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**Report of the Global Environment Facility to the Seventeenth  
Session of the Conference of the Parties to the United Nations  
Framework Convention on Climate Change**



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## Abbreviations and Acronyms

ADB	Asian Development Bank
AfDB	African Development Bank
AIACC	Assessments of Impacts and Adaptations to Climate Change
AMR	Annual Monitoring Report
APR	Annual Performance Report
BRT	Bus Rapid Transit
CBA	Community-Based Adaptation
CBD	Convention on Biological Diversity
CBO	Community-Based Organization
CCA	Climate Change Adaptation
CCCD	Cross-Cutting Capacity Development
CCD	Convention to Combat Desertification
CCM	Climate Change Mitigation
CDI	Capacity Development Initiative
CEO	Chief Executive Officer
CMSP	Council Member Support Program
CO <sub>2</sub> eq	Carbon Dioxide Equivalent
COP	Conference of the Parties
CPACC	Caribbean Planning for Adaptation to Climate Change
CPF	Collaborative Partnership on Forests
CPS	Country Portfolio Study of the GEF Evaluation Office
CSO	Civil Society Organization
CSP	Country Support Program
DANIDA	Danish International Development Agency
EBRD	European Bank for Reconstruction and Development
ECW	Extended Constituency Workshop
EGTT	Expert Group on Technology Transfer
ESCO	Energy Service Company
EST	Environmentally Sound Technology
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
FSP	Full-Sized Project
FY	Fiscal Year
GCF	Green Climate Fund
GEBs	Global Environmental Benefits
GEF	Global Environment Facility
GEF EO	Global Environment Facility Evaluation Office
GHG	Greenhouse Gas
IBRD	International Bank for Reconstruction and Development (World Bank)
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
INC	Initial National Communication
IPCC	Intergovernmental Panel on Climate Change
LEG	Least Developed Countries Expert Group
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
LULUCF	Land Use, Land-Use Change, and Forestry
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreement
MRV	Measurement, Reporting and Verification
MSP	Medium-Sized Project
Mt	Megaton (10 <sup>6</sup> tons)
NAPA	National Adaptation Programme of Action
NCSA	National Capacity Self Assessment
NCSP	National Communications Support Program



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NDI	National Dialogue Initiative
NGO	Non-governmental Organization
NMT	Non-motorized Transport
NPFE	National Portfolio Formulation Exercise
OFP	Operational Focal Point
OPS3	Third Overall Performance Study
OPS4	Fourth Overall Performance Study
PAS	Pacific Alliance for Sustainability
PES	Payments for Ecosystem Services
PIF	Project Identification Form
PIR	Project Implementation Report
PMIS	Project Management Information System
PPG	Project Preparation Grant
PPP	Public-Private Partnership
PSC	Project Steering Committee
RAF	Resource Allocation Framework
RBM	Results-based Management
REDD	Reducing Emissions from Deforestation and Forest Degradation
RET	Renewable Energy Technology
SBI	Subsidiary Body for Implementation
SCCF	Special Climate Change Fund
SFM	Sustainable Forest Management
SGP	Small Grants Program
SIDS	Small Island Developing States
SIP	Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa
SLM	Sustainable Land Management
SNC	Second National Communication
SPA	Strategic Priority on Adaptation
STAR	System for Transparent Allocation of Resources
TAG	Technical Advisory Group
TFA	Tropical Forest Account
TNA	Technology Needs Assessment
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forum on Forests
UNIDO	United Nations Industrial Development Organization
V&A	Vulnerability and Adaptation



