

GEF/C.47/03 September 30, 2014

GEF Council Meeting October 28 – 30, 2014 Washington, D.C.

Agenda Item 10

RELATIONS WITH THE CONVENTIONS AND OTHER INTERNATIONAL INSTITUTIONS

Recommended Council Decision

The Council, having considered document GEF/C.47/03, *Relations with the Conventions and Other International Institutions*, welcomed the report and requested the GEF network to continue to work with recipient countries to reflect the guidance and national priorities in their GEF programming and activities.

EXECUTIVE SUMMARY

1. This document provides the Council with an update on the activities of the GEF in relation to the following multilateral environmental conventions: the Convention on Biological Diversity (CBD), the United Nations Convention to Combat Desertification (UNCCD), the United Nations Framework Convention on Climate Change (UNFCCC), the Stockholm Convention on Persistent Organic Pollutants (the Stockholm Convention), the Montreal Protocol on Substances that Deplete the Ozone Layer (the Montreal Protocol) and the Minamata Convention on Mercury. The document also provides information on relations between the GEF Secretariat and other international conventions and institutions.

Highlights reported include:

- (a) Updates on the ratification of CBD protocols; on the submission of national reports; and on the GEF Secretariat's participation in CBD-related events; and an annex with GEF's responses to decisions of the CBD Conference of the Parties.
- (b) Updates on ratification and progress on National Communications and Biennial Update Reports under the UNFCCC; on GEF reports submitted to the UNFCCC and its subsidiary bodies, and on the GEF Secretariat's participation in UNFCCC-related meetings; and an annex with GEF's responses to decisions of the UNFCCC Conference of the Parties.
- (c) Updates on the GEF reporting to the UNCCD; on the Secretariat's participation in UNCCD-related events; and an annex with GEF's responses to decisions of the UNCCD Conference of the Parties.
- (d) Updates on ratifications, national reporting, and on related meetings and events for the Stockholm Convention and the Montreal Protocol.
- (e) Updates on ratifications, meetings and other events related to the Minamata Convention on Mercury.
- (f) A report on the GEF Secretariat's participation in various meetings relating to the International Waters focal area.
- (g) A summary of relations and activities associated with other international institutions, including the Collaborative Partnership on Forests.

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Introduction

1. This document reports on developments of interest to the GEF occurring since the 46th GEF Council meeting in May 2014 within the context of the Convention on Biological Diversity (CBD), the UN Framework Convention on Climate Change (UNFCCC), the Stockholm Convention on Persistent Organic Pollutants (the Stockholm Convention), the UN Convention to Combat Desertification (UNCCD), the Montreal Protocol on Substances that Deplete the Ozone Layer (the Montreal Protocol) and the Minamata Convention on Mercury. The report also provides information on the GEF Secretariat's relations with other conventions and institutions. Regarding events related to International Waters, the report includes developments occurring since the 45th Council meeting in November 2013.

CONVENTION ON BIOLOGICAL DIVERSITY

Ratification

- 2. For the Nagoya-Kuala Lumpur Supplementary Protocol on Liability and Redress to the Cartagena Protocol on Biosafety: Slovenia deposited its instrument of ratification on May 8, 2014; Uganda deposited its instrument of accession on June 25, 2014; and Vietnam acceded to the Protocol on April 24, 2014.
- 3. For the Nagoya Protocol on Access and Benefits Sharing, the following is the list of ratification, accessions and approvals during the period under consideration:

Country	Date	Status
Kenya	April 07, 2014	Ratification
Madagascar	April 07, 2014	Ratification
Seychelles	April 20, 2014	Ratification
Guyana	April 22, 2014	Accession
Vietnam	April 23, 2014	Accession
Hungary	April 29, 2014	Ratification
Denmark	May 01, 2014	Approval
Namibia	May 15, 2014	Accession
European Union	May 16, 2014	Approval
Samoa	May 20, 2014	Accession
Spain	June 03, 2014	Ratification

Country	Date	Status
Guatemala	June 18, 2014	Ratification
Uganda	June 25, 2014	Accession
Belarus	June 26, 2014	Accession
Burundi	June 26, 2014	Accession
Vanuatu	July 01, 2014	Ratification
Niger	July 02, 2014	Ratification
The Gambia	July 03, 2014	Accession
Mozambique	July 07, 2014	Ratification
Sudan	July 07, 2014	Ratification
Peru	July 08, 2014	Ratification
Switzerland	July 11, 2014	Ratification
Uruguay	July 14, 2014	Ratification

- 4. To date, 92 Parties to the Convention have signed and 53 Parties to the Convention have ratified the Nagoya Protocol on Access and Benefit Sharing (ABS).
- 5. The list of signatories and ratifications may be found at:

http://www.cbd.int/abs/nagoya-protocol/signatories/

National Reporting

- 6. As of August 2014, 99 countries have submitted the final version of their fifth national reports for the Convention on Biological Diversity.
- 7. As of August 2014, no new countries submitted the final version of their fourth national reports for the Convention on Biological Diversity. The total number of submissions is 181.
- 8. As of August 2014, 151 Parties submitted their second national reports for the Cartagena Protocol.

Meetings and Events

- 9. The GEF Secretariat participated in the fifth meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention. This meeting was held in Montreal, Canada on June 16-20, 2014 and provided information to participants on the GEF-6 replenishment and the GEF-6 biodiversity strategy. In addition, the GEF Secretariat attended the Eighteenth Meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, in Montreal, Canada, on June 23-28, 2014.
- 10. The GEF Secretariat participated in the 9th Ordinary Meeting of the Liaison Group of Biodiversity-related Conventions (BLG) and the Friends of the CBD Meetings, which were held on August 15-17, 2014 in Zurich, Switzerland. The GEF Secretariat provided an update on the GEF-6 replenishment, the biodiversity focal area strategy and the GEF-6 programming directions related to the CBD.
- 11. On June 30, 2014 the GEF Secretariat submitted to Council the GEF Report to the Twelfth Meeting of the Conference of the Parties to the Convention on Biological Diversity. Responses to decisions adopted by Conferences of the Parties of the CBD can be found in that report and are reproduced here under Table 1 of the Annex.

UN FRAMEWORK CONVENTION ON CLIMATE CHANGE

Ratification

12. During the reporting period, there were no new parties to the United Nations Framework Convention on Climate Change (UNFCCC). As of August 2014, there are 196 parties to the Convention.

National reporting/National Communications

- 13. The following is the total number of national communications submitted from non-Annex I Parties, as of August 2014:
 - (a) Initial national communications: **148**
 - (b) Second national communications: 103
 - (c) Third national communications: **6**
 - (d) Fourth national communications: 1
 - (e) Fifth national communications: 1
- 14. Full details of reports submitted are available on the UNFCCC website at:

http://unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php.

Reporting to COP

15. The GEF Secretariat prepared and submitted its report to the Twentieth Conference of the Parties (COP 20) to the UNFCCC. This report provides the GEF's responses to guidance

received from the nineteenth Conference of the Parties (COP 19) and several conclusions from the 39th and 40th sessions of the Subsidiary Body for Implementation (SBI 39 and 40), during the reporting period from July 1, 2013 to June 30, 2014.

16. These responses are reproduced here under Table 2 of the Annex, and may be seen in the COP20 report at:

https://www.thegef.org/documents/report-gef-20th-session-cop-unfccc.

Meetings and Events

- 17. The GEF Secretariat participated in the Bonn Climate Conference on June 4-15, 2014, including the fortieth sessions of the SBI and the Subsidiary Body for Scientific and Technological Advice (SBSTA), as well as the June session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP). Highlights of GEF activities during the Conference include, *inter alia*, contributions to ADP Technical Expert Meetings on land use and the urban environment, a GEF side event on GEF-6 and GEF2020, and a contribution to the Third Meeting of the Durban Forum on Capacity-building.
- 18. During the reporting period, the GEF Secretariat also participated in the following meetings:
 - (a) Seventh meeting of the Standing Committee on Finance (SCF) on June 16-18, 2014 in Bonn, Germany;
 - (b) Second Forum of SCF on June 20-21, 2014 in Montego Bay, Jamaica;
 - (c) 26th Meeting of the Least Developed Countries Expert Group (LEG) on August 5-7, 2014 in Bonn Germany;
 - (d) Second NAP Expo on August 8-9 in Bonn, Germany; and
 - (e) Ninth meeting of the Technology Executive Committee (TEC) and in-session thematic dialogue on Climate Technology Financing on August 18–21, 2014 in Bonn, Germany.

Joint Activities

- 19. Over the past few years, the GEF Secretariat and the UNFCCC Secretariat have jointly conducted regular meetings and an annual retreat. During the reporting period the GEF Secretariat met with the UNFCCC Secretariat at Cancun in May 2014 during the GEF Council meeting. The aim of the discussion was to finalize the work procedure and submission of the COP20 report.
- 20. The 2014 GEF-UNFCCC Joint Retreat was held via teleconference on September 11-12, 2014. The four objectives of the retreat were: i) to continue to strengthen the strategic partnership between the GEF and the UNFCCC in the context of the objectives of the Convention; ii) to discuss short-term activities to be undertaken by both secretariats to enhance the implementation of guidance and decisions by UNFCCC Parties, including decisions in Warsaw, with regards to adaptation, mitigation, finance, technology transfer and enabling activities; iii) to identify long-

term strategic actions for an innovative and effective collaboration to facilitate the provision of support at the level of the Convention in the context of the 2015 Agreement, the GEF's sixth replenishment cycle and the GEF's 2020 strategy, and; iv) to reflect on the GEF's engagement with the thematic bodies of the Convention and identify a systematic approach to such engagement.

