

52nd GEF Council Meeting
May 22 – 25, 2017
Washington, D.C.

Agenda Item 11

GEF BUSINESS PLAN AND CORPORATE BUDGET FOR FY18

RECOMMENDED COUNCIL DECISION

The Council, having reviewed document GEF/C.52/06, *GEF Business Plan and Corporate Budget for FY18*, takes note of the business plan, and approves a FY18 corporate budget from the GEF Trust Fund of \$35.485 million, comprised of:

- (a) \$22.465 million as core budget and \$1.825 million as Special Initiative for the GEF Secretariat;
- (b) \$2.698 million for STAP;
- (c) \$2.936 million as core budget and \$315,000 as Special Initiative for the Trustee; and
- (d) \$5.246 million for the Independent Evaluation Office (IEO)

The Council also approves a total FY18 administrative budget for the Nagoya Protocol Implementation Fund (NPIF) of \$21,000, comprised of the following allocations from the NPIF to cover the Secretariat's and Trustee's expenses for NPIF administration and implementation:

- (a) \$15,000 for the GEF Secretariat; and
- (b) \$6,000 for the Trustee

The Council also approves a total of \$935,700 for the FY17 and FY18 budget for the Capacity-building Initiative for Transparency (CBIT) Trust Fund, comprised of the following allocations to cover the Secretariat's and Trustee's expenses for CBIT administration and implementation:

- (a) \$320,000 for FY17 and \$490,000 for FY 18 for the GEF Secretariat; and
- (b) \$72,700 for FY17 and \$53,000 for FY18 for the Trustee

The Council requests the Secretariat, in consultation with STAP and the Trustee, to present a combined FY19 corporate budget and business plan for discussion at its 2018 spring meeting.

EXECUTIVE SUMMARY

This document presents the update of the GEF Business Plan for GEF-6 and FY18 budget request to cover expenses of the four central GEF entities for their activities under the GEF Trust Fund: Secretariat; the Scientific and Technical Advisory Panel (STAP); the Trustee; and the Independent Evaluation Office (IEO). It also includes budget requests for the Secretariat and Trustee for their activities under the Nagoya Protocol Implementation Fund (NPIF), and the Capacity-building Initiative for Transparency (CBIT).¹

The document first sets out the combined FY18 corporate budget request, and the explanations supporting this request. The total FY18 budget request from the GEF Trust Fund for the four GEF entities amounts to \$35.485 million. As set out in Tables 1 and 2 in the text, this is comprised of:

1. Secretariat: \$22.465 million as core budget and \$1.825 million as Special Initiative;
2. STAP: \$2.698 million;
3. Trustee: \$2.936 million as core budget and \$315,000 as Special Initiative; and
4. IEO: \$5.246 million

The document then sets out the administrative budget request of \$21,000 to cover the expenses of the Secretariat and the Trustee for the administration and implementation of the Nagoya Protocol Implementation Fund during FY18:² (i) \$15,000 for the Secretariat; and (ii) \$6,000 for the Trustee. In addition, it includes the administrative budget request for the Capacity-building Initiative for Transparency (CBIT) Trust Fund: (i) \$320,000 for FY17 and \$490,000 for FY18 for the Secretariat; and (ii) \$72,700 for FY17 and \$53,000 for FY18 for the Trustee.

The document then provides the third annual update of the GEF Business Plan. This update describes key priorities and tasks that the entities of the GEF network will undertake during FY18, for which the budget request resources are needed and will be used. A core emphasis of the Secretariat, as reflected in the Business Plan, continues to be to act effectively and efficiently with its partners and stakeholders to fully deliver GEF-6, in line with the strategic directions, priorities, and policies adopted and approved by Council, and the mandate and unique assets of the GEF. The Plan also reflects certain needs to support and participate in the GEF-7 replenishment negotiations.

In addition, the document reports on the use of GEF resources and key accomplishments in FY17 of the GEF Secretariat, STAP, the Trustee and the IEO, in line with the Business Plan presented to Council last year.

¹ The FY18 budget for the LDCF and SCCF Trust Funds also are presented separately to the LDCF/SCCF Council.

² Resources are requested from the Nagoya Protocol Implementation Fund.

TABLE OF CONTENTS

| | |
|---|----|
| Executive Summary..... | ii |
| GEF Trust Fund FY18 Corporate Budget Request | 1 |
| Secretariat FY18 Budget Request, Activities, and Outputs..... | 4 |
| Secretariat FY18 Core Budget Request | 4 |
| Secretariat Special Initiative Request | 6 |
| STAP FY18 Budget Request, Activities, and Outputs | 6 |
| Preparing for GEF-7 | 6 |
| FY18 STAP Budget Request..... | 8 |
| Trustee FY17 Budget Request, Activities, and Outputs | 8 |
| Trustee FY18 GEF Trust Fund Budget Request | 9 |
| Independent Evaluation Office FY18 Budget Request..... | 11 |
| Nagoya Protocol Implementation Fund FY18 Budget Request, Activities and Outputs | 12 |
| Secretariat NPIF Activities in FY17..... | 13 |
| Secretariat NPIF Activities and Budget for FY18 | 13 |
| Trustee NPIF Activities and Budget for FY1 | 13 |
| Capacity-building Initiative for Transparency (CBIT) FY18 Trust Fund Budget Request, Activities and Outputs..... | 14 |
| Secretariat CBIT Activities in FY17..... | 15 |
| Secretariat CBIT Activities and Budget for FY18..... | 15 |
| Trustee CBIT Activities and Budget for FY18 | 16 |
| Business Plan of GEF Secretariat..... | 17 |
| Policies and Priority Initiatives | 17 |
| Results-based Management (RBM) | 18 |
| Knowledge Management (KM)..... | 18 |
| Enhancing Gender Mainstreaming..... | 19 |
| Revamped technology platform | 20 |
| Country and Stakeholder Engagement and Partnership..... | 20 |
| Civil Society and Indigenous Peoples Engagement | 20 |
| Enhancing Engagement with the Private Sector | 21 |
| Strategic and Effective Resource Programming..... | 22 |
| Programming Activities..... | 22 |
| Efficiency of the Project Cycle | 23 |
| Engaging in Global Policy Discussions | 23 |
| GEF-7 Replenishment Discussions..... | 24 |
| Annex 1: GEF Secretariat Special Initiative – GEF Sixth Assembly..... | 25 |
| Annex 2: Special Initiatives | 28 |
| Annex 3: STAP Publications and Documents, GEF-5 to Present | 30 |

GEF TRUST FUND FY18 CORPORATE BUDGET REQUEST

1. This document presents the GEF corporate budget request for FY18, which is the third of the four year GEF-6 budget period. The GEF corporate budget finances the administrative costs of the four central entities of the GEF – the Secretariat, STAP, the Trustee and the IEO -- under the GEF Trust Fund.

2. As shown in Table 1 below, \$35.485 million is requested from GEF Trust Fund for FY18 budget. This consists of the following:

- (a) A core budget request of \$22.465 million by the GEF Secretariat. This reflects a planned budget of \$20.545 million, and an additional amount of \$1.920 million due to an increase in the charges applied by the GEF host institution, the World Bank, on the Non-Salary Staff Costs Recovery Rate charged to all World Bank staff,³ effective at the beginning of FY18 (see below).
- (b) A Secretariat Special Initiative of \$1.825 million to cover costs of the upcoming GEF Sixth Assembly, similar to the one used for the GEF Fifth Assembly
- (c) A core budget request of \$2.698 million by STAP.
- (d) A core budget request of \$2.936 million by the Trustee. This reflects a planned budget of \$2.775 million, and an additional amount of \$161,000 due to the increase in World Bank charge for staff recovery costs noted above.
- (e) A Trustee Special Initiative of \$315,000 to cover staff time, meeting and travel costs associated with mobilizing financial resources through the GEF-7 replenishment discussions, similar to the one used for the GEF-6 replenishment.⁴
- (f) A core budget request of \$5.246 million for the Independent Evaluation Office (IEO). This reflects a planned core budget of \$4.645 million and an additional increase of \$601,000 due to the increase in World Bank charge for staff costs recovery noted above.

3. In the GEF-6 replenishment negotiation it was agreed that the budgetary envelope for the GEF Trust Fund for the Secretariat, STAP, the Trustee and the IEO will be \$125 million for four years (FY16-19).⁵ Since FY 16, the four GEF entities have presented and executed their

³ Because GEF Secretariat staff have staff contracts under the host institution, the World Bank, this charge increase applies to the GEF Secretariat. This is also the case with staff of the GEF Independent Evaluation Office and the Trustee. Staff members of STAP are employed under contracts with UNEP and not the World Bank.

⁴ Trustee replenishment activities are a significant amount of their budget, therefore the Trustee reports this as a Special Initiative, consistently with how it was reported in the previous replenishment.

⁵ *GEF Business Plan and Corporate Budget for FY16*, GEF/C.48.05, paragraph 26 and Table 1, reflecting the agreed allocations in the *Summary of Negotiations of the Sixth Replenishment of the GEF Trust Fund*, Table 1, GEF/C.46/07/Rev.01. Of the total of \$125 million, \$106 million was allocated to the Secretariat, STAP and the Trustee (the Corporate Budget), and \$19 million to the IEO.

budgets to remain within this four-year budgetary envelope for GEF-6. For FY17 and FY18, revised projections of the Trustee show lower operational costs compared to what was originally estimated in the GEF-6 budget envelope, in the amount of \$0.994 million. This would reduce the four-year projected expenses to \$124.006 million (see Table 1).