## Executive Summary

1. Since its inception in 1991 until June 30, 2011, the Global Environment Facility (GEF) has supported a comprehensive set of efforts on climate change mitigation, adaptation, and enabling activities, financing 914 projects with \$3.84 billion<sup>1</sup> in funding. These projects in 156 developing countries and economies in transition have attracted \$21.8 billion in co-financing.
2. On mitigation, to date the GEF has supported 755 projects on climate change mitigation and enabling activities with \$3.39 billion in funding to 156 developing countries and economies in transition. These projects attracted co-financing of \$19.9 billion and covered enabling activities, energy efficiency, renewable energy, sustainable transport and urban systems, Land Use, Land-Use Change and Forestry (LULUCF), and technology transfer. Most of them were funded from the GEF Trust Fund, while three projects received funding from the Special Climate Change Fund (SCCF).
3. On adaptation, since the approval of the first regional and global Stage II initiatives to build the capacity of vulnerable countries, the GEF Trust Fund, the Least Developed Countries Fund (LDCF) and the SCCF have supported 160 projects with \$376.1 million to adaptation projects in 116 developing countries, including 57 projects supporting enabling activities and research/monitoring<sup>2</sup>. In accordance with the Marrakesh Accords from the Seventh Conference of the Parties (COP 7) to the United Nations Framework Convention on Climate Change (UNFCCC) in 2001, under the Strategic Priority on Adaptation (SPA) GEF has financed a portfolio of 26 innovative pilot projects amounting to \$48.4 million under the GEF Trust Fund. The LDCF and the SCCF have supported 47 and 32 projects respectively and one program jointly, with financing of \$178.6 million and \$130.1 million.
4. During the reporting period fiscal year (FY) 2011 (July 1, 2010 to June 30, 2011), the GEF funded 37 projects in climate change mitigation and adaptation, allocating \$299.2 million from the GEF Trust Fund, \$35.6 million from the LDCF and \$31 million from the SCCF. These projects include the following: 18 full-sized projects (FSPs) and one medium-sized project (MSP) funded by the GEF Trust Fund; ten FSPs and one MSP under the LDCF; and eight FSPs under the SCCF. The first multi-trust fund project, an FSP funded by the GEF Trust Fund and the SCCF, is reported once for each trust fund but counts as only one GEF project.<sup>3</sup>
5. For adaptation, total project and program approvals, and Chief Executive Officer (CEO) Endorsements under the LDCF and the SCCF amounted to \$139.9 million during the reporting period. Through the LDCF and the SCCF, the GEF approved \$87.6 million for 21 new projects and programs during the reporting period, including one multi-trust fund programmatic approach and one regional technology transfer pilot, in 25 developing countries. Co-financing for these projects amounted to \$594 million. In addition, 15 adaptation projects amounting to \$52.3 million and leveraging \$352 million in co-financing were CEO Endorsed under the LDCF and the SCCF.
6. The transfer of environmentally sound technology (EST) has been a key cross-cutting theme for the GEF since its establishment. The entire GEF climate change portfolio can be characterized as supporting technology transfer as defined by the Intergovernmental Panel on Climate Change (IPCC) and the technology transfer outlined by the COP.
7. The GEF-5 climate change strategy for mitigation promotes technology transfer from demonstration of innovative, emerging low carbon technologies to diffusion of commercially proven ESTs and practices. For adaptation, supported by the LDCF and the SCCF, the promotion of transfer and adoption of adaptation technology is one of the three strategic objectives from 2010 to 2014.
8. The GEF submitted the Long-Term Program on Technology Transfer to COP 16, highlighting its continued commitment to support technology transfer for mitigation and adaptation in line with the GEF strategic objectives. The GEF is ready to align this program with the new Technology Mechanism from the Cancun Agreements, which is expected to facilitate enhanced action on technology development and transfer, to support action on mitigation and adaptation.

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<sup>1</sup> All dollar amounts are in U.S. dollars.

<sup>2</sup> The figure \$376.1 million for adaptation projects is only from climate change focal areas; an additional \$73.4 million was contributed from multi-focal areas for these adaptation projects. Total funding for these projects is \$449.5 million.

<sup>3</sup> The GEF Trust Fund and the SCCF are jointly supporting the *Pilot Asia-Pacific Climate Technology Network and Finance Centre* with \$10 million and \$2 million respectively in fiscal year (FY) 2011. This is counted as one GEF project.

