

Agenda Item 9 - PROCARIBE+ Project Governance Roles & Responsibilities

- UNDP as GEF Agency
- UNOPS as main Implementing Partner
- Co-Executing Partners
- Project Management & Coordination Unit (PMCU)
- Beneficiary Representatives

PROCARIBE+ PRODOC SECTION VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Section 1: General roles and responsibilities in the projects' governance mechanism

- GEF Agency - UNDP
- Implementing Partner - UNOPS
- Responsible Parties (“Co-Executing Agencies”)
- Project Stakeholders & Target Groups

PROCARIBE+ GEF AGENCY:

United Nations Development Programme (UNDP)

Bureau for Policy & Programme Support (BPPS)

Nature, Climate & Energy Portfolio (NCE)

(NY)

LAC Environment Team – Nature Hub

Regional Hub for Latin America and the Caribbean

(Panama)

UNDP as the GEF AGENCY

UNDP is **accountable to the GEF** for the implementation of this project.

This includes **overseeing project execution** undertaken by UNOPS
to ensure that the project is being carried out
*in accordance with **UNDP and GEF policies and procedures***

UNDP IN A PROJECT ASSURANCE ROLE

- ❑ **UNDP** carries out **objective and independent project oversight and monitoring functions**.
- ❑ UNDP performs **quality assurance**
- ❑ UNDP supports the PSC (and Project Management Unit) by carrying out objective and independent **project oversight and monitoring functions**, including **compliance with the risk management and UNDP social and environmental standards**
- ❑ **Project Assurance (UNDP)** is totally independent of **Project Execution (UNOPS)**.

UNDP in the Project Assurance Function

A **UNDP representative** in the
Project Assurance function
in the project governance structure
presents to the Project Steering Committee
and attends Project Steering Committee Meetings
as a ***non-voting member***.

PROCARIBE+ Implementing Partner:

United Nations Office for Project Services (UNOPS)

Global Portfolio Office *(NY/Geneva)*

Water & Energy Cluster *(Vienna)*



UNOPS-administered

PROCARIBE+ Project Management & Coordination Unit

(PROCARIBE+ PMCU, Cartagena, COL @ IOCARIBE IOC of Unesco Offices)

- The UNDP Administrator has entrusted to UNOPS the implementation of UNDP assistance specified in the signed PROCARIBE+ UNDP Project Document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in the Project Document.
- UNOPS is responsible for project execution in full application of the UNOPS administrative framework, and with full respect to the UNOPS rules and regulations.

Specific tasks include:

- Project planning, coordination, management, monitoring & evaluation and (evidence-based) technical & financial reporting
- Overseeing the management of project risks
- Procurement of goods and services, including human resources
- Financial management, including budget control
- Approving and signing the Project Multi-Year Work Plan (MYWP)
- ...