4. In 2017, however, the World Bank informed GEF of an increase in the World Bank Non-Salary Staff Costs Recovery Rate charged on all products and activities including to trust funds (like GEF), from 50% to 70% of staff salaries.⁶ This will increase staff costs of the Secretariat, the Trustee and IEO by 13.3%.⁷ This change, effective July 1, 2017, is an externally-imposed cost increase that was not anticipated in the GEF-6 budget envelope. It arises as part of a reform process in the World Bank to ensure its continued financial sustainability, which includes a new cost-recovery approach to all external funds (including trust funds) to fully cover institutional costs across the World Bank. The change is based on a determination by the World Bank that the current rate was not sufficient to cover actual costs (even though there has been no change in benefits), and that the shortfall could no longer be subsidized by the World Bank.

5. As reflected in Table 1, below, the cost impact to the GEF Secretariat will be \$1.920 million in FY18 and \$1.980 million in FY19. For the IEO, the cost impact will be \$601,000 in FY18 and \$617,000 in FY19. For the Trustee, the cost impact will be \$161,000 each year in FY18 and FY19. The total cost impact for the three entities is \$2.682 million in FY18 and \$2.758 million in FY19 (see Table 1).

6. The GEF Secretariat and the IEO do not have any realistic possibilities to absorb this externally-imposed cost increase without undermining operations. As the data below show, the Secretariat is estimating nearly full utilization of approved FY17 budget to maintain core operations, while applying rigorous planning and efficiency to stay within budget.⁸ The same is the case for FY18, and is similarly the case for IEO.

7. In sum, the budget request for FY18 for the Secretariat, STAP, the Trustee and IEO remains consistent with the four year GEF-6 budget envelope but with an additional amount of \$2.682 million to cover the costs of the increased World Bank charge for cost recovery. The total FY18 budget request for the Secretariat, STAP, the Trustee and IEO, including this additional amount, is \$35.485 million which will be allocated from the GEF main Trust Fund. This is shown in Table 1.

⁶ As our host, the World Bank applies policies to recover institutional non-salary staff costs throughout the institution. These include costs of health and life insurance, disability, retirement plans, termination, relocation, and others.

⁷ The STAP is not affected by this rate increase as its staff are contractually part of UN Environment (UNEP), not the World Bank.

⁸ For GEF-6, as noted in earlier budget documents to Council, the Secretariat updated its budget system to ensure careful tracking of costs for efficient delivery of GEF-6 core work and priorities. The Secretariat applies rigorous planning and efficiency measures to minimize costs across all lines of its work, and in line with World Bank procedures and best practices in terms of travel (lower cost options), consultants and procurement, budgeting and auditing and all other aspects of operations.

Table 1: GEF Trust Fund Corporate Budget Projections for FY16-FY19 (\$ Million)

| GEF Entities | FY16 Actual | FY17 Estimated | FY18 Budget Request | FY19 Projection | FY16-19 TO TAL |
|--|----------------|-------------------|---------------------------|--------------------|-------------------|
| Secretariat Core Budget | 19.334 | 19.779 | 20.545 | 20.969 | 80.626 |
| Refund from FY15* | (0.528) | | | | (0.528) |
| Secretariat - Non-Salary Staff Costs Recovery Rate Increase by the World Bank | | | 1.920 | 1.980 | 3.900 |
| Secretariat Total | 18.806 | 19.779 | 22.465 | 22.949 | 83.998 |
| Secretariat Special Initiative | | | 1.825 | | 1.825 |
| STAP Total | 2.540 | 2.620 | 2.698 | 2.753 | 10.611 |
| Trustee Core Budget | 3.008 | 2.853 | 2.775 | 3.477 | 12.113 |
| Trustee - Non-Salary Staff Costs Recovery Rate Increase by the World Bank | | | 0.161 | 0.161 | 0.322 |
| Trustee Total | 3.008 | 2.853 | 2.936 | 3.638 | 12.435 |
| Trustee Special Initiative | 0.000 | 0.045 | 0.315 | 0.000 | 0.360 |
| Total - Secretariat, STAP and Trustee | 24.354 | 25.297 | 30.239 | 29.339 | 109.228 |
| IEO Core Budget | 4.709 | 5.657 | 4.645 | 3.989 | 19.000 |
| IEO - Non-Salary Staff Costs Recovery Rate Increase by the World Bank | | | 0.601 | 0.617 | 1.218 |
| Total IEO | 4.709 | 5.657 | 5.246 | 4.606 | 20.218 |
| Total Secretariat, STAP, Trustee and IEO | 29.063 | 30.954 | 35.485 | 33.945 | 129.446 |

| | | | | | |
|--|---------------|---------------|---------------|---------------|----------------|
| Note: Non-Salary Staff Costs Recovery Rate Increase by the World Bank | | | | | |
| Secretariat | | | 1.920 | 1.980 | 3.900 |
| Trustee | | | 0.161 | 0.161 | 0.322 |
| IEO | | | 0.601 | 0.617 | 1.218 |
| Total Increase | 0.000 | 0.000 | 2.682 | 2.758 | 5.440 |
| Total Secretariat, STAP, Trustee and IEO w/o the recovery rate increase | 29.063 | 30.954 | 32.803 | 31.187 | 124.006 |

* Reflects a refund of \$0.528m from host institution (World Bank) due to adjustment of duplicated charges for office and IT expenses during FY15

SECRETARIAT FY18 BUDGET REQUEST, ACTIVITIES, AND OUTPUTS

Secretariat FY18 Core Budget Request

8. For the Secretariat, an important feature of its budget planning in GEF-6 is the sequencing to implement key GEF-6 priorities and reforms. As explained in the Budget document presented to Council last year, the early budgeting increase in FY16 was needed to kick-start implementation of these Council-agreed priorities, and the budget proposed last year remained at a more steady-state trend in support of core needs and priorities.⁹

9. Moving into this third year of the GEF-6 budget cycle, FY18, and in line with the four year projections, the Secretariat proposes to remain at close to a steady-state trend in its budget for this upcoming year, FY18, of \$20.545 million. This is an increase of \$566,000 or 2.8% from the FY17 approved budget. This core budget request is added onto by the new cost of \$1.920 million due to the increased World Bank Non-Salary Staff Costs Recovery Rate, noted above, for a total budget request of \$22.465 million. The details of the FY18 budget request are set out in Table 2.

Table 2: FY18 GEF Secretariat Core Budget Request (\$ Million)

| Expense Category | FY17 Approved Budget | FY17 Estimated | FY18 Budget Request |
|---|----------------------------|-------------------|---------------------------|
| Staff Costs | 15.177 | 14.804 | 15.545 |
| Salaries and Benefits | 13.170 | 12.854 | 13.570 |
| Travel | 1.907 | 1.870 | 1.875 |
| Training | 0.100 | 0.080 | 0.100 |
| Consultant Costs | 0.700 | 0.770 | 0.777 |
| Council Costs | 0.721 | 0.721 | 0.721 |
| Cross Support from World Bank | 0.557 | 0.552 | 0.549 |
| External Outreach, Publications, Media, and Web | 1.000 | 0.990 | 0.950 |
| General Operations Costs | 1.824 | 1.942 | 2.003 |
| Office, Equipment, Supplies, Communications & Internal Computing | 1.764 | 1.884 | 1.943 |
| Representation and Hospitality | 0.060 | 0.058 | 0.060 |
| TOTAL | 19.979 | 19.779 | 20.545 |
| Secretariat - Non-Salary Staff Costs Recovery Rate Increase by the World Bank | - | - | 1.920 |
| Grand total | 19.979 | 19.779 | 22.465 |

⁹ The priorities included: (1) implement the Results-Based Management (RBM) and Gender Equality Action Plans, the proposed approach on Knowledge Management (KM), and new private sector initiatives, in response to requests by Council; and (2) upgrade the Secretariat's Information Technology systems to support these priority initiatives and GEF programming work.

10. The budget is requested to support the core work and key actions of the Secretariat to deliver GEF-6 as set out in the GEF Business Plan, including in respect to policies and priorities initiatives, country and stakeholder engagement and partnership, and strategic and effective programming of resources to programs and projects. The budget also includes logistical support for GEF-7 replenishment discussions.
11. For FY17, which finishes on June 30, 2017, Table 2 shows an estimated nearly full use of budgeted funds, at \$19.779 million (99%). This reflects the use of FY17 resources to continue efficient and effective implementation of core programming work and on related Council-agreed priority actions for GEF-6, including results-based management (RBM), knowledge management (KM), gender equality and stakeholder engagement. The Secretariat also has made good progress on its overall IT upgrade, completing the update of its external website and internal intranet, and developing the design for an updated Project Management Information System (PMIS). The actions and progress on these items in FY17 are described in more detail in the Business Plan presented later in this document.
12. As shown in Table 2, staff costs for FY17 are slightly lower than projected, due mainly to staff turnover and some staff time allocated to CBIT. On consultant costs, they are slightly higher, due mainly to additional RBM-related work in connection with programming and GEF-7 replenishment preparations.
13. The FY17 estimated expenses also reflect certain costs to support arrangements (facilities, participant travel) for activities to support the GEF-7 replenishment discussions, including the meetings of the Technical Advisory Groups in Washington, D.C. in February 2017 and the first meeting of the First Replenishment Group Meeting in Paris in March 2017.
14. In addition, as noted in the budget paper presented to Council last year, the GEF Secretariat office re-location has taken place in a satisfactory manner and within the GEF budget envelope. This is reflected in the budget request under the line on Office, Equipment, Supplies. Overall, the FY17 estimated expenses stay within the budget approved by Council.
15. The details of the FY18 budget request are shown in the last column of Table 2. Within this request, the specific line items are to meet the anticipated work needs, taking into account updated trends and in line with GEF-6 four-year projections.
16. In particular, the line item on staff costs is within the four-year planning projections. These staff costs reflect the filling of vacant positions due to turnover in FY17 and standard salary adjustment under World Bank rules. The line item for general operations reflects fixed costs for offices, equipment and supplies, which includes an annual 3.5% increase in lease costs. As in FY17, the line item on Cross-Support from the World Bank includes information technology staff support, as well as support on legal, procurement and ethics matters. Table 2 also shows the increase in the World Bank recovery rate, noted previously.

