

Green Climate Fund



# Initial Structure and Staffing of the Secretariat



**GCF/B.05/10**

26 September 2013

**Meeting of the Board**

8-10 October 2013

Paris, France

Agenda item 6 (a)

### **Recommended action by the Board**

It is recommended that the Board:

- (a) Takes note of the information presented in document GCF/B.05/10 *Initial Structure and Staffing of the Secretariat*; and
- (b) Adopts the draft decision presented in Annex I to this document.

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## Table of contents

I.	Introduction	1
II.	Strategic considerations and approach to the structure and staffing of the Secretariat	2
III.	Initial structure and staffing of the Secretariat in 2014	4
	3.1 Country Programming	5
	3.2 Mitigation and Adaptation	5
	3.3 Private Sector Facility (PSF)	6
	3.4 External Affairs	6
	3.5 Support Services	6
IV.	Implementation arrangements	7
	Annex I: Draft decision of the Board	8
	Annex II: Responsibilities of the Secretariat in 2014 and in its initial operational phase	9
	Annex III: Organizational diagram – Initial structure of the Secretariat in 2014	13
	Annex IV: Job profiles and staffing table	14
	Annex V: Logistic implementation and timeline	17

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## Initial Structure and Staffing of the Secretariat

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### I. Introduction

1. This document is submitted in response to decision B.04/09, which, *inter alia*, stated that the Board:

- (a) *Noted convergence that the initial structure and organization of both the Fund and the Secretariat should be thematic, with a Private Sector Facility, a strong country and programmatic focus, internal coherence and linkages, and the flexibility to evolve over time;*
- (b) *Requested the Executive Director, with the support of the Interim Secretariat, to prepare for consideration by the Board at its September 2013 meeting, an initial structure that can be scaled up, organizational diagrams and a staffing table covering the core, operating and other relevant functions of a flexible and efficient Secretariat, as well as the cost, procedure, timeframe and process for implementing the proposed structure and organization.*

2. The Governing Instrument provides specific guidance on several key features of the Secretariat:

Paragraph 19: *“The Fund will establish a secretariat, which will be fully independent. The secretariat will service and be accountable to the Board. It will have effective management capabilities to execute the day-to-day operations of the Fund.”*

Paragraph 21: *“The secretariat will be staffed with professional staff with relevant experience. The staff selection will be managed by the Executive Director and will be open, transparent and based on merit, taking into account geographical and gender balance.”*

Paragraph 23: *“The secretariat will be responsible for the day-to-day operations of the Fund, providing administrative, legal and financial expertise. In particular, the secretariat will:*

- (a) *Organize and execute all administrative duties;*
- (b) *Report information on the Fund’s activities;*
- (c) *Liaise with members, implementing entities, and cooperating bilateral and multilateral institutions and agencies;*
- (d) *Prepare performance reports on the implementation of activities under the Fund;*
- (e) *Develop the work programme and annual administrative budget of the secretariat and trustee and submit them for approval by the Board;*
- (f) *Operationalize the project and programme cycle processes;*
- (g) *Prepare financial agreements related to the specific financing instrument to be concluded with an implementing entity;*
- (h) *Monitor the financial risks of the outstanding portfolio;*
- (i) *Work with the trustee to support the Board to enable it to carry out its responsibilities;*
- (j) *Carry out monitoring and evaluation functions;*
- (k) *Support the Board in arranging replenishment processes;*
- (l) *Establish and run effective knowledge management practices;*
- (m) *Perform any other functions assigned by the Board.”*

3. The provisions and principles from the Governing Instrument, as well as the considerations put forward by the Board in its decisions, have been fully reflected in the initial structure, organizational diagram, staffing table and the costs, procedure, timeframe and process for implementing the proposed structure of the Secretariat presented in this document. The cost estimates are provided in the proposed annual administrative budget for 2014 presented in document GCF/B.05/21. Work has also been initiated to develop the necessary administrative policies and guidelines for the operations of the Secretariat, as requested in decision B.04/03, paragraphs (c) and (d), and as reported in document GCF/B.05/11.
4. The structure of the Secretariat will evolve over time, including in relation to future Board decisions on the overall governance structure of the Fund.

## **II. Strategic considerations and approach to the structure and staffing of the Secretariat**

5. In accordance with decisions of the Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC), the Fund is to move from an interim institutional phase toward becoming a permanent, operational organization. In order to facilitate this transition, the Secretariat needs to rapidly develop its institutional, managerial and technical capacity that will enable it to deliver an extensive work programme, which calls for a wide range of managerial and technical competencies, and will require staff resources to be brought on board promptly. For instance, the Secretariat needs to have expert staff to assist countries in understanding how to get ready to access the Fund's resources. This will be supported by extensive visits to the field to establish sound dialogue and cooperation.
6. The Secretariat will need to engage with a diverse set of stakeholders, including Governments, the private sector, international organizations, thematic bodies under the UNFCCC, financial institutions and intermediaries, implementing agencies, and civil society organizations. It needs to assist countries to take a tailored set of investment and policy decisions that will help shift their economies onto the desired low-emission and climate-resilient development pathways. To this end, the Secretariat will need to be able to develop a pipeline of programmatic, policy approaches, as well as projects that can achieve the desired results.
7. A number of strategic considerations feed into the proposed structure and staffing. First, there is a need for a core team that focusses on each of the Fund's operational priorities. The Secretariat needs to initiate country dialogue, readiness support, and programming. It also needs to acquire thematic expertise on mitigation and adaptation.
8. It will be critical for the Fund to successfully mobilize resources early on to support credible programming. It needs to make progress on accreditation to enable early commitments and disbursements. It also needs to articulate and communicate on the Fund's value addition, as compared to existing funding mechanisms. The Fund will also need to launch the Private Sector Facility (PSF) early on to leverage funding at scale from the private sector. To achieve these objectives of the Fund, it is necessary to build the independence of the Secretariat through comprehensive support functions. It will also be important to build the internal management focus on results through acquiring monitoring and evaluation expertise.
9. The initial staffing requirements and structure of the Secretariat, as detailed in Chapter III of this document, are necessary in order to:
  - (a) Build up the initial critical mass of staff that will over time enable the Fund to become the main global mechanism for climate change finance and to attain its objective of promoting paradigm shift towards low-emission and climate-resilient development pathways;
  - (b) Ensure continuity while transitioning from the Interim Secretariat to the independent Secretariat;