9. This reporting period saw the continued implementation of the Poznan Strategic Program on Technology Transfer, which was initiated during GEF-4. In addition, the new GEF-5 projects approved during this reporting period continue to support various aspects of technology transfer. In particular, the *Pilot Asia-Pacific Climate Technology Network and Finance Centre* project is innovative, as it is one of the first multi-Trust Fund projects drawing resources from the GEF Trust Fund for mitigation and the SCCF for adaptation. The project is also expected to generate lessons learned that could help inform the ongoing process to operationalize the Technology Mechanism, particularly the Climate Technology Centre and Network, from the Cancun Agreements.
10. During the reporting period, the GEF launched the *Sahel and West Africa Program in Support of the Great Green Wall Initiative*, with \$87.8 million of funding from the GEF Trust Fund; \$16 million from the LDCF; and \$5 million from the SCCF. The project has attracted \$1.81 billion in co-financing and supports 12 countries.<sup>4</sup>
11. As of June 2011, 143 non-Annex I Parties have received GEF funding for the preparation of their National Communications to the UNFCCC. The GEF met all requests to support National Communications. As of June 2011, 48 least developed countries (LDCs) have received GEF LDCF funding for, and 45 have completed, the preparation of their National Adaptation Programmes of Action (NAPA).
12. During the GEF-4, the GEF Secretariat implemented a number of key reforms directed towards improving the effectiveness and efficiency of the partnership. As a result, the performance of the GEF has improved significantly. Allocation of the funds to LDCs and small island developing states (SIDS) has increased to 18 percent of all resources in GEF-4 from 12 percent in GEF-3. The time to process FSPs from concept approval to CEO endorsement has been reduced from 44 months to an average of 16 months. The results-based management (RBM) Framework has become the framework for developing programming strategies. The corporate budget support for three Implementing Agencies was abolished, and all the GEF Agencies were provided with the same level of fees to implement projects.
13. Negotiations for the GEF-5 replenishment came to a successful conclusion on May 12, 2010. Thirty-five donors pledged \$4.34 billion for the GEF-5 period (July 1, 2010 to June 30, 2014) of which approximately \$1.4 billion will be programmed under the agreed climate change mitigation strategy. The Russian Federation joined as a new donor to the GEF, and Brazil, following on its pledge to GEF-4, re-engaged as a donor with a GEF-5 contribution. As contributing participants significantly increased their contributions, total new donor funding for the GEF-5 period increased by 54 percent over GEF-4.
14. As instructed by the GEF Council at the June, 2010 meeting, the GEF Secretariat has been piloting a new approach to broaden the range of agencies and entities that are able to access resources directly from the GEF Trust Fund for the preparation and execution of projects, as permitted under Paragraph 28 of the GEF Instrument. The range of entities includes national institutions, regional organizations, non-governmental organizations (NGOs), United Nations specialized agencies and programs, and other international non-governmental organizations. Guidelines for applications have been posted. The GEF Secretariat has started accepting applications since May 2011. Under the GEF-5 pilot, the GEF will be able to accept up to 10 applications, with the goal of accrediting at least five national institutions.
15. The GEF continues to respond to guidance received from the Convention. Since its inception, the GEF has received and responded to 171 guidance articles. During the reporting period, the Convention guidance included five decisions from COP 16 and several conclusions from the 34<sup>th</sup> meeting of the Subsidiary Body for Implementation (SBI). In response to the Convention guidance, the GEF continues to place strong emphasis on reforms, country engagement and empowerment, National Communications, support for technology transfer, adaptation, and all other areas of the Convention guidance.

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<sup>4</sup> The countries participating in the *Sahel and West Africa Program in Support of the Great Green Wall Initiative* are Benin, Burkina Faso, Chad, Ethiopia, Ghana, Mali, Mauritania, Niger, Nigeria, Senegal, Sudan, and Togo.

## Introduction

16. The Global Environment Facility (GEF) prepared this report for the Seventeenth session of the Conference of the Parties (COP 17) to the United Nations Framework Convention on Climate Change (UNFCCC).
17. The report consists of three parts and four annexes.
18. Part I describes achievements of the GEF over its twenty year history since its establishment in 1991 to date, including the activities approved and conducted by the GEF during the reporting period, fiscal year (FY) 2011, from July 1, 2010, to June 30, 2011. They include climate change mitigation, technology transfer, climate change adaptation, and enabling activities funded from the GEF Trust Fund, the Least Developed Countries Fund (LDCF), and the Special Climate Change Fund (SCCF).
19. Part II of the report provides insights into GEF programming and other positive development aspects in Africa, including activities leading up to COP 17 in Durban, South Africa.
20. Part III summarizes Convention guidance to the GEF and the GEF response to COP 16 and conclusions of Subsidiary Body for Implementation (SBI) 34.
21. The four annexes to the report cover: summaries of projects during the reporting period under the GEF Trust Fund; summaries of projects under the LDCF and the SCCF; the status of National Communications from parties not included in Annex I of the convention; and the status report on the LDCF and the SCCF.

