



**Global Environment Facility**

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GEF Council  
December 5-7, 2001  
Agenda Item 6

## RELATIONS WITH CONVENTIONS

### **Recommended Council Decision**

The Council reviewed documents GEF/C.18/3 and GEF/.18/3/Add.1, *Relations with Conventions*, takes note of the developments of relevance to the GEF within the various international agreements and welcomes the strong collaboration that is evident between the GEF and the Conventions. More specifically, the Council:

- (a) requests the Secretariat, in preparing revised elements of strategic collaboration and a framework for GEF action for capacity building for the global environment, to be considered by the Council at its next meeting, to take into account consultations carried out with Parties to the Conventions as well as the decisions concerning capacity building of the Intergovernmental Committee for the Cartagena Protocol on Biosafety and the Stockholm Convention on Persistent Organic Pollutants;
- (b) requests the CEO to collaborate with the Executive Director of UNEP in developing the modalities for a Capacity Assistance Network as called for by the Stockholm Convention on Persistent Organic Pollutants;
- (c) requests the Secretariat to submit to the sixth meeting of the Conference of the Parties to the Convention on Biological Diversity the Second Study of the Overall Performance of the GEF as an additional input to the second review of the effectiveness of the financial mechanism which is to be discussed at that meeting; and
- (d) requests the GEF to prepare, for consideration at the next Council meeting, a paper concerning arrangements necessary for administration of the two new Convention funds under the UNFCCC and proposing how the GEF might most effectively and efficiently implement the new funds, taking into account relevant decisions of the Conference of the Parties to the UNFCCC at its seventh session as well as views expressed by the Council, including written views that may be submitted by Council Members by January 11, 2002.

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## INTRODUCTION

1. This document reports on developments of interest to the GEF within the context of the Convention on Biological Diversity and the UN Framework Convention on Climate Change that have occurred since the GEF Council meeting in May 2001. The document also includes reporting on the UN Convention to Combat Desertification, the Stockholm Convention on Persistent Organic Pollutants, and the United Nations Forum on Forests. As requested by the Council at its meeting in May 2000, the document includes information provided by the Convention on Wetlands of International Importance especially as Waterfowl Habitats and the Convention on the Conservation of Migratory Species of Wild Animals relevant to the mandate of the GEF.

2. Given the length of the document, it has been prepared in two parts. Document GEF/C.18/3/Add.1 includes reporting on the resumed sixth session of the United Nations Framework Convention on Climate Change held in Bonn from July 16-27, 2001. GEF/C.18/3 contains the rest of the reporting on this item.

### I. CONVENTION ON BIOLOGICAL DIVERSITY

#### **Second meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety**

3. The second Meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP) was held in Nairobi, Kenya, from October 1-5, 2001. Delegates met to discuss agenda items from ICCP-1 as well as a number of new issues. Among others, the meeting addressed issues of capacity building and guidance to the financial mechanism.

4. During the meeting, a status report on the implementation of the GEF project on Development of National Biosafety Frameworks approved by the Council in November 2000 was presented. The meeting commended UNEP for the measures taken for the prompt start of its implementation as well as for the progress achieved so far. The project was also discussed during a side event held on October 2, co-chaired by the Executive Director of UNEP and the chairman of ICCP, with the participation of more than 300 delegates.

5. The meeting highlighted capacity building and information sharing as essential elements for the Protocol's ratification and implementation at the national level. ICCP-2 developed recommendations on its agenda items, which will be forwarded to MOP-1 for consideration. The draft recommendation on Guidance to the Financial Mechanism for the consideration by the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol (see Annex A) contains the following main points:

- (a) eligibility criteria for funding under the financial mechanism;
- (b) guidance to the financial mechanism in the field of capacity building, including full participation in the Biosafety Clearing-House;

- (c) a request to the Conference of the Parties to the Convention and the GEF Council to confirm that the arrangements between them provided for in the Memorandum of Understanding adopted between the Conference of the Parties and the GEF Council will apply for purposes of the Cartagena Protocol; and
- (d) an invitation to the GEF Council to take into account the key elements requiring concrete action contained in the draft Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety (see Annex B).

6. In the event that the Protocol does not enter into force by January 8, 2002, ICCP-2 proposed that a third Intergovernmental Committee meeting be convened to maintain momentum on preparations for the Protocol's effective implementation at the time of its entry into force.

### **Second review of the effectiveness of the financial mechanism**

7. In Decision V/12, the Conference of the Parties decided to conduct the second review of the effectiveness of the financial mechanism at its sixth meeting, and adopted terms of reference for the review. As a result of an international bid, Le Groupe-conseil baastel itée was selected for undertaking the second review. The review has progressed as scheduled. A questionnaire was developed and distributed to the CBD and GEF focal points, and a total of sixty-two responses, with a fairly balanced regional distribution, were compiled in the evaluator's database. A series of interviews were conducted to yield information from other types of stakeholders involved in GEF work and/or knowledgeable of GEF work. A wide range of documentation, either identified by the evaluation team itself or provided by the different actors covered by the review, was analyzed. Field visits were conducted in the following countries: Jordan (Asia and the Pacific); Ecuador (Latin America and the Caribbean); Russia (Eastern Europe and Central Asia); and Seychelles (Africa). The evaluator's draft final report and executive summary will be ready for review and comments by the GEF Secretariat and Implementing Agencies shortly.

### **International Workshop on Financial Support for National Biosafety Frameworks**

8. In November 2000, the GEF Council approved an 'Initial strategy for assisting countries to prepare for the entry into force of the Cartagena Protocol on Biosafety' (GEF/ C.16/4/Rev.1). In doing so, it requested the GEF Secretariat to "collaborate with the Convention Secretariat, the GEF Implementing Agencies, bilateral and multilateral organizations with a view to facilitating better coordination among them for the provision of assistance to interested countries and to explore opportunities to strengthen partnerships for the provision of capacity building activities."

9. In December 2000, the GEF's initial strategy was presented to the first meeting of the Intergovernmental Committee on the Cartagena Protocol on Biosafety (ICCP 1), which welcomed it and requested rapid implementation. The ICCP also called upon UNEP, "in collaboration with the GEF, other donors and the [Convention] Secretariat to organize a workshop on financial support for the creation and implementation of national biosafety frameworks with a view to maximizing

complementarities and synergies between various initiatives of bilateral, regional and multilateral funding institutions..."(UNEP/CBD/ICCP/1/9).