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- (c) Build the foundations of a flexible and modern Secretariat that can be scaled up from a solid initial base and that will be staffed with experts in all key areas of the Fund; and
- (d) Support the Board in the successful implementation of its work plans, starting with that of 2014, presented in document GCF/B.05/20.
10. The Secretariat should aim to support a modern multilateral institution through the use of best available technologies, systems and processes, human resource management practices, and continuously seek efficiency and effectiveness. Features of such an institution should entail:
- (a) Service-orientation, providing its services to developing countries and ensuring positive engagement with the private sector;
- (b) Culture of seeking results, being responsive and working collaboratively, creating an institution that is flexible, adaptable and that operates with best-practice standards by focusing on clear priorities;
- (c) Teamwork-oriented human resource strategy, including frequent performance feedbacks at all levels and a performance-based reward culture;
- (d) Overarching aim for technical excellence in climate change adaptation and mitigation and in private sector engagement, and supported by a modern and advanced information and communication technology (ICT) system.
11. Establishing a high-performing Secretariat will depend on an appropriate recruitment process and high-quality staffing, as set out in Chapter III of this document. This is an immediate requirement to meet the short-term goals of the Secretariat that include, inter alia, the following:
- (a) Supporting to the Board's development of core policies and procedures, including the work of the Private Sector Advisory Group, Risk Management, Investment and Audit and Ethics committees;
- (b) Providing readiness and preparatory support, including on-demand advisory services to developing countries;
- (c) Developing the Fund's accreditation procedures with all its necessary provisions, fiduciary standards and environmental and social safeguards;
- (d) Setting up and implementing a results management framework, including guidelines and necessary toolkits;
- (e) Preparing a private sector strategy and business plan to cover the design, development and implementation of PSF operations;
- (f) Developing robust modalities for the conduct and review of funding proposals;
- (g) Achieving a successful initial resource mobilization in 2014; and
- (h) Establishing regular reporting to the Board on results, budget execution, resource mobilization, and the rolling twelve-month work programme of the Secretariat.
12. A detailed list of the expected initial responsibilities of the Secretariat is presented in Annex II and highlights the volume of tasks and activities, most of which will need to be initiated or delivered by the Secretariat staff in 2014.
13. The Governing Instrument states that the Board will steer the Fund's operations so that they evolve with the Fund's scale and maturity and will exercise flexibility to allow the Fund to evolve over time and become the main global fund for climate change finance. Therefore, the responsibilities of the Secretariat reflect an organization that is independent, which distinguishes it from other climate finance mechanisms. This will require an appropriate workforce, as set out in the next Chapter.

### III. Initial structure and staffing of the Secretariat in 2014

14. The initial structure and organization of the Secretariat reflects the Board convergence that it must be thematic, with a Private Sector Facility (PSF), a strong country and programmatic focus, internal coherence and linkages, and the flexibility to evolve over time. The size of the core operational staff is expected to evolve as necessary with the volume of activities of the Fund.

15. The Secretariat needs to be adequately staffed to carry out five main functions: country programming, mitigation and adaptation operations, PSF, external affairs and support services.

**Figure 1: Initial structure of the Secretariat**



16. The above diagram highlights the driving philosophy of linkages and close collaboration among the various core divisional teams, to optimize synergies and cross-support.

17. It is foreseen to recruit up to 38 professional level staff and approximately ten general support staff in 2014. This is deemed necessary to transition from, and increase, the current temporary staff level of the Interim Secretariat of 14 (further information is provided in document GCF/B.05/Inf.03).

18. The Directors of the five divisions will form the Fund's management team along with the Executive Director, who will, under the guidance of the Board represent the Fund externally and provide strategic leadership for the organization to carry out its objectives, as well as deliver tangible results through the implementation of programmes and projects. These five Directors will be responsible for managing their respective divisions substantively and strategically. The specialist staff will be experts in their respective areas; they will provide strategic inputs while performing all operational functions and responsibilities assigned to their post. The general support staff will provide day-to-day assistance in the various divisions.

19. The Secretariat management and staff will assume duty directly in the Fund's Headquarters in Songdo, Republic of Korea, thanks to a timely opening of the offices as well as the implementation of the Headquarters Agreement with the Government of the Republic of Korea.

20. The responsibilities and initial staffing requirements of the five main divisions are summarized below.

### 3.1 Country Programming

21. The Country Programming division will be responsible for managing the Fund's country strategy and programme support, working directly with countries, through their National Designated Authorities (NDAs) or focal points, on their national strategies for low-emission and climate-resilient development, on programmatic approaches to implement such strategies and integrate mitigation and adaptation activities in national development plans, and on facilitating that direct access requirements are met. Special attention will be given to small island developing States (SIDS), least developed countries (LDCs) and African States. Existing national strategies such as Nationally Appropriate Mitigation Actions (NAMAs), National Adaptation Plans (NAPs), or National Adaptation Programmes of Action (NAPAs), among others, will form important inputs to this strategic dialogue.