UN CONVENTION TO COMBAT DESERTIFICATION

Reporting

21. In addition to its report to the Conference of the Parties, the GEF is also required to submit information on its activities through the Performance Review and Assessment of Implementation System (PRAIS). The GEF and UNCCD Secretariat worked closely on a streamlined GEF template for this purpose, which will ensure that information requested is consistent with GEF role as a financial mechanism of the Convention. The GEF Secretariat successfully completed and submitted the template for the UNCCD Fifth Reporting Cycle, which will be considered at next meeting of the Committee for Review of Implementation of the Convention.

Decisions of COP

22. During the period covered by this report, additional progress was made in addressing decisions taken at the 11th Conference of Parties on Collaboration with the GEF. Details of the decision and progress with responses and actions taken by the GEF Secretariat are presented in Table 3 of the Annex.

Meetings and Events

- 23. During the period covered by this report, the GEF Secretariat participated in one National Action Program (NAP) Alignment Workshop, and together with the UNCCD Secretariat and the World Bank co-organized a day-long celebration of World Day to Combat Desertification on June 17, 2014.
- 24. The GEF Secretariat took part in two back-to-back workshops organized by the Global Mechanism of the UNCCD and the UNCCD Secretariat for country Parties of the Pacific subregion in Nadi, Fiji, May 12-16, 2014. The main objectives of these workshops was to firstly familiarize participants of the Pacific Island Countries with the improved and simplified reporting system (PRAIS), and secondly, to discuss the potentials offered by a regional integrated approach to resource mobilization, notably through the establishment of a regional resource mobilization strategy and platform for the PICs to promote UNCCD implementation. The GEF Secretariat contributed through presentations on financing options for SLM, and facilitated discussions on the Sustainable Land Management resource mobilization strategy, together with other international and regional partners, including SPC, SPREP, the European Commission, IUCN, and WWF.
- 25. The day-long global observance of World Day to Combat Desertification was hosted at the World Bank in Washington DC under the theme *Land Belongs to the Future Let's Climate*

Proof it. Activities were jointly organized by the GEF and UNCCD Secretariats with the World Bank, and included a series of expert panel discussions on Sustainable Land Management and Ecosystem-based Adaptation. The GEF Secretariat used the occasion to launch a new publication on "Combating Land Degradation in Production Landscapes through Integrated Ecosystem Management," which synthesized GEF financing over the last two decades and on-the-ground learning from projects Burkina Faso, China, and India.

STOCKHOLM CONVENTION ON PERSISTENT ORGANIC POLLUTANTS

Ratification

26. From May 2014 until September 2014, no new countries have acceded to or ratified the Stockholm Convention on Persistent Organic Pollutants. The status of ratifications can be retrieved on the Stockholm Convention website:

http://chm.pops.int/Countries/StatusofRatifications/tabid/252/language/en-US/Default.aspx

National reporting

27. Article 7 of the Stockholm Convention states that each Party shall develop and endeavor to carry out a plan for the implementation of its obligations under the Stockholm Convention, which needs to be transmitted to the Conference of the Parties within two years of the date on which this Convention enters into force. Article 7 also calls for a review and update of the plan on a periodic basis and in a manner specified by the Conference of the Parties. The National Implementation Plans (NIPs) submitted online can be retrieved on the Stockholm Convention website:

http://chm.pops.int/Implementation/NIPs/Overview/tabid/565/Default.aspx

28. As of August 2014, 153 countries have submitted their initial NIPs to the Stockholm Convention Secretariat, and 17 countries have transmitted their second NIPs.

Meetings and events

29. On July 21-23, 2014, the GEF Secretariat held a Chemicals and Waste Task Force Meeting in Washington, DC. The Basel, Rotterdam and Stockholm Convention Secretariat, Interim Minamata Convention Secretariat, GEF Implementing Agencies, and Scientific and Technical Advisory Panel (STAP) participated in the meeting. The meeting discussed the GEF-6 strategy and the plan for programing and achieving convention obligations.

MONTREAL PROTOCOL ON SUBSTANCES THAT DEPLETE THE OZONE LAYER

Meetings and events

30. The GEF Secretariat participated in the 72nd Meeting of the Executive Committee of the Multilateral Fund (MLF), held in Montreal, Canada, on May 12-16, 2014. At the meeting the

Executive Committee members noted the GEF Council information document on the relationship between the GEF and the MLF.

31. The GEF Secretariat participated in the Montreal Protocol Open Ended Working Group in Paris, France on July 14-18, 2014. On the side of the meeting was a session on hydrofluorocarbons (HFCs). The GEF Secretariat sat on a panel discussion on the HFC topic to discuss the GEF's historic role in supporting Ozone Depleting Substances phase-out in countries with economies in transition.

MINAMATA CONVENTION ON MERCURY

Ratification

32. For the Minamata Convention on Mercury, the following is the list of signatures, acceptances and ratifications took place during the period under consideration:

Country	Date	Status
Seychelles	May 27, 2014	Signature
Morocco	June 06, 2014	Signature
Gabon	June 30, 2014	Acceptance
FYR Macedonia	July 25, 2014	Signature
Sierra Leone	August 12, 2014	Signature
Belarus	September 23, 2014	Signature
Djibouti	September 23, 2014	Ratification
Cameroon	September 24, 2014	Signature
Croatia	September 24, 2014	Signature
Cyprus	September 24, 2014	Signature
Ghana	September 24, 2014	Signature
Guinea-Bissau	September 24, 2014	Signature
Honduras	September 24, 2014	Signature
Korea, Republic of	September 24, 2014	Signature
Latvia	September 24, 2014	Signature
Liberia	September 24, 2014	Signature

Country	Date	Status
Malaysia	September 24, 2014	Signature
Monaco	September 24, 2014	Ratification
Montenegro	September 24, 2014	Signature
Poland	September 24, 2014	Signature
Russian Federation	September 24, 2014	Signature
Sudan	September 24, 2014	Signature
Syrian Arab Republic	September 24, 2014	Signature
Turkey	September 24, 2014	Signature
Uruguay	September 24, 2014	Ratification
India	September 30, 2014	Signature

- 33. The Minamata Convention for mercury was opened for signature and ratification in October 2013. To date, the convention has 122 signatures, along with two acceptances and four ratifications.
- 34. The status of signatures and ratifications can be found on the Minamata Convention website:

http://www.mercuryconvention.org/Countries/tabid/3428/Default.aspx

Meetings and events

- 35. On July 21-23, 2014, the GEF Secretariat held a Chemicals and Waste Task Force Meeting in Washington, DC. The Interim Minamata Convention Secretariat, the Basel, Rotterdam and Stockholm Convention Secretariat, GEF Implementing Agencies, and the Scientific and Technical Advisory Panel (STAP) participated in the meeting. The meeting discussed the GEF-6 strategy and the plan for programing and achieving convention obligations.
- 36. The GEF Secretariat attended several regional workshops of the Minamata Convention to aid countries with ratification in the interim period. At the meeting the GEF presented how eligible countries can access GEF funding to support ratification and early implementation in the interim period. The GEF Secretariat attended the following workshops:
 - (a) First Francophone Africa mercury workshop, Senegal, July 9-11, 2014
 - (b) Second Francophone Africa mercury workshop, Senegal, July 14-16, 2014
 - (c) Arabic speaking countries mercury workshop, Jordan, August 5-7, 2014
 - (d) South America mercury workshop, Brazil, September 2-4, 2014

(e) Mercury Workshop Other Asian countries, India, September 18-20, 2014

OTHER EVENTS RELATED TO CHEMICALS

37. On July 24, 2014, the GEF Secretariat held a Green Chemistry Workshop. Participating in the workshop were Green Chemistry experts from academia, the Basel, Rotterdam and Stockholm Convention Secretariat, the Interim Minamata Convention Secretariat, GEF Implementing Agencies, the Scientific and Technical Advisory Panel (STAP), and the US Environmental Protection Agency. The workshop discussed a GEF-6 Strategy for programing Green Chemistry projects that also support convention obligations. There were presentations by participants on ongoing and planned activities in the field of Green Chemistry.

INTERNATIONAL WATERS

2013 UN International Year of Water Cooperation

- 38. The year 2013 was the UN International Year of Water Cooperation, with the GEF as an active partner in many of the events throughout the year, attracting greater attention towards the urgent need for transboundary cooperation, including opportunities and challenges within the Water-Energy-Food-Ecosystems Nexus.
- 39. Accordingly, the GEF Secretariat was invited to speak at the closing ceremony of the International Year of Water Cooperation in Mexico City on December 6, 2013. The ceremony provided a synthesis of the major achievements of the year, explored modalities to further foster water cooperation and set the agenda for the follow-up of the International Year. Among many of the goals achieved, the Year has been a means of strengthening the dialogue and cooperation with key stakeholders, at all levels.