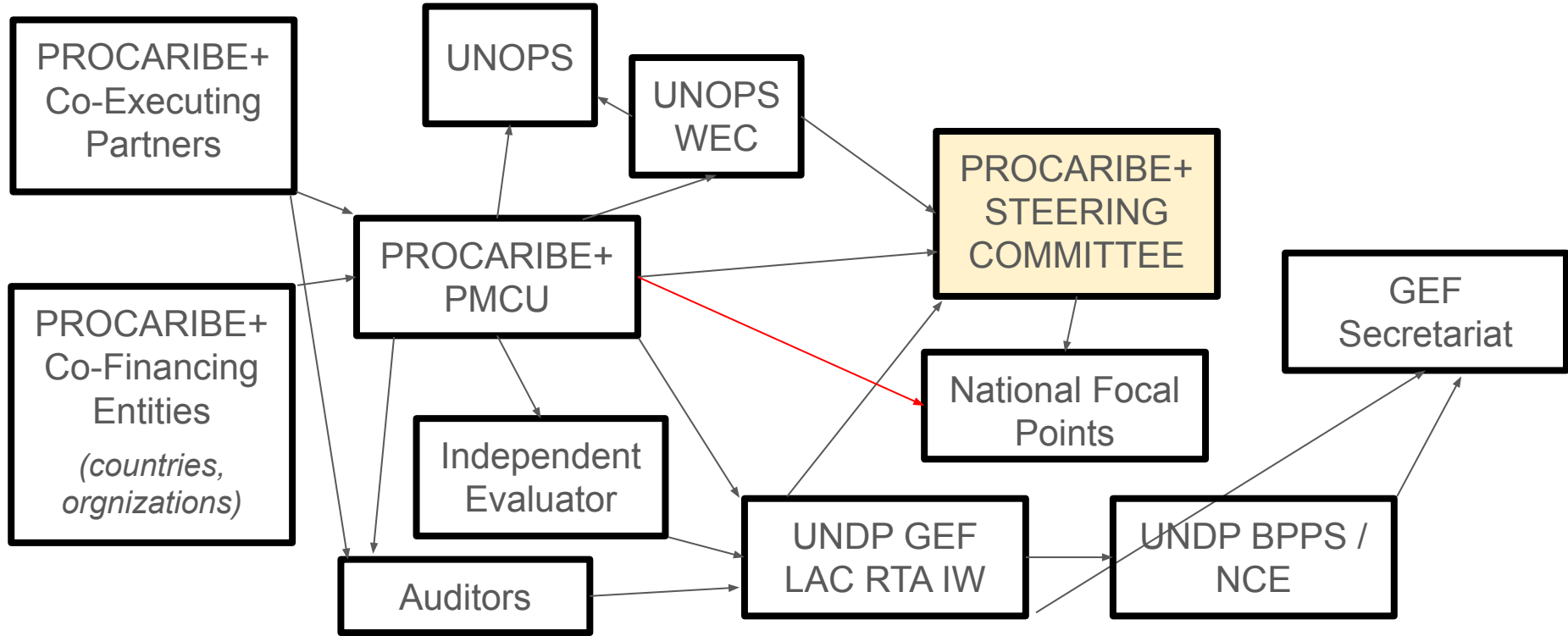
PROCARIBE+ Responsible Parties:

to be further addressed under Agenda Item 10f

PROCARIBE+ RESPONSIBLE PARTIES / CO-EXECUTING AGENCIES

- UNOPS will enter into a **separate written agreement** with each of the responsible parties that will provide goods and services to the project, carry out project activities and/or produce project outputs using the project budget.
- Co-executing partners are **directly accountable** to the **implementing partner (UNOPS)** in accordance with the terms of their agreement or contract.

“REPORTING”



PROCARIBE+ PROJECT STEERING COMMITTEE (PSC)

- **PROCARIBE+ is to be governed by a multi-stakeholder board/committee.**
- *The PSC will not deal with the day-to-day project management, administration and execution.*
- **Day-to-day project management, administration and execution will be handled by UNOPS and the PROCARIBE+ Project Management and Coordinating Unit (PMCU).**

PROCARIBE+ PROJECT STEERING COMMITTEE

MISSION

“To **collectively** and responsibly support, enable and ensure the **successful delivery** of the PROCARIBE+ Project, while **maximizing its benefits** for both the project-participating countries and the region”

The PROCARIBE+ Project Steering Committee is not intended to be used as a forum to discuss matters that do not pertain to the main roles of the Project Steering Committee.

PROCARIBE+ PROJECT STEERING COMMITTEE (PSC)

- The PSC will seek to ensure that the Project's **delivery of results remains aligned** with the **PROCARIBE+ UNDP Project Document**, including its Results Framework, the associated Work Plans and Budgets, and *any updates & revisions thereof approved by the PSC.*
- There are **differentiated and complementary responsibilities** among **all actors** involved in the project (→→ *will also be looked at under Agenda Item 9e*)