22. This division will be headed by a Director, who will also be the Deputy Executive Director, and staffed with up to ten specialists in 2014 in the areas of:

- (a) Country operational dialogue, including readiness assessment;
- (b) Monitoring and evaluation: operational results tracking;
- (c) Accreditation of implementing entities and intermediaries;
- (d) Environmental and social safeguards: operational due diligence; and
- (e) Procurement and financial management: fiduciary due diligence.

23. This division and its staff will need to be supported by seasoned consultants, as required, and general support staff.

### 3.2 Mitigation and Adaptation

24. The Mitigation and Adaptation Windows division will manage all matters relating to mitigation and adaptation within the Fund. Its specialists will support the PSF and the country programming teams, as well as the national and regional bodies, through their expertise and technical excellence in the individual result areas of both climate change adaptation and mitigation. This initial team of four will initiate and maintain project and programme pipelines that will provide an appropriate flow of proposals for adaptation and mitigation activities to be financed by the Fund's thematic windows, including associated institutional capacity-building requirements. Through its cross-support and technical expert knowledge, this division will also be important for the success of the PSF and the Country Programming division.

25. The Mitigation and Adaptation Windows division will be led by a Director and its initial organization will be based on its thematic mandate, staffed initially with four core specialists in 2014, responsible for:

- (a) Agriculture and water (also acting as Adaptation Coordinator);
- (b) Urban development, disaster risk, and transport;
- (c) Renewable energy and energy efficiency (also acting as Mitigation Coordinator); and
- (d) Forestry.

26. It is understood that these initial staff members will, especially in the beginning, not exclusively deal with matters pertaining to their primary expertise. Therefore all initial result areas, as decided by the Board, will be addressed. Furthermore, this initial structure may change over time to reflect scaling-up of the Secretariat and its expanding operations. Altogether, this division will ensure a balanced approach between adaptation and mitigation, as provided in the Governing Instrument. The division and its initial professional staff will need to be supplemented by expert consultants and general support staff.



### 3.3 Private Sector Facility (PSF)

27. The PSF division will promote the participation of private sector actors in developing countries, in particular local actors, including small- and medium-size enterprises and local financial intermediaries. Further, the PSF division will support activities to enable private sector involvement particularly, but not exclusively, in LDCs, SIDS and African States. The PSF is mandated to catalyse and mobilize private sector investment at scale, and its Director and initial staff will design modalities to mobilize funds at scale from, inter alia, institutional investors such as pension funds and sovereign wealth funds. The PSF will commence its operations through accredited national, regional and international implementing entities and financial intermediaries, and may over time work directly with private sector mitigation and adaptation actors.

28. The PSF division will be headed by a Director and initially staffed with four specialists in 2014 that will be responsible for directly and indirectly financing private sector mitigation and adaptation activities at the national, regional and international levels, to include specialists in:

- (a) Structured finance;
- (b) Project finance;
- (c) Guarantees and insurance; and
- (d) Financial intermediation.

29. The PSF and its initial professional staff will need to be supplemented by seasoned consultants, as required, and general support staff.

### 3.4 External Affairs

30. The External Affairs division will have functional responsibility for the Fund's resource mobilization; the coordination of the support to the Board, its committees and panels; the Fund's relationships with other institutions and partners; observer organization relationships; communication functions, including media relations, public relations and events; the Fund's website, online presence and social media; meetings and conference services; and coordination of the Executive Director's speaking engagements and related activities.

31. A key function of External Affairs division will be resource mobilization, which includes not only fundraising, but also cultivating long-term relationships with donors and prospective donors in Governments and the private sector (corporations, investment funds, foundations, etc.). Resource mobilization, aimed at both public and private sources, will play a central and strategic role in the smooth functioning of the Secretariat and the success of the Fund. The External Affairs division will, among other, stay abreast of relevant COP decisions and activities of thematic bodies under the UNFCCC, and of the overall status of climate finance architecture and flows.

32. An initial staffing of six would be essential to support the Director of this division. General support staff and, as required, consultancy services from seasoned experts would further enable the Director to meet the needs of the Fund in this area.

### 3.5 Support Services

33. The Support Services division will carry out the overall administration of the Secretariat, to include day-to-day operational support, as well as institutional support, namely:

- (a) Human resources (HR): this team will manage all HR-related activities of the Fund; it will initiate and facilitate recruitment actions, administer staff salaries and entitlements, staff development and training;

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- (b) Legal matters: this team, led by the Legal Counsel, will be responsible for providing legal, policy and strategic advice to the Executive Director and the Board regarding complex legal issues, including the interpretation of treaties and other legal instruments and cooperative arrangements between the Fund and its partners and resource mobilization, for establishing the administrative and operational regulatory framework of the Fund, for conducting due diligence and review of all substantive divisions of the Secretariat with legal implications; and for providing overall corporate and operational legal advice;
- (c) Finance and risk management: this team will be responsible for all budgetary and operational financial matters, as well as providing operational financial and accounting services to the Secretariat, which will be based on best-practice standards;
- (d) Procurement and financial management: the responsibilities of this team will include fiduciary due diligence of implementing entities and intermediaries, as well as operational procurement support to the Secretariat, including all travel-related matters; and
- (e) Information and communication technology: this team will focus on developing and implementing all technical platforms and infrastructures, which will allow the Fund to operate with the state-of-the-art technology, to enable efficient and effective operations of all divisions.
34. The Support Services division will ensure that best standard practices are established and followed and all services provided to and by the Secretariat are in accordance with the Funds' administrative policies and guidelines. This division and its initial staff will require support by expert consultants and general service staff.