Budapest Water Forum

40. The Budapest Water Summit, which took place in Budapest, Hungary on October 8-11, 2013, ended with the adoption of the "Budapest Statement" at the closing plenary session and informed the development of the recently adopted Sustainable Development Goals. The outcomes of the Summit were presented at the meeting organized by the Hungarian Permanent Mission to the UN in New York on November 18, 2013 with the participation of members of the *Friends of Water* group and UN Member States. The outcomes of the Budapest Water Summit were also presented at an event for the Special Program on the International Year of Water Cooperation, organized in the framework of the 37th Session of the General Conference at the UNESCO Headquarters in Paris.

Seventh International Waters Biennial Conference

41. The GEF Secretariat contributed to the planning and implementation and actively participated in the 7th International Waters Biennial Conference (IWC7) in Bridgetown, Barbados on October 26-31, 2013. A pre-conference workshop for the IWC7 was organized under the theme of Economic Valuation as a Tool to Bridge the Science-Policy Gap. The pre-conference's objective was to facilitate the sharing of experiences across the GEF International

Waters portfolio, with a special emphasis on reviewing the economic valuation of international waters and the links between economic valuation and science, as well as mechanisms for linking both to policymaking.

- 42. The IWC7 convened approximately 215 participants from 85 countries, including GEF IW project managers, representatives of approximately 50 active GEF International Waters (IW) projects, GEF agencies and beneficiary countries, non-governmental organizations, transboundary management institutions, UN Agencies, and the private sector. The Conference featured an innovation marketplace (exhibit area), extensive opportunities for learning on scientific and technical innovations, and interactive training for IW project managers and country representatives.
- 43. The overall objective of the IWC7 Conference was to facilitate cross-sectoral and portfolio-wide learning and experience sharing. The conference strived to solicit advice from the existing GEF IW portfolio on critical issues, and assisted in building participant capacity in key management and technical areas. Participants shared progress achieved and also looked to the future of programming within and beyond the GEF IW focal area. Finally, the Conference focused on Economic Valuation through a number of sessions, concluding with recommendations for the existing as well as the future IW portfolio.

Update on Multi-state cooperation frameworks

- 44. GEF's financing serves as a catalyst for cooperation in international waters and supports countries to jointly manage their transboundary surface and groundwater basins, as well as coastal and marine systems, to enable the sharing of benefits from their utilization. On the surface water resources side alone, only 40% of the 276 trans-boundary rivers and lake basins in the world are governed by agreements. Where agreements exist, 80% involve only two countries, even though other states may also be part of the watercourse in question.
- 45. The entering into force of the United Nations Watercourses Convention¹ in August 2014, as well as the decision of the Parties to the UN Economic Commission for Europe (UNECE) Water Convention to enable accession on non-UNECE member states to the Convention², provide historic opportunities to foster multi-state cooperation.
- 46. The GEF Secretariat was invited to give a keynote address in the workshop organized by the UNECE on River Basin Commissions and Other Joint Bodies for Transboundary Water Cooperation: Technical Aspects. The workshop took place on April 19-20, 2014 in Geneva, Switzerland and it was the second of two workshops organized to exchange experiences and good practices between joint bodies worldwide and to draw lessons learned and recommendations. The workshop focused on selected technical aspects in the work of joint bodies, notably inter-sectoral coordination, infrastructure, groundwater management, environmental protection and selected management issues, including financing and

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¹ The United Nations Watercourses Convention is a global framework for transboundary cooperation endorsed by the General Assembly of the United Nations.

² Effectively turning the convention into a global legal framework for transboundary water cooperation.

communication. The Workshop was organized under the leadership of the Governments of Finland and Germany, and with the support of a broad partnership of international organizations.

47. The GEF Secretariat also participated in the UNECE workshop on Benefits of Transboundary Water Cooperation held on May 22-23, 2014, Geneva, Switzerland. The workshop was organized in the framework of the Water Convention and gathered about 100 participants to provide a platform from which to share views between water practitioners, politicians, parliamentarians, journalists and researchers, among others, on the benefits of transboundary water cooperation and on how assessments of such benefits support transboundary water cooperation processes. In addition, the workshop provided guidance and input to the further development of the draft Policy Guidance Note on identifying, assessing and communicating the benefits of transboundary water cooperation, which will be developed within the UNECE framework.

Preparation for the 7th World Water Forum in Korea

- 48. The GEF Secretariat is actively involved in the preparation process of the 7th World Water Forum in Korea and is participating in the design of theme 4.3 on Facilitating Cooperation for Reducing Conflict and Improving Transboundary Water Management.
- 49. As part of the events leading up to the Forum, the GEF participated in the Latin American Water Week, on June 23-26, 2014, in Mexico City, Mexico. This event is a "platform for the exchange of experiences and practices between the scientific, business, political and civic communities of South and Central America, focused on the water challenges and its impact on the environment, energy, health, climate, economy and society". The event brought together more than 600 professionals from 32 countries to discuss and share water management in a local, national and transboundary context. Further, GEF participated and led a panel on water-for-food in a day-long event on Water for Our Future: North American Regional Process event to shape the agenda for the 7th World Water Forum hosted by WWF on May 15, 2014. The event explored water-related challenges and solutions and provided input in the thematic agenda for the 7th World Water Forum in Korea.

Thirty First Committee on Fisheries

- 50. The Committee on Fisheries (COFI) is the subsidiary body of the Council of the UN Food and Agriculture Organization (FAO), which constitutes the "only global intergovernmental forum where major international fisheries and aquaculture problems and issues are examined and recommendations addressed to governments, regional fishery bodies, NGOs, fish workers, FAO and the international community", on a world-wide basis. Held every two years, COFI brings together a wide range of stakeholders from the inland and marine community. The 31st session, which took place in Rome, Italy on June 9-13, 2014, was attended by 116 member countries, the Holy See, representatives from 5 UN agencies and by observers from 73 NGOs.
- 51. This unique forum is of high relevance to the GEF IW and biodiversity programs. Among the key achievement was the endorsement of the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (SSF Guidelines).

Small-scale fisheries supply around 50 percent of all global fish catches and employ over 90 percent of the capture fisheries workforce. The SSF Guidelines will boost the already vital role of small-scale fishers in contributing to inland and marine conservation and poverty eradication. COFI also endorsed the Voluntary Guidelines on Flag State Performance. Both these guidelines and the broad support for the establishment of a Global Register establishment will foster the fight against IUU fishing. Finally, the approval of the Evaluation Framework for assessing conformity of public and private certifications schemes with the FAO guidelines on aquaculture certification will enhance the development of sustainable activities.

UNEP Regional Seas Visioning Workshop

52. The GEF Secretariat participated in the UNEP Regional Seas Visioning Workshop which was held in Geneva, Switzerland on July 3-4, 2014. The goal of the workshop was to identify and prioritize the future directions of UNEP Regional Seas, including priority issues, activities and partnerships. Participants included representatives from most of the Regional Seas programs, including the Red Sea and Gulf of Aden (PERSGA), Black Sea Commission, Northwest Pacific Action Plan (NOWPAP), Secretariat of the Pacific Regional Environment Program (SPREP), East African Seas (Nairobi Convention), South Asian Seas hosted by South Asia Co-operative Environment Programme (SACEP), Helsinki Commission, West and Central Africa (Abidjan Convention), Mediterranean Action Plan (Barcelona Convention), Gulf of Mexico LME project and Caribbean LME project. Partnerships were a central focus of the workshop and particular emphasis was placed on enhanced partnering between the different Regional Seas Programs, which historically have focused on pollution, and FAO, which is seen as a strong ally on fisheries.

Sixteenth Annual Large Marine Ecosystem Workshop

- 53. The GEF Secretariat participated in the 16th Annual Large Marine Ecosystem Workshop in Paris, France on July 8-11, 2014. This annual meeting, hosted by UNESCO International Oceanographic Commission, was a unique opportunity for the Large Marine Ecosystem (LME) projects around the world³ to share experiences and lessons learned among them and with the global institutions engaged in these projects (i.e. ICES, IOC, NOAA, WCMC and others).
- 54. Participants from the IW projects included representatives from the Benguela Current LME, Caribbean LME, Agulhas and Somali Current LMEs, Humboldt Current LME, Gulf of Mexico, Mediterranean LME, Canary Current LME, Bay of Bengal LME and Yellow Sea as well as from global projects, including TWAP, Blue Forest, Marine Commodities, Areas Beyond National Jurisdiction and GloBallast.
- 55. The workshop focused on region-specific break-outs in which the relevant projects discussed opportunities for partnership, such as training needs and twinning opportunities, as well as specific topics of interest to the regions e.g. economics, data integration and organization, marine spatial planning, fisheries and climate change.

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³ Except for the Arctic LME all are financed by the GEF.