PROCARIBE+ PROJECT STEERING COMMITTEE

ROLES

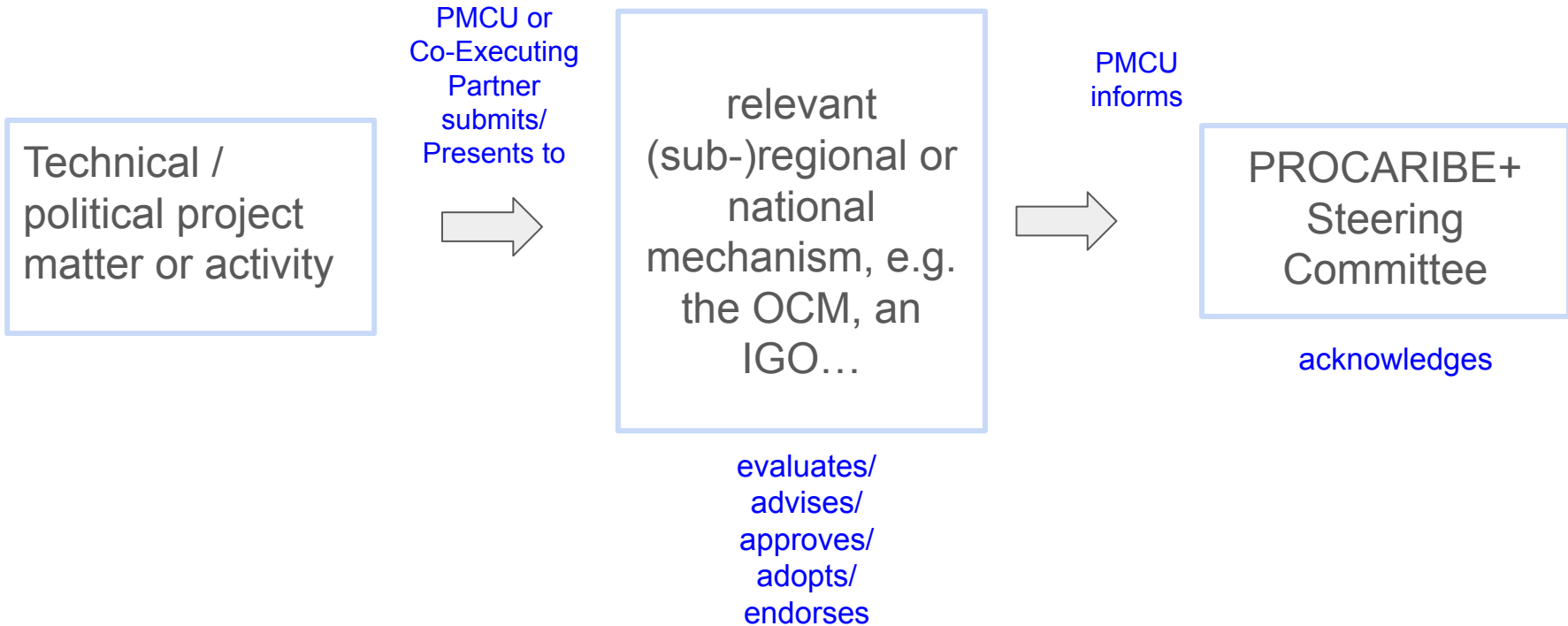
The **two main roles** of the Project Steering Committee are as follows:

- ❑ **Oversight of project execution performance** (“review & assess”)
- ❑ **Approval of project execution decisions** (“provide/confirm direction”)

PROCARIBE+ STAKEHOLDERS/BENEFICIARIES ENGAGEMENT

- **Best practice** successfully trialed during CLME and CLME+: **multi-pronged approach towards engagement of stakeholders and target groups in project-related decision-making processes.**
- The project will make a clear distinction, and separation, between **decision-making that relates to project management and project governance** matters, versus the **much wider-ranging participation and decision-making processes that relate to the often highly technical/specialized, and/or political activities required to deliver specific project outputs/outcomes.**
- This distinction will also include a clear separation between
 - “project governance”/execution decisions ← Project Steering Committee
 - “regional ocean governance” decisions ← Ocean Coordination Mechanism/IGO Members,...

PROCARIBE+ STAKEHOLDERS & TARGET GROUPS



PROCARIBE+ STAKEHOLDERS & TARGET GROUPS

An important caveat, however, is that this approach will require **strong coordination of project timelines with those of regional governance processes,**