#### **IV. Implementation arrangements**

35. The initial organizational diagram, job profiles and staffing table that underpin the proposed structure and staffing are further elaborated in Annexes III and IV. The summary of the logistic arrangements and timelines for implementing the proposed structure and staffing is provided in Annex V. These implementation plans are further linked with the progress on administrative policies and procedures (document GCF/B.05/11) and contingent upon the approval of the proposed administrative budget of the Fund for 2014 (document GCF/B.05/21).
36. In conclusion, this document articulates the Secretariat's initial structure and staffing. At a future stage, it is foreseen that independent units will be established during the operational phase of the Fund, and report directly to the Board, covering Independent Evaluation, Integrity and the Independent Redress Mechanism. This will be relevant when actual projects and programmes of the Fund have commenced at some scale. In the meantime, independent verifications from independent experts can be commissioned by the Board on an as-needed basis.

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## Annex I: Draft decision of the Board

The Board having reviewed document GCF/B.05/10 *Initial structure and staffing of the Secretariat*:

- (a) Decides on the initial structure of the independent Secretariat, as set out in in Figure 1 of Section III in document GCF/B.05/10;
- (b) Takes note of the organizational diagram, showing the initial organization of the Secretariat in 2014, as presented in Annex III to document GCF/B.05/10;
- (c) Authorizes the Executive Director to recruit initial staff as presented in Annex IV to document GCF/B.05/10;
- (d) Endorses the process and timeframe for implementing the proposed initial structure of the Secretariat, as set out in Annex V to document GCF/B.05/10; and
- (e) Decides to approve the costs of the independent Secretariat, as set out in document GCF/B.05/21.

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## **Annex II: Responsibilities of the Secretariat in 2014 and in its initial operational phase**

1. The following sections capture part of the Secretariat responsibilities that arise for an emerging organization in its initial operational phase and derive from the provisions set out in the Governing Instrument and the decisions of the Board.

### **I. Readiness and preparatory support**

2. The Fund will need to provide readiness and preparatory support to eligible developing countries. The responsibilities of the Secretariat relating to this for 2014, pending the decision by the Board at its October 2013 meeting, will include:

- (a) Assisting eligible developing countries, including through outreach and on-demand advisory services, in identifying their national priorities and strategies for low-emission and climate-resilient development, and regarding how to implement programmatic approaches to such strategies and integrate mitigation and adaptation activities in national development plans, including through NAMAs, NAPs and NAPAs, among others; and
- (b) Assisting developing countries in the selection and nomination of subnational, national or regional entities for accreditation, including necessary support for readiness and compliance with the Fund's fiduciary standards and environmental and social safeguards, as well as meeting direct access requirements.

### **II. Country ownership and programming**

3. As a country-driven approach is a guiding principle of the Fund, this will naturally drive the work of the Secretariat and all its divisions. The tasks and responsibilities of the Secretariat relating to a country-driven approach include:

- (a) Adopting approaches to country programming, including developing an early pipeline of programme and project proposals;
- (b) Developing and implementing best-practice principles and guidelines for the establishment of NDAs or focal points, including for country coordination and multi-stakeholder consultations;
- (c) Developing and implementing complementary mechanisms to enhance country coordination and multi-stakeholder consultation in the context of developing funding proposals.

### **III. Access modalities and accreditation**

4. Specific tasks and responsibilities of the Secretariat concerning accreditation and access modalities of the Fund, pending the decision of the Board at its October 2013 meeting, include:

- (a) Developing the guiding framework for the Fund's accreditation process, including its fiduciary standards and environmental and social safeguards, and supporting the team of Board members to oversee this task;
- (b) Developing additional modalities that further enhance direct access for consideration by the Board, and subsequently implementing them;
- (c) Developing and implementing all necessary operational modalities, systems and procedures to support an effective operationalization of the Fund's accreditation process and access modalities, and putting in place an online accreditation system;

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- (d) Developing and implementing a policy on fees, compensation and payments for intermediaries and implementing entities following their accreditation.

#### **IV. Objectives, results and performance indicators**

5. Pending the decision of the Board at its October 2013 meeting, the responsibilities of the Secretariat will include:

- (a) Developing adaptation and mitigation logical result models for the Fund, based on the principles, initial result areas and core performance indicators decided upon by the Board, and taking into account available reporting capacity of countries;
- (b) Setting up and implementing the Fund's results management framework, including developing guidelines and any operational documents such as templates and toolkits, and engaging with countries, accredited intermediaries and implementing entities on its implementation, and putting in place an online results management system;
- (c) Developing and implementing the Fund's results-oriented monitoring and evaluation policy;
- (d) Enhancing cost-effectiveness, including by utilizing linkages between allocation and results management and developing a methodology for portfolio evaluation;
- (e) Analysing the expected impact and role of the Fund in the initial result areas;
- (f) Drafting the terms of reference of the Independent Evaluation and Integrity units and the Independent Redress Mechanism; and
- (g) Developing and implementing a detailed allocation framework.

#### **V. Initial resource mobilization, financial inputs and financial instruments**

6. The responsibilities of the Secretariat relating to the initial resource mobilization exercise, pending the decision of the Board at its October 2013 meeting, include:

- (a) Supporting the Board in implementing the initial resource mobilization strategy, including informal consultations, and planning and conducting of an initial pledging meeting, and approaching possible private contributors and alternative sources;
- (b) Facilitating a transition towards periodic replenishment processes;
- (c) Working with the Trustee/Interim Trustee to prepare the necessary arrangements and relevant legal agreements to receive financial inputs; and
- (d) Developing operational terms and conditions of grants and concessional lending, and preparing analysis to enable the utilization of other financial instruments.