Areas Beyond National Jurisdiction Program

- 56. Between October 2013 and August 2014, the GEF attended relevant meetings of the General Assembly Ad Hoc Open-ended Informal Working Group on Marine Biodiversity Beyond Areas of National Jurisdiction. Further, along with FAO and partners, the GEF held an overall information session on the GEF Sustainable Fisheries Management and Biodiversity Conservation in the Areas Beyond National Jurisdiction (ABNJ) Program and its four projects at the end of 2013. As the only major initiative in the High Seas the program is coordinated by FAO and implemented by FAO, UNEP and the World Bank with RFMOs, Industry players, and NGOs as executing partners.
- 57. In relation to the ABNJ program, the Global Ocean Forum held several information sessions on the ABNJ Coordination project of which DOALOS is a partner, while executing partners (i.e. Birdlife, ISSF and WWF) held information sessions regarding IUU and by-catch. During the reporting period, the ABNJ program and its early results were also disseminated at The Hague & the US "Our Ocean" Summits as well as at the GEF Assembly and COFI meetings.

RELATIONS WITH OTHER INTERNATIONAL INSTITUTIONS

Adaptation Fund Board

58. The Adaptation Fund Board (the Board) did not meet during the reporting period. The twenty-third meeting was held on March 20-21, 2014 and the twenty-fourth meeting will be held on October 9-10, 2014 in Bonn, Germany.

Accreditation Decisions

59. Accreditation Decisions. The Board accredited intersessionally the Desert Research Foundation of Namibia (DRFN) as its seventeenth National Implementing Entity (NIE).

Project Approvals

60. The Board approved intersessionally a project for Belize, to be implemented by the World Bank, with a total value of \$6,000,000.

Resources

61. The Board has approved 35 project and programs for funding to the end of the reporting period, amounting to \$232 million. As of July 31, 2014, funds available to support funding decisions were \$150.8 million.

Implementation of the Readiness Programme for Climate Finance

62. Over the reporting period, the Adaptation Fund Secretariat has launched the Programme, with the organization of the first Climate Finance Readiness Seminar (Washington, DC, May 1-2, 2014), which focused on convening experts and thought leaders in climate finance readiness,

sharing experiences and charting the path forward for the programme. The seminar was also used as an opportunity to launch South-South cooperation grants for already-accredited NIEs to assist potential applicant national entities in preparing accreditation applications.

- 63. The deadline for submissions was August 15, 2014 and four countries have requested support through two NIEs. Also, as part of the Programme, the first Africa NIE workshop was organized in Nairobi (July 2-4, 2014), in partnership with Heinrich Boell Foundation, Climate Development Knowledge Network (CDKN), and the National Environment Management Agency of Kenya (NEMA). It focused on sharing the experience of the already-accredited NIEs in Africa.
- 64. Lastly, the second Climate Finance Readiness seminar was held in Washington, D.C. (July 15-17, 2014), during which representatives from NIEs and Regional Implementing Entities (RIEs), as well as practitioners of climate finance who participated in the first Climate Finance Readiness Seminar convened to share experiences, exchange ideas and become more familiar with the Adaptation Fund's procedures, operational policies and guidelines in order to efficiently design, propose and manage the full-cycle implementation of climate adaptation projects and programmes.

In Memory

65. During the reporting period, the Adaptation Fund Board experienced the unexpected loss of Ambassador Vocea, who represented the constituency of Small Island Developing States and who was much appreciated by his colleagues on the Board and by the Adaptation Fund Secretariat's team. Ambassador Vocea will be remembered by his colleagues for his passion and professionalism towards his work on climate change adaptation

Collaborative Partnership on Forests

66. The GEF Secretariat participated in the Collaborative Partnership on Forests (CPF) meetings held on June 22-25, 2014 in Rome, Italy in conjunction with the 22nd Session of the FAO Committee on Forestry and World Forest Week. The CPF is a voluntary arrangement among 14 international organizations and secretariats with substantial programs on forests with a key objective to support the United Nations Forum on Forests (UNFF) and its member countries. The CPF provides major inputs to the UNFF and other important international forest dialogues, including the conventions on climate change, biodiversity and desertification.

ANNEX

GEF Responses to Decisions and Guidance of the Conferences of Parties of the CBD, the UNFCCC and the UNCCD

Table 1: GEF Responses to Guidance of the CBD COP (in Decision COP/XI/5/ The Financial Mechanism) as presented to the meeting of COP 12, October 6-18, 2014

COP-11 Guidance	GEF Response and Action Taken
General Guidance	
Adopts the four-year outcome-oriented framework of programme priorities for the period 2014-2018 as contained in the annex to the present decision and requests the Global Environment Facility (GEF) to implement it and report back to the Conference of the Parties at its twelfth meeting on the GEF-6 strategy and its thirteenth meeting on its implementation and how it responds to the individual Elements and their components, and the Additional Strategic Considerations of the Framework, in accordance with the Memorandum of Understanding between the Conference of the Parties to the Convention and the Council of the Global Environment Facility.	Report on GEF support to the implementation of the Strategic Plan was provided in great detail in the report to COP-12. The GEF-6 biodiversity strategy and paragraphs 18-24 in particular, and Annex I and II within the GEF-6 biodiversity strategy clearly addressed this guidance.
Encourages the Global Environment Facility to further expedite the provision of financial support, based on a flexible and national demand driven approach, taking into consideration the needs of developing countries in accordance with Article 20 of the Convention.	At the Council meeting in October 2014 the Secretariat will be proposing for consideration a set of project cycle streamlining measures.
Calls upon the Global Environment Facility to avoid additional and lengthy processes and to utilize existing NBSAPs as the basis for GEF 6 determination of needs based priorities.	At the Council meeting in October 2014, the Secretariat will be proposing for consideration a set of project cycle streamlining measures. All GEF biodiversity projects have to demonstrate linkage with the NBSAP in order to be approved as this is a requirement for approval.

COP-11 Guidance	GEF Response and Action Taken
Calls upon the Global Environment Facility to further clarify the concept and application of co-financing for biodiversity projects, and <i>invites</i> the GEF to apply co-financing arrangements in ways that do not create unnecessary barriers and costs for recipient countries to access GEF funds.	The Secretariat, in collaboration with the GEF Agencies, proposed for review of the GEF Council at its May 2014 meeting, a revision of the co-financing policy. The Council approved the new policy which can be found at: https://www.thegef.org/council-meeting-documents/co-financing-policy
Urges the GEF, in the process of replenishment for GEF-6, to give due consideration to all aspects of the expert team's needs assessment report on the levels of funding for biodiversity.	The expert team's needs assessment was duly noted during the replenishment process.
Requests the Executive Secretary and invites the Global Environment Facility to identify the Aichi Biodiversity Targets benefiting the most from synergies with other GEF focal areas and make this information available for further use.	The GEF-6 biodiversity strategy outlines synergies within the strategy's various programs and each program's contribution to the Aichi Targets, and these are presented in Annex I of the GEF-6 biodiversity strategy document. As part of GEF-6 strategy development, synergies with other focal areas have been explored and will be made use of through the Integrated Approach Pilots and the SFM program in particular. In addition, contributions from other focal area strategies to the achievement of the Aichi Targets are identified and presented in the GEF-6 biodiversity strategy in Annex II of the strategy document, and the GEF-6 Programming Directions document which can be found here: https://www.thegef.org/council-meeting-documents/summary-negotiations-sixth-replenishment-gef-trust-fund
Transmits to the Global Environment Facility the report on the assessment of needs for GEF 6, for consideration by the Global Environment Facility, so that the Facility will in its regular report to the Conference of Parties indicate how it has responded during the replenishment cycle to the previous assessment by the Conference of the Parties.	The results from the 6 th replenishment of the GEF Trust Fund were presented in the COP-12 report and included the total value of the replenishment amount pledged, including that to the biodiversity focal area. Negotiations for the sixth replenishment period (July 1, 2014 through June 30, 2018) of the GEF (GEF-6) were successfully concluded on April 16-17, 2014 in Geneva, Switzerland when 31 countries pledged a total of \$4.433 billion towards programming in GEF-6. The 31 countries are: Australia, Austria, Bangladesh, Belgium, Brazil, Canada, China, Czech Republic, Denmark, Finland, France, Germany, India, Ireland, Italy, Japan, Korea, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Pakistan, Russian Federation, Slovenia, South Africa, Spain, Sweden, Switzerland, United Kingdom, and the

COP-11 Guidance	GEF Response and Action Taken
	United States of America.
	The GEF Council endorsed the entire Replenishment package at its 46th meeting, May 25-27, 2014, including the Programming Directions Document, the GEF-6 Policy Recommendations, and the Replenishment Resolution.
Specific additional guidance to the financial mechanism	
Global Strategy for Plant Conservation Recalling decision X/17, urges Parties and invites other Governments, the financial mechanism, and funding organizations to provide adequate, timely and sustainable support for the implementation of the Strategy, especially for developing countries, in particular least developed countries and small island developing States, as well as Parties with economies in transition and those countries that are centres of genetic diversity.	The GEF-5 strategy was comprehensive enough that plant conservation could be addressed under the objectives of the strategy, and the GEF-6 strategy follows suit in that regard. GEF will continue to fund activities within country-driven GEF projects that advance the implementation of the GSPC when these elements are in line with the Strategic Plan for Biodiversity, 2011-2020 and the Aichi Targets; supportive of the objectives of projects that generate global environmental benefits; and consistent with the GEF mandate.

