

**GLOBAL  
ENVIRONMENT  
FACILITY**

**STAP BUSINESS PLAN  
AND BUDGET**

**GEF Council Meeting  
Washington, D.C.  
October 25 - 27, 1995**

**GEF/C.6/8  
October 5, 1995**

**RECOMMENDED DRAFT COUNCIL DECISION**

The Council reviewed the STAP business plan and budget for FY96 presented in document GEF/C.6/8 and approves the STAP budget for FY96 as proposed in the document.

## **INTRODUCTION**

1. STAP's Business Plan derives from its Terms of Reference approved by the Council in July 1995. This document outlines specific products STAP will seek to deliver in FY96, pursuant to its mandate.
2. Paragraph 24 of the GEF 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. UNEP shall provide the STAP's Secretariat and shall operate as the liaison between the Facility and STAP." At its second meeting in November 1994, the Council agreed that STAP should concentrate on providing strategic advice and selectively reviewing projects.

## **OBJECTIVES**

3. The following objectives will guide STAP's work:
  - (a) The main focus will be to provide strategic advice to the GEF on scientific and technical issues. A smaller part of the work is aimed at the selective review of projects.
  - (b) STAP's selective review of projects will be conducted as part of the regular GEF project cycle, in close cooperation with the GEF Implementing Agencies and Secretariat. The reviews will use the Implementing Agencies' technical reviews of projects in order to avoid adding another layer of steps and additional documentation requirements in the project cycle. The STAP Roster of Experts will be an important tool in the GEF's quality assurance system.
  - (c) STAP will establish complementary working relations with the scientific, technical, and technological bodies of the Conventions and other relevant international scientific and technical organizations. STAP's work will not duplicate the efforts of these bodies. The precise nature of the interaction will evolve as the convention subsidiary bodies commence their own work.
  - (d) STAP's activities will be integrated with the activities of the GEF Secretariat and Implementing Agencies and be consistent with GEF processes and procedures approved by the Council.

## **STRATEGIC ADVICE**

4. STAP is charged with advising the GEF on ways to advance a better understanding of the issues of the global environment and how to address them; providing a forum for integrating expertise on science and technology and functioning as a conduit between the GEF and the natural and social science communities and relevant technologists; and synthesizing, promoting and galvanizing state of the art contributions from them. In carrying out this role, STAP's advice will complement activities within the conventions.

5. A priority activity for FY96 is the review of the GEF operational strategies and programmes. In advising the GEF Secretariat and Implementing Agencies on the preparation of the documents, STAP will cooperate with the relevant convention subsidiary bodies.

6. STAP will provide written reviews to the GEF Secretariat and Implementing Agencies on drafts submitted to it for its scientific and technical advice, and participate in meetings to discuss the drafts. In FY96, these will include the development of Operational Programmes. In addition, the STAP Report to the Council meeting will highlight certain key strategic scientific and technical issues relevant to Council's deliberations on the operational strategies.

7. Based on STAP's analysis of the operational strategies and programmes, and in consultation with the GEF Secretariat and the Implementing Agencies, and as appropriate, with the relevant convention subsidiary bodies, STAP will consider the following topics on which additional work might be necessary in order to develop more scientifically and technically sound operational programmes:

- (a) Issues with regard to biodiversity conservation;
- (b) Potential role of the GEF in the promotion of sustainable use of biological resources;
- (c) Options for further development of GEF strategies and activities with regard to international waters;
- (d) A review of possible climate adaptation activities on the basis of an analysis of the forthcoming assessment reports on climate change;
- (e) A review of possible activities in the field of land degradation as it relates to the focal areas of the GEF;
- (f) The role and nature of targeted research as part of the Climate Change Operational Programmes.

8. At the request of the GEF Secretariat and Implementing Agencies or on its own initiative, STAP plans to prepare 2-4 brief thematic papers on these topics to be submitted to the GEF Secretariat and Implementing Agencies to assist them in further developing the operational programmes.

9. STAP will also begin work on a Report to Council on the state of the science, including analysis of relevant international environmental assessments, as it relates to the GEF's operational strategies and programmes. Progress on the report will be included in the STAP Chairperson's report to the Council in October 1996.

#### **ROLE IN PROJECT CYCLE**

10. STAP will contribute to ensuring the scientific soundness and technical quality of GEF projects through independent reviews, largely by the STAP Roster of Experts, 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. Decisions regarding project clearance, approval or endorsement at various steps in the project cycle will be consistent with procedures approved by the Council.