PROCARIBE+ PROJECT STEERING COMMITTEE

COMPOSITION

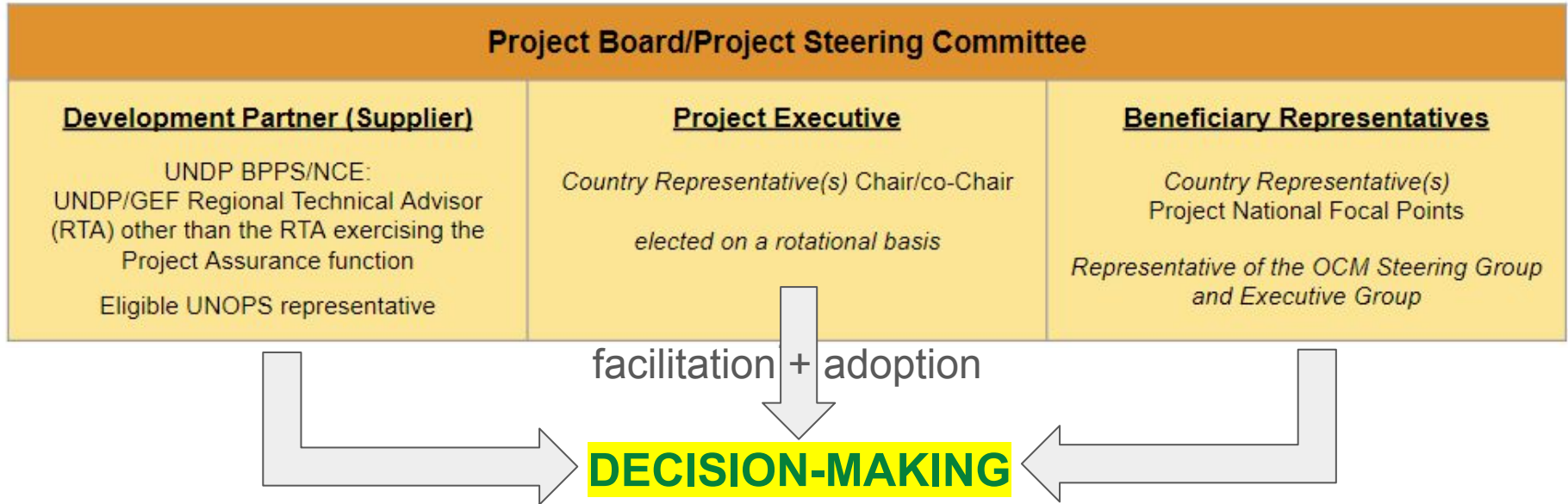


Figure 1. Schematic representation of the composition of the PROCARIBE+ Project Steering Committee

