

GLOBAL
ENVIRONMENT
FACILITY

STAP BUSINESS PLAN, STAFFING PLAN
AND BUDGET FY96
(Note prepared by UNEP)

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GEF/C.5/6
July 3, 1995

RECOMMENDED DRAFT COUNCIL DECISION

The Council reviewed the STAP business plan presented in document GEF/C.5/6. The Council also reviewed the justification provided for the staffing of the STAP secretariat and finds it appropriate in light of the functions and duties of UNEP in providing the STAP secretariat.

INTRODUCTION

1. The business plan of the Scientific and Technical Advisory Panel (STAP) consists of seven distinct elements. They relate to both functions and products:

- (a) Prepare reports for the Council;
- (b) Review operational strategy papers and advise the GEF Secretariat and Council;
- (c) Conduct selective review of projects;
- (d) Participate in the GEFOP;
- (e) Manage, review and update the roster of experts;
- (f) Provide guidance on the criteria, methodology, and guidelines on monitoring and evaluation; and
- (g) Establish working relationships with relevant scientific, technical and technological bodies, particularly with bodies established under the Conventions related to the focal areas of the GEF.

OBJECTIVES

2. The following objectives will guide STAP's work:
- (a) The main focus of STAP will be to provide strategic advice to the GEF partner Agencies, the GEF Secretariat and the Council on scientific and technical aspects in developing operational strategies and evaluation of their environmental impact. A smaller part of the work is aimed at review of the project portfolio and selective review of projects;
 - (b) STAP selective reviews will be conducted as part of the project cycle, in close cooperation with the GEF Secretariat and Implementing Agencies, making use of the technical reviews of projects to avoid adding another layer of steps in the project cycle, and the STAP Roster will be an important tool in this process;
 - (c) STAP will reinforce and extend the existing working relations between STAP and the scientific, technical and technological bodies of Conventions, and other relevant international scientific and technological research bodies; and
 - (d) As part of the governance structure of the Facility, STAP will work closely with the GEF Secretariat and the three partner Agencies.

STRATEGIC ADVICE

Analysis

3. The relationship among key variables lies at the heart of the linkages intrinsic to securing global environmental benefits, and sustainable development. STAP will analyze scientific and technical issues related to understanding and explaining these linkages in terms of:

- (a) Identification of key GEF relevant issues in operational strategies, their continuing review and interactions between activities in the focal areas;
- (b) Identification of initiatives and gaps (eg. scientific assessments) of GEF relevance, inventories of other actors, potential partners and possible ways to communicate with them;
- (c) Assessment of the evolving context of science, technology, institutions, policy instruments, community participation, local arrangements, private sector participation and best practice;
- (d) The art of matching local priorities and global initiatives, including regional orientations applying the incremental cost methodology, integration in sectoral plans, public participation etc;
- (e) Providing strategic advice on targeted research, cross cutting issues, long term opportunities (particularly long term cost effectiveness and replicability of projects), institutional capacity building (linkages between capacity building and investments as well as between adaptation and mitigation);
- (f) Evaluation of the environmental benefits of the project portfolio of the GEF; and
- (g) Providing advice on the scope, objectives and methodology for monitoring and evaluation of the program as well as portfolio, to identify gaps and actions required to address them.

Outputs

4. An essential element of the credibility and comprehensiveness of STAP's advice is to ensure that a range of disciplinary, regional and global perspectives is available. STAP is proposing to develop thematic papers through ad-hoc working groups; this will include updating of earlier work by STAP. These papers would be used by the GEF Secretariat and Implementing Agencies as an input in their work and would also form background papers for STAP reports to the Council in FY96. To provide objective scientific and technical advice, STAP will:

- (a) Review papers related to:
 - (i) Operational strategies (biodiversity, climate change, ozone, international waters); and
 - (ii) Policy issues (finance related, information dissemination, consultation and participation).
- (b) Produce thematic papers on selected topics:
 - (i) Matching local priorities and global benefits;
 - (ii) Strategic issues cutting across more than one focal area;
 - (iii) Long term opportunities covering both long term and short term cost effectiveness, including aspects such as replicability and project opportunities with benefits in more than one focal area;
 - (iv) Analysis of costs, potential benefits and feasibility of targeted research, and
 - (v) Analysis of the linkages between capacity building and investments for long term effectiveness of GEF activities.
- (c) When relevant, produce dedicated reports on the relevance for GEF activities of the results of ongoing scientific and technical assessments in the fields of biodiversity, climate change, international waters, ozone depletion and land degradation as it relates to the focal areas.
- (d) Assist in the development of indicators to assess the global environmental impact of projects, programmes and strategies.
- (e) Provide commentaries on the work program, development of the project portfolio and program implementation and evaluation.