#### **VI. Outreach and stakeholder engagement**

7. Pending Board decisions on matters relating to the business model framework of the Fund, and on other operational aspects, the Secretariat will initially conduct outreach that addresses the following responsibilities:

- (a) Implementing a communication strategy after the first Board meeting in 2014, which will include, among other, outreach to online and print media, media monitoring and response, issuing of press releases and organizing press briefings, and website development and maintenance;
- (b) Implementing an information disclosure policy;

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- (c) Providing communication and media support to strategies and activities relating to the core areas of work, including resource mobilization, readiness and preparatory support, country ownership and programming, access modalities and accreditation, as well as Board meetings; and
  - (d) Liaising and managing relationships with stakeholders and observer organizations, and reaching out to civil society, the private sector and international organizations.

## **VII. Private Sector Facility**

8. Pending related decisions of the Board, the PSF will become operational in mid-2014 and finance activities thereafter. The responsibilities of the Secretariat relating to the PSF will include:
- (a) Preparing a PSF strategy and business plan to cover the design, development and implementation of PSF operations, including early pipeline development for private initiatives, programmes and projects that meet the eligibility requirements of the Fund, taking into account lessons learned from other relevant entities;
  - (b) Working with the Private Sector Advisory Group and, where relevant, Risk Management Committee and Investment Committee to develop robust modalities, procedures and processes for the conduct and review of PSF operations, including investment portfolio management policies;
  - (c) Developing a risk management policy of the Fund, in consultation with the Risk Management Committee, including funding and financial instruments;
  - (d) Working on modalities of initial operations with accredited entities, including in relation to proposal design and eligibility, and the development of streamlined activity cycles and approval processes, while maintaining the flexibility necessary to successfully negotiate with private sector actors; and
  - (e) Working with the resource mobilization team to reach out to potential institutional investors and private foundations and develop modalities to mobilize funds at scale.

## **VIII. Other support to the Board**

9. The Secretariat's work plan in 2014 and beyond will enable it to support the Board in advancing the Fund's operational phase, in relation to the Board's work plan presented in document GCF/B.05/20, and to seek the Board's effective and timely guidance, as needed. In its interactions with the Board, the Secretariat's responsibilities will include:
- (a) Providing substantive material for consideration of the Board;
  - (b) Reporting regularly to the Board on results, budget execution, resource mobilization, and the rolling twelve-month work programme of the Secretariat;
  - (c) Providing support as needed to the Board committees, sub-committees, panels, and groups, as set out in their guidelines and terms of reference;
  - (d) Assisting the Board in preparing its report to the COP, and commencing annual reporting; and
  - (e) Carrying out any other tasks necessary to support the Board.

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## IX. Support services

### 9.1 Legal support

10. The Secretariat will draw from legal support services. Specifically, effective legal support will include:

- (a) Providing legal advice to the Board and the Secretariat;
- (b) Developing cooperative arrangements with the United Nations and other international organizations and with countries where the Fund will operate, including agreements covering the privileges and immunities of the Fund and its staff;
- (c) Developing templates of agreements with contributors and Governments, and developing legal arrangements with accredited intermediaries and implementing entities;
- (d) Establishing the administrative and operational regulatory framework of the Fund;
- (e) Conducting due diligence of operational policies, projects and programmes, and providing advice on any substantive decisions of the Secretariat with legal implications;
- (f) Reviewing all legal agreements and contracts with third parties and performing other functions, as required; and
- (g) Developing Trustee arrangements.