17. In sum, the FY18 budget request will enable continued efficient and effective delivery of GEF-6 programming and policy priorities, as described in more detail the Business Plan further below.

Secretariat Special Initiative Request

18. As noted above, a Special Initiative is also requested to cover the costs needed to prepare and host the GEF Sixth Assembly, in the amount of \$1.825 million. This has been included in the four-year budget projections presented to Council. It is a multi-year Special Initiative based on the same approach used to cover the costs of the GEF Fifth Assembly in 2014 in Mexico covering facilities, travel and other preparatory and logistical items. The itemization of the costs for the GEF Sixth Assembly is presented in Annex 1 to this document.

STAP FY18 BUDGET REQUEST, ACTIVITIES, AND OUTPUTS

Preparing for GEF-7

19. During the course of GEF-6, multi-focal area approaches and integrated programming evolved from experimental to mainstream investments. With the adoption of the 2030 Agenda for Sustainable Development, new opportunities have emerged for the GEF to design interventions that support the strategies of the Conventions while concomitantly breaking new ground as a leader in environmentally sustainable development. STAP will provide technical inputs to the GEF to develop these new opportunities and strengthen its concerted actions to address the challenges of the global environmental commons and improving human well-being. STAP supports a future GEF Program which more explicitly addresses the drivers of environmental degradation, and actively engages partners from other areas of society particularly the private sector. Through its contribution to developing the next GEF Strategy, STAP will continue to work with GEF Partners to identify solutions for meeting the GEF's actions on sustainability, and in particular on planning for resilience in GEF Programs.

20. Specific activities proposed in FY18 and beyond include:

- (a) Ongoing Project Screening: While continuing to screen all full size projects and GEF programs, STAP will also work with GEF Partners in the lead up to GEF-7 to ensure that STAP's screening efforts at entry are more strategic. This may include developing a review function at portfolio level in collaboration with GEF Secretariat staff. In addition, STAP will also focus future screening effort towards large integrated or multi-focal initiatives of a particularly challenging and innovative nature, while working to ensure that the long term resilience of these investments represents an integral part of design;
- (b) Preparation of the STAP Report to the Sixth GEF Assembly: In order to ensure that this effort can effectively contribute to the planning process for the next GEF Program, STAP has moved the timetable for preparing this report up by 1 year. Initial findings will be presented to Council in May, 2017. The final report

will be available by the 53rd Meeting of Council. Points “c” through “j” below represent contributions to this overall report.

- (c) Science of integrated approaches: This activity aims to provide support in defining the future direction of the GEF with regard to defining the GEF-7 Program.
- (d) Knowledge Management in the GEF Program: STAP will contribute to the GEF’s evolving approach on Knowledge Management through the development of a “how to” guide for project designers to incorporate best practice in knowledge management into new project investments.
- (e) Environmental Security: STAP will target advice on the role of environmentally sustainable development, security, and stability to support the delivery of IAPs as well as GEB outcomes.
- (f) Management of local commons in support of the global environmental commons. STAP will explore how polycentric governance approaches can support local approaches to addressing environment and development challenges while building complimentary national, regional and global approaches.
- (g) Financing innovation in the GEF Program. There is a growing need to support and catalyze innovation driven by the expectation that it will lead to greater impact, more rapid deployment of solutions, and ensure these impacts are in partnership with a wider set of stakeholders.
- (h) Novel entities in the environment, an examination of the potential human and environmental health implications, both negative and potentially positive, of synthetic biology, nanomaterials, and human-derived chemicals.
- (i) Contributing to the development of a Global Mercury Knowledge platform, with applications to allow the curators of inventory data to share information on mercury management and disposal.
- (j) Assessing climate risk screening in GEF projects, and developing a practitioners guide to using currently available climate information and data in the design of GEF investments.
- (k) Ongoing engagement with the Evaluation Office on OPS-6, particularly with respect to the Governance and Multiple Benefits Evaluations.
- (l) Outreach: Continually improve on the impact and use of STAP reports through engagement with Agencies and the GEF Secretariat in the identification and delivery of STAP products. Improve outreach and engagement with the GEF Council particularly through hosting periodic STAP Panel Meetings concurrent with the GEF Council Meetings and exploring mechanisms to raise the engagement of STAP with scientific bodies in recipient countries. Develop higher impact and more visible reports and workshops on key integrative topics.

21. These activities will contribute to improving the impact of GEF investments, assist in designing more resilient investments in the future, and explore prospective new program areas in GEF-7.

FY18 STAP Budget Request

22. STAP's expected FY17 expenditures and requested FY18 corporate budget are summarized in Table 3. STAP work program activities for FY17 have been implemented within the approved budget. Please note that FY17 expenditures are estimates at this time, due to the differing GEF and UNEP fiscal years.

Table 3: FY18 STAP Budget Request (\$ Million)

| STAP -- Secretariat | FY17 Approved Budget | FY17 Estimated | FY18 Budget Request |
|--|-------------------------------------|---------------------------|------------------------------------|
| <u>Staff Costs</u> | <u>1.212</u> | <u>1.212</u> | <u>1.234</u> |
| Salaries and Benefits | 1.097 | 1.097 | 1.116 |
| Travel | 0.110 | 0.110 | 0.113 |
| Training | 0.005 | 0.005 | 0.005 |
| <u>Consultant Costs</u> | <u>0.378</u> | <u>0.378</u> | <u>0.396</u> |
| Fees (long-term) | 0.283 | 0.283 | 0.298 |
| Travel | 0.095 | 0.095 | 0.098 |
| <u>General Operations Costs</u> | <u>0.286</u> | <u>0.286</u> | <u>0.293</u> |
| Office Space, Equipment, and Supplies | 0.158 | 0.158 | 0.162 |
| Communications and Internal Computing | 0.041 | 0.041 | 0.042 |
| Corporate Services | 0.085 | 0.085 | 0.087 |
| Representation and Hospitality | 0.002 | 0.002 | 0.002 |
| SUB-TOTAL | <u>1.876</u> | <u>1.876</u> | <u>1.923</u> |
| STAP -- Panel Member | | | |
| Honoraria & Logistical/Secretarial Support | 0.315 | 0.315 | 0.330 |
| MOUs with Expert Institutions | 0.135 | 0.135 | 0.138 |
| STAP Meetings | 0.247 | 0.247 | 0.260 |
| STAP Publications | 0.047 | 0.047 | 0.047 |
| SUB-TOTAL | <u>0.744</u> | <u>0.744</u> | <u>0.775</u> |
| TOTAL | <u>2.620</u> | <u>2.620</u> | <u>2.698</u> |

TRUSTEE FY17 BUDGET REQUEST, ACTIVITIES, AND OUTPUTS

23. The World Bank as Trustee provides a range of services, broadly defined in the Instrument, in the following categories: financial and risk management; investment and cash

flow management; management of GEF partner relationships and transactions; accounting and reporting; legal services; commitment and disbursement of trust fund resources; systems infrastructure and maintenance; and resource mobilization.

24. According to Annex B of the Instrument for the Establishment of the Restructured Global Environment Facility (in paragraph 8), the “reasonable expenses incurred by the Trustee for the administration of the Fund and for expenses incurred in administratively supporting the Secretariat” are reimbursed annually, on the basis of estimated cost, subject to end-of-year adjustment. At its June 2007 meeting, the GEF Council approved the methodology for reimbursement of the Trustee’s costs and expenses as follows: The Trustee presents its projected budget for the coming fiscal year based on the expected work program and associated staff costs and expenses, and receives an allocation from the GEF trust fund; at the end of each fiscal year, the Trustee reports the actual staff costs and expenses incurred to the Council, and reconciles this amount against the allocation provided.

25. In June 2016, Council approved a core budget estimate of \$2.987 million for FY17 to cover Trustee’s services and the cost of external audit of the GEF Trust Fund. The Trustee estimates that expenses for its core services in FY17 are expected to be \$2.853 million, reflecting a decrease of \$133,970 or 4.5% compared to the approved budget. The decrease was on account of efficiency gains in financial and relationship management costs, and decreases in accounting and reporting, and legal services costs. The Trustee incurred an additional amount of \$44,600 in FY17 for the first meeting of the GEF-7 replenishment. Despite the additional cost, the total FY17 expected actual is still \$89,370 or 3% lower than the approved FY17 budget.

Trustee FY18 GEF Trust Fund Budget Request

26 In addition to standard trustee services, the FY18 work program will include the following items:

- (a) Implementation of the GEF-6 replenishment resolution, including working with donors to facilitate deposit of Instruments of Commitment, ensuring compliance with replenishment resolution policies;
- (b) Mobilizing financial resources through the GEF-7 replenishment, working closely with the Secretariat, including logistical arrangements and Co-Chairing of replenishment meetings, preparation of papers and studies, development of financial scenarios, consultations with donors, and drafting the GEF-7 Replenishment Resolution;
- (c) On-going negotiations to revise and update the FPA with the existing GEF Agencies;
- (d) Ensure Agency’s compliance under the FPA including periodic financial reports related to GEF financed activities implemented by the Agencies;
- (e) Administrative support to the GEF Secretariat in implementing policies approved by the Council.