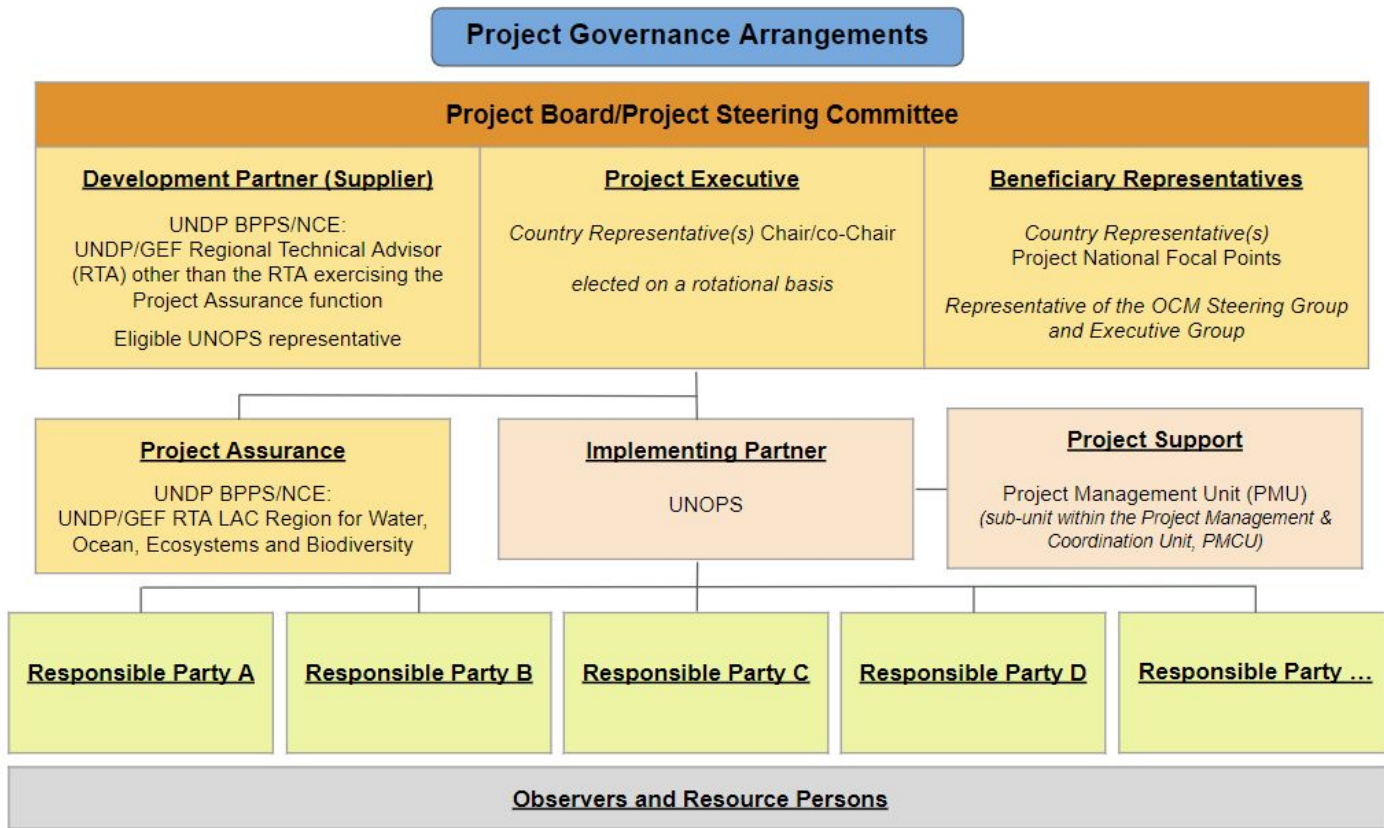


Figure 2. Schematic representation of the PROCARIBE+ Project Governance Arrangements and the PROCARIBE+ Project Board composition and membership, and supporting entities.