### 9.2 Administrative support

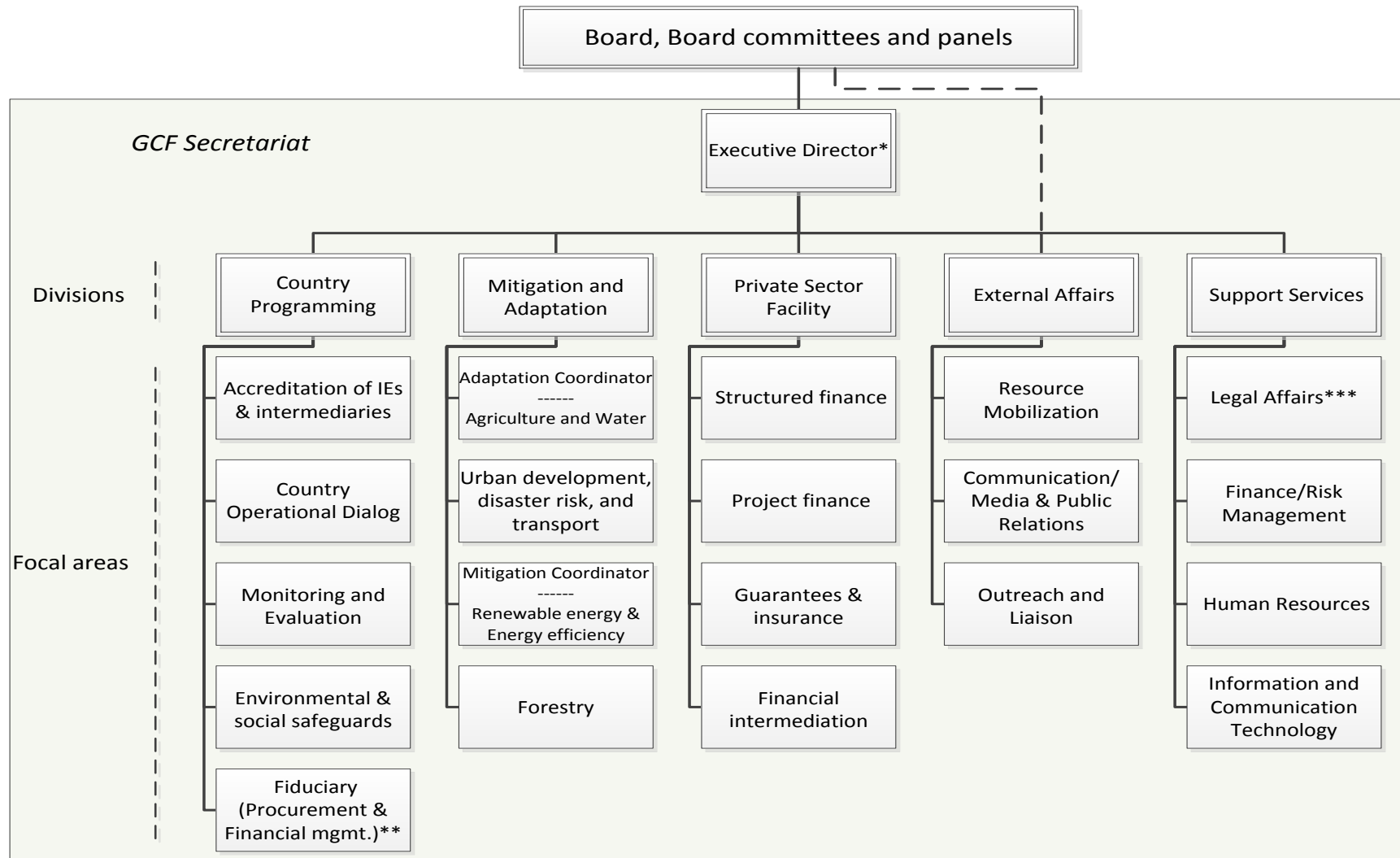
11. The Secretariat's work will become possible through the provision of appropriate administrative support, including HR, financial management, risk management, procurement and general services. Responsibilities relating thereto will, among other, include:

- (a) Finalizing administrative guidelines by February 2014, specifically covering HR, finance and accounting, procurement, travel, and general services, and implementing administrative guidelines, including appropriate training of staff;
- (b) Initiating and finalizing the recruitment of initial staff for the Secretariat by June 2014;
- (c) Establishing an efficient accounting and payments system and preparing financial reports;
- (d) Establishing the necessary work flows and internal controls to facilitate the processing of administrative actions, such as payroll, issuing of contracts and travel authorizations;
- (e) Facilitating, together with the ICT unit, the implementation of an Enterprise Resource Planning (ERP) system, record management system, and content and document management systems;
- (f) Facilitating the sourcing and contracting of a travel agent through a competitive procurement process and initiating and building vendor relationships; and
- (g) Overseeing the provision of facility management, security services and day-to-day relationship with the host country in implementing the Headquarters Agreement.

### 9.3 Information and communication technology (ICT) support

12. Appropriate ICT support will guarantee a smooth functioning of the operational activities of the Secretariat and the Fund, especially in its initial phase. Almost all of the divisions will need individual and specific information technology support and appropriate communication technology in order to meet the needs of the Fund. As the ICT services concern all other areas of work of the Secretariat, specific tasks and responsibilities, other than general support, have been integrated in the above Sections.

**Annex III: Organizational diagram – Initial structure of the Secretariat in 2014**



\*initial estimated staff requirement: 1 professional level staff member to support the Executive Director

\*\*In addition to their corporate responsibilities and task, this focal area will work closely with and for the Country Programming division

\*\*\*provides legal, policy and strategic advice to the Executive Director, the Secretariat and the Board



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## Annex IV: Job profiles and staffing table

1. The **Directors** of the five divisions, together with the Executive Director, form the management team of the Secretariat. They will be leaders and expert individuals with substantive experience and demonstrated success, both academically and in their professional career. Extensive cross-cultural leadership skills, demonstrated ability to manage timelines, dependencies and deliverables will be a pre-requisite. Among other tasks, they will be responsible to:
  - (a) Oversee, plan, implement, manage, review and control the operations of their divisions;
  - (b) Establish and maintain collaborative relationships internally (e.g. with the other divisions) as well as externally;
  - (c) Provide strategic and operational guidance and advice to the Executive Director;
  - (d) Optimize the potential of their respective teams through leadership, supported by learning and development and continuous coaching that will utilize and develop this potential to optimally benefit the Fund;
  - (e) Establish a culture of performance and ensure the delivery of the high volume of outputs while respecting work life balance; and
  - (f) Support the values and objectives of the Fund.
2. The **specialist roles** will be varying in level, from entry to mid and senior-level specialists. The levels of the posts will be determined based on the complexity of tasks and responsibilities, as well as the experience and educational background required to fulfil the functions of the respective post. The specialists will be responsible, among other tasks, to:
  - (a) Provide substantive support for and contribute to the design and implementation of the work plan of their division;
  - (b) Propose ideas and strategies to enhance institutional capacity;
  - (c) Perform assessments, analyses, and forecasts;
  - (d) Establish and maintain collaborative relationships;
  - (e) Ensure deadlines are met and the quality of their outputs is high; and
  - (f) Support the values and objectives of the Fund.
3. The **support staff** will provide general overall support, but also, where applicable, specific support, such as a legal clerk, an HR clerk, etc.
4. The academic qualifications and professional requirements for the different positions will also be guided by the relevant administrative framework under development, and consistent with Asian Development Bank's (ADB) practices.
5. The staffing table (Table 1) presents an indicative staffing allocation in the respective divisions; however the Executive Director may need to reassign staff. Staff members will need to be flexible and adaptable to support the initial phase of the team set-up.
6. The total administrative costs relating to the proposed initial structure and staffing of the Secretariat, in accordance with the Fund's remuneration and benefits scheme, as well as the costs associated with facilitating the interviews of the initial staff, are presented in document GCF/B.05/21.