COP-11 Guidance	GEF Response and Action Taken
Marine and coastal biodiversity Urges Parties and invites other Governments, the financial mechanism, and funding organizations, as appropriate, to provide adequate, timely, and sustainable support to the implementation of training and capacity-building and other activities related to EBSAs, especially for developing countries, in particular least developed countries and small island developing States, and Parties with economies in transition, including countries with upwelling systems, and, as appropriate, indigenous and local communities.	The GEF-6 strategy is comprehensive enough with regards to marine protected area management that this guidance can be supported should countries prioritize this support.
Invites the Global Environment Facility and its implementing agencies to facilitate the alignment of the development and implementation of protected area projects with the actions identified in national action plans for the programme of work, for example by clearly articulating the linkages with elements of Aichi Biodiversity Target 11 in project documents, with a view to facilitating the systematic monitoring and reporting of the results of those projects as they contribute to achieving Aichi Biodiversity Target 11 and other related targets by Parties, and to maximize the contribution of such projects to the Strategic Plan for Biodiversity 2011–2020.	Projects submitted for funding to the GEF support activities in the Programme of Work that are consistent with the GEF mandate and <u>all</u> biodiversity projects and multi-focal area projects that use biodiversity resources are required to clearly identify the contributions each project makes to the Aichi Targets.
Requests the Global Environment Facility, in accordance with its mandate, and <i>invites</i> other donors, to provide adequate and timely financial support to developing countries, in particular the least developed countries and small island developing States among them, as well as countries with economies in transition, including countries that are centres of origin or diversity of genetic resources.	GEF continues to comply with this request.
Cooperation with international organizations, other conventions and initiatives Requests the Global Environment Facility and invites other financial mechanisms to continue to support projects and activities to improve synergies among relevant multilateral environment agreements.	The inclusive nature of the Strategic Plan for Biodiversity 2011-2020 and the GEF-6 biodiversity strategy provides ample opportunity for country-driven projects to exploit synergies amongst the relevant multilateral environment agreements and advance shared objectives.
Nagoya Protocol on Access and Benefit-sharing Recommends that the Global Environment Facility makes available the necessary funds for activities to support	During the reporting period for COP-12 report the GEF approved eight country-based projects, one regional and one global project in support of strengthening human resources, and the legal and

COP-11 Guidance

access and benefit-sharing and the early entry into force and implementation of the Nagoya Protocol in order to implement the third objective of the Convention on Biological Diversity, and *further recommends* that GEF operational focal points carefully consider the urgent need to finance activities related to access and benefit-sharing and the Nagoya Protocol when consulting national stakeholders on the distribution of the System for Transparent Allocation of Resources (STAR) allocation;

Further recommends that the Global Environment Facility continues to finance, as a priority, technical support to Parties aimed at the speedy ratification and early entry into force of the Nagoya Protocol, and its implementation at national level;

Requests GEF, in considering financing for Nagoya Protocol Implementation Fund projects, to ensure that the Fund will specifically support activities related to early ratification and capacity-building, and be used for access to and utilization of genetic resources only when such activities have been approved by appropriate government authorities and endorsed through the GEF operational focal point.

Requests the GEF to continue to administer the NPIF until the time the resources committed up to the end of GEF-5 are disbursed, and to report on the status of the fund to the twelfth meeting of the Conference of the Parties to the Convention, which shall decide on its future.

GEF Response and Action Taken

institutional capacities to implement the Nagoya Protocol. GEF invested \$33.9 million and leveraged \$67.4 million in co-financing. Two projects, one regional project in the Caribbean and one global project, supported early ratification of the Nagoya Protocol in a total of 35 countries.

During the COP-12 reporting period, the NPIF supported a total of 50 countries by means of eight country-based projects, three regional projects and one global project. In these projects NPIF invested \$12.5 million leveraging \$30.6 million in co-financing. One global project supported the entry into force of the Nagoya Protocol in 19 countries spanning three continents.

All told, with resources from the GEF Trust Fund and the NPIF, GEF supported early ratification of the Nagoya Protocol in 54 countries.

The GEF-6 biodiversity strategy responds to the guidance provided by the COP to the GEF on the programme priorities to support the implementation of the Nagoya Protocol on Access and Benefit Sharing.

During its entire operational history, Nagoya Protocol Implementation Fund (NPIF) has supported 11 projects totaling \$12.6 million and leveraging \$29.9 million in co-financing. These include 8 country-based projects, one global project and two regional projects (Pacific, Central Africa) in support of ratification of the Nagoya Protocol. Although all projects will support ratification in some measure, the global project and two regional projects were solely focused on accelerating early ratification.

At its May 2014 Council Meeting, the GEF Council having reviewed document GEF/C.46/12, Update on the Nagova Protocol Implementation Fund, took note of the good progress made by the GEF Secretariat in managing the Nagova Protocol Implementation Fund (NPIF) and decided to extend the operation of the NPIF to December 31, 2020 for operational reasons to allow continuation of project preparation for and implementation of the Project Identification Form (PIF) approved projects. Consistent with the May 2011 GEF Council decision on the NPIF, the Council will not approve new PIFs under the NPIF after 30 June 2014. Noting that the GEF-6 Biodiversity Focal Area Strategy includes resources for implementing the Nagoya Protocol, Council requested that the GEF Secretariat report to the Conference of the Parties of

COP-11 Guidance	GEF Response and Action Taken
	the Convention on Biological Diversity on funding for the ratification and early implementation of the Nagoya Protocol.
Monitoring progress in implementation of the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets Calls upon Parties, the Global Environment Facility, donors, international organizations, academia, nongovernmental organizations and organizations of indigenous and local communities to consider the provision of technical support and financial resources for collaborative programmes related to the work on indicators on traditional knowledge and customary sustainable use contained in decision XI/3.	Providing financial support for work on indicators on traditional knowledge and customary sustainable use would not be eligible for GEF-funding. The GEF would welcome an invitation to participate in any initiative to provide technical advice to advance indicator work in this area.
Recalls paragraphs 5 and 6 of decision X/10, which, inter alia, request the Global Environment Facility and invite other donors, Governments and multilateral and bilateral agencies to provide adequate and timely financial support for the preparation of the fifth national reports.	During the first two years of GEF-5, 108 countries received funds to revise their NBSAP and produce their Fifth National Report. During the last two years of GEF-5 and covering this reporting period, 29 additional countries received funds to revise their NBSAP and produce their Fifth National Report receiving \$5,338,557 from the GEF which leveraged \$7,797,421 in co-financing. Therefore, of the 145 GEF eligible countries, 137 (94%) have accessed funds set-aside in GEF-5 for Biodiversity Enabling Activities (49 through UNDP, 80 through UNEP, one through FAO, one through IADB, and six via Direct Access). Most of these projects have completion dates set before October 2014. Nine (6%) of GEF-eligible countries have not yet utilized the GEF-5 BD-EA funding window, two of whom have chosen to revise their NBSAP with their own or other funds, meaning that GEF has funded 96% of the potential pool of GEF eligible countries. In the GEF-6 biodiversity strategy, allowances have been made to provide support to the Sixth National Report to countries through the focal area set-aside.

COP-11 Guidance	GEF Response and Action Taken
Engagement of other stakeholders	Noted.
Reiterates its invitation in paragraph 7 of decision X/23 to the Global Environment Facility to consider establishing a South-South biodiversity cooperation trust fund for the implementation of the Strategic Plan for Biodiversity 2011–2020, based on voluntary contributions, and welcomes ongoing discussions on this matter.	
Biosafety In Decision XI/5, paragraph 28, The COP further transmitted the guidance received from the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety, which was contained in appendix II to the present decision.	This guidance was incorporated into the GEF-6 biodiversity strategy and will inform GEF's ongoing support to the Cartagena Protocol.
Elements of the GEF-6 Strategy	
In guiding the development of the GEF-6 biodiversity strategy, the four-year outcome-oriented framework of programme priorities 2014–2018 consists of the following elements: (a) The Strategic Plan for Biodiversity 2011-2020, including its Aichi Biodiversity Targets (decision X/2, annex); (b) The Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011–2020 (decision BS-V/16); (c) The guidance to the financial mechanism on programme priorities to support the implementation of the Nagoya Protocol on Access and Benefit-sharing put forward by the second meeting of the Intergovernmental Committee for the Nagoya Protocol, contained in appendix I to this decision; (d) Any relevant indicators for national and global use for assessing the progress of implementation of the Strategic Plan; 9e)The current set of output, outcome and impact indicators, and associated monitoring processes and tracking tools, currently in use by the Global Environment Facility. Additional strategic considerations	The GEF-6 biodiversity strategy incorporates these elements.
The GEF-6 biodiversity strategy should take into account that the Aichi Biodiversity Targets provide a flexible basis for Parties which can be adapted, taking into account different national circumstances and capabilities, including in revised national biodiversity strategy and action plans.	These additional strategic considerations were applied in the development of the GEF-6 biodiversity strategy.
The GEF-6 biodiversity strategy should take into account coherence with, and synergies among, country-driven programmes and priorities set out in revised national	The GEF-6 biodiversity strategy explicitly promotes synergies amongst the GEF focal areas and in the Integrated Approach Pilots in GEF-6.