## Part I. Achievements of the GEF

22. As an operating entity of the financial mechanism of the UNFCCC, the GEF provides financing to country-driven projects consistent with guidance approved by the COP on policies, program priorities, and eligibility criteria. Ten agencies manage GEF financed projects.<sup>5</sup>

### 1. Climate Change Mitigation

#### a. Overview of GEF Support for Mitigation

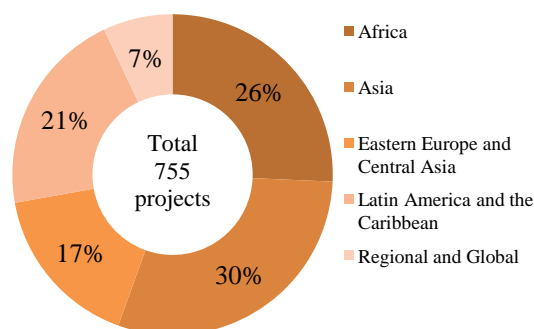
23. Since its establishment in 1991, the GEF has been funding projects on climate change mitigation and enabling activities in developing countries and economies in transition all over the world. As of June 30, 2011, the GEF has funded 755 projects on climate change mitigation and enabling activities with \$3.39 billion GEF funding in 156 countries<sup>6</sup> (see table 1). Most of them were funded from the GEF Trust Fund, while three projects also included funding from the SCCF for technology transfer and/or adaptation. The GEF funding leveraged nearly \$20 billion with an average co-financing ratio of 1 to 6.

Table 1  
**GEF Projects on Climate Change Mitigation Including Enabling Activities by Region**

Region	Number of Projects	GEF Amount (\$ millions)	Co-financing (\$ millions)
Africa	194	533.3	2,747.8
Asia	225	1,273.4	10,779.1
Eastern Europe and Central Asia	126	498.5	2,774.0
Latin America and the Caribbean	157	584.0	3,019.8
Regional and Global	53	503.4	556.0
<b>Total</b>	<b>755</b>	<b>3,392.6</b>	<b>19,876.7</b>

These amounts include all focal area contributions to climate change, including agency fees. The total includes \$382.5 million from other focal areas.

Figure 1  
**GEF Projects on Climate Change Mitigation Including Enabling Activities by Region**



24. These projects cover developing countries in all the regions in a well-balanced manner throughout Asia, Africa, Latin America and the Caribbean, and Eastern Europe and Central Asia. In addition, there are a considerable number of regional and global projects. All 10 GEF Agencies have participated in the implementation of these GEF climate change projects. UNDP, the World Bank, UNEP, and UNIDO have the major shares of the portfolio in the order of appearance in terms of number of projects.

25. As shown in table 2, among the 755 projects the total share of enabling activities, energy efficiency, and renewable energy projects combined is predominant and reaches more than 80 percent of all projects, while the number of sustainable urban transport and Land Use, Land-Use Change, and Forestry (LULUCF) projects has shown rapid growth, especially during GEF-4. The number of enabling activity projects has been decreasing from the early days to the present, while the number of projects that seek to mitigate climate change on the ground has been growing steadily.

<sup>5</sup> These are the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the World Bank, the African Development Bank (AfDB), the Asian Development Bank (ADB), the European Bank for Reconstruction and Development (EBRD), the Inter-American Development Bank (IDB), the Food and Agriculture Organization of the United Nations (FAO), the International Fund for Agricultural Development (IFAD), and the United Nations Industrial Development Organization (UNIDO).

<sup>6</sup> This includes individual projects in 147 countries and 9 additional countries participating in regional projects.

Table 2

**GEF Projects on Climate Change Mitigation and Enabling Activities by Phase**

<i>Phase</i>	<i>Enabling Activities</i>	<i>Renewable Energy</i>	<i>Energy Efficiency</i>	<i>LULUCF and Sustainable Forest Management</i>	<i>Sustainable Transport and Urban Systems</i>	<i>Mixed and Others</i>	<i>Total</i>
GEF Pilot (1991-1994)	7	13	5	2	2	10	39
GEF-1 (1994-1998)	92	17	16	0	0	5	130
GEF-2 (1998-2002)	101	48	31	1	8	7	196
GEF-3 (2002-2006)	36	57	29	0	13	14	149
GEF-4 (2006-2010)	9	59	84	25	21	24	222
GEF-5 FY 2011	0	2	2	4	1	10	19
<b>Total</b>	<b>245</b>	<b>196</b>	<b>167</b>	<b>32</b>	<b>45</b>	<b>70</b>	<b>755</b>

The GEF-4 data has been updated since publication of the COP 16 report, including one additional energy efficiency project, one canceled renewable energy project, two additional LULUCF projects, one cancelled sustainable transport project, and two cancelled enabling activities projects. Five enabling activities were that should have been recorded are now included. Eight umbrella programs were incorrectly reported in COP 16 report as projects, however, all projects under programmatic initiatives are included in this summary. The COP 16 total project count is 736.