10. Accordingly, UNEP organized an International Workshop on Financial Support for National Biosafety Frameworks on July 14, 2001 in Havana. The GEF collaborated with UNEP in organizing this workshop and provided resources to assist developing country representatives to attend. The one-day workshop was attended by representatives of bilateral, regional and multilateral agencies supporting the creation and implementation of national biosafety frameworks, and by developing country experts. The meeting provided an opportunity for exchanging detailed information on the programs and projects supported by various agencies and for identifying opportunities for information sharing on an ongoing basis. It was recognized that activities implemented through the GEF initial strategy were an important nucleus around which other capacity building activities could be designed.

### **Workshop on Financing for Biological Diversity**

11. Through its decision V/11, the Conference of the Parties to the Convention on Biological Diversity invited the GEF to assist the Executive Secretary to convene a workshop on financing for biodiversity with a view to sharing knowledge and experience among funding institutions. The Conference of the Parties also requested the workshop to provide further advice to the Executive Secretary on developing a format for standardized information on financial support from developed country Parties for the objectives of the Convention. In response to those requests, the Workshop on Financing for Biological Diversity, jointly sponsored by the Convention on Biological Diversity and the GEF, was held in Havana, in July 16-17, 2001. Representatives from bilateral agencies and multilateral institutions attended the meeting.

12. During this meeting, the GEF Secretariat made a brief presentation, highlighting key issues such as co-financing needs of the existing pipeline, priority-setting at the national level based on the completed national biodiversity strategies and action plans, and guidance from the Conference of the Parties. The GEF also highlighted the need to define strategic collaboration among key partners to facilitate collaborative international efforts to meet the challenges of global environmental management within the context of national sustainable development. The presentation identified important elements of this framework, such as, dialogue with partners, clarifying partners' differentiated roles based on comparative advantage, and leveraging financial resources for program and project level intervention.

13. With regard to exploring the potential of the GEF's role, the workshop recognized the importance of comprehensive data and information sharing among donor organizations and the role and impact of the GEF in leveraging and mobilizing additional external resources. Recommended follow-up activities for the GEF include: exploring modalities for improving the centralized availability of, and access to, relevant information on biodiversity investments and project activities world-wide in view of better donor coordination; exploring opportunities to further develop and strengthen its catalytic role in identifying co-financing resources; and exploring and examining innovative and creative financing modalities to leverage increased access to funds from the private sector and non-traditional sources of funding. The Executive Secretary of the Convention, in collaboration with the GEF, was requested to

promote coordination in financing for biological diversity among bilateral and multilateral donor organizations.

### **Ad-Hoc Technical Expert Group on Forest Biological Diversity**

14. In its decision V/4, the Conference of the Parties at its fifth meeting, held in Nairobi in May 2000, decided to establish an Ad Hoc Technical Expert Group on Forest Biological Diversity to assist the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) in its work on forest biological diversity. The GEF Secretariat participated in two meetings of this group. The first meeting took place in Montreal, Canada, in November 2000, and the second meeting in Edinburgh, United Kingdom, in April 2001.

15. The Expert Group will present their report to SBSTTA 7 to be held in Montreal in November 2001. The report has three parts: (a) a review of information on the status and trends of forest biological diversity; (b) a set of options and priority actions for conservation and sustainable use of forest biological diversity, addressing (i) assessment and monitoring; (ii) conservation and sustainable use; and (c) institutional and socio-economic enabling environment.

### **Workshop on Incentive Measures**

16. The GEF Secretariat participated in the Workshop on Incentive Measures for the Conservation and Sustainable Use of the Components of Biological Diversity held in Montreal in October 2001. The purpose of the workshop was to elaborate proposals for the design and implementation of the incentive measures on the basis of the background document prepared by the CBD Secretariat with the support of competent organizations as contemplated in that same decision.

### **Coral bleaching**

17. Decision V/13 of the Conference of the Parties to the Convention on Biological Diversity highlighted the need to assess the issue of coral bleaching as it is of relevance not only to biodiversity but climate change, international waters and land degradation. The COP to the CBD requested the GEF to support, as a priority, projects for capacity building at the national, sub-regional and regional level to address coral bleaching within the implementation of the program of work on marine and coastal biological diversity.

18. In response to this request, the biodiversity, climate change and land and water teams of the GEF Secretariat held a meeting to discuss a common approach to the issue. Some operational guidance will be provided to the Implementing Agencies to stimulate development of projects to address coral conservation and management and to generate multiple benefits. In the meantime, the GEF portfolio on coral reef conservation and sustainable use is substantive and increasing. However, few projects in the portfolio mention the issue of coral bleaching as a priority.

19. In addition to the above information, the Convention Secretariat also provided more detailed information on the activities under the CBD which is presented in Annex C to this document.

## II. UN CONVENTION TO COMBAT DESERTIFICATION

20. The fifth session of the Conference of the Parties (COP) was held in Geneva, October 1-12, 2001 and the Parties approved a decision regarding the GEF (see Annex D) which:

- (a) welcomes the decision of the GEF Council at its May 2001 meeting to pursue the designation of land degradation as a GEF focal area;
- (b) encourages the GEF Council to take the necessary steps in pursuit of designating land degradation as a focal area;
- (c) requests the Executive Secretary of the UNCCD and the Managing Director of the Global Mechanism to continue to cooperate with the GEF Secretariat on its work on modalities for designating land degradation as a focal area;
- (d) encourages further meetings of the Third Replenishment of the GEF to consider the need for new and additional financial resources to assist in achieving the objectives of the UNCCD; and
- (e) encourages the GEF at its forthcoming replenishment meetings to consider the needs arising from the possible designation of land degradation as a GEF focal area.

In this regard, the Council's attention is drawn to document GEF/C.18/4, Note on the Proposed Designation of Land Degradation as a Focal Area, which the Council would well consider under Agenda item 7.

21. The GEF's participation in the COP included a statement to the Parties from the CEO, an exhibition and a workshop on GEF activities on land degradation prevention and control, and consultations on the proposals emerging from the Capacity Development Initiative.

## III. THE STOCKHOLM CONVENTION ON PERSISTENT ORGANIC POLLUTANTS

22. On May 22, 2001, the Stockholm Convention on Persistent Organic Pollutants was adopted by a Conference of Plenipotentiaries. The Convention was opened for signature at the Conference on May 23, and is opened for signature at the United Nations Headquarters from May 24, 2001 to May 22, 2002. As of the end of September 2001, the Convention has been signed by over 90 countries, and ratified by two (Canada and Fiji).