COP-11 Guidance	GEF Response and Action Taken
biodiversity strategy and action plans, while focusing on filling the highest priority gaps associated with the Strategic Plan for Biodiversity 2011–2020 and its 20 Aichi Biodiversity Targets.	
The GEF-6 biodiversity strategy should promote coherence and synergies among the GEF focal areas of biodiversity, land degradation, international waters, climate change – mitigation and adaptation, and within the context of country-driven programmes and priorities. The GEF should continue to engage key stakeholders, including the Secretariat of the Convention, in the process of formulating the GEF-6 strategy for the biodiversity focal area.	CBD Secretariat, along with technical experts and CSO representatives, were part of the Technical Advisory Group that advised the GEF on GEF-6 biodiversity strategy.

Table 2: GEF's Responses to Decisions adopted by UNFCCC COP 19 and conclusions by SBI 39 and SBI 40

COP Decision/SBI Conclusion

GEF's Response

COP 19 Agenda Item 11 (e): Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility

http://unfccc.int/resource/docs/2013/cop19/eng/l11.pdf

Requests the GEF to clarify the concept of co-financing and its application in the projects and programmes of the GEF.

In response to this policy recommendation, the GEF Secretariat has, in consultation with the GEF Agencies, developed a proposal for a new co-financing policy, which was approved by the GEF Council at its meeting on May 25-26, 2014. The GEF Secretariat's new policy, adopts a clearer definition of co-financing for GEF Trust Fund projects, and includes clearer requirements for GEF-financed projects during different stages in the GEF project cycle. The document also describes the GEF's approach to mobilizing co-financing during GEF-6. This document (GEF Policy FI/PL/01) can be found at the following link: http://www.thegef.org/documents/co-financing-policy.

Also requests the Global Environment Facility to further specify the steps that it has undertaken in response to the request contained in decision 9/CP.18, paragraph 1(c);

On March 21, 2014, the LDCF/SCCF Council approved an SCCF grant amounting to \$4.93 million towards the FSP 'Global: Assisting Non-LDC Developing Countries with Country-driven Processes to Advance National Adaptation Plans (NAPs)' (GEF ID: 5683).

The program seeks to strengthen institutional and technical capacities to allow non-LDC developing countries to integrate CCA into their medium- and long-term development planning processes in a continuous, progressive and iterative manner. The project has three main components, aiming to: (i) enhance the capacities of non-LDC Parties to advance medium- and long-term adaptation planning in the context of their development policies, strategies, plans and budgets; (ii) develop and disseminate tools and approaches to support the NAP process; and (iii) promote the exchange of lessons and knowledge through South-South and North-South cooperation.

Consistent with the decision taken by the LDCF/SCCF Council at its 14th meeting in June 2013, the GEF Secretariat also invited developing countries to put forward proposals under the SCCF for MSPs, FSPs and programmatic approaches that would contribute towards the preparation of their NAP processes, consistent with the

COP Decision/SBI Conclusion	GEF's Response
	objectives, principles and scope of the process, as defined in decision 5/CP.17 and specified in document GEF/LDCF.SCCF.14/06, 'Operationalizing Support to the Preparation of the NAP Process in Response to Guidance from the UNFCCC COP'.
	The GEF, through its existing portfolio of SCCF projects and programs, is already providing significant support towards the objectives of the NAP process, and future support will build on the progress made to date. GEF support, through the SCCF, towards the preparation of the NAP process in non-LDC developing countries is further elaborated in the GEF's submission to the SBI of March 26, 2014, which is available on the UNFCCC website. ⁴
Further requests the Global Environment Facility to include, in its report to the Conference of the Parties at its twentieth session (December 2014), information on the modalities that it has established in response to paragraph 5 of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility;	As indicated in paragraph 5 of the memorandum of understanding between the COP and the GEF Council, the GEF Council approves the GEF work program consisting of project proposals, taking into consideration comments from GEF Council members, relevant Convention secretariats, Scientific and Technical Advisory Panel (STAP), representatives from civil society organizations (CSOs), and other stakeholders. Project proposals need to be endorsed by a country's GEF operational focal point (OFP) before they are submitted to the GEF Secretariat; projects often emerge from a country planning exercise, involving stakeholders, to identify priorities for GEF programming. Project proposals submitted to the GEF Secretariat are also shared with the appropriate Convention secretariats for comments to be transmitted to the GEF Secretariat; Convention secretariats are also invited to participate in the GEF Operations Committee meetings that finalize work programs prior to submissions of GEF project proposals to the GEF Council. Collaborating with recipient countries, the GEF agencies respond to these comments and take actions during project preparation to improve project designs and other implementation arrangements. Furthermore, the GEF Secretariat works with the agencies to ensure that all proposed projects are in compliance with eligibility criteria, GEF policies, and focal area strategies. To date, the GEF Council has not been requested to provide clarification on a specific funding decision on the basis of compliance with the policies, program priorities and

 $^{^4\,\}underline{http://unfccc.int/resource/docs/2014/smsn/igo/156.pdf}$

COP Decision/SBI Conclusion	GEF's Response
	eligibility criteria established by the COP in the context of the Convention; or to reconsider such a decision. The GEF Council will provide further clarification on any funding decision in accordance with the memorandum of understanding with the COP, should the COP request it.
Emphasizes the need for the Global Environment Facility to consider lessons learned from past replenishment periods in its deliberations on the strategy for the sixth replenishment in order to continue to increase the effectiveness of its operations;	GEF-6 was informed by an independent overall performance study (OPS5), which was undertaken by the Independent Evaluation Office of the GEF. OPS5 provided a comprehensive evaluation that assessed the performance, institutional effectiveness, and impact of the GEF, and also identified potential improvements. To help inform the replenishment process, the first report of OPS5 was presented at the first replenishment meeting. The progress report was presented at the second replenishment meeting. The final OPS5 report was presented at the third replenishment meeting and circulated to facilitate the considerations of lessons learned in the Strategy deliberations during the replenishment process.
Calls upon developed country Parties, and invites other Parties that make voluntary financial contributions to the Global Environment Facility, to ensure a robust sixth replenishment in order to assist in providing adequate and predictable funding;	At the November 2012 Council meeting, the GEF Council requested the Trustee of the GEF, in cooperation with the GEF CEO, to initiate discussions on GEF-6. The fourth and final meeting of the replenishment process was held in April 2014, at which donor pledges were finalized, with a total of \$4.43 billion. The 'Summary of Negotiations' and the core replenishment documents (Programming document, Policy recommendations and draft Replenishment Resolution) were endorsed by the GEF Council in May 2014. The Council requested the GEF CEO to transmit the Summary of Negotiations and the core replenishment documents to the World Bank's Executive Directors for consideration and adoption of the Replenishment Resolution. The financing period under GEF-6 will begin when the World Bank Executive Directors adopt the GEF-6 Replenishment Resolution. This Resolution authorizes the World Bank to act as Trustee of the GEFTF. The Trustee will inform donors of the adoption of the Resolution, and donors will work to formalize their pledges to the replenishment. Once donors have obtained the appropriate parliamentary authorization and/or budgetary approval to participate in the replenishment, they will deposit an Instrument of Commitment with the Trustee. This will initiate the implementation of the new replenishment. GEF-6 is expected to fund four years of GEF operations and activities, beginning July 1, 2014 and

COP Decision/SBI Conclusion	GEF's Response
	ending June 30, 2018 (FY 2015-FY 2018).
Requests the Global Environment Facility to give due consideration in its sixth replenishment period to funding for small island developing States and the least developed countries in order to enable them to address their urgent needs and to comply with their obligations under the Convention;	During GEF-6 negotiations, participants agreed on the need to provide more resources to LDCs and SIDS, in line with the recent guidance from the conventions. The mechanism that allocates resources to countries within the climate change, biodiversity and land degradation focal areas was reviewed, and modifications designed to enable the GEF to better effect global environmental impact and transformational change, were adopted by the GEF Council in May 2014. These modifications both directly and indirectly target the LDCs and the SIDS, with an aim to direct more resources to these groups of countries in order to address their known environmental vulnerabilities.
Also requests the Global Environment Facility to support, within its mandate, the implementation of country-driven projects identified in the technology needs assessments prepared by developing country Parties;	When reviewing climate change project proposals, the GEF Secretariat systematically checks whether the project proposals are consistent with the results of the TNAs prepared by developing country Parties, if these exist. The GEF Secretariat encourages countries and agencies to develop project proposals that are consistent with existing TNAs, in a country-driven manner.
Encourages the Global Environment Facility to continue with its voluntary National Portfolio Formulation Exercise, which has been proved to enhance coordination and coherence at the national level;	The GEF Secretariat followed the Council's request on including proposals for continuation of NPFE support in GEF-6, to be implemented through the Secretariat. The Council also requested to use the balance of the GEF-5 NPFE support for programming exercises to enable countries - on a voluntary basis - to prepare for GEF-6. Therefore, after some consultations, the GEF Secretariat updated the NPFE guidelines to make this exercise available to countries. See http://www.thegef.org/documents/templates .
Invites developing country Parties that wish to do so to apply for the National Portfolio Formulation Exercise before the start of the sixth replenishment period of the Global Environment Facility;	The GEF Secretariat and GEF agencies continue to work on streamlining the project cycle. In addition to the eight measures currently under implementation, four working groups were formed to further explore measures that could expedite project processing. These four working groups are: (i) Further Simplification of Templates and MSP Process; (ii) Regional Projects; (iii) Co-financing; and (iv) Corporate Activities. The status of these working groups and their findings were included in a progress report on streamlining of the GEF project cycle submitted to the May 2014 Council Meeting.