GEF-5 began on July 1, 2010 and extends through June 30, 2014. This report covers the period July 1, 2010 through June 30, 2011, also known as FY 2011.

26. Since its inception, the GEF has supported 87 climate change mitigation projects in all 38 different small island developing states (SIDS) and 153 projects in 45 Least Developed Countries (LDCs) out of 48 LDCs. During the first year of GEF-5 (2010–2011), the GEF supported one project with a SIDS and no mitigation projects in a LDC (table 3).

Table 3

**GEF Financing for SIDS and LDCs on Climate Change Mitigation Including Enabling Activities**

<i>Phase</i>	<i>GEF Financing for SIDS</i>		<i>GEF Financing for LDCs</i>	
	<i>Number of Projects</i>	<i>GEF Financing (\$ millions)</i>	<i>Number of Projects</i>	<i>GEF Financing (\$ millions)</i>
GEF Pilot	2	7.8	8	28.0
GEF-1	24	20.5	33	25.0
GEF-2	20	13.6	39	79.8
GEF-3	17	25.6	32	121.0
GEF-4	23	88.8	41	143.4
GEF-5 FY 2011	1	4.3	0	0.0
<b>Total</b>	<b>87</b>	<b>160.7</b>	<b>153</b>	<b>397.2</b>

Figures include financing from other focal areas in case of multi-focal area projects.

27. Under the GEF-5, the focal area on climate mitigation supports developing countries and economies in transition toward a low-carbon development path to slow growth in greenhouse gas (GHG) emissions and contribute to the stabilization of GHG concentrations in the atmosphere. The key indicator for successful investments is tons of carbon dioxide equivalent (CO<sub>2</sub>eq) avoided (both direct and indirect) over the investment or impact period of the projects. To achieve this goal, six strategic objectives have been identified: technology transfer, energy efficiency, renewable energy, sustainable transport and urban systems, LULUCF, and enabling activities. The objectives and expected outcomes are shown in table 4.

Table 4

**Climate Change Mitigation Strategic Objectives and Results Framework<sup>7</sup>**

<i>Climate Change Mitigation (CCM) Strategic Objectives</i>	<i>Expected Outcomes</i>
<b>CCM-1: Technology Transfer:</b> Promote the demonstration, deployment, and transfer of innovative low-carbon technologies	Outcome 1.1: Technologies successfully demonstrated, deployed, and transferred
	Outcome 1.2: Enabling policy environment and mechanisms created for technology transfer
<b>CCM-2: Energy Efficiency:</b> Promote market transformation for energy efficiency in industry and the building sector	Outcome 2.1: Appropriate policy, legal and regulatory frameworks adopted and enforced
	Outcome 2.2: Sustainable financing and delivery mechanisms established and operational
<b>CCM-3: Renewable Energy:</b> Promote investment in renewable energy technologies	Outcome 3.1: Favorable policy and regulatory environment created for renewable energy investments
	Outcome 3.2: Investment in renewable energy technologies increased
<b>CCM-4: Transport/ Urban:</b> Promote energy efficient, low-carbon transport and urban systems	Outcome 4.1: Sustainable transport and urban policy and regulatory frameworks adopted and implemented
	Outcome 4.2: Increased investment in less-GHG intensive transport and urban systems
<b>CCM-5: LULUCF:</b> Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change, and forestry	Outcome 5.1: Good management practices in LULUCF adopted both within the forest land and in the wider landscape
	Outcome 5.2: Restoration and enhancement of carbon stocks in forests and non-forest lands, including peatland
<b>CCM-6: Enabling Activities:</b> Support enabling activities and capacity building under the Convention	Outcome 6.1: Adequate resources allocated to support enabling activities under the Convention
	Outcome 6.2: Human and institutional capacity of recipient countries strengthened

28. In the following sections, further explanations are provided for key mitigation sectors addressed by the GEF. Technology transfer is presented in Section 2, as it is a cross-cutting topic for mitigation and adaptation.