Table 1: Indicative staffing allocation and key responsibilities

Function	Key responsibilities in 2014 and initial phase
Advisor to Executive Director (1 expert)	<ul style="list-style-type: none"> <li>- Perform necessary functions relating to the coordination of the front office of the Executive Director;</li> <li>- Assist the Executive Director with necessary follow-up across the Secretariat to ensure timely progress on various initiatives.</li> </ul>
<b>Country Programming Director, Deputy Executive Director</b>	<ul style="list-style-type: none"> <li>- Manage and oversee the work programme of the Country Programming division;</li> <li>- Act as officer-in-charge for the Secretariat when the Executive Director is away.</li> </ul>
Accreditation, including environmental and social safeguards, and fiduciary standards (Procurement and financial management) (6 specialists)	<ul style="list-style-type: none"> <li>- Coordinate the accreditation process;</li> <li>- Assist countries in selecting and nominating implementing entities;</li> <li>- Assist intermediaries and implementing entities with readiness and preparatory support;</li> <li>- Liaise with regional and international institutions interested in being accredited as intermediaries, funding entities and/or implementing entities, and provide assistance as needed.</li> </ul>
Country operational dialogue (3 specialists)	<ul style="list-style-type: none"> <li>- Lead and coordinate the operational dialogue with developing countries, including through the selection and strengthening of NDAs or focal points;</li> <li>- Assess and support readiness of countries in terms of policy and institutional enabling regulatory framework, including NAMAs, NAPAs, NAPs among others;</li> <li>- Facilitate the work of Mitigation and Adaptation Windows and PSF divisions to support implementing entities and countries to build potentially eligible pipeline of projects and programmes.</li> </ul>
Monitoring and evaluation (1 specialist)	<ul style="list-style-type: none"> <li>- Operationalize the result management framework into toolkits, logical frameworks, and templates;</li> <li>- Set up basis for data collection, tracking of performance at the level of the projects and programmes, countries, implementing entities, and the Fund;</li> <li>- Conduct impact assessment.</li> </ul>
<b>Mitigation/Adaptation Director</b>	Manage and oversee the work programme of the Mitigation and Adaptation Windows division
Mitigation and Adaptation team (4 specialists)	<ul style="list-style-type: none"> <li>- Provide countries with thematic readiness support, working with the Country Programming division;</li> <li>- Identify through operational dialogue possible pipeline of programmatic approaches and sector interventions;</li> <li>- Operationalize the type of interventions to make progress towards the Fund's result areas;</li> <li>- Implement thematic allocation, assess the performance of the portfolio;</li> <li>- Knowledge management relating to operational learning in mitigation and adaptation;</li> <li>- Prepare operational documents such as templates, toolkits, and guidelines needed for proposal review cycle.</li> </ul>
<b>PSF Director</b>	Manage and oversee the work programme of the PSF division
PSF team (4 experts)	<ul style="list-style-type: none"> <li>- Formulate proposals for the PSF-related aspects of the investment strategy and risk management strategy;</li> <li>- Develop modalities and procedures for PSF operations, including operational documents needed such as templates, toolkits and guidelines for proposal review;</li> <li>- Work with the Country Programming Division on readiness support to potential intermediaries and to NDAs or focal points for PSF portfolio;</li> <li>- Reach out to potential private sector entities;</li> <li>- Work on innovative financial instruments (e.g. guarantees, insurance, equity).</li> </ul>

<b>External Affairs Director</b>	Manage and oversee the work programme of the External Affairs division
Resource mobilization (2 specialists)	<ul style="list-style-type: none"> <li>- Organize technical-level dialogue with potential contributors;</li> <li>- Coordinate technical analyses, documents and presentations, as required by potential contributors;</li> <li>- Provide input as needed, to other divisions for scenarios regarding the potential level of financial inputs and country allocations;</li> <li>- Explore possible private contributors and alternative sources;</li> <li>- Provide logistic organization of resource mobilization multilateral meetings including formal pledging meetings.</li> </ul>
Communication and outreach (2 specialists)	<ul style="list-style-type: none"> <li>- Implement communication strategy;</li> <li>- Implement information disclosure policy;</li> <li>- Realize media engagement opportunities and media monitoring and response;</li> <li>- Provide communication and media support to core activities of the Fund, including through the website;</li> <li>- Organize workshops for awareness raising.</li> </ul>
Board logistics and liaison (2 specialists)	<ul style="list-style-type: none"> <li>- Prepare Board meeting communications;</li> <li>- Ensure Board, committee, panel, group and workshop meeting logistics;</li> <li>- Liaise with meeting hosts/Governments.</li> </ul>
<b>Operational Support Services Director</b>	Manage and oversee the work of the Operational Support Services division
Legal (2 specialists)	<ul style="list-style-type: none"> <li>- Provide a comprehensive range of legal services to the Board and the Secretariat on the interpretation of treaties and legal instruments;</li> <li>- Advice on agreements and cooperative arrangements</li> <li>- Establish the administrative and operational legal framework;</li> <li>- Conduct operational legal due diligence.</li> </ul>
HR (2 specialists)	<ul style="list-style-type: none"> <li>- Oversee orderly move to the Headquarters;</li> <li>- Coordinate the recruitment actions;</li> <li>- Oversee the implementation of HR strategies, policies, procedures and systems, including the provision of staff services, entitlements and payments.</li> </ul>
Finance/risk management (2 specialists)	<ul style="list-style-type: none"> <li>- Record and report financial statements;</li> <li>- Coordinate corporate procurement activities;</li> <li>- Coordinate the preparation of the risk management strategy of the Fund, and later on its implementation.</li> </ul>
ICT (2 specialists)	<ul style="list-style-type: none"> <li>- Oversee the performance by service providers to ensure high quality ICT systems in place in the Headquarters;</li> <li>- Implement ERP system, content management system, documents management system, no-objection procedure, online accreditation system, online results management framework.</li> </ul>