COP Decision/SBI Conclusion	GEF's Response
Encourages the Global Environment Facility to finalize the accreditation of new project agencies and assess the possibilities for further expanding the direct access modality;	Transparency and openness of its operations are objectives that the GEF Council, Secretariat and agencies pursue continuously. Most recently, the Secretariat created a space on the GEF website to post all GEF policies and strategies, as opposed to previously having to search through all Council documents to locate a particular GEF policy. An effort is underway to upload policy and strategy documents to this space so that all GEF policies will become publicly accessible at one place (see http://www.thegef.org/documents?f[0]=field_document_type%3A123). The policies posted on the website also incorporate Council discussions and comments, and will thus provide an alternative to the Joint Summary of Chairs for Council decisions concerning a particular policy. This initiative is providing added transparency on GEF activities and operations.
Invites the Global Environment Facility and all of its implementing agencies and recipient countries to continue to work together to improve institutional arrangements, giving special consideration to expediting the project cycle;	The GEF Secretariat and GEF agencies continue to work on streamlining the project cycle. In addition to the eight measures currently under implementation, four working groups were formed to further explore measures that could expedite project processing. These four working groups are: (i) Further Simplification of Templates and MSP Process; (ii) Regional Projects; (iii) Co-financing; and (iv) Corporate Activities. The status of these working groups and their findings were included in a progress report on streamlining of the GEF project cycle submitted to the May 2014 Council Meeting.
Encourages the Global Environment Facility to continue to increase the overall transparency and openness of its operations;	Transparency and openness of its operations are objectives that the GEF Council, Secretariat and agencies pursue continuously. Most recently, the Secretariat created a space on the GEF website to post all GEF policies and strategies, as opposed to previously having to search through all Council documents to locate a particular GEF policy. An effort is underway to upload policy and strategy documents to this space so that all GEF policies will become publicly accessible at one place (see https://www.thegef.org/documents/policies). The policies posted on the website also incorporate Council discussions and comments, and will thus provide an alternative to the Joint Summary of Chairs for Council decisions concerning a particular policy. This initiative is providing added transparency on GEF activities and operations.

COP Decision/SBI Conclusion	GEF's Response	
Also encourages the Global Environment Facility to strengthen its collaborative efforts with the Standing Committee on Finance;	The GEF continues to support and inform the work of the SCF through participation in SCF meetings and provision of information. The GEF also contributed information towards the Committee's biennial assessment and overview of climate finance flows, and engaged in consultations regarding the fifth review of the financial mechanism.	
Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to include in its annual report to the Conference of the Parties information on the steps that it has taken to implement the guidance provided in this decision.	On August 20, 2014, the GEF submitted its COP20 report to the UNFCCC Secretariat. The report is available at the following web-site: http://www.thegef.org/documents/report-gef-20th-session-cop-unfccc	
COP 19 Agenda Item 11(g): Work programme on results-based finance to progress the full implementation of the activities referred to in decision 1/CP.16, paragraph 70 http://unfccc.int/resource/docs/2013/cop19/eng/l05.pdf		
Encourages entities financing the activities referred to in decision 1/CP.16, paragraph 70, through the wide variety of sources referred to in decision 2/CP.17, paragraph 65, including the Green Climate Fund in a key role, to collectively channel adequate and predictable results-based finance in a fair and balanced manner, taking into account different policy approaches, while working with a view to increasing the number of countries that are in a position to obtain and receive payments for results-based actions;	The GEF, through its CCM programming under 'reducing emissions from land use, land-use change and forestry (LULUCF)' and Sustainable Forest Management (SFM)/Reducing Emissions from Deforestation and Forest Degradation plus (REDD+) incentive program, has provided significant resources and will continue to support activities described under 1/CP.16, paragraph 70.5	
Also encourages the entities referred to in paragraph 5 above, when providing results-based finance, to apply the methodological guidance consistent with decisions 4/CP.15, 1/CP.16, 2/CP.17, 12/CP.17 and -/CP.19 to -/CP.19,4 as well as this decision, in order to improve the effectiveness and coordination of results-based finance;	The GEF continues to provide support for a range of technical and policy-related capacity-building activities that contribute to implementation of the decisions. This support includes, but is not limited to, identifying drivers of deforestation or degradation, implementation of activities to reduce emissions caused by such drivers, and use of appropriate methodologies to estimate related GHG emissions and removals.	
Encourages entities financing the activities referred to in decision 1/CP.16, paragraph 70, through the wide	The GEF is equipped with modalities to finance joint mitigation and adaptation approaches and encourages more	

⁵ SFM is designed as an incentive for a project where two or more focal area objectives are addressed.

variety of sources referred to in decision 2/CP.17,

to alternative policy approaches, such as joint

paragraph 65, to continue to provide financial resources

countries to seek support for such approaches.

COP Decision/SBI Conclusion	GEF's Response
mitigation and adaptation approaches for the integral and sustainable management of forests;	
Urges and requests developed country Parties, the operating entities of the financial mechanism and any other organizations in a position to do so to provide support for the related activities referred to in paragraphs 2(b) and 2(c) above as early as possible in 2014;	The GEF has made available resources for countries to prepare their intended INDCs, and has participated in various meetings and workshops to encourage countries to utilize the available GEF resources for this purpose. A component has been added to the Global Support Program for NCs and BURs to provide technical assistance to countries to prepare their intended INDCs for the 2015 Agreement. In June 2014, the GEF approved projects for Azerbaijan, Côte d'Ivoire, Iraq, Thailand, Tunisia, Timor Leste and Yemen to prepare their intended INDCs.

COP 19 decision 18/CP.19, National adaptation plans (NAPs)

http://unfccc.int/resource/docs/2013/cop19/eng/10a02.pdf

Invites developed country Parties, United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to continue to enhance financial and technical support to the national adaptation plan process for the least developed country Parties, and other interested developing country Parties that are not least developed countries;

Also invites United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to consider establishing or enhancing support programmes for the national adaptation plan process within their mandates, as appropriate, which could facilitate the provision of financial and technical support to developing country Parties that are not least developed countries, and to submit to the secretariat, by March 26, 2014, information on how they have responded to this invitation:

Please refer to the response to decision 6/CP.19 above.

GEF support, through the SCCF, towards the preparation of the NAP process in non-LDC Parties is further elaborated in the GEF's submission to the SBI of March 26, 2014, which is available on the UNFCCC website (http://unfccc.int/resource/docs/2014/smsn/igo/156.pdf).

With regard to addressing the needs of LDCs in initiating their NAP processes, the LDCF project 'Global: Assisting LDCs with Country-driven Processes to Advance NAPs' (GEF ID: 5320), is underway and is providing institutional and technical support to LDCs, as well as sharing information on tools, methods and other relevant resources that countries may draw on in advancing their NAP processes.

Through four regional training workshops carried out over the course of 2014, the project is providing representatives of all LDCs with an opportunity to learn about the NAP process and the associated technical guidelines developed by the LEG; relevant tools and methods; opportunities to access further financial and technical support; and to reflect on the progress they have made towards the objectives of the NAP process and their potential needs for further support. Progress made under the project is continuously updated on the project website (http://www.undp-alm.org/projects/naps-ldcs).

As in the case of the SCCF (see response to decision

COP Decision/SBI Conclusion	GEF's Response
	6/CP.19 above), the GEF Secretariat has invited LDCs to put forward proposals under the LDCF for MSPs, FSPs and programmatic approaches that would contribute towards the preparation of their NAP processes. The GEF, through its existing portfolio of LDCF projects and programs, is already providing significant support towards the objectives of the NAP process, and future support will build on the progress made to date.

SBI Agenda Item 4(c): National communications from Parties not included in Annex I to the Convention provision of financial and technical support

The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of the approval of funding and the disbursement of funds. It also invited the GEF to continue providing information on the approximate date of completion of the draft national communications, and an approximate date of submission to the secretariat of the national communications, for consideration at SBI 41 (December 2014).

The GEF continues to provide resources to non-Annex I countries to prepare their NCs and BURs using the existing policy guidelines, taking fully into account decision 2/CP.17 paragraphs 41 (a) and (e). The status of BURs as at April 30, 2014 can be found in Annex 9 of the GEF's COP20 report to the UNFCCC Parties (http://unfccc.int/resource/docs/2014/cop20/eng/02.pdf). A further update on the status of BURs and NCs will be submitted to the UNFCCC.