23. The Conference also adopted a number of resolutions included in the Final Act of the Conference. Several resolutions refer to the GEF as the interim financial mechanism (see Annex E) and main points include:

- (a) the Assembly of the GEF is invited to consider amending the Instrument for the Establishment of the Restructured Global Environment Facility to include a new focal area in order to support the implementation of the Convention;
- (b) the GEF is invited to establish as soon as possible and implement an operational programme for persistent organic pollutants, taking into account future decisions of the Intergovernmental Negotiating Committee for an International Legally Binding Instrument for Implementing International Action on Certain Persistent Organic Pollutants;
- (c) the GEF is invited to report to the Conference of the Parties at its first session on the measures it has taken to ensure the transparency of the GEF project approval process and that the procedures for accessing funds are simple, flexible and expeditious; and
- (d) donors to the GEF Trust Fund are requested to contribute adequate additional financial resources through the third replenishment of the GEF Trust Fund, in order to enable the GEF to perform effectively its mandate in terms of this Convention.

24. In addition, the Conference has also requested the Executive Director of the UNEP as the interim secretariat for the Convention, and the Chief Executive Officer of the GEF to cooperate in developing the modalities for a Capacity Assistance Network (CAN) that will perform the following functions:

- (a) Identifying and maintaining an inventory of sources of assistance outside those to be provided by the principal entity of the financial mechanism of the Convention that are available for the implementation of the Convention, and assisting signatories, upon request, to access these sources; and
- (b) Encouraging the involvement of the private sector and non-governmental organizations in providing assistance.

The Executive Director of UNEP and the GEF Chief Executive Officer are requested to report on their efforts to the sixth session of the Intergovernmental Committee in June 2002.

25. In respect to CAN, the Conference urges other entities providing bilateral, multilateral and regional financial and technical assistance for the implementation of the Convention to contribute actively to this effort, and invites the GEF, as the principal entity entrusted with the operations of the financial mechanism referred to in Article 13 of the Convention, on an interim basis, to take into account the capacity-building needs for the implementation of the Convention by signatory developing countries and

signatory countries with economies in transition, in the further development of its capacity-building strategy, and to report thereon to the INC at its sixth session in June 2002.

#### IV. UNITED NATIONS FORUM ON FORESTS

26. On October 18, 2000, the Economic and Social Commission (ECOSOC) of the UN adopted resolution E/2000/35, outlining an international arrangement on forests with the main objective to promote the management, conservation and sustainable development of all types of forests and to strengthen long-term political commitment to this end. The resolution established the United Nations Forum on Forests (UNFF) as a subsidiary body of ECOSOC. The ECOSOC decision gives UNFF the mandate to develop a Plan of Action for the implementation of Intergovernmental Panel on Forests (IPF)/Intergovernmental Forum on Forests (IFF) proposals for action, which will also address financial provisions. UNFF is composed of all States Members of the United Nations and States members of the specialized agencies.

27. The same resolution also established the Collaborative Partnership on Forests (CPF) as one of the ways and means of strengthening synergies and coordination in policy development and implementation of forest-related activities. The CPF is composed of key international forest-related organizations, institutions and instruments<sup>1</sup>.

28. The GEF has accepted the invitation of ECOSOC to join the CPF. This process provides GEF with an opportunity to showcase the significant role it plays in promoting the conservation and sustainable use of forests through its focal areas as well as to improve synergies in these global processes through its country level support. The first session of the UNFF took place from June 11-23, 2001, at UN Headquarters in New York. GEF's participation in the CPF was welcomed.

#### V. CONSULTATIONS WITH CONVENTIONS ON CAPACITY BUILDING

29. In its decision on *Elements of strategic collaboration and a framework for GEF action for capacity building for the global environment*, adopted in May 2001, the Council requested the GEF Secretariat to present the proposed strategic elements and a framework to the Conference of the Parties of the three conventions and to consult with them on the proposals.

30. The proposed strategic elements and framework were presented to the fifth Conference of the Parties to the Convention on Desertification in a side event on October 9, 2001. The strategic elements and framework were generally welcomed and the availability of funds for self-needs assessments was noted with appreciation. One major concern expressed was the need to build capacity for accessing GEF and other external assistance, and for greater clarity in the GEF's operational modalities.

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<sup>1</sup> The CPF members include the following: Convention on Biological Diversity, Secretariat (CBD); Convention to Combat Desertification, Secretariat (CCD); Centre for International Forestry Research (CIFOR); Food and Agriculture Organization of the United Nations (FAO); Global Environmental Facility (GEF); International Tropical Timber Organization (ITTO); United Nations Department for Economic and Social Affairs (UN/DESA); United Nations Development Programme (UNDP); United Nations Environment Programme (UNEP); and World Bank (WB).

31. Presentations to Parties to the UN Framework Convention on Climate Change and the Convention on Biological Diversity have been scheduled for late October and November 2001, respectively.

#### VI. INFORMATION ON OTHER INTERNATIONAL ENVIRONMENTAL CONVENTIONS

32. At its meeting in November 2000, the Council encouraged the Secretariat to enhance its cooperation with other international environmental conventions, such as the Convention on Wetlands of International Importance especially as Waterfowl Habitats (Ramsar), the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), and the Convention on the Conservation of Migratory Species of Wild Animals (CMS)<sup>2</sup>. The following information has been submitted by the Secretariats of those conventions for purposes of this paper.

#### **Convention on Wetlands of International Importance especially as Waterfowl Habitats (Ramsar)**

33. The collaboration between the Ramsar Convention and the GEF has been reflected by a direct involvement of the Ramsar Bureau in a number of GEF projects. Their role has been ranging from technical inputs through collaborative work on further design of the projects with recipient countries. The projects in which Ramsar has been directly involved include:

34. Reversal of Land and Water Degradation Trends in the Lake Chad Basin Ecosystem, Reversing Land and Water Degradation Trend in the Niger River Basin, African/Eurasian Waterbird Flyways project, Conservation of Wetland and Coastal Ecosystems in the Mediterranean Region, Trinational Prespa Park (Albania, Greece and the FYROM) and Conservation of Iranian Wetlands.

#### **Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)**

35. No updated information has been received from the Convention on International Trade in Endangered Species of Wild Fauna and Flora.

#### **Convention on the Conservation of Migratory Species of Wild Animals (CMS)**

36. The Convention currently has 76 Parties, and it is developing new agreements, for example, Memoranda of Understanding have been drafted for African Turtles, the Indian Ocean and East Asia Turtles, Aquatic Warbler, Albatros and Petrels, Southern African Seabirds and Asian Herbivores.

37. The tenth session of the CMS Scientific Council took place in Edinburgh, United Kingdom, from May 2-4, 2001. Main discussions covered the amendment of Appendix I (endangered) species and identification of matters related to by-catch and barriers to migration. Cooperation with IUCN Red

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<sup>2</sup> See paragraph 11, *Joint Summary of Chairs, GEF Council meeting November 1-3, 2000*.

list, sturgeons and CITES and selection of small-scale project proposals to be funded from the Secretariat's budget were also subjects for consideration.

