATANABE**

Prof. Chihiro Watanabe (Japan) graduated from Tokyo University with a bachelor's degree in Engineering (urban planning) in 1968 and received his Ph.D (arts and Sciences) in 1992, also from Tokyo University.

Professor Watanabe is former Deputy Director-General of Technology Development at the Japan Ministry of International Trade and Industry (MITI). He has spent most of his career there, mainly working in the fields of industrial policy, industrial technology policy, and energy and environmental policies with three years' working experience at Japanese Embassy in Indonesia.

Professor Watanabe is currently a Professor at the Department of Industrial Engineering and Management, Tokyo Institute of Technology, and also Senior Advisor to the Director on Technology at International Institute for Applied Systems Analysis (IIASA). He has published widely in the field of industrial technology, energy and the environment.