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## Annex V: Logistic implementation and timeline

### I. Recruitment approach

1. As a modern and international organization, the Fund and its Secretariat are based on the principle of diversity to foster a multi-cultural environment. By paragraph 21 of the Governing Instrument the Executive Director has been mandated to manage the staff selection, which will be open, transparent, based on merit, and take into account geographic and gender balance.
2. The following three-stage recruitment approach is recommended:
3. **Stage 1:** In order to establish a functional/operational and managerial basis with which the Secretariat will be able to operate, the recruitment of 13 posts will be initiated mid-October 2013 and it is foreseen to fill these posts by the end of February 2014, to include:
  - (a) Five Directors, in charge of the divisions and members of the management team;
  - (b) Three specialist staff in the areas of resource mobilization, readiness and preparatory support, and PSF operationalization;
  - (c) Five specialist staff in the support services areas, to build the basic administrative infrastructure.
4. **Stage 2:** The next stage, the recruitment of 15 specialist posts, will be initiated in November 2013 and it is foreseen to fill these posts by the end of April 2014, to sufficiently staff the four substantive divisions:
  - (a) Country Programming, to include: country dialogue and relationship management, monitoring and evaluation; and
  - (b) External Affairs, to include: outreach/liaison and resource mobilization;
  - (c) PSF specialists; and
  - (d) Mitigation and Adaptation, to include the operationalization of results management.
5. **Stage 3:** The recruitment of the remaining ten posts will be initiated at the beginning of December 2013 and it is expected to fill these posts by the end of June 2014. They will cover the remaining specialist roles in all divisions, which are important for developing and maintaining an early pipeline of potential programmes and projects.
6. The recruitment of the ten support staff will take place, as and when needed, within the above-mentioned timeline.
7. The first round of recruitment will take place during the transition to the Fund's Headquarters, during which period the Secretariat will require external expertise and support to facilitate and expedite the recruitment processes, to ensure timely implementation of the above-mentioned timeline. By the time of the last round of recruitment, the Secretariat will aim to perform many of the tasks relating to the recruitment process internally, such as on-boarding.

### II. Administrative actions

8. This Section should be read in conjunction with document GCF/B.05/11 which provides a list of administrative actions that are planned to be undertaken during the last quarter of 2013 and in early 2014.
9. The Secretariat intends to recruit staff who meet the highest standards of qualification and excellence of performance. In order to be able to attract such highly-qualified staff, it is

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essential that the Secretariat can offer candidates competitive terms and conditions of employment.

10. As determined by the Board, staff salaries and emoluments will be based on those of the ADB, including an appropriate cost-of-living differential which is regularly paid by the ADB to staff assigned to locations with higher cost of living than Manila, as is the case for the Republic of Korea. Benefits will generally follow, with some necessary adjustments by the Executive Director, those of the ADB. For certain matters (in particular, the staff retirement plan and the health insurance plan) temporary arrangements may have to be put in place, until such time that the Fund puts in place its own insurance and pension plans.

11. It is anticipated that the Secretariat will offer candidates fixed-term three-year appointment to the candidates. An appointment of a shorter duration would most likely be considered unattractive by the candidates; also, appointments of a shorter duration are not cost-effective use of budgetary resources. Thus, the Secretariat seeks Board approval of the projected staff-related budget for a period that covers the three-year contract period. Contributors are requested to submit, whenever feasible, instruments of contribution to cover staff salaries and emoluments during the entire three-year period, subject to payments being made annually by way of cash or promissory notes. In the absence of such commitments, the Secretariat will have no choice but to include appropriate provisions into contracts of employment providing that confirmation of appointment after one year of service will be subject not only to satisfactory performance but also to availability of resources.

12. The core compensation and benefits will be defined by mid-October 2013, and the core HR rules and policies will be finalized by mid-November 2013. In order to create an innovative, flexible and results-orientated organization, an HR strategy and programmes are being developed. This includes a talent and learning management strategy, developing the specific competencies, options for career development, and a performance management system.

### **III. Transitional arrangements**

13. In order to enhance the institutional capacity of the Secretariat, it is crucial to build up a critical mass of highly-qualified experts who can lead the operationalization of the Fund to allow it to assume its operations as quickly as possible. To this end, immediate financial support for the Fund has been requested, as presented in document GCF/B.05/21, to allow the Executive Director to proceed with the planned recruitment of core staff.

14. To ensure continuity until the assumption of duty by the management and staff, the Executive Director may need to recruit temporary staff or secondees. Furthermore, the Secretariat will balance initial staffing constraints through the contracting of individual consultants and firms.

15. All contracting and recruitment by the Secretariat will be based on competitive processes and in accordance with the administrative rules and regulations of the Fund.

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