Targeted research

5. STAP has set up an ad-hoc working group on targeted research aimed to improve the effectiveness of investments. The Panel agrees with the earlier recommendation of STAP in the pilot phase that a modest allocation of GEF resources be made for a carefully designed research strategy, to assist in the development of action plans. This should lead to better projects - in terms of matching local needs with global benefits, implementation, capacity building, capacity utilization and sustainable development. The strategy should establish areas and levels of effort, and avoid duplication through links with ongoing assessment processes and cooperative relations with the scientific, technical and technological bodies of the Conventions, as well as with research in the

private sector and NGO's, to enhance integration. A strategic view is particularly needed where focal areas come together, as well as the regional level, for technological development, adoption of instruments and institution building. STAP will work with UNEP in its current effort to develop a research strategy proposal for the GEF.

INVOLVEMENT OF THE PROJECT CYCLE

Roster of Experts

6. The independent review of projects by experts from the roster is a key element in assisting the GEFOP and the Council in reviewing the scientific and technical soundness of projects. It is, therefore, important for the arrangements to be governed by a set of principles that develop a common understanding between STAP, Council, Implementing Agencies and GEF Secretariat:

- (a) The roster would include highly qualified experts to be chosen by STAP, and the scientific community, Implementing Agencies, GEF Secretariat, Participants in the GEF Council, and NGOs would provide inputs;
- (b) The generic terms of reference for the review of projects by members of the roster would be determined by STAP, which will include conflict of interest clauses; and
- (c) The STAP, in each of its meetings, will assess the reviews and the reviewers against a performance index.

Selective review of projects by STAP

7. The Panel is of the opinion that a way of working should be developed such that STAP's activities can be integrated into the GEF project cycle, rather than to develop stand-alone STAP procedures. STAP will review projects according to certain criteria, including:

- (a) projects specifically referred to STAP by the Council,
 - (b) projects referred to STAP at the request of the CEO and agreed by the Chairperson of STAP; and
 - (c) projects in which STAP initiates the review on the basis of agreed criteria.
8. The types of projects which STAP could review would include:
- (a) targeted research projects;
 - (b) projects which are highly innovative in terms of the science, technology and institutional aspects and/or which have important risk elements;

- (c) projects which bridge more than one focal area, eg. projects that cover climate, biodiversity and/or international water; and
- (d) projects whose scientific and technical soundness has caused serious concern to the Council or to STAP.

9. To carry out its work efficiently and to make STAP's work fully integrated in the project cycle, STAP should receive relevant documents on projects throughout the project cycle so that it has a comprehensive perspective on GEF activities.

Evaluation

10. STAP is of the opinion that it can provide "value added" by participating in the annual project implementation review. STAP may decide to selectively identify projects for further review for their scientific and technical aspects, consistent with criteria approved by Council.

11. STAP is also available to provide advice and report to the Council on the scientific and technical aspects of evaluation. STAP would raise issues related to the scientific and technical content of the criteria, methodology, and guidelines for review of project and program implementation. It would guide special evaluation studies, analyze the scientific and technical effectiveness of the GEF portfolio, assess the global environmental benefits of the operational strategies, and consider innovative approaches and issues that cut across the focal areas.

12. To guide monitoring and evaluation STAP will develop aggregated policy - oriented indicators, that go beyond descriptive indicators. The indicators will be derived through scientific and technical analysis, integration of information from different disciplines, and examination of the linkages between environmental, economic, social and institutional aspects of global environmental benefits, and of sustainable development. STAP will fully utilize relevant on-going work in other fora.

PANEL

13. The work of STAP will be shared between the Chair, members of the Panel and the STAP Secretariat. The six months provided by the Chairperson would be spent on preparation for and participation in STAP meetings and Working Groups (1 month), preparing for and participating in meetings of the GEF Council, NGO consultations, seminars and GEFOP (1.5 months), participation in meetings of the scientific, technical and technological bodies of Conventions and other research bodies (0.5 months), finalizing reviews and providing guidance to the working groups (1 month) and developing STAP reports to the Council (2 months). The two months provided by Panel members would be spent on the continuing review of the Roster of Experts and selective review of projects (0.5 months) participation in meetings of STAP (0.5 months), review of GEF Secretariat products (0.25 months), preparing additional STAP products, strategic advice and periodic reports (0.75 months).