27. The Trustee's core budget estimate for FY18 amounts to \$2.775 million as shown in Table 4. This represents a decrease of \$78,030 or 2.7% compared to the FY17 expected actual costs. This is primarily due to lower investment management cost as a result of estimated lower level of liquidity in the GEF Trust Fund.

28. Beginning FY18, the World Bank changed its rate used to calculate non-salary staff costs charged to all its products from 50% to 70%. This amounts to an increase in \$161,000 in costs to the Trustee. With this additional cost, the total core budget request for FY18 is \$2.936 million.

29. As noted previously, the Trustee's estimated actual expenses for FY17, and its requested budget for FY18, are lower than the projection presented to Council at the beginning of GEF-6 as part of the four-year GEF-6 budget envelope.

30. In addition to the core budget, the FY18 proposed budget for the Trustee includes a Special Initiative of \$315,000 for GEF-7 replenishment activities, to cover staff time, meeting and travel costs as described in item (b) above.

Table 4: Proposed Trustee Budget for GEF Trust Fund FY18 (\$ Million)

| GEF Entities and Budget Items | FY17 Approved Budget | FY17 Estimated | FY18 Budget Request |
|---|-------------------------------------|---------------------------|------------------------------------|
| Standard Services | | | |
| Financial Management and Relationship Management | 1.278 | 1.137 | 1.134 |
| Investment Management /a | 1.304 | 1.326 | 1.249 |
| Accounting and Reporting | 0.123 | 0.121 | 0.121 |
| Legal Services | 0.162 | 0.146 | 0.148 |
| Sub-total, Standard Services | 2.867 | 2.730 | 2.652 |
| Audit | | | |
| External Audit of Trust Fund | 0.120 | 0.123 | 0.123 |
| Total Core Budget | 2.987 | 2.853 | 2.775 |
| Trustee - Non-Salary Staff Costs Recovery Rate Increase by the World Bank | - | - | 0.161 |
| Special Initiatives | - | 0.045 | 0.315 |
| Total Costs, including Special Initiatives | 2.987 | 2.898 | 3.251 |

/a Investment Management fees are calculated based on a cost of 3.5 basis point against the average annual balance of the portfolio.

INDEPENDENT EVALUATION OFFICE FY18 BUDGET REQUEST

31. The approved IEO budget for FY17 covering Operations and Evaluation work has been executed as planned.¹⁰ The Operations budget, including both fixed and variable costs was kept within the amount approved last year by Council, albeit with some slight funding shifts across the variable costs to accommodate OPS6 activities. Notably, there was a shift from the training budget to participation in networks and IEO Operations.

32. The IEO's main evaluation activity this year has entailed OPS6 preparation. To better track expenses, the multiyear evaluations budget has been divided in five clusters: focal area studies, mainstreaming/cross-cutting, performance and impacts, institutional issues, and OPS6. FY17 represents the peak year in the multiyear evaluations budget because of OPS6 preparation. For fiscal year 2018, budget outlays will decline with the release of the OPS6 final report. The Office will continue its regular work program and dissemination of OPS6 findings and recommendations leading up to the GEF Assembly in June 2018.

33. The original preparation of this budget was based on the four-year IEO program budget approved for the current GEF cycle. This budget, prepared in 2014, did not take into account the recently announced World Bank Group mandate that, as of July 1, 2017, the charge for staff benefits will increase from 50% to 70% annually. The extra funds for IEO to cover these costs total \$1.218 million, or \$601,000 for FY18 and \$617,000 for FY19, respectively. This change also impacts the GEF Secretariat and the Trustee, as noted above.

34. In anticipation of this increase for World Bank staff benefit, the IEO has estimated for FY18 a budget of \$5.246 million of which \$4.096 million is assigned to Operations and \$950,000 to cover evaluations cost (Table 5).

¹⁰ See GEF/ME/C.52/01 for full description of IEO operations and evaluation work.

Table 5: Estimated IEO Budget for Fiscal Year 2018

| Expense Category | FY17 Approved Budget | FY17 Estimated | FY18 Budget Request | FY18 Budget Request | |
|--|----------------------------|-------------------|---------------------------|---------------------------|-------------|
| IEO Evaluators Team- Salaries/Benefits | 2.777 | 2.720 | 3.005 | 0.285 | 10% |
| Non Salary Staff-cost | | | 0.601 | | |
| General Operations Costs (B) | 0.470 | 0.470 | 0.490 | 0.020 | 4% |
| Total (A) | 3.247 | 3.190 | 4.096 | 0.305 | 10% |
| Variable Costs | | | | 0.000 | |
| Professional Development | 0.060 | 0.021 | 0.060 | 0.039 | 186% |
| Participations in Networks | 0.040 | 0.060 | 0.040 | (0.020) | -33% |
| IEO Management Operations | 0.055 | 0.094 | 0.060 | (0.034) | -36% |
| Knowledge Management | 0.030 | 0.067 | 0.040 | (0.027) | -40% |
| Total (B) | 0.185 | 0.242 | 0.200 | (0.042) | -17% |
| Total Annual Budget (A+B) | 3.432 | 3.432 | 4.296 | 0.263 | 8% |
| Evaluations | | | | | |
| Focal area | 0.300 | 0.290 | 0.065 | (0.225) | -78% |
| Mainstreaming/Cross Cutting | 0.300 | 0.279 | 0.175 | (0.104) | -37% |
| Performance and Impacts | 0.825 | 0.800 | 0.295 | (0.505) | -63% |
| Institutional Issues | 0.300 | 0.341 | 0.175 | (0.166) | -49% |
| OPS6 | 0.500 | 0.460 | 0.240 | (0.220) | -48% |
| Total Evaluations Budget (C) | 2.225 | 2.170 | 0.950 | (1.220) | -56% |
| Total IEO Budget GEF-6 (A+B+C) | 5.657 | 5.602 | 5.246 | (0.957) | -17% |

NAGOYA PROTOCOL IMPLEMENTATION FUND FY18 BUDGET REQUEST, ACTIVITIES AND OUTPUTS

35. The GEF Secretariat and Trustee request a total of \$ 21,000 from the NPIF to support their respective activities to administer the trust fund. The separate budget requests and the related background and justifications are presented in Table 6.

Table 6: FY18 NPIF Budget Request (in USD)

| GEF Entities and Budget Items | FY17 Approved Budget | FY17 Estimated | FY18 Budget Request |
|--|----------------------------|-------------------|---------------------------|
| Secretariat - NPIF Administrative Budget | 20,000 | 15,000 | 15,000 |
| Trustee NPIF Budget | 11,000 | 7,500 | 6,000 |
| Total – NPIF Budget Requests | 31,000 | 22,500 | 21,000 |

36. Since the inception of the NPIF in the summer of 2011, the GEF CEO has approved a total of 13 NPIF project proposals, totaling \$15.1 million (including Agency fee) and leveraging \$32.4 million in co-financing. These projects have benefited a total of 52 countries in support of Nagoya Protocol ratification and have included: 10 country-based projects (in Argentina, Bhutan, Cameroon, Colombia, Cook Islands, Costa Rica, Fiji, Gabon, Kenya and Panama), two regional projects (one in Central Africa, for the 10 member states of the Central African Forest Commission (COMIFAC), and another in the Pacific region, for the 12 member countries of the Secretariat of the Pacific Regional Environment Programme (SPREP), and one global project (in 21 different countries).

Secretariat NPIF Activities in FY17

37. The 46th GEF Council in May 2014 took note of the GEF Secretariat's good progress in managing the NPIF. It decided to extend the operation of the NPIF to December 31, 2020 for operational reasons to allow continued project preparation and implementation of projects for which a Project Identification Form (PIF) had already been approved. Because all NPIF funds have been allocated to projects, there have been no new approvals since June 30, 2014. This is also consistent with the GEF Council decision on the NPIF from May 2011, not to approve new PIFs after that date.

38. During FY17, the Secretariat staff have worked closely with the GEF Agencies to ensure adequate support during project execution of the projects under the NPIF. All 13 projects are being executed and 9 already have Project Implementation Reports (PIRs).

Secretariat NPIF Activities and Budget for FY18

39. The GEF Secretariat will continue to work with the GEF Agencies on portfolio monitoring and reporting, and other necessary oversight functions. The GEF will also continue to report on the projects' progress and results to the GEF Council, to the CBD COP and to the COP-MOP serving as the Meeting of the Parties to the Nagoya Protocol on Access and Benefit Sharing. To cover these minimum functions, and as reflected in Table 6, the GEF Secretariat requests an administrative budget of \$15,000 all of which will cover staff costs.

Trustee NPIF Activities and Budget for FY1

40. As agreed with NPIF donors under the relevant Trust Fund Administration Agreements, the Trustee receives an annual administrative fee to cover the reasonable actual expenses incurred by the Trustee in carrying out its function for the NPIF. The core elements of the Trustee's work program in FY18 include: (i) financial and investment management of resources, (ii) commitments and transfers to the Agencies, (iii) infrastructure and systems support, and (iv) accounting and reporting for the financial and operational activities of the NPIF. Table 7 shows the breakdown of the Trustee fee by services provided to the NPIF

41. Based on the first nine-month period ended March 31, 2017 and projections for the remaining three months, the FY17 actual costs for Trustee services are expected to be \$7,500,

which is \$3,500 or 32% lower than the approved budget of \$11,000. The decrease is due to lower investment management and legal services fees.