38. In preparation for the seventh CMS Conference of the Parties (COP7), the Standing Committee will meet in Bonn from December 13 to 14, 2001. Main agenda items include the Host Government Agreement (HGA), budget for the triennium 2003-2005, collaboration with other organizations, implementation of the Strategic Plan 2000-2005, new Appendix listings, potential new resolutions and recommendations for COP7 in addition to other organizational matters. A regional workshop for Latin America will take place 29-31 October in Lima, Peru to identify priorities for action, promote synergies with other conventions and regional initiatives and agree on regional contributions to COP7.

ANNEX A. 2/4. GUIDANCE TO THE FINANCIAL MECHANISM. RECOMMENDATION ADOPTED BY THE INTERGOVERNMENTAL COMMITTEE FOR THE CARTEGENA PROTOCOL ON BIOSAFETY AT ITS SECOND MEETING

*The Intergovernmental Committee for the Cartagena Protocol on Biosafety*

1. *Takes note of* the note by the Executive Secretary (UNEP/CBD/ICCP/2/5) concerning guidance for the financial mechanism;
2. *Acknowledges* the biosafety capacity-building initiatives currently being undertaken by UNEP/GEF;
3. *Recognizes* the need to ensure that guidance to the financial mechanism will support in a balanced manner the objectives of the Convention and its Protocol;
4. *Stresses* the need for mutual information, coordination and regular monitoring in order to avoid duplications and to identify gaps and possible synergies because of the multitude of different actors undertaking various capacity building initiatives, and for an active role the Executive Secretary should play in the process.
5. *Considers* that guidance with respect to the financial mechanism for the Protocol can formally only be adopted by the Conference of the Parties to the Convention;
6. *Considers* the need to facilitate the process; and therefore, *Invites* the sixth meeting of the Conference of the Parties to the Convention to consider the practical arrangements, outlined in this guidance for the financial mechanism for the Protocol, to be implemented by the Global Environment Facility in a timely manner;
7. *Recommends* that the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol consider the following eligibility criteria for funding under the financial mechanism:

“All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, which are Parties to the Protocol, are eligible for funding under the financial mechanism for the Protocol.

“All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, which are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, are also eligible for funding under the financial mechanism for the Protocol.”
8. *Recommends* that the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol consider guidance to the financial mechanism in the field of capacity building,

including full participation in the Biosafety Clearing-House, and drawing upon the key elements requiring concrete action contained in section 2 of the draft Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety and any other issues identified by ICCP;

9. *Takes into account* Article 28, paragraph 5 of the Protocol, and *recommends* that first meeting of the Conference of the Parties serving as the meeting of the Parties to this Protocol requests the Conference of the Parties to the Convention and the Council of the Global Environment Facility to confirm that the arrangements between them provided for in the Memorandum of Understanding adopted by the Conference of the Parties at its third meeting will apply, *mutatis mutandis*, for purposes of the Cartagena Protocol;

10. *Wishes* to provide the Council of the Global Environment Facility, so that it can take into account at its first possible meeting, the key elements requiring concrete action contained in the draft Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety, in accordance with recommendation adopted by the Intergovernmental Committee for the Cartagena Protocol on Biosafety at its second meeting.

ANNEX B. 2/9. CAPACITY-BUILDING AND THE ROSTER OF EXPERTS. RECOMMENDATION ADOPTED  
BY THE INTERGOVERNMENTAL COMMITTEE FOR THE CARTEGENA PROTOCOL ON BIOSAFETY AT ITS  
SECOND MEETING

A. CAPACITY-BUILDING

**The Intergovernmental Committee for the Cartagena Protocol on Biosafety**

1. *Takes note of* the document on capacity building prepared by the Executive Secretary (UNEP/CBD/ICCP/2/10), including the report of the Open-Ended Meeting of Experts on Capacity-Building for the Implementation of the Cartagena Protocol on Biosafety, which was held in Havana from 11 to 13 July 2001;
2. *Welcomes* the biosafety capacity-building initiatives currently being undertaken by UNEP/GEF and other donors;
3. *Endorses* the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety annexed to the present recommendation, including the possible sequence of actions in the appendix to the Action Plan;
4. *Invites* Parties, Governments, international and regional organizations, non-governmental organizations, private sector and scientific organizations and other relevant bodies to start implementing the Action Plan, taking into account the roles of different entities in facilitating capacity-building;
5. *Recommends* to the Conference of the Parties serving as the meeting of the Parties to the Protocol that the Conference of the Parties request the Global Environment Facility and other donors to take into account this Action Plan in providing assistance to developing countries, in particular the least developed and the small island developing States among them, and Parties with economies in transition, towards the ratification and effective implementation of the Cartagena Protocol on Biosafety;
6. *Requests* the Executive Secretary to develop a coordination mechanism for the implementation of the Action Plan with a view to promoting partnerships and to maximize complementarities and synergies between various capacity building initiatives;
7. *Requests* the Executive Secretary to prepare a report on the progress made in the implementation of the Action Plan, based on submissions from Parties and Governments and relevant organizations, for consideration by the first meeting of the Conference of the Parties serving as the meeting of the Parties.

## Annex

### **ACTION PLAN FOR BUILDING CAPACITIES FOR THE EFFECTIVE IMPLEMENTATION OF THE CARTAGENA PROTOCOL ON BIOSAFETY**

#### 1. *Objective of the Action Plan*

1. The objective of this Action Plan is to facilitate and support the development and strengthening of capacities for the ratification and effective implementation of the Cartagena Protocol on Biosafety at the national, sub regional, regional and global levels in a timely manner. In this regard, the provision of financial, technical and technological support to developing countries, in particular the least developed and small island developing states among them, as well as countries with economies in transition, taking into account also countries that are centers of origin and centers of genetic diversity, is essential.

2. To achieve the objective, this action plan aims at identifying country needs, priorities, and mechanisms of implementation and sources of funding.

#### 2. Key elements requiring concrete action

3. The following key elements are meant to be considered in a flexible manner, based on a demand-driven approach, taking into account the different situations, capabilities and stages of development of each country.