The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of the request for funding, approval of funding, disbursement of funds as well as an approximate date of submission to the secretariat of BURs, for consideration at SBI 40 (June 2014).

Encouraged the GEF implementing agencies to continue facilitating the preparation and submission of project proposals by non-Annex I Parties for the preparation of their BURs.

Recalling decision 9/CP.18, the SBI encouraged the GEF to make support available to non-Annex I Parties for preparing their subsequent BURs in a timely manner, taking fully into account decision 2/CP.17,

COP Decision/SBI Conclusion	GEF's Response
paragraph 41(a) and (e).	

SBI 39 Agenda item 10: COP Decision on national adaptation plans (NAPs)

http://unfccc.int/resource/docs/2013/sbi/eng/l10.pdf#page=2

The SBI welcomed the establishment of the NAP global support programme for the LDCs for facilitating technical support to the LDC Parties, and invited developed country Parties, United Nations organizations, specialized agencies, and other relevant organizations, as well as bilateral and multilateral agencies to enhance support to the programme, and to other relevant programmes, to address the needs of all LDC Parties in initiating the NAP process.

Please refer to the responses to 11/CP.19 and 18/CP.19 above.

SBI 39 Agenda item 13 (c): Poznan strategic programme on technology transfer

SBI 39 conclusion - Document FCCC/SBI/2013/20

The SBI invited the GEF to continue to consult with the CTCN, through its Advisory Board and UNEP as the host of the Climate Technology Center, on the support that the GEF will provide for the work of the CTCN and to report on the concrete results of the consultations at SBI 40 (June 2014).

During the reporting period, the GEF Secretariat consulted with the CTCN on numerous occasions and reported on the concrete results of the consultation at SBI 40 (see report on GEF consultation with the CTCN:

http://unfccc.int/resource/docs/2014/sbi/eng/inf03.pdf). Details are available in Part II of this report. The GEF CEO approved in June 2014 a \$2 million project proposal entitled 'Promoting Accelerated Transfer and Scaled-up Deployment of Mitigation Technologies through the Climate Technology Center and Network (CTCN)', to be implemented by the UNIDO on behalf of the CTCN consortium.

SBI 40 Agenda sub-item 11 (b): Poznan strategic programme on technology transfer

SBI 40 conclusions - Document FCCC/SBI/2014/8

The SBI invited the GEF to continue to consult with the Advisory Board of the CTCN on the support that the GEF will provide for the implementation of the five-year programme of work of the CTCN and to report on its findings for consideration at SBI 41.

The SBI recalled its conclusions at SBI 39, namely the need for the GEF to align the further implementation of the element of the Poznan strategic programme on support for climate technology centers and a climate

The GEF Secretariat will report to SBI 41 on these two items as requested by SBI 40 conclusions.

COP Decision/SBI Conclusion	GEF's Response
technology network with the operationalization and	
activities of the CTCN, taking into account decision	
2/CP.17, paragraph 140, and to consult with the	
Advisory Board of the CTCN on this matter and report	
on its findings for consideration at SBI 41.	

SBI 40 agenda item 4(b): Reporting from Parties not included in Annex I to the Convention - Provision of financial and technical support

SBI 40 conclusions

The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approval of funding and disbursement of funds, as well as the amount of funding disbursed to non-Annex I Parties for the preparation of BURs, and the amount of funding provided for the preparation of national communications during the same period, for consideration at SBI 41.

The SBI invited the GEF to provide, in its report to COP 20, detailed information on the funding available under its latest replenishment to non-Annex I Parties for the preparation of NCs and BURs, and the total amount of funding available in its climate change focal area.

The SBI, recalling decision 9/CP.18, reiterated its encouragement of the GEF to make support available to non-Annex I Parties for preparing their subsequent BURs in a timely manner, taking fully into account decision 2/CP.17, paragraph 41(a) and (e).

Detailed information on the funding available in GEF-6 in the Climate Change focal area is provided in Table 1 below. Information on the country allocations under the STAR is provided in Annex 1 of the GEF COP20 Report to the UNFCCC

(http://unfccc.int/resource/docs/2014/cop20/eng/02.pdf). During GEF-6, each country can access up to \$500,000 and \$352,000 for NCs and BURs, respectively. If additional resources are required for these activities, they can be obtained from the country STAR allocation.

Table 1: Climate change resource allocations for GEF-6 (2014-2018 replenishment period)

Climate Change Focal Area	\$ millions
STAR Set-aside	
Convention obligations (NCs and BURs)	130
Global and Regional Programs	109
Integrated Approach Programs	50
 Sustainable Cities – Hamessing Local Actions for Global Commons 	40
 Fostering Sustainability and Resilience of Production Systems in Africa 	10
Other Global and Regional Programs	59
Sustainable Forest Management	80
Sub-total Sub-total	319
STAR Country Allocations	941
Total	1,260

Table 3: GEF responses to Decisions adopted by Conferences of the Parties of the UNCCD

Operative paragraphs of the Decision	GEF Response and Action Taken
Invites the donors to the sixth replenishment of the Global Environment Facility to strive for a robust replenishment of resources, including for the Land Degradation Focal Area;	Donors responded with an overall robust replenishment for GEF-6, resulting in allocation of \$431 million to the Land Degradation Focal Area.
Calls on Parties to align their programming of Global Environment Facility resources at the national level, taking into account the priorities of sub-regional and regional action programmes to justify additional support for collaborative actions at the regional level;	The strategic directions for GEF-6 include several indicative programs for collaborative and transboundary programming by countries, including options for integration across focal areas.
Invites Parties to utilize Global Environment Facility financial resources in their implementation of activities geared towards the objectives of the Convention, taking into account the outcome of the United Nations Conference on Sustainable Development (Rio+20) relating to desertification, land degradation and drought, including the potential for harnessing synergies through the use of relevant Global Environment Facility incentive mechanisms across the various focal areas;	The GEF and UNCCD Secretariat are working to produce a Guide Book that will help countries to better assess options for programming GEF resources under the Land Degradation Focal Area, and in relation to other focal areas. A draft of the Guide Book will be completed for publication as soon as all GEF project cycle and operational policies are finalized.
Also invites the Global Environment Facility, during its sixth replenishment period, to support national-level capacity development for affected country Parties, as appropriate, to take coordinated action at the national, regional and international level to monitor globally land degradation and restore degraded lands in arid, semi-arid and dry sub-humid areas, if requested and among other activities;	The Land Degradation focal area allocation for GEF-6 includes provision for Enabling Activity financing to eligible countries. The GEF and UNCCD Secretariats are consulting on priorities for use of the resources, which will take into account COP guidance.
Encourages eligible country Parties to make use of the Global Environment Facility programme on capacity development to support the capacity needs in relation to the Rio conventions;	The strategic direction for GEF-6 includes a program on capacity development, which will enable countries to address this need.
Invites the Global Environment Facility to consider promoting the involvement of the private sector to generate multiple global environmental benefits and improve livelihoods, through country-driven sustainable land management initiatives and programmes;	The GEF-6 replenishment process gave due consideration to the important role of private sector.
Also invites eligible Parties that have yet to request Global Environment Facility resources for UNCCD enabling activities to do so, bearing in mind that GEF-5 phase ends in June 2014, after which these resources will no longer be available;	At least133 of 144 eligible countries successfully secured GEF resources for enabling activities prior to end of GEF-5. This has significantly enhanced the response by countries for obligations on reporting and alignment of National Action Programmes with the UNCCD 10-year Strategy.
Further invites the Global Environment Facility to continue to simplify and clarify the procedures for accessing the funding	The GEF-6 Land Degradation Focal Area Guide Book under preparation will include a description

Operative paragraphs of the Decision	GEF Response and Action Taken
for the implementation of the Convention, including for the alignment of national action programmes with the 10-year strategic plan and framework to enhance the implementation of the Convention (2008–2018) and for timely reporting;	of all GEF policies and procedures for accessing resources.
Invites the Global Environment Facility to continue its efforts to inform and build the capacity of eligible country Parties on the procedures mentioned in paragraph 8 above;	The GEF will continue to organize its Extended Constituency Workshops (ECWs) as a means of strengthening capacity and increasing knowledge on policies and procedures.
Requests the secretariats of the Global Environment Facility and the UNCCD to engage in consultations on harmonizing the disbursement of funding for enabling activities with the deadlines for the alignment and the reporting and review process;	The GEF and UNCCD Secretariats will consult on harmonization as soon as priorities for enabling activity financing have been established.
Invites the Global Environment Facility to continue raising awareness of UNCCD issues, including through its communication strategy;	The GEF Secretariat continued to regularly share on its website and through publications stories, best practices and lessons from projects addressing land degradation. In addition, a special issue of the GEF Secretariat's flagship newsletter "Greenline" was dedicated to Sustainable Land Management.
Requests the Executive Secretary, in consultation with the Chief Executive Officer of the Global Environment Facility, to prepare draft amendments to the existing Memorandum of Understanding between the UNCCD and the Global Environment Facility and to report on the proposed draft amendments to the Conference of the Parties at its twelfth session on this matter.	The MoU has being completely revised and updated to take into account recent decisions of the COP. It will be reviewed by both Secretariats before presentation to the next UNCCD COP.