14. STAP will prepare regular reports for the GEF Council, including reviews of strategy papers and a report on the work programme as appropriate. The chair, or a representative, will participate in each meeting of the GEFOP; this will require work on each project as well as its independent review and compilation of the information. The STAP recommendation on selective review of projects includes evaluation of the global benefit of the environmental impact of projects. Working relations have also to be established with the science bodies of the Conventions and other research bodies; this will also require participation in meetings of those bodies. To ensure the credibility of the advice of STAP a range of perspectives will have to be considered and papers developed in working groups. Since STAP members are part-time the calendar of meetings has to be determined well in advance, and attendance at Council meetings, seminars and NGO consultations are also necessary.

15. Costs associated with these activities include a honoraria for members (@ \$400 per day including 60 days for 11 members and 180 days for the chair) of \$342,000; STAP meetings (4 STAP meetings are proposed) of \$200,000; working group activities of \$100,000; and, other travel of the Chairperson and members to meetings of the Council, relevant subsidiary bodies of the Conventions, science bodies etc. of about \$50,000.

SECRETARIAT

16. In its commentary, the Independent Evaluation of the Pilot Phase of the GEF noted that STAP's work would have been more efficient if it was supported by a full time professional unit. Since the Panel members, including the Chairperson, are involved part time in STAP the Secretariat provides continuity as well as the administrative, financial and institutional support to the activities of the Panel. This Business Plan envisages a small core of full time professional staff, details of which are elaborated below, supported by other parts of the UNEP GEF Unit. The STAP Secretariat will work under the guidance of the Chairperson of STAP and under the administrative auspices of UNEP.

17. A key effort will be to ensure coordination with the GEF Secretariat, Implementing Agencies and relevant scientific, technical and technological bodies, including those of Conventions. The head of the Secretariat will ensure the smooth functioning of the Secretariat and provide policy advice to the Panel; ensure effective coordination with the GEF Secretariat, other Implementing Agencies (UNDP and World Bank) and subsidiary bodies of Conventions (Framework Convention for Climate Change, Biodiversity, Law of the Seas Convention, Desertification, Ozone); liaise with focal points in Governments as well as , intergovernmental scientific and non-governmental organizations; inform STAP members on strategic policy issues affecting STAP activities related to GEF governance, evaluation, operational strategies, projects and management; identify, review and prepare background papers for STAP discussions, including consolidating and synthesizing issues and options related to GEF operations; and clear all documents submitted to the STAP.

18. The head of the Secretariat will also coordinate the work of STAP and its ad-hoc working groups; develop cooperative activities with scientific bodies of Conventions in work related to STAP; review the operation of the STAP Roster of Experts in the project development practices; discuss issues with the GEF Secretariat and Implementing Agencies, and advise STAP on the processes as well as performance of the experts used by the GEF Secretariat and Implementing Agencies; ensure

the availability of staff and financial resources for the work of the Secretariat, and be responsible for the effective use of staff and financial resources. The Secretary of STAP shall be responsible for the performance of the Secretariat functions, administer the staff of, and manage, the Secretariat in accordance with United Nations Regulations and Rules. Staff travel for the meetings of the Council, STAP, working groups, scientific, technical and technological bodies of Conventions etc. will be about \$50,000. Travel costs tend to run high because Council meetings are in Washington, and STAP meetings are in Europe and North America, and could be higher depending on the number of meetings.

19. The Deputy to the Secretary, in addition to providing a back-up to the Secretary, will focus on the technical functions, including those relating to the efficient utilization of the Roster of Experts, providing assistance in the selective review of projects (eg. relating projects under review to ongoing projects) and facilitating assessment of the portfolio of projects, and in the evaluation process by synthesizing information. A major effort in FY96 will be to continuously update and keep under regular review the Roster of Experts as a dynamic process linked to the selective review of projects and the provision of strategic advice by STAP. STAP is responsible for the maintenance of the Roster of Experts, and the quality of the reviews provided by them. Consequently, it will need to monitor the process of independent reviews provided to the Implementing Agencies and to assess their adequacy. The Panel will need assistance in assessing their performance. Assistance will need to be provided to the Panel in reviewing research projects and in the selective review of projects and evaluation of GEF activities including synthesizing information from relevant publications and reports, compilation of information and preparation of documents. Costs associated with these activities include a total of 12 staff months of a middle level professional; other costs associated with the computer package for the roster are \$5,000 for consultant's time.