##### (a) Institutional capacity-building:

- (i) Legislative and regulatory framework;
- (ii) Administrative framework;
- (iii) Technical, scientific and telecommunications infrastructures;
- (iv) Funding and resource management;
- (v) Mechanisms for follow-up, monitoring and assessment;

##### (b) Human-resources development and training;

##### (c) Risk assessment and other scientific and technical expertise;

##### (d) Risk management;

##### (e) Awareness, participation and education at all levels including for decision makers, stakeholders and general public;

##### (f) Information exchange and data management including full participation in the Biosafety Clearing-House;

##### (g) Scientific, technical and institutional collaboration at sub regional, regional and international levels;

##### (h) Technology transfer;

##### (i) Identification.

### 3. *Processes/steps*

4. The following processes/steps should be undertaken within appropriate timeframes:
- (a) Identification of capacity needs, including the needs that are not covered prior to the second meeting of ICCP;
  - (b) Prioritization of the key elements by each country prior to the first meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol;
  - (c) Sequencing of actions, including timelines for the operation of capacity-building prior to the first meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol;
  - (d) Identification of the coverage and gaps in capacity-building initiatives and resources that could support the ratification and implementation, prior to first meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol, from the following:
    - (i) Global Environment Facility (GEF);
    - (ii) Multilateral agencies;
    - (iii) Other international sources;
    - (iv) Bilateral sources;
    - (v) Other stakeholders;
    - (vi) National sources;
  - (e) Enhancing the effectiveness and adequacy of financial resources to be provided by multilateral and bilateral donors and other donors to developing countries, in particular the least developed and small island developing States among them, as well as countries with economies in transition taking into account also countries that are centers of origin and centers of genetic diversity;
  - (f) Enhancing synergies and coordination of capacity-building initiatives; and
  - (g) Development of indicators for evaluating capacity-building measures.

### 4. *Implementation*

5. The activities hereunder are not listed in any order of priority:

4.1 *National level*

- (a) Development of national regulatory frameworks on biosafety;
- (b) Development and/or strengthening of institutional, administrative, financial and technical capacities, including the designation of national focal points and competent national authorities;
- (c) Establishment of a mechanism to inform all stakeholders;
- (d) Appropriate participation of all relevant stakeholders;
- (e) A mechanism for handling requests or notifications, including risk assessment and decision-making, as well as public information and participation;
- (f) Mechanisms for monitoring and compliance; and
- (g) A short- and long-term assessment for internal and external funding.

4.2 *Subregional and regional levels*

- (a) Regional and subregional collaborative arrangements
- (b) Regional and subregional advisory mechanisms
- (c) Regional and subregional centres of excellence and training
- (d) Regional and subregional website and database
- (e) Mechanisms for regional and subregional coordination and harmonization of regulatory frameworks, where appropriate

4.3 *International level*

- (a) Effective functioning of the Biosafety Clearing-House;
- (b) Development/updating of international guidance (IUCN, UNEP, FAO etc.);
- (c) Strengthening South-South cooperation;
- (d) Development and effective use of the roster of experts
- (e) Regular review and provision of further guidance by the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol.

5. *Monitoring and coordination*

6. Because of the multitude of different actors undertaking different capacity building initiatives, mutual information, coordination and regular monitoring will be promoted in order to avoid duplications and to identify gaps. This exercise will lead to a focus of capacity building on biosafety, ratification, and implementation of the Cartagena Protocol on Biosafety. The Secretariat and the Biosafety Clearing-House will be actively involved in the process.

7. The Secretariat will prepare, on the basis of Governments' submissions, a report on the steps taken by countries, multilateral/bilateral and other international sources, towards implementation of the Action Plan and submit a report to the Conference of the Parties servicing as the meeting of the Parties to the Protocol so that it identifies whether the actions listed under section 4 have been carried out successfully and effectively.

ANNEX C. CONTRIBUTION TO THE GEF DOCUMENT "RELATIONS WITH CONVENTIONS" FOR THE 18<sup>TH</sup>  
MEETING OF THE GEF COUNCIL, DECEMBER 5-7, 2001

PREPARED BY THE CBD SECRETARIAT

CONVENTION ON BIOLOGICAL DIVERSITY

1. There have been a number of liaison group meetings, expert meetings, workshops, consultation, open-ended meetings of experts, and working group meetings under the auspices of the Convention on Biological Diversity this year. Below is a partial list of these meetings. The GEF Secretariat provided to the seventeenth meeting of the Council a brief on the sixth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice and the first meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety. This section will focus on the issues that have been addressed under the Convention since the last meeting. It is understood that the Executive Secretary of the Convention will further inform the Council of the activities from the time when this report is prepared to the eighteenth meeting of the Council, such as the seventh meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA-7) (Montreal, Canada, 12 - 16 November 2001) and the open-ended intersessional meeting on the strategic plan, national reports and the implementation of the Convention (Montreal, Canada 19 - 21 November 2001).

- Liaison Group on Agricultural Biodiversity (Rome, Italy, 24 - 26 January 2001)
- Central American Workshop and Taxonomic Needs Assessment on the Global Taxonomy Initiative (San José, Costa Rica, 6 - 9 February 2001)
- Regional Meeting on Biosafety Clearing-House and the Clearing-House Mechanism in Africa (Nairobi, Kenya, 26 - 28 February 2001)
- Global Taxonomy Initiative Regional Meeting in Africa (Cape Town, South Africa, 27 February - 1 March 2001)
- Informal Advisory Committee Meeting of the Clearing-House Mechanism (Montreal, Canada, 11 March 2001)
- Informal Consultation on the proposed Global Strategy for Plant Conservation (Montreal, Canada, 11 March 2001)
- Sixth Meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA-6) (Montreal, Canada, 12 - 16 March 2001)
- Meeting with SBSTTA Focal Points, CHM Focal Points, and Informal Advisory Committee of the CHM (Montreal, Canada, 14 March 2001)
- Liaison Group Meeting of Technical Experts on the Biosafety Clearing-House (Montreal, Canada, 19 - 20 March 2001)
- Panel of Experts on Access and Benefit-Sharing (Montreal, Canada, 19 - 22 March 2001)
- Technical Experts Group on Forests (Edinburgh, United Kingdom, 23 - 27 April 2001)