42. To cover its expenses for FY18, the Trustee requests a budget of \$6,000 as presented in Table 7. The proposed budget represents an overall decrease of \$1,500 or 20% compared to the FY17 estimated actual cost of \$7,500. Due to the declining activity in NPIF, it is anticipated that FY18 requirements for Trustee services will be reduced across the board compared to FY17 levels NPIF

Table 7: Proposed Trustee Budget for NPIF FY18 (in USD)

| GEF Entities and Budget Items | FY17 Approved Budget | FY17 Estimated | FY18 Budget Request |
|--|-------------------------------------|---------------------------|------------------------------------|
| Financial Management and Relationship Management | 3,000 | 3,000 | 3,000 |
| Investment Management /a | 3,000 | 2,500 | 1,000 |
| Accounting and Reporting | 2,000 | 2,000 | 2,000 |
| Legal Services | 3,000 | - | - |
| Total Costs | 11,000 | 7,500 | 6,000 |

/a Investment Management fees are calculated based on a cost of 3.5 basis point against the average annual balance of the portfolio.

CAPACITY-BUILDING INITIATIVE FOR TRANSPARENCY (CBIT) FY18 TRUST FUND BUDGET REQUEST, ACTIVITIES AND OUTPUTS

43. The GEF Secretariat and Trustee request a total of \$936,000 from the CBIT Trust Fund to support their respective activities to administer the trust fund for FY17 and FY18. The separate budget requests and the related background and justifications are presented below and in Table 8.

Table 8: FY18 CBIT Budget Request (\$ Million)

| GEF Entities and Budget Items | FY17 Estimated | FY18 Budget Request |
|--|---------------------------|--------------------------------|
| Secretariat - CBIT Administrative Budget | 0.320 | 0.490 |
| Trustee CBIT Budget | 0.073 | 0.053 |
| Total – CBIT Budget Requests | 0.393 | 0.543 |

44. The CBIT Trust Fund establishment was agreed at the 50th GEF Council in June 2016, in response to the Paris Agreement and its decision. The Trust Fund was operationalized with the first set of projects approved in November 2016. To date, the GEF CEO has approved a total of 5 project proposals, totaling \$5.798 million (including Agency fee). These projects are enhancing the transparency of action and support through 4 national projects in Costa Rica, Kenya, South Africa, and Uruguay, and through a global platform to facilitate sharing of lessons learned and cross-learning.

Secretariat CBIT Activities in FY17

45. The GEF Secretariat has carried out a significant amount of activities to operationalize the CBIT and work under its trust fund during FY17, including stakeholder consultative meetings, notification to all GEF members about CBIT support opportunities, updating and posting of templates for accessing support, technical review and clearance of project concepts, organization of a pledging session at the 22nd Conference of Parties to the United Nations Framework Convention on Climate Change in November 2016, donor consultations, among others.

46. Consistent with the establishment of the CBIT Trust Fund, the CBIT budget is requested on an annual basis.¹¹ The timing of the Trust Fund operationalization and capitalization did not enable the budget proposal to be submitted to the Council for FY17. Based on actual expenditure for the first nine months of FY17 and projections for the remaining three months, the Secretariat requests the budget of USD \$320,000 to cover CBIT start-up costs and the Secretariat's work program since the inception of CBIT until June 30, 2017. These costs are shown in more detail in Table 9.

Secretariat CBIT Activities and Budget for FY18

47. During FY18, the GEF Secretariat will further intensify efforts on the CBIT project development and implementation, due to the time-bound nature of the Trust Fund. As sunset provisions, the CBIT Trust Fund will not receive new contributions after the end of the GEF-6 period, and its funds will be used to approve projects, activities, and programmatic frameworks until the end of GEF-6 period, unless otherwise decided by the Council. The Secretariat will continue to interact with interested countries to provide access to CBIT support upon request, and will work with the GEF Agencies for oversight functions including portfolio monitoring and reporting. Regular reporting on the CBIT progress and results to the GEF Council, UNFCCC bodies, coordination with partners, and information sharing will also be carried out. In addition, as stated in the Programming Directions document (GEF/C/50/06), the Secretariat is elaborating how the CBIT efforts will be an integral part of GEF's climate change support for GEF-7 to be financed by the GEF Trust Fund, as part of the replenishment process during FY18. To carry out these functions, the GEF Secretariat requests a budget of \$490,000, which will cover staff and consultancy costs and travel.

¹¹ GEF/C.50/05, Establishment of a New Trust Fund for the Capacity Building Initiative for Transparency, 50th GEF Council Meeting, June 2016.

Table 9: GEF Secretariat FY18 CBIT Budget Request (\$ Million)

| GEF Entities and Budget Items | FY17 Estimated | FY18 Budget Request |
|--------------------------------------|---------------------------|------------------------------------|
| Staff Costs (Salaries & Benefits) | 0.260 | 0.400 |
| Travel | 0.035 | 0.040 |
| Consultant Costs | 0.025 | 0.050 |
| Total – CBIT Budget Requests | 0.320 | 0.490 |

Trustee CBIT Activities and Budget for FY18

48. As agreed with the donors under the Trust Fund Administration Agreements, the Trustee receives an annual administrative fee to cover the reasonable actual expenses incurred by the Trustee in carrying out the Trustee function for the CBIT.

49. The core elements of the Trustee’s work program during FY17 and FY18 include: (i) management of donor contributions; (ii) financial and investment management of resources; (iii) commitments and disbursements to the Agencies; (iv) infrastructure and systems support; (v) accounting and reporting for the financial and operational activities of the CBIT; and (vi) finalization of Financial Procedures Agreements (FPAs) between the Trustee and the Agencies. Table 10 shows the breakdown of the Trustee fee by services provided to the CBIT.

50. Based on actual expenditure for the first nine months of FY17 and revised projections for the remaining three months, the Trustee requests the budget of USD 72,700 to cover CBIT start-up costs and the Trustee’s work program since the inception of CBIT until June 30, 2017. In FY17, CBIT liquidity balance averaged to \$15 million and currently stands at \$30 million. It is expected to remain at the current level of \$30 million through FY18.

51. To cover its expenses for FY18 related to the above work program, the Trustee requests a budget of \$53,000 as presented in Table 10.

Table 10: Proposed Trustee Budget for CBIT FY18 (in USD)

| GEF Entities and Budget Items | FY17 Estimated | FY18 Budget Request |
|--|-------------------|---------------------------|
| Financial Management and Relationship Management | 47,400 | 25,000 |
| Investment Management /a | 5,500 | 11,000 |
| Accounting and Reporting | 8,800 | 6,000 |
| Legal Services | 11,000 | 11,000 |
| Total Costs | 72,700 | 53,000 |

/a Investment Management fees are calculated based on a cost of 3.5 basis point against the average annual balance of the portfolio.

BUSINESS PLAN OF GEF SECRETARIAT

52. This section focuses on the Business Plan of the GEF Secretariat, and follows the separate section on the budget request for FY18 (above). The discussion provides an annual update of the GEF Business Plan of the Secretariat presented to Council at its 46th meeting in May 2014, which reflected the priorities agreed upon for GEF-6 and actions to implement those priorities and meet GEF's core work demands.¹² As the GEF is now entering into the fourth year since the Replenishment, the discussion provides an update on progress and key areas of focus for the Business Plan for FY18, and provides additional detail and information to explain the basis and need for the budgetary resources requested in Table 2 above.

53. The Business Plan also reflects key elements of the *Long-Term Strategy for the GEF* (GEF 2020),¹³ including integrated approaches, support for innovative and scalable interventions focused on the drivers of environmental degradation, enhancing country ownership, mobilizing stakeholders for solutions, and putting a focus on results and efficiency. A core continuing emphasis of the Secretariat is to work with partners and stakeholders to fully deliver GEF-6. In addition, as noted further below, the Secretariat is continuing steps in this upcoming year to support and participate in the GEF-7 replenishment discussions.

Policies and Priority Initiatives

54. The Secretariat will continue to focus efforts on the effective and efficient implementation of several policy and priority initiatives established for GEF-6, in consultation with the Agencies, Conventions, IEO, STAP and other stakeholders, and in line with priorities and decisions set by Council. During the upcoming fiscal year, these efforts will be adapted and

¹² The policy recommendations and programming priorities established for the GEF-6 Replenishment, which are included in the *Summary of Negotiations of the Sixth Replenishment of the GEF Trust Fund* (Council Document GEF/C.46/07). The Action Plan for implementing the *GEF-6 Policy Recommendations* is attached as Annex 1.

¹³ See *Long-Term Strategy for the GEF – GEF 2020*.

updated to enable efficient preparations for GEF-7, taking into account progress and directions developed in the replenishment discussions.

Results-based Management (RBM)

55. In respect to RBM, the Secretariat, in partnership with the Agencies, the Conventions and others, will continue to implement the five key actions set out in the Progress Report presented to Council at its 4^{8th} Session (see GEF/C.48/Inf.07, *Progress Report on the Implementation of the Results-based Management Action Plan and its update* GEF/C.50/03). The implementation of the RBM Action Plan has accelerated over the past FY. In particular, the Corporate Scorecard was updated and issued for the second time and an improved Annual Portfolio Monitoring Report (APMR) was published. The APMR, in addition to its focus on key indicators, offered deep dives into a few selected thematic areas, in line with GEF-6 priorities and the GEF 2020 Strategy. The Secretariat has also engaged closely in the IT upgrade to ensure that the new GEFSEC platform will support RBM priority needs, and will help ensure a focus on assessing relevant results in all aspects of GEF operations, policy and reporting (e.g., reports to Conventions). The RBM content on the GEF website has been improved and presents relevant and current information.

56. Looking ahead to FY18, priority attention will be put on bringing the actions noted above to completion, and continuing to strengthen a “results-based” culture within the partnership. Work on RBM for GEF-7 that started in FY17 will continue and the focus is on a shift towards a limited number of core indicators. Furthermore, the use of geospatial information will be advanced. Guidance for reporting at program level in multi-focal areas and integrated approach programs will also be issued.

