



GEF

Global Environment Facility

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

INTRODUCTION

1. At its meeting in May 2002, the Council reviewed document GEF/C.19/8, *Clarifying the Roles and Responsibilities of the GEF Entities* and took note of the agreement among the GEF Secretariat and the Implementing Agencies concerning lead responsibilities for institutional roles and functions within the GEF. The Council requested the GEF Secretariat to amend the note to take into account future decisions on matters that would influence the matrix and to present the revised note to the Council for endorsement at its meeting in May 2003.
2. The Council stressed the key role of countries and the responsibility of their operational focal points in ensuring coordination and national ownership of GEF activities. The Secretariat was also requested, in revising the matrix, to give consideration to more fully recognizing the roles of other actors such as the national focal points, executing agencies, and NGOs.
3. On the request of the Council the matrix has been revised taking into account the above comments.

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4. The GEF is a multilateral organizational arrangement that embodies partnerships at different levels and dimensions. There is first and foremost a fundamental partnership among and with the governments that participate in the GEF or that receive GEF funds. The Assembly and the Council are key to the governance of the GEF, and these two bodies are responsible for reviewing and making policies for its functioning. Governments are also responsible for identifying national priorities, utilizing a multi-stakeholder process which includes NGOs and civil society, for ensuring that GEF projects conform to national priorities and country strategies, and for ensuring that GEF activities are consistent with national priorities for global environmental conventions and coordinated with their participation in convention activities.
5. 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 vital partnerships with the global environment conventions, with Executing Agencies under the policy of expanded opportunities, and with the NGO community, private sector, and other organizations participating in GEF activities.
7. All these partnerships have evolved and strengthened since the GEF was first established, and are fully expected to continue to evolve with a view to responding effectively and fully to the objectives of the GEF and the decisions of the GEF Council and Assembly.

8. The Second Overall Performance Study emphasized the success of the GEF partnerships 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 institutional partners in order to improve the efficiency and effectiveness of the GEF and its responsiveness to its recipients and donors. In particular, the GEF institutional 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 institutional structure. 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 institutional entities that constitute the partnership and be more responsive to recipients and donors.

9. The attached matrix outlines the lead roles and responsibilities of the GEF entities with a special focus on the roles of the Secretariat and the three Implementing Agencies (UNDP, UNEP and the World Bank). This matrix is designed to enhance their partnership by clarifying the interactions among them as well as their interactions with countries and the executing agencies.

10. This matrix groups the roles and responsibilities under 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.

11. In presenting this matrix, it is stressed 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 with the other GEF entities.

MATRIX OUTLINING LEAD RESPONSIBILITIES FOR 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
Promote dialogue with stakeholders (including NGOs) participating in Conventions	Secretariat
Operationalize convention guidance	Secretariat
COUNTRY COORDINATION AND PROGRAMMING	
Country contact for Council matters and constituency coordination	Political Focal Point
Country contact for national policy and project coordination	Operational Focal Point
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

Coordinate the program of national, subregional and regional dialogue workshops, ¹ including chairing of an interagency Steering Committee for these workshops.	Secretariat
Acting through a strategic partnership, organize at national level, with the national focal point concerned, the country dialogue workshop, including multi-stakeholder consultations	UNDP
Undertake country dialogue on mainstreaming GEF operations within overall country programming and on sector policies	Implementing Agencies
GEF POLICY AND PROGRAM DEVELOPMENT	
Identify national priorities, utilizing a multi-stakeholder process which includes NGOs; ensure GEF projects conform to national priorities and country strategies; ensure consistency with national priorities for conventions through coordination with national focal points for the conventions	Participant Country
Approve strategic priorities through the business plan, and approve elements of Operational Programs	Council
In coordination with Secretariat promote multistakeholder consultations and access to information to promote ongoing dialogue	NGO Network
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	Implementing Agencies/Executing

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.

implementation of projects	Agencies
Manage relations with Implementing Agencies, and with Executing Agencies under Expanded Opportunities	Secretariat
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
Work with countries to identify 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	
Collaborate with GEF M&E unit with regard to M&E reviews of in-country activities.	Participant Country
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 Completion Reports, project monitoring and evaluation, including projects under programmatic approaches	Implementing Agencies/Executing Agencies
Review project achievement of global environmental objectives (i.e., Secretariat	Monitoring and evaluation unit

Managed Project Reviews in association with above)	
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 and others.	Secretariat
Disseminate project level information, including lessons learned	Implementing Agencies/Executing Agencies
Disseminate GEF policy and project information to multistakeholders including NGOs	NGO Network