- Workshop on the Strategic Plan (Mahé, Seychelles, 28 - 30 May 2001)
- Workshop on Biological Diversity and Tourism (Santo Domingo, Dominican Republic, 4 - 7 June 2001)
- Expert Meeting on Handling, Transport, Packaging and Identification of Living Modified Organisms (Paris, France, 13 - 15 June 2001)
- Workshop on Liability and Redress under the CBD (Paris, France, 18 - 20 June 2001)
- Open-ended Meeting of Experts on Capacity-Building for the Implementation of the Biosafety Protocol (Havana, Cuba, 11 - 13 July 2001)
- International Workshop on Financial Support for National Biosafety Frameworks (Co-organized with UNEP) (Havana, Cuba, 14 July 2001)
- Workshop on Financing for Biodiversity (Co-organized with GEF) (Havana, Cuba, 16 - 17 July 2001)
- Latin American & Caribbean Regional Meeting on the Biosafety Clearing-House (Lima, Peru, 4 - 6 September 2001)
- Latin America & Caribbean Regional Meeting on the Clearing-House Mechanism (Lima, Peru, 7 September 2001)
- African Regional Workshop on Sustainable Use of Biological Diversity (Maputo, Mozambique, 24 - 27 September 2001)
- Open-Ended Meeting of Experts on Compliance. Back to Back with ICCP-2 (Nairobi, Kenya, 26 - 28 September 2001)
- Liaison Group Meeting of Technical Experts on the Pilot Phase of the Biosafety Clearing-House (Nairobi, Kenya, 27 - 28 September 2001)
- Second Meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP-2) (Nairobi, Kenya, 1 - 5 October 2001)
- Liaison Group on Article 8(j) (Montreal, Canada, 9 October 2001)
- Workshop on Incentive Measures (Montreal, Canada, 10 - 12 October 2001)
- Technical Expert Group on Marine and Coastal Protected Areas (Leigh, New Zealand, 22 - 26 October 2001)
- Ad-Hoc Open-ended Working Group on Access and Benefit-Sharing (Bonn, Germany, 22 - 26 October 2001)

## **Biosafety**

2. In response to the requests from the first meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP), the Executive Secretary of the Convention convened several meetings to discuss the biosafety clearing-house, capacity building, financial support for national biosafety frameworks, compliance, as well as handling, transport, packaging and identification of living modified organisms. These discussions were fed into the second Meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP), which was held in Nairobi, Kenya, from October 1-5, 2001.

3. Open-ended Meeting of Experts on Capacity-Building for the Implementation of the Biosafety Protocol (Havana, Cuba, 11 - 13 July 2001). The meeting was attended by over 220 experts and observers nominated by Governments and relevant organizations. Pursuant to the recommendation of the first meeting of the ICCP, the meeting discussed a number of issues related to capacity building, and came up with a draft plan for building capacities for the effective implementation of the Protocol. During the meeting, a status report on the implementation of the GEF project on Development of National Biosafety Frameworks approved by the Council in November 2000 was presented at the plenary of the meeting.

4. International Workshop on Financial Support for National Biosafety Frameworks (Havana, Cuba, 14 July 2001). This workshop was jointly convened by the GEF, UNEP and the Convention Secretariat, and its aim was to explore ways and means of maximizing complementarities and synergies among various initiatives of bilateral, regional and multilateral funding institutions, including relevant non-biosafety initiatives. The meeting attended by representatives of bilateral, regional and multilateral agencies supporting the creation and implementation of national biosafety frameworks, and by developing country experts. The meeting provided an opportunity for exchanging detailed information on the programs and projects supported by various agencies, and the identification of opportunities for information sharing on an ongoing basis. It was recognized that activities implemented through the GEF initial strategy were an important nucleus around which other capacity building activities could be designed.

5. Second Meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP-2) (Nairobi, Kenya, 1 - 5 October 2001). Delegates met to discuss agenda items from the first meeting of the ICCP as well as a number of new issues. The GEF project on Development of National Biosafety Frameworks was discussed during a side event held on October 2, co-chaired by the Executive Director of UNEP and the chairman of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, with the participation of more than 300 delegates. The ICCP adopted thirteen recommendations covering issues related to liability and redress, monitoring and reporting, guidance for the financial mechanism, decision making, information sharing, capacity building and the roster of experts, handling, packaging, transport and identification as well as other issues for the effective implementation of the Protocol. In the event that the fiftieth instrument of ratification, accession, approval or acceptance is not deposited by 8 January 2002, ICCP-2 requested the Bureau of the ICCP to explore the possibility of having a third meeting of the Intergovernmental Committee in conjunction with the sixth meeting of the Conference of the Parties to the Convention.

6. In its recommendation on guidance for the financial mechanism, the meeting acknowledged the biosafety capacity building initiatives currently being undertaken by UNDP/GEF and UNEP/GEF. The recommendation proposed, for consideration of the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, eligibility criteria for funding under the financial mechanism for the Protocol and guidance to the financial mechanism in the field of capacity building, including full participation in the Biosafety Clearing-House and any other issues identified by the ICCP. The meeting wished to provide the GEF Council, so that it can take them into account at its first

possible meeting, the key elements requiring concrete action contained in the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety adopted by ICCP-2. In its recommendation on capacity building and the roster of experts, the Intergovernmental Committee for the Cartagena Protocol on Biosafety invited the financial mechanism for the Protocol to assess whether it can have a role to play in the roster of experts.

### **Access to genetic resources and benefit-sharing**

7. As mandated by decision V/26 of the Conference of the Parties, the second meeting of the Panel of Experts on Access and Benefit-sharing was held in Montreal, Canada, on 19-22 March 2001. The main issues addressed included: the assessment of user and provider experience in access to genetic resources and benefit-sharing, the identification of approaches for the involvement of stakeholders in access and benefit-sharing arrangements and complementary options to address access and benefit-sharing in the framework of the Convention. Participants identified elements that may serve as a basis for the development of international guidelines and other approaches on access and benefit-sharing, by the Ad Hoc Open-ended Working Group on access and benefit-sharing.

8. The Ad-Hoc Open-ended Working Group on Access and Benefit-Sharing established by the fifth meeting of the Conference of the Parties met in Bonn, Germany, from 22 - 26 October 2001. The meeting adopted four recommendations for consideration by the sixth meeting of the Conference of the Parties, including the draft Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization, other approaches including the development of an action plan for capacity building, as well as role of intellectual property rights in the implementation of access and benefit-sharing arrangements. Funding through the Global Environment Facility was considered as a means of implementation of capacity building measures for access to genetic resources and benefit-sharing.

### **Sustainable use and tourism**

9. In response to the request to prepare a proposal for the contribution on guidelines pursuant to decision V/25 of the Conference of the Parties, the Executive Secretary of the Convention convened the Workshop on Biological Diversity and Tourism in Santo Domingo, Dominican Republic, on 4 - 7 June 2001. The workshop discussed scope; management process steps including institutions, baseline information and review, vision and goals, objectives, review of legislation and control measures, impact assessment, impact management, benefit-sharing; notification process and outline of information requirements; and public education and awareness raising. In addition to the draft guidelines for activities related to sustainable tourism development in vulnerable terrestrial, marine and coastal and mountain ecosystems, the workshop also produced recommendations regarding future action to be taken in connection with the guidelines.