Knowledge Management (KM)

57. In respect to KM, the Secretariat, working with the Agencies and other stakeholders, is pursuing two main objectives: first, to inform global, regional and national policy dialogues on options and approaches to reverse the course of environmental degradation; and second, to improve the impact of GEF-supported projects and programs.^[1]

58. In FY17, the Secretariat completed the implementation of activities included in the initial action plan that was approved by the Council in June 2015. In that context, the Secretariat (1) established and facilitated an inter-agency KM Advisory Group (AG) to support and guide the GEF KM agenda; (2) undertook country level surveys on KM needs/preferences of recipient countries; (3) conducted a KM Audit and a knowledge asset analysis across the Partnership, and prepared a detailed KM implementation Road Map that builds on the initial KM actions; (4) created a Knowledge and Learning Page on the GEF website; and (5) undertook four KM exercises: (i) to extract lessons learned from terminal evaluations of completed GEF multi-focal area projects for integration into PMIS; (ii) to design, development and public launch of the pilot GEF KALEO “Ask the Expert” on-line knowledge sharing tool; (iii) to design and

^[1] See GEF/C.48/07, GEF Knowledge Management Approach Paper.

implementation of regional GEF Knowledge Days that facilitate peer-to-peer learning from GEF projects on the ground, targeting GEF country counterparts; and (iv) to design, production and dissemination of the Art of Knowledge Exchange Guide: A results-based Planning Guide for the GEF Partnership.

59. In line with the recommendations of the KM Roadmap, several other KM actions have also been initiated in FY17 and will continue into FY18. These include: (1) replicating the pilot GEF Knowledge Days for all ECWs throughout 2017 and 2018, based on positive feedback received from participants; (2) organization of Art of Knowledge Exchange Training Workshops at all ECWs throughout 2017, targeting country counterparts; (3) design and development of an IT-based GEF Knowledge and Learning Platform, in collaboration with GEF partners, to facilitate the capture, curation, analysis and sharing information on best practices and lessons learned from GEF-financed projects and programs; (4) strengthen/ expand communities of practice to facilitate uptake of lessons and best practices. A more detailed description of progress and next steps is set out in the Council information document on Knowledge Management Status Report (GEF/C.52/Inf.08).

Enhancing Gender Mainstreaming

60. The GEF is committed to strengthening its gender mainstreaming efforts and contributing to gender equality and women's empowerment through its operations in GEF-6. In FY17 the Secretariat is working as a matter of priority to implement the [Gender Equality Action Plan](#), (GEAP. Building on the Action Plan, the GEF created a gender partnership platform in 2015 for partners to share knowledge and collaborate on implementing the Action Plan. The GEF Gender Partnership is now increasingly serving as a "community of practice" engaging gender focal points from all GEF's 18 Agencies, MEA Secretariats, and other partners. For FY18, together, with the Partnership, the Secretariat is focusing on the following actions:

- (a) Strengthening the results-based monitoring (RBM) framework for gender mainstreaming across the corporate and GEF focal area level.
- (b) Advancing the knowledge base and communication on gender as related to GEF program and project portfolio, using it. to: (1) inform the forthcoming update of GEF's Gender Policy and finalization of the Guidelines (see below); and (2) generate knowledge products, and support communication and learning on gender across Agencies and partners.
- (c) Build Secretariat staff capacity survey and finalize the development of an e-course and webinar series on gender and the environment for GEFSEC and Agency staff, as well as Operational Focal points and other local partners.
- (d) The Secretariat will work, in close consultation with Agencies and other expert groups to update the GEF's Policy and Guidelines on Gender, which is expected to be presented to Council in November 2017.

61. A more detailed description of progress and next steps is set out in the Council document with the GEAP Progress Report (GEF/C.52/Inf.07).

Revamped technology platform

62. As indicated to Council last year, the Secretariat is taking several steps to revamp its technology platform in support of its priority work activities, in response to the recommendations from the Replenishment and supported by Special Initiative funds indicated in Annex 2. Key actions include the following:

- (a) Document and Project Lifecycle Management. The Secretariat has made significant progress this year assessing operational needs and subsequently coming up with a design that would enable more efficient project cycle management system (i.e GEF Project Portal or the PMIS v2).
- (b) Communication and Stakeholder Engagement. The Secretariat completed the following: (i) a major upgrade of its external website. (ii) a new GEF intranet to enhance internal communications and knowledge sharing among GEF staff; and (iii) improved social media channels and online communication material to strengthen the engagement with partners and key stakeholders, and promote GEF work with the general public.
- (c) Event Management. In order to enhance overall user experience for event participants, the Secretariat would upgrade its event management system to streamline how events are managed, including quicker participant.
- (d) Data Analytics. In support of its work on RBM and KM in particular, the Secretariat would deploy advanced data analytics tools to more efficiently extract and utilize information and lessons from the GEF work portfolio. The first batch of deployment of visualization tools such as Tableau is completed.

Country and Stakeholder Engagement and Partnership

Civil Society and Indigenous Peoples Engagement

63. The GEF's 1996 Public Involvement Policy and its associated Guidelines (2014) emphasize that effective public involvement is critical to the success of GEF-financed projects by enabling projects to build on stakeholder knowledge and expertise and fostering local engagement and ownership, in support of broader environmental and sustainable development objectives.

64. Since the formulation of the Public Involvement Policy, the GEF partnership has expanded and a number of policies and guidelines related to stakeholder engagement and gender mainstreaming have been approved.

65. As a result of these developments, the Secretariat in partnership with civil society, agencies, a number of OFPs and members of Council and the IEO established a Working Group (WG) on Public Involvement, which reviewed the relevant policies, guidelines, and practices of the GEF Partner Agencies, and provided a report and recommendations to Council at the meeting in October 2016.

66. As a result of these recommendations, the Council requested the Secretariat to present an updated policy on stakeholder engagement and access to information for consideration at its 53rd meeting in November 2017.

67. In parallel, based on the results of the evaluation conducted by the GEF IEO on the GEF CSO Network¹⁴ presented to the October GEF Council meeting, the Council decided to set up an ad-hoc working group of interested Council Members to develop an updated vision on the relationship between the GEF and civil society, and a plan to achieve it, in consultation with relevant stakeholders. The updated vision is expected to be presented in FY18, to the 53rd Council meeting in November 2018.

68. The Secretariat continues to expand its engagement with Indigenous Peoples in its programs and operations. The GEF Indigenous Peoples Advisory Group (IPAG) continues to provide valuable support to the GEF on programming strategies, outreach needs, knowledge products, among other areas. A recent successful initiative of the GEF, in collaboration with the IPAG, was the development and launch of a new publication to help indigenous peoples titled, *User Guide: Indigenous Peoples and GEF Project Financing*.

69. Looking ahead, the GEF will continue in FY18 its outreach to indigenous peoples and work with IPAG on future GEF policy and programming updates, as well as consulting with indigenous peoples on ways to expand indigenous peoples' access to financing for conservation initiatives.

Enhancing Engagement with the Private Sector

70. The GEF has taken several steps to better mainstream private sector engagement in projects and programs during GEF-6, including in the GEF focal areas, through the IAPs, and through the Non-grant Instrument (NGI) Pilot window. Innovative blended finance through the NGI Pilot has perhaps been the most visible, but GEF has numerous other efforts seeking to enhance its global facilitator role to support and foster green finance and private sector engagement through convening and supporting alliances, supporting regulatory reform, and helping foster green finance.

71. For the Commodities IAP, for example, there has been an extensive outreach to multiple actors within the sustainable forestry sector and along the entire supply chain, including private sector companies. GEF is working with its partners and interested parties to build bridges between private sector and public institution in specific sectors (e.g., conservation finance, plastics and waste management). A notable example is the new Coalition for Private Sector Investment in Conservation, which is developing key blueprints and project pipelines in agriculture, fisheries, and land restoration. Through the Climate Finance Aggregation Initiative, GEF is working with NGOs and the private sector to identify tools and business models to aggregate smaller projects into attractive investment bundles. GEF has also lined up private

¹⁴ [Evaluation of the GEF Civil Society Organization Network](#) (GEF/ME/C.50/02)

sector partners to support high-profile sustainable energy, international waters, and chemicals initiatives, such as the GEF Gold initiative to reduce mercury emissions.

Strategic and Effective Resource Programming

Programming Activities

72. The GEF programming work puts emphasis on supporting projects and programs that align with GEF programming strategies, address the drivers of environmental loss, ignite new and innovative approaches to achieving global environmental benefits, and provide opportunities to scale-up benefits. Through enhanced engagement with the private sector and other stakeholders, the GEF will continue to pursue opportunities for cutting-edge practices and technologies to accelerate achievement of Global Environmental Benefits (GEBs).

73. As we approach the final year of GEF-6, and if the May 2017 Work Program is approved in its entirety, resource programming will reach approximately 68% of the replenishment target for focal areas and programs according to the present estimated allocations under the limited resource availability scenario. This in essence reflects the fact that GEF and agencies are being able to program virtually all resources made available by GEF donors through the Trustee.¹⁵ The Secretariat will continue its programming activities into FY18 as a core part of its business plan and responsibilities and which represents the last year of GEF-6.