11. STAP, through its Chairperson, will participate in the GEFOPs (held every 4-6 weeks) to review Project Development Facility (PDF) and project proposals. STAP will establish internal working arrangements to ensure that the Chairperson can provide the consolidated scientific and technical views of STAP. The panel's Chairperson will also participate in the annual Project Implementation Review conducted by the GEF Secretariat.

12. STAP will carry out the following tasks in FY96 in order to develop the highest quality Roster and to ensure its effective management:

- (a) Review the format of the Roster to facilitate the most user-friendly and relevant presentation;
- (b) Assess the fields of specialization to be represented on the Roster in order to include the full range of expertise needed by the Implementing Agencies;
- (c) Examine the appropriate level and type of experience required for inclusion in the Roster in order to ensure that STAP can be confident of the scientific and technical soundness of external technical reviews by experts from the Roster;
- (d) Prepare generic guidelines for terms of reference for technical reviewers from the Roster in order to ensure minimum and consistent standards of information in technical reviews.
- (e) Advise on quality control measures, such as performance rating, conflict of interest provisions, and screening mechanisms.

13. STAP is expected to finalize a new edition of the Roster in FY96, which will be accompanied by an Operational Guideline on the use and management of the Roster to be prepared by UNEP as STAP's secretariat, in consultation with the GEF Secretariat and Implementing Agencies, and issued by the GEF Secretariat.

14. At its November meeting, the GEF Council requested STAP to prepare for Council approval criteria to guide the selective review of projects by STAP. STAP will prepare such a paper for Council's approval in FY96 and it keep it under review as experience is gained in the GEF project cycle.

15. In accordance with Council guidance, STAP's selective reviews of projects will not exceed 5-10% of the panel's time. Overall, STAP is estimated to selectively review 5-15 projects at various stages of the project cycle. This would be consistent with the Council's desire to limit STAP's time on selective reviews and to ensure that STAP reviews do not delay projects, while ensuring that STAP can effectively contribute to enhancing the scientific and technical quality of GEF projects.

16. These reviews will be primarily at the request of the Council or CEO; STAP-initiated reviews will be highly selective and focus primarily on strategic scientific and technical issues or targeted research elements. STAP will also seek to review a representative sample of projects. In all cases, STAP will consult with the GEF Secretariat and Implementing Agencies. STAP has identified the following circumstances under which it might initiate reviews of projects or cases in which it will track projects throughout the project cycle:

- (a) projects which are highly innovative in terms of science and technology;
- (b) projects with significant scientific and technical risk or uncertainty; and,
- (c) projects that address more than one focal area and with important strategic scientific and technical implications.

17. In stage one of the project cycle (from project concept to work programme approval), it is estimated that STAP will selectively review approximately 5-10 projects. In stage two of the project cycle (from work programme approval to project approval), STAP will limit itself to 2-3 projects.

18. In stage three of the project cycle (from project approval to project completion), it is estimated that STAP will identify 2-3 projects for further review of the scientific and technical aspects of project implementation, based on the project implementation review. Similarly, it is estimated that STAP will select 2-3 projects for ex-post evaluation of the strategic scientific and technical aspects of project implementation, particularly for those projects that are innovative or contain research, monitoring and assessment components.

19. During FY96, STAP will prepare three reports to the Council. These reports will highlight key issues in STAP's advice to the GEF Secretariat and Implementing Agencies on scientific and technical effectiveness of the GEF portfolio, as well as on strategic issues raised in STAP's selective reviews of projects and in the project implementation review.

## MONITORING AND EVALUATION

20. Pending Council approval of a GEF monitoring and evaluation work programme, it is not possible for STAP to define the specific outputs in this area. In accordance with Council guidance on STAP's role in evaluation, STAP will provide advice on the scientific and technical aspects of evaluation. During FY96, the STAP Chairperson is expected to participate in the proposed GEF Monitoring and Evaluation Advisory Group. The following are key issues on which STAP will focus:

- (a) scientific and technical content of the criteria, methodology, and guidelines for monitoring and evaluating project and programme implementation;
- (b) scientific and technical topics for special evaluation studies;

- (c) scientific indicators that would measure global environmental benefits of the operational strategies and programmes; and,
- (d) emerging scientific issues and innovative technical approaches that cut across focal areas.

## **BUDGET AND STAFFING**

21. The panel will consist of 12 members. The STAP Chairperson will be contracted for six months and other members for two months in FY96. The cost of the honoraria for STAP members is \$342,000 (@\$400 per day for 180 days for the Chairperson and 60 days for 11 members). During FY96, STAP members are expected to spend approximately 30% of their time reviewing and advising on issues related to GEF operational strategies and programmes; 15% on thematic papers to elaborate on strategic scientific and technical issues identified jointly with the GEF Secretariat and Implementing Agencies; 15% on GEFOP, Project Implementation Review, reports to Council, etc.; 10% on the STAP Roster; 10% on selective review of projects; 10% on monitoring and evaluation issues; 5% on the report on scientific and technical developments; and 5% on other issues, such as attending meetings of the Council and conventions' subsidiary bodies, as well as travel time for STAP meetings.