10. With support from the Government of the Netherlands, the Executive Secretary of the Convention planned to convene three regional workshops on sustainable use of biological diversity. The first workshop, African Regional Workshop on Sustainable Use of Biological Diversity was held in

Maputo, Mozambique, on 24 - 27 September 2001. It was focused on terrestrial, dryland resources and game utilization and developed the Maputo Principles divided in axioms and guiding principles for sustainable use. The two subsequent workshops will focus mainly on forest biological diversity including timber and non-wood forest products and marine and freshwater capture fisheries respectively.

### **Forest biological diversity**

11. In its decision V/4, the Conference of the Parties decided to establish an Ad Hoc Technical Expert Group on Forest Biological Diversity to assist the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) in its work on forest biological diversity. The GEF Secretariat participated in the meetings of this group. The first meeting took place in Montreal, Canada, from 27 November to 1<sup>st</sup> December 2000, and the second meeting took place in Edinburgh, United Kingdom, from 23 to 27 April 2001. The Expert Group addressed the following two main substantive issues: assessment of status and trends of, and major threats to, forest biological diversity; and options for conservation and sustainable use of forest biological diversity. The report of the ad hoc technical group on forest biological diversity has been forwarded to the seventh meeting of the SBSTTA for consideration.

### **Marine and coastal biological diversity**

12. The first meeting of the Ad Hoc Technical Expert Group on Marine and Coastal Protected Areas (MCPA) was held from 22 to 26 October 2001 in Leigh, New Zealand. The decision to establish this Expert Group was taken by the Conference of the Parties in adopting the programme of work on marine and coastal biological diversity at its fourth meeting (decision IV/5, annex). The expert group focused on identifying a general framework for consideration of the issue of marine and coastal protected areas, and planned to collectively produce text on issues such as global goals for a representative MCPA network; ecological aspects of MCPAs; design and implementation of MCPAs and networks; social, cultural and economic benefits; and funding and public awareness.

### **Financing for biological diversity**

13. Through its decision V/11, the Conference of the Parties to the Convention on Biological Diversity invited the GEF to assist the Executive Secretary to convene a workshop on financing for biodiversity with a view to sharing knowledge and experience among funding institutions. The Conference of the Parties also requested the workshop to provide further advice to the Executive Secretary on developing a format for standardized information on financial support from developed country Parties for the objectives of the Convention. In response to those requests, the Workshop on Financing for Biological Diversity, jointly sponsored by the GEF and Convention on Biological Diversity, was held in Havana, Cuba, in July 16-17, 2001. Representatives from donor Governments, bilateral agencies and multilateral institutions attended the meeting.

14. During this meeting, the GEF Secretariat made a brief presentation, highlighting key issues such as co-financing needs of existing pipeline, priority-setting at the national level based on the completed national biodiversity strategies and action plans, and guidance from the Conference of the Parties. The Secretariat also highlighted the need to define strategic collaboration among key partners to facilitate collaborative international efforts to meet the challenges of global environmental management within the context of national sustainable development. The presentation identified important elements of this framework, such as, dialogue with partners, clarifying partners' differentiated roles based on comparative advantage, leveraging financial resources for program and project level intervention.

15. With regard to exploring the potential of the GEF's role, the workshop recognized the importance of comprehensive data and information sharing among donor organizations and the role and impact of the GEF in leveraging and mobilizing additional external resources. Recommended follow-up activities for the GEF include: exploring modalities for improving the centralized availability of and access to relevant information on biodiversity investments and project activities world-wide in view of better donor coordination; exploring opportunities to further develop and strengthen its catalytic role in identifying co-financing resources; and exploring and examining innovative and creative financing modalities to leverage increased access to funds from the private sector and non-traditional sources of funding. The Executive Secretary of the Convention, in collaboration with the GEF, was requested to promote coordination in financing for biological diversity among bilateral and multilateral donor organizations.

### **Incentive Measures**

16. The Workshop on Incentive Measures for the conservation and sustainable use of the components of biological diversity was held in Montreal in October 2001 in accordance with Decision V/15 adopted by the Conference of the Parties at the fifth session, in May 2000. The workshop elaborated proposals for the design and implementation of the incentive measures and formulated recommendations for further cooperation on incentive measures. The Workshop recommends that the Conference of the Parties give guidance to the GEF to ensure funding for the capacity building and to provide financial support for the programme of work on incentive measures, including support in the development of conceptual frameworks and baseline information for incentive measure assessments.

### **Strategic Planning**

17. In its decision V/20 on the operations of the Convention on Biological Diversity, the Conference of the Parties decided to hold an open-ended intersessional meeting to assist with preparations of the strategic plan for the Convention and means to support implementation of the Convention. The meeting will take place in Montreal, Canada, from 19 - 21 November 2001. To prepare documentation for this meeting, the Executive Secretary of the Convention convened a Workshop on the Strategic Plan in the Seychelles from 28 to 30 May 2001. The Workshop provided guidance on follow-up steps and the overall process to develop a Strategic Plan p to the sixth meeting of the Conference of the Parties, and proposed a structure and draft elements of a Plan.

## **Clearing-house Mechanism (CHM)**

18. In support of decision V/14, Annex II (d), the Executive Secretary of the Convention convened an African regional workshop on the biosafety clearing-house and the clearing-house mechanism in Nairobi, Kenya from 26-28 February 2001. The regional workshop on the clearing-house mechanism for Latin American and the Caribbean region took place in Lima, Peru on 7 September 2001. These workshops are a key activity in assisting regions to better use and understand the clearing-house mechanism. It also offers the clearing-house mechanism a more balanced regional perspective of needs thereby guiding its efforts to develop initiatives to facilitate technical and scientific cooperation.

## **Education and Public Awareness**

19. As a follow-up to decision V/17 (2) on Education and Public Awareness, the Executive Secretary of the Convention, in collaboration with UNESCO, convened a series of meetings of the CBD-UNESCO Consultative Working Group of Experts on Biological Diversity Education and Public Awareness. The first meeting was held in Paris, France, from 11-13 July 2000, and the second meeting was in Bergen, Norway, from 16-17 November 2000. A third meeting will take place in Bilbao, Spain, from 5-7 November 2001. The Working Group is developing an operational framework and a specific strategy for the implementation of the Global Initiative on Biological Diversity Education and Public Awareness.

## **Second review of the effectiveness of the financial mechanism**

20. In Decision V/12, the Conference of the Parties decided to conduct the second review of the effectiveness of the financial mechanism at its sixth meeting, and adopted terms of reference for the review. As a result of an international bid, Le Groupe-conseil Baastel Itée was selected for undertaking the second review. The review has progressed as scheduled. A questionnaire was developed and distributed to the CBD and GEF focal points, and a total of sixty-two responses, with a fairly balanced regional distribution, were compiled in the evaluator's database. A series of interviews were conducted to yield valuable information from other types of stakeholders involved in GEF work and/or knowledgeable of GEF work. A wide range of documentation, either identified by the evaluation team itself or provided by the different actors covered by the review, was analyzed. Field visits were conducted in the following countries: Jordan (Asia and the Pacific); Ecuador (Latin America and the Caribbean); Russia (Eastern Europe and Central Asia); and Seychelles (Africa). The evaluator's draft final report and executive summary will be ready for review and comments by the GEF Secretariat and Implementing Agencies shortly.