74. The last GEF Work Programs and the proposed Work Program for the current Council meeting include several priority projects that focus on ensuring equal programming among the different focal areas as well as for countries that have not programmed much of their resources, all in accordance with managing the projected shortfall in GEF-6 resources per the council decision. The GEF also is working to carry out its new responsibility to help countries build capacity for transparency of action and of support, through the establishment and operation of the Capacity-building Initiative for Transparency (CBIT) and a CBIT Trust Fund. The CBIT was launched in November 2016 at the 22nd UNFCCC COP. The Secretariat is also continuing discussions with the Green Climate Fund (GCF) and other climate funds to foster and help ensure complementarity and effectiveness in climate change financing going forward.

75. The details of GEF's work and activities in support of the Conventions, for which it serves as a/the financial mechanism, and collaboration with the GCF is described in Council Document GEF/C.52/03, Relations with the Conventions. The GEF will continue this core work in FY18.

¹⁵ With respect to the Integrated Approach Pilots (IAPs), for example, program design has progressed steadily since Council approval of the three IAPs: Food Security in Sub-Saharan Africa, Taking Deforestation out of Commodity Supply Chains, and Sustainable Cities. The lead agencies are working actively with involved governments and other partners and stakeholders to develop child projects and establish institutional frameworks for implementation of these IAP programs. The design phase for the IAPs is a major step toward delivering more impactful integrated finance packages

Efficiency of the Project Cycle

76. The Secretariat and the Agencies are implementing the efficiency measures for the project cycle identified and developed in recent years, including the new Cancellation Policy of October 2014¹⁶ to enhance predictability and reinforce incentives to speed up project preparation, and the Council approved *Expediting the Preparation of the Stock of Delayed Projects* in June 2015, (GEF/C.48/04) to address the existing stock of GEF-4 and GEF-5 overdue projects.

77. Pursuant to the decision of the Council on GEF/C.48/04, there were 95 overdue projects approved in GEF-5 and before that had not yet been submitted for CEO Endorsement/ Approval. Of these 95 projects, 86 were submitted on time with complete documentation, seven projects were cancelled, and two projects were exempt based on extraordinary circumstances beyond the control of the parties. Beyond the one-time cancellation of long-overdue projects, the Cancellation Policy adopted in October 2014 (OP/PL/01) – with mandatory deadlines for the submission of requests for CEO Endorsement/ Approval – has seen full compliance to date: no full-sized projects have been cancelled for failing to meet the 18-month time limit. Hence, the Cancellation Policy has encouraged recipient countries and Agencies to ensure the timely submission of final project documentation for CEO Endorsement/ Approval. The Secretariat will continue implementing the Cancellation Policy by following the steps included in the above mentioned Council Documents aiming to encourage both countries and Agencies to submit on time their projects for CEO Endorsement / Approval as appropriate.

78. Closely related to efforts to improve operational efficiency, the Council adopted in June 2016 a Project and Program Cycle Policy to clarify and consolidate relevant policies. The guidelines to accompany the new Policy are expected to be submitted to the 52nd Council meeting in May 2017.

Engaging in Global Policy Discussions

79. The GEF aims to take part in shaping global policy dialogues, building on its accumulated knowledge, its convening power, and its mandate across a range of environmental domains. This requires a strong outreach and communication strategy that helps bring messages, knowledge and stories from within the GEF, and across the GEF partnership, to the right fora at the right time. There will be a number of opportunities in this regard in the coming year.

80. Building on a renewed strategic communications approach focused on “doing less better”, working more effectively with partners and greater use of digital communication, the GEF is planning several activities to support dialogue on global environmental issues and the ongoing GEF-7 replenishment discussions. This includes communication and outreach activities related to the Sixth Assembly of the GEF in June 2018, further development of the new GEF web site, enhanced online and social media, highlighting GEF success stories and support to

¹⁶ Amended by Council in October 2014, this Policy (*Cancellation of Projects*) has been posted to the GEF’s webpage at: https://www.thegef.org/gef/policies_guidelines/project_cancellation.

relevant partner campaigns, as well as targeted communications on emerging priority issues. Through its KM efforts, the GEF intends to achieve greater information exchange and communication about key global environmental challenges and potential solutions, in light of the experience and lessons learned through its work.

81. The GEF also followed closely the development of the 2030 agenda for sustainable development, notably the Sustainable Development Goals (SDGs) adopted in New York in late 2015. In response to guidance from UNCCD and CBD, the GEF is contributing to the implementation of key elements of the SDGs. The GEF will continue to cooperate with partners to articulate how the GEF support could enable countries to address MEA goals and objectives in synergy with the SDGs.

GEF-7 Replenishment Discussions

82. The Secretariat will also continue its role in supporting the GEF-7 replenishment discussions in FY18 and, depending on the timing of the progress made, in helping to lay the foundations for upcoming work in GEF-7. This will involve actions to schedule and organize relevant meetings, support participation by various partners, and continued contributions by the Secretariat to the discussions.

ANNEX 1: GEF SECRETARIAT SPECIAL INITIATIVE – GEF SIXTH ASSEMBLY

As requested in the Council decision adopted in February 2017 accepting the offer of The Socialist Republic of Vietnam to host the Sixth GEF Assembly, the purpose of this Annex is to provide the Council with an update on the progress that has been achieved in the preparation of the next GEF Assembly and associated meetings to be held the week of June 24, 2018.

Location of the Assembly

1. The First GEF Assembly was hosted by India in March 1998; the Second GEF by China, in October 2002; the Third by South Africa, in August 2006; the Fourth by Uruguay, in May 2010; and the Fifth by Mexico, in May 2014.
2. On February 22, the Council accepted the offer of Vietnam to host the Sixth GEF Assembly. The Government of Vietnam has proposed to hold the Assembly in the city of Da Nang.
3. Following the Council's acceptance, discussions began with Vietnam on drafting a Memorandum of Understanding (MoU) that would set out the agreement among the host country, the GEF and the IBRD. In particular, it outlines the responsibilities of each party. The MoU is undergoing review by the Government of Vietnam and it is expected to be signed before the end of June 2017.
4. The easily accessible location of the Assembly in Da Nang, Vietnam, will facilitate enhanced participation by the GEF Participant countries, its Agencies and its broader partnership.

Organization of the Assembly

5. GEF Assemblies are ministerial level events. The Assembly will include a day dedicated to civil society issues.
6. As on the occasion of previous GEF Assemblies, a dedicated team will be put together to undertake the GEF responsibilities and provide overall coordination.

Attendance

7. All GEF members (183 countries) will be invited to send a Representative and one Alternate to the Assembly. Delegations may include advisors.
8. The GEF will finance the travel and subsistence costs of one representative from each recipient country and two participants from LDCs and SIDs.

Assembly Objectives

9. The Primary Purpose of the Assembly as defined in the Instrument is to:
 - (a) Review the general policies of the Facility;
 - (b) Review and evaluate the operation of the Facility on the basis of reports submitted by the Council;
 - (c) Keep under review the membership of the Facility; and
 - (d) Consider, for approval by consensus, amendments to the present Instrument on the basis of recommendations by the Council.
10. In addition to its formal mandate mentioned above, the Assembly provides a unique opportunity to promote:
 - (a) High-level dialogue on the major global environmental challenges facing the planet;
 - (b) Increased awareness and understanding of key global environmental challenges and the need for concerted activities in order to address the major drivers of environmental degradation; and
 - (c) Sharing of the experiences of the GEF and its Agencies at the operational level in undertaking measures to protect and manage the global environment.
11. The draft agenda and proposed activities will be detailed in the update to be provided at the 53rd Council Meeting in November 2017.

Budget for the Assembly

12. Costs for preparing and organizing the Assembly will be incurred mostly in FY18. Resources approved by the Council for the financing of the Assembly will be kept in a separate account, and any resources remaining after the Assembly will be returned to the GEF Trust Fund.
13. The Sixth Assembly provides a unique opportunity to communicate to a wider audience the importance of issues concerning the global environment as well as the goals and mandate of the GEF and to showcase the GEF's work and achievements together with the work and achievements of its partners. A strategy is being developed as to how best to seize this opportunity and the tools and material that will be required for such a strategy will be prepared accordingly.

14. A detailed estimate of costs for the Sixth Assembly is shown below.

Table 11: Proposed Special Initiative Budget for GEF 6th Assembly (in USD)

| Budget Item | 5th Assembly | 5th Assembly (Actual) | Proposed 6th Assembly Budget |
|--|---------------------|-----------------------|------------------------------|
| Travel & Support | \$ 854,500 | \$ 733,477 | \$ 867,625 |
| Staff | 77,000 | | 275,000 |
| Participants | 635,000 | | 496,125 |
| CSO Forum | 117,500 | | 52,500 |
| Presenters and special invitees | 25,000 | | 44,000 |
| Hotel Accommodations | \$ 315,520 | \$ 443,544 | \$ 412,950 |
| Staff | 39,270 | | 65,100 |
| Participants | 221,000 | | 269,415 |
| CSO Forum | 55,250 | | 51,435 |
| Presenters and special invitees | | | 27,000 |
| Hospitality | \$ 130,000 | \$ 115,083 | \$ 65,000 |
| Reception and cultural events | 130,000 | | 65,000 |
| Interpretation (SI) and Translation | \$ 215,115 | \$ 217,655 | \$ 143,000 |
| Assembly (6 Languages) | 168,410 | | 93,000 |
| CSO Forum (3 Languages) | 46,705 | | 50,000 |
| Exhibition, Communications & Reporting | \$ 240,800 | \$ 207,447 | \$ 180,000 |
| ENB Reporting | | | 35,000 |
| IISD Video reporting | 51,300 | | 15,000 |
| Exhibits, Multi Media | 70,000 | | 50,000 |
| Communications activities | 80,000 | | 40,000 |
| Materials: Printed and electronic documents | 39,500 | | 40,000 |
| ICT | \$ 45,000 | \$ 12,059 | \$ 40,000 |
| Website and other technology including on site WB IT | 45,000 | | 40,000 |
| Personnel | \$ 90,000 | \$ 68,590 | \$ 30,000 |
| Conference support / cross support WBG VN Office | 90,000 | | 30,000 |
| General operations | \$ 35,000 | \$ 45,876 | \$ 35,000 |
| General supplies, copying, shipping, storage | 35,000 | | 35,000 |
| Planning Missions | | | \$ 52,000 |
| GEF Staff travel and expenses (4 missions) | | | 52,000 |
| Total | \$ 1,925,935 | \$ 1,843,730 | \$ 1,825,575 |

ANNEX 2: SPECIAL INITIATIVES

1. The discussion below reports on activities conducted in FY17 under Special Initiatives approved by Council. Table 12 provides a summary of the originally approved amount in the Special Initiative account, estimated FY17 expenses in the respective accounts, where incurred, and the available balance remaining under these initiatives through end-March 2017. The text which follows provides additional information on the establishment and purpose of each Special Initiative, and on the amount of funds (if any) used in FY17 for the purposes indicated.