22. STAP is scheduled to have four meetings in FY96 at a total cost of \$200,000. These meetings are scheduled in London, Washington, Nairobi, and Amsterdam. The venues have been selected on the basis of STAP members' travel plans, availability of host facilities at minimum cost to the GEF, potential for interaction with IA and GEF Secretariat staff, and minimization of travel costs.

23. In addition, the STAP Chairperson is expected to attend three Council meetings and the meeting of the GEF Project Implementation Review. In order to promote greater collaboration with convention scientific and technical bodies, reciprocal participation in meetings is expected. The STAP Chairperson will also be invited by other relevant scientific and technical bodies, and travel to a small number of such meetings might be funded by the GEF. Travel costs for these activities is estimated at \$50,000.

24. STAP plans to organize a small number of ad hoc working groups on the themes identified in paragraph 7, in order to assist STAP in providing advice to the GEF. These working groups will be organized in cooperation with the relevant subsidiary bodies of the conventions. In view of STAP's limited budget, it will be necessary to identify co-financing for the four working group activities. These working groups will permit STAP to obtain specialized technical opinions which might not be adequately represented in the panel's membership.

25. STAP will be supported by a full-time STAP Secretary, responsible for the following tasks:

- (a) Acting as the liaison between STAP and the GEF Secretariat and Implementing Agencies;

- (b) Assisting the STAP Chairperson in coordinating the work of STAP and its ad-hoc working groups;
- (c) Overseeing the development and use of the Roster of Experts;
- (d) Assisting the STAP Chairperson in organizing STAP meetings, preparing agendas, and following-up on STAP decisions;
- (e) Performing support functions for STAP, such as literature searches, synthesizing documents, and compilation of information; and,
- (f) Managing the STAP budget.

26. The STAP Secretary will be supported by a professional staff/consultant in the development, management, revision and maintenance of the Roster. A priority activity in FY96 will be the preparation of an Operational Guideline on the use of the Roster and finalizing a revised edition of the Roster. The latter task will involve all activities related to screening nominees for the STAP Roster; developing a new format for the Roster, taking into account Implementing Agencies' needs; presenting candidates for STAP's approval; implementing tasks related to performance management of Roster experts; and, developing a data-management system for the Roster. This position will also serve as back-up to the STAP Secretary.

27. The core STAP secretariat staff will be assisted and complemented by other staff in UNEP's GEF Coordination Office who are funded from the UNEP GEF administrative budget. These include the overall management responsibility of the Executive Coordinator; administrative, budgetary and financial management functions; and, Washington liaison services. When appropriate, UNEP's GEF programme officers for biodiversity, climate change and international waters will also provide substantive support to STAP.

28. Finally, it should be noted that, as in the case of the UNEP GEF administrative budget, UNEP's Environment Fund absorbs a significant portion of the costs related to STAP in order to comply with governments' desire to use existing institutional structures. These include absorbing almost all of the costs associated with rent, utilities, maintenance of premises, and translations. Furthermore, UNEP does not charge for staff time of UNEP's programme and administrative staff: several key UNEP staff members make significant inputs to STAP-related activities and GEF is not charged the full cost of using existing UNEP personnel, payroll, travel and accounting services.



**REVISED STAP BUDGET FY 96**

<b>STAP PANEL EXPENSES</b>	
	Proposed FY 96
Honoraria	342,000
Meetings, Working Groups	350,000
<b>Total Panel Expenditure</b>	<b>692,000</b>

<b>STAP BUDGET REVISION</b>	
Admin. Head of STAP *	128,000
1 Fixed-term staff (for Roster of Experts)	82,000
Travel: 1 person - 2 council meetings	12,000
3 STAP meetings for STAP head	16,000
2 STAP meetings for professional	11,000
Operating Costs	35,000
Communication Costs	30,000
Miscellaneous	6,000
Audit Costs	20,000 (preliminary estimate)
<b>Total</b>	<b>340,000</b>

\* This expenditure includes costs for two support level staff, for secretarial work, meeting organization, document distribution, travel arrangements, DSA, tickets, etc..

<b>TOTAL EXPENDITURE ON STAP</b>	
	Proposed FY 96
<b>Total Expenditure</b>	<b>\$1,032,000</b>