20. The managerial function will involve arrangements for meetings of STAP and its working groups, ensuring flow of documents related to projects and operations as well as information related to scientific developments for members, communication, publications and financial and administrative reporting. In FY96 the priority for management related tasks will be to establish an electronic information exchange arrangement (Internet) as a quick, effective and least cost measure. It is expected that 200-300 project proposals would need to be considered, in addition to the selective review of projects. Project documents may still need to be sent by courier, and the Secretariat will have to regularly follow up to ensure timely availability of documents, reviews and other information. The arrangements of, and preparations for, meetings have been criticized in the Independent Review of the pilot phase, and special efforts are needed to ensure the efficiency and effectiveness of the measures needed to service the Panel and its working groups.

21. The present Roster has been developed using micro CDS-ISIS, which is intended for bibliographic databases. A more user-friendly database will be introduced to enable portability of the data and retrieval of the information by the Implementing Agencies, including putting the information on Internet (www and gopher). An information system on the independent technical reviews of projects provided by Experts on the Roster will be established to facilitate review of the performance of the experts by the Panel. The review and updation of the Roster of Experts will include provision of analytical information to facilitate the work of the Panel related to selective review of projects and providing strategic advice. In addition, information will be input on critical issues related to types of projects, instruments, technologies, institutional arrangements and regions

to assist in portfolio analysis, evaluation of potential environmental benefits, activities requiring follow-up and strategic gaps, etc. to facilitate strategic analysis by the Panel.

22. Information dissemination and communication will include inputs to the two semi-annual reports on STAP's activities to the Council; and, inputs into NGO seminars and other workshops, etc. Arrangements will also be needed for STAP publications, including the Roster of Experts. Costs associated with these activities include 12 staff months at a junior professional level and communications, general operating costs (publications) and representation costs at \$20,000, \$10,000 and \$2,000 respectively.

23. In addition, the STAP Secretariat will receive assistance amounting to 30 per cent of staff members time from UNEP's GEF Coordination office. Also, UNEP's administrative staff contributes services to STAP. The Coordination Office will provide assistance in the financial area, in liaison services of UNEP's Washington GEF office and in administrative services. These include financial assistance in preparing and revising STAP's budget, ensuring that proposed expenditures remain within available resources, maintenance of financial records for STAP, closing accounts as well as administrative assistance in managing administrative support functions of the Secretariat, processing of contracts, consultancies, procurement requests, office equipment, and personnel matters, such as recruitment actions. The Washington Liaison office provides an information and consultation link between the STAP Secretariat and the GEF Secretariat, World Bank and UNDP and other bodies.

SUMMARY

24. STAP's Business Plan, Staffing Plan and Budget have to be measured in terms of its responsibility to provide strategic advice, review projects selectively, manage the Roster of Experts and ensure credibility and timeliness of a range of products. There is an increase in both the functions as well as the products of the new STAP when compared with the STAP of the pilot phase.

STAP does not have access to Monitoring and Evaluation and Project Development Funds; if these funds are available for the development of methodologies and examination of issues through working groups, the administrative expenditures would be reduced, and additional funds would lead to the consideration of more issues.

STAP BUDGET

STAP PANEL EXPENSES			
	Proposed FY 96	FY 95	% Change FY 96 vs FY 95
Honoraria	342,000	94,100	(+) 263%
Meetings, Working groups	350,000	231,000	(+) 34%
Total Panel Expenditure	632,000	325,200	(+) 94%

STAP SECRETARIAT EXPENSES			
	Proposed FY 96	FY 95	% Change FY 96 vs FY 95
Staff Salaries & Benefits	323,000	321,000	-
Travel	50,000	81,600	(-) 38%
Equipment	-	39,500	-
Translation	-		
Communications	20,000	50,000	(-) 42%
Management Information Systems	-	-	-
Representation	2,000	2,500	(-) 20%
General Operating Costs	10,000	28,600	(-) 65%
Contractual Services	5,000	28,500	(-) 82%
Other	-	6,000	-
Total Administrative Expenditure	410,000	557,800	(-) 26%

TOTAL EXPENDITURE ON STAP			
	Proposed FY 96	FY 95	% Change FY 96 vs FY 95
Total Expenditure	1,102,000	883,000	(+) 20%

STAP Administrative Expenditures FY96

OBJECTIVE	Professional staff time in staff/months	Staff salaries (P & G) \$	Other expenditures \$	Total \$	%
Management	12 (33%)	73,000	10,000	83,000	8%
Project Portfolio	12 (33%)	110,000	58,000	168,000	15%
Communications	-	-	20,000	20,000	2%
Operational Strategies*	4 (11%)	45,000	616,000	661,000	60%
Governance	8 (23%)	95,000	75,000	170,000	15%
TOTAL	36 (100%)	323,000	779,000	1,102,000	100%

* includes inputs in Evaluation.