Table 12: Special Initiatives

| Special Initiative Name | Available at July 1, 2014 (Beginning of GEF-6) | Expenses FY14-FY16 | Estimated FY17 Expenses | Estimated Available Balance for FY18 |
|--------------------------------------|---|-----------------------|-------------------------------|---|
| GEF Management Information System* | \$700,000 | \$263,579 | \$363,756 | \$72,665 |
| Performance Based Allocation System* | \$1,356,000 | \$1,133,771 | \$0 | \$222,229 |
| Results Based Management | \$408,000 | \$394,767 | \$13,233 | \$0 |
| Rio+20 Special Initiative | \$210,000 | \$120,031 | \$0 | \$89,969 |
| Total | \$2,674,000 | \$1,912,148 | \$376,989 | \$384,863 |

* Repurposed for IT upgrade since FY14

Management Information System

2. In November 2005, the Council approved \$700,000 to develop a management information system to enable the GEF and its partners to improve effectiveness across all areas of GEF business operations. As indicated to Council in its Business Plan and Budget document in May 2015 (GEF/C.48/05), the Secretariat is drawing on the available balance of this Special Initiative to help implement the actions mentioned in the main paper to upgrade the GEF's IT platform, together with resources from the previous initiative and the core budget. During FY17, \$363,756 are expected to be drawn from this account to support the upgrade of the GEF IT systems, including the completion of the updated GEF external website and updated GEF Intranet system, and initial steps in updating the GEF PMIS (see Secretariat Business Plan, above).

Performance Based Allocation System

3. Between FY04 and FY07, the GEF Council approved a total of \$1,356,000 to support either the development of a performance-based allocation system (which developed into the RAF) or to refine the RAF, including its potential application to other focal areas. As indicated to Council in its Business Plan and Budget document in May 2015 (GEF/C.48/05), the Secretariat is drawing on the available balance of this Special Initiative to support its overall IT upgrade, as described in the Business Plan, as part of further improvements to performance-based approaches to allocation of resources and programming. These funds will be used for the IT upgrade after the use of the funds available in the Special Initiative on the Management

Information System (noted above), for the purpose to complete the PMIS upgrade and the remainder of the IT upgrade as described in the GEF Business Plan.

Results-based Management

4. In June 2006 (FY2007 budget) and June 2009 (FY2010 budget), the GEF Council approved two special initiatives to further strengthen the GEF's capacity for RBM and learning through specific activities and studies. As indicated to Council in its Business Plan and Budget document in May 2015 (GEF/C.48/05), the Secretariat is drawing on this account to support further strengthening of RBM. The remaining balance of \$13,233 is expected to be used for STC costs in support of RBM in FY17.

Rio+20 – Special Initiative

5. In May 2011, the GEF Council approved \$210,000 to support activities by the GEF Secretariat related to the GEF's participation in the Rio+20 Summit held in Rio de Janeiro in June 2012, including related publications. Since June 2012, the Secretariat has used funding from this special initiative to support follow-on work from the Rio+20 Conference, including staff travel to meetings relating to the SDGs and post-2015 sustainable development agenda.

ANNEX 3: STAP PUBLICATIONS AND DOCUMENTS, GEF-5 TO PRESENT

STAP 2010. *Programming Approach for Utilization of the Resources Set-Aside Outside the STAR*. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.39/Inf.10**

STAP 2010. *The Evidence Base for Community Forest Management as a Mechanism for Supplying Global Environmental Benefits and Improving Local Welfare*. A STAP advisory document. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.39/Inf.14**

STAP 2010. *Environmental Certification and the Global Environmental Facility: A STAP advisory document*. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.39/Inf.15**

Institute for Transportation and Development Policy (Prepared on behalf of STAP) 2010 Manual for Calculating Greenhouse Gas Benefits of Global Environmental Facility Transportation Projects. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.39/Inf.16**

STAP 2010. *Advancing Sustainable Low-Carbon Transport through the GEF*. A STAP advisory document. Global Environment Facility, Washington, DC. **GEF ID: GEF/C. 39/Inf.17**

STAP 2010. *Enhancing Resilience to Reduce Climate Risks: Scientific Rationale for the Sustained Delivery of Global Environmental Benefits in GEF Focal Areas*. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.39/Inf.18**

STAP 2010. *Recommendations of the GEF-STAP Cross-Focal Area Workshop: Approaches to Address Carbon Benefits in the context of Multiple Global Environmental Benefits in Implementing the SFM/REDD+ Program in GEF-5*. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.39/Inf.19**

STAP 2011. *Marine Debris: Defining a Global Environmental Challenge*. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.40/Inf.14**

STAP 2011. *Hypoxia and Nutrient Reduction in the Coastal Zone*. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.40/Inf.15/Rev.1**

STAP 2011. *Selection of Persistent Organic Pollutant Disposal Technology for the Global Environment Facility*. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.40/Inf.16**

STAP 2011. *Review of Tools and Methods to Increase Climate Resilience of GEF Project and Programs*. Global Environment Facility, Washington, DC. **GEF ID: GEF/C.41.Inf.16**

STAP 2011. *Biodiversity and Ecosystems Policy Brief to Inform the United Nations Conference on Sustainable Development (Rio+20)*. Global Environment Facility, Washington, DC. **GEF ID: GEF.C41.Inf.17**

STAP 2011. *Environmental Project Design in the GEF :Designing Projects to Create Evidence and Catalyze Investments to Secure Global Environmental Benefits*. Global Environment Facility, Washington, DC. **GEF ID: GEF.C.41.Inf.18**

STAP 2012. *Research within the GEF: Proposals for Revising the Targeted Research Modality*. Global Environment Facility, Washington, DC. **GEF ID: GEF/STAP/C.43/Inf.02**

STAP 2012. *Climate Change: Scientific Assessment for the GEF*. Global Environment Facility, Washington, DC. **GEF ID: GEF/STAP/C.43/inf.03**

Secretariat of the Convention on Biological Diversity and STAP 2012. *Impacts of Marine Debris on Biodiversity: Current Status and Potential Solutions*. Technical Series No. 67. Montreal, Canada. **GEF ID: GEF/STAP/C.43/Inf.04**

Secretariat of the Convention of Biological Diversity and STAP 2012. *Marine Spatial Planning in the Context of the Convention of Biological Diversity*. Technical Series No. 68. Montreal, Canada. **GEF ID: GEF/STAP/C.43/Inf.05**

STAP 2012. *GEF Guidance on Emerging Chemicals Management Issues in Developing Countries and Countries with Economies in Transition. A STAP Advisory Document*. Global Environment Facility, Washington, DC. **Retrieved from: <<http://www.stapgef.org/emerging-chemicals-management-issues-in-developing-countries-and-countries-with-economies-in-transition/>>**

STAP 2012. *Revised Methodology for Calculating Greenhouse Gas Benefits of GEF Energy Efficiency Projects (Version 1.0)*. Global Environment Facility, Washington, DC. **Retrieved from: <<http://www.stapgef.org/revised-methodology-for-calculating-green-house-gas-benefits-of-gef-energy-efficiency-projects-version-1-0/>>**

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STAP 2013. *Enhancing the GEF's contribution to Sustainable Development*. Global Environment Facility, Washington, DC. **GEF ID: GEF/R.6/Inf.03**

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O'Connell, D., Walker, B., Abel, N., Grigg, N. 2015. *The Resilience, Adaptation and Transformation Assessment Framework: from theory to application.* CSIRO, Australia.

STAP 2015. *Optimizing the Global Environmental Benefits of Transport Biofuels.* Scientific and Technical Advisory Panel of the Global Environment Facility, Washington, DC. Authored and edited by Bierbaum R., Cowie A., Gorsevski V., Simrs R. (STAP); Rack M., Strapasson A., Woods J. (Imperial College, London) and Ravindranath N. (Indian Institute of Science, Delhi).

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Sims, R., Gorsevski, V., and Anenberg, S. 2015. *Black Carbon Mitigation and the Role of the Global Environment Facility: A STAP Advisory Document.* Global Environment Facility, Washington, D.C. **GEF/STAP/C.49/Inf.02**

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Rasmussen, L., Agrawal, A., Oldekop, J. (2016). A review of indicators used to assess the sustainability of commodity agricultural production. Global Environment Facility, Washington, D.C. **GEF/STAP/C.50/Inf.04**

Henry, B. and Murphy, B. (2016). Sustainable land management and its relationship to global environmental benefits and food security: A synthesis report for the GEF. Global Environment Facility, Washington, D.C. **GEF/STAP/C.50/Inf.03**