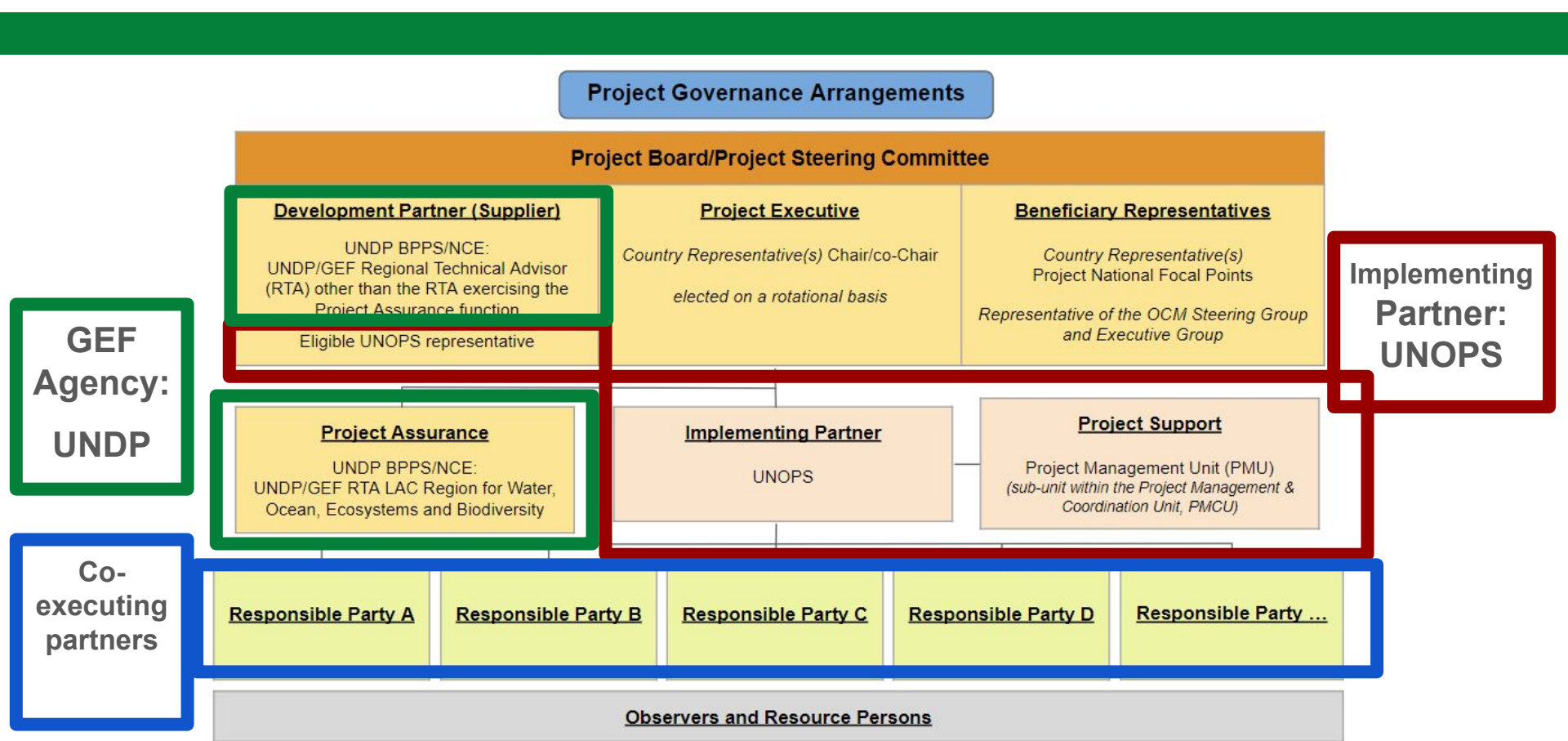


Figure 2. Schematic representation of the PROCARIBE+ Project Governance Arrangements and the PROCARIBE+ Project Board composition and membership, and supporting entities.

PROCARIBE+ PROJECT STEERING COMMITTEE

BENEFICIARY REPRESENTATIVES

The PROCARIBE+ Project Beneficiary Representatives will be expected to consist of:

- a government representative from **each PROCARIBE+ participating GEF-eligible country**
- a government representative from **each additional PROCARIBE+-cofinancing State or Territory**
- a representative for the **CLME+ *Interim Coordination Mechanism***
- a representative for the PROCARIBE+ GEF ***Small Grants community of beneficiaries***

Responsible Parties: Legal Instruments

- The relevant **legal instrument available to UNOPS** will be used. These include, a.o.:
 - “UN-Agency to UN-Agency Contribution Agreement” (“**UN2UN** Agreement”)
 - “Project Cooperation Agreement” (“**PCA**” - for non-UN **IGO’s** and **central gov’t entities**)
 - “Grant Support Agreement” (“**GSA**”)
 - “Contracts for Services” (procurement),
 - Consultancy contracts (e.g lump sum, retainers)
- In selecting and engaging Responsible Parties, **internal UNOPS rules and procedures will be applicable**

PROCARIBE+ PROJECT STEERING COMMITTEE

BENEFICIARY REPRESENTATIVES THAT ARE ALSO A
PROCARIBE+ **RESPONSIBLE PARTNER**:
POTENTIAL **CONFLICT OF INTEREST** ON THE
PROJECT STEERING COMMITTEE
- FIREWALL

Observers and Resource Persons

- PROCARIBE+ **Responsible Parties**, and PROCARIBE+ **Co-financing Entities** *that are not already represented on the Project Board as Beneficiary Representatives*, will be **automatically invited to participate** in the discussions and activities of the Project Board **as Observer** (i.e. but without decision-making power).
- **Individual experts** and/or **representatives** from *relevant* countries, entities, sectors, projects or initiatives (...), **(a)** can be invited, and/or **(b)** can request to be admitted to **participate as Resource Persons and/or Observers** in the activities of the PROCARIBE+ Project Board, subject to agreement (no objection) from the Project Board Members.
- Observers and Resource Persons **may be invited to take part in the discussions** of the Board, but **without decision-making powers**

PROCARIBE+ PROJECT GOVERNANCE

- ❑ Project Steering Committee Terms of Reference → *Agenda Item 9b*
- ❑ Project Steering Committee Board Rules of Procedure → *Agenda Item 9d*
- ❑ Project National Focal Points (NFP) Terms of Reference → *Agenda Item 9c*
- ❑ Project Responsibility & Accountability Matrix → *Agenda Item 9e*

PROCARIBE+ RESPONSIBLE PARTIES - CO-EXECUTING AGENCIES

UNOPS will seek to select and engage **RESPONSIBLE PARTIES (RPs)** in such a way as to, a.o., **take advantage of:**

- **existing capacity**
- **specialized skills**
- pre-existing relevant **networks**
- pre-existing **experience**
- **comparative advantages**
- **formal mandate(s)**

PROCARIBE+ RESPONSIBLE PARTIES - CO-EXECUTING AGENCIES

The engagement of RPs may also be pursued to:

- **mitigate risk**
- **relieve administrative burdens**
- achieve **cost-effectiveness**
- facilitate national and region-wide **ownership and buy-in**
- pursue **sustainability and continuity**

PROCARIBE+ RESPONSIBLE PARTIES - CO-EXECUTING AGENCIES

UNOPS will pursue “**value for money**” and positively consider potential **baseline, parallel and/or aligned or supportive activities**, and any **co-financing commitments**

Positive attention may also be given **prior successful experiences as Responsible Party** under e.g. CLME and CLME+