ANNEX D. REVIEW OF AVAILABLE INFORMATION REGARDING THE FINANCING OF CONVENTION IMPLEMENTATION BY MULTILATERAL AGENCIES AND INSTITUTIONS INCLUDING INFORMATION ON THE ACTIVITIES OF THE GLOBAL ENVIRONMENT FACILITY CONCERNING DESERTIFICATION THAT RELATE TO ITS FOUR FOCAL AREAS, AS SPECIFIED IN ARTICLE 20, PARAGRAPH 2 (B) OF THE CONVENTION

Draft decision submitted by the Chairman of the Committee of the Whole

THE CONFERENCE OF THE PARTIES

*Recalling* article 21 of the United Nations Convention to Combat Desertification (UNCCD), which established *inter alia* that “The Conference of the Parties shall promote the availability of financial mechanisms and shall encourage such mechanisms to seek to maximize the availability of funding for affected developing countries, particularly those in Africa, to implement the Convention”,

*Being aware* that adequate and predictable financial resources are required in pursuit of the implementation of the Convention and the full and effective achievement of its objectives,

*Noting* the report of the Executive Secretary on the follow-up to the Global Environment Facility (GEF) Council decisions made in response to decision 9/COP.4 on collaboration with the GEF,

1. *Welcomes* the decision taken by the GEF Council at its May 2001 session to pursue the designation of land degradation (desertification and deforestation) as a GEF focal area as a means of enhancing GEF support for the successful implementation of the UNCCD;
2. *Encourages* that GEF Council to take the necessary next steps in pursuit of designating land degradation (desertification and deforestation) as a GEF focal area;
3. *Requests* the Executive Secretary of the UNCCD and the Managing Director of the Global Mechanism to continue to cooperate actively in the GEF secretariat’s work on modalities for designating land degradation as a focal area;
4. *Encourages* further meetings of the Third Replenishment of the GEF to consider the need for new and additional financial resources, in the context of the Third Replenishment, to assist in achieving the objectives of the UNCCD;
5. *Further encourages* the GEF at its forthcoming meetings on replenishment, in the light of the possible designation by the GEF Assembly of land degradation (desertification and deforestation) as a new focal area of the GEF, to consider the needs arising from such designation.

ANNEX E. RESOLUTIONS ADOPTED BY THE CONFERENCE OF PLENIPOTENTIARIES ON THE STOCKHOLM  
CONVENTION ON PERSISTENT ORGANIC POLLUTANTS

RESOLUTION ON INTERIM FINANCIAL ARRANGEMENTS

**The Conference,**

Noting that article 14 of the Stockholm Convention on Persistent Organic Pollutants on interim financial arrangements designates the Global Environment Facility on an interim basis to serve as the principal entity entrusted with the operations of the financial mechanism defined in article 13 of the Convention,

Taking note of the desire of the Global Environment Facility to commit to the objectives of the Convention, as enunciated at the sixteenth meeting of its Council,

1. Requests the Assembly of the Global Environment Facility to consider establishing a new focal area through amendment of the Instrument for the Establishment of the Restructured Global Environment Facility in order to support the implementation of the Convention;
2. Further requests the Council of the Global Environment Facility to establish as soon as possible and implement an operational programme for persistent organic pollutants, taking into account future decisions of the Intergovernmental Negotiating Committee for an International Legally Binding Instrument for Implementing International Action on Certain Persistent Organic Pollutants;
3. Further requests the Global Environment Facility to report to the Conference of the Parties at its first session on the measures it has taken to ensure the transparency of the Global Environment Facility project approval process and that the procedures for accessing funds are simple, flexible and expeditious;
4. Further requests donors to the Global Environment Facility Trust Fund to contribute adequate additional financial resources through the third replenishment of the Global Environment Facility Trust Fund, in order to enable the Global Environment Facility effectively to perform its mandate in terms of this Convention;
5. Requests the interim secretariat to invite relevant funding institutions to provide information on ways in which they can support the Convention, and to submit a report on the basis of such information to the Conference of the Parties at its first session;
6. Requests the Conference of the Parties at its first session to review the availability of financial resources additional to those provided through the Global Environment Facility and the ways and means for mobilizing and channeling these resources in support of the objectives of the Convention.

## RESOLUTION ON CAPACITY-BUILDING AND CAPACITY ASSISTANCE NETWORK

### **The Conference,**

Convinced of the need for technical assistance for capacity-building related to the implementation of the obligations of the Convention,

Recognizing that further guidance on technical assistance for capacity building is to be provided by the Conference of the Parties, in accordance with paragraph 3 of article 12 of the Convention,

Recognizing further the value of a mechanism to facilitate and coordinate access to technical and financial assistance to be provided to assist signatories to implement the Convention,

1. Invites the Intergovernmental Negotiating Committee (hereinafter referred to as the "Committee") to focus its efforts in the interim period on arrangements for capacity building for the implementation of the Convention in signatory developing countries and signatory countries with economies in transition, for the consideration of and adoption by the first meeting of the Conference of the Parties;
2. Requests the Executive Director of the United Nations Environment Programme as the interim secretariat for the Convention and the Chief Executive Officer of the Global Environment Facility acting in cooperation, to develop the modalities for a Capacity Assistance Network that will perform the following functions, and report thereon to the Committee at its sixth session:
  - (a) Identifying and maintaining an inventory of sources of assistance outside those to be provided by the principal entity of the financial mechanism of the Convention that are available for the implementation of the Convention;
  - (b) Assisting signatories, upon request, to identify and access the sources referred to in paragraph 2 (a);
  - (c) Providing signatories with information on, categories, sources and requirements for accessing the assistance referred to in paragraph 2 (a); and
  - (d) Encouraging the involvement of the private sector and non-governmental organizations in providing assistance;
3. Urges other entities providing bilateral, multilateral and regional financial and technical assistance for the implementation of the Convention to contribute actively to this effort;
4. Invites the Global Environment Facility, as the principal entity entrusted with the operations of the financial mechanism referred to in article 13 of the Convention, on an interim basis, to take into account the capacity-building needs for the implementation of the Convention by signatory developing

countries and signatory countries with economies in transition, in the further development of its capacity-building strategy, and to report thereon to the Committee at its sixth session.