*Energy Efficiency*

29. Since the inception of the GEF, the energy efficiency portion of the GEF climate change portfolio has included 200 projects, funded with \$1.2 billion (average of \$6 million per project). This GEF funding has been supplemented with \$8.5 billion in co-financing with an average co-financing ratio of 1 to 7. Funding for the energy efficiency portfolio increased steadily from GEF Pilot Phase (1991–1994) to GEF-4 (see figure 2). This trend is directly attributable to the increased importance that GEF-recipient countries place on energy efficiency.

<sup>7</sup> GEF. 2011. GEF-5 Focal Area Strategies. Available at <<http://www.thegef.org/gef/node/1960>>

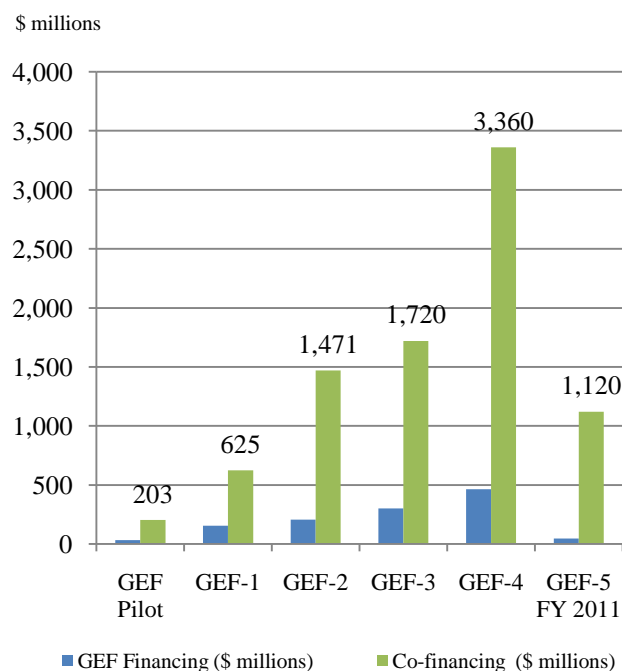


**Table 5**  
**GEF Financing and Co-financing for Energy Efficiency by Phase**

<i>Phase</i>	<i>Number of Projects</i>	<i>GEF Financing (\$ millions)</i>	<i>Co-financing (\$ millions)</i>
GEF Pilot	6	32.3	203.5
GEF-1	17	154.3	625.1
GEF-2	34	206.3	1,471.1
GEF-3	41	301.2	1,719.7
GEF-4	97	464.0	3,360.4
GEF-5 FY 2011	5	46.0	1,119.8
<b>Total</b>	<b>200</b>	<b>1,204.1</b>	<b>8,499.6</b>

Includes all projects with energy efficiency components, including those classified as "Mixed and Others." Includes \$38.1 million of multi-focal area funding.

**Figure 2**  
**GEF Financing and Co-financing for Energy Efficiency by Phase**



30. During the GEF Pilot Phase and GEF-1 (1994–1998), the energy efficiency portfolio focused on technology demonstration and policy and regulatory transformation. Under GEF-2 (1998–2002), the distribution was tipped toward technology transfer, standards and labeling, and financial instrument interventions. GEF-3 (2002–2006) was marked by a prevalence of market-based solutions and policy and regulatory transformations. In GEF-4 and GEF-5, the GEF portfolio has focused on (a) establishing comprehensive standards and labeling programs and regulatory frameworks and (b) demonstrating and deploying energy efficient technologies. In addition, the GEF is expanding the scope of its assistance to encompass more integrated systems approaches, particularly for standards and labeling programs in the industrial and residential sectors.

31. As shown in table 4, the GEF-5 strategic objective CCM-2: Energy Efficiency will promote market transformation for energy efficiency in industry and the building sector by supporting the adoption and enforcement of appropriate policy, legal and regulatory frameworks and supporting the establishment and operation of sustainable financing and delivery mechanisms.

32. GEF energy efficiency investments span various economic sectors. They are carried out on the municipal, residential, and industrial levels and address market, regulatory, financial, and technological barriers. In addition to building capacity and raising awareness, which are within the scope of all the projects, the GEF relies on the following five general project models to remove existing barriers:

- Projects that focus on policy and regulatory frameworks
- Projects that develop standards and labeling programs
- Projects that rely on market-based approaches
- Projects that establish financial instruments
- Projects that focus on specific sectors and technologies

Table 6

**GEF Financing for Energy Efficiency by Phase and Type (\$ millions)**

<i>Phase</i>	<i>Appliances and Equipment</i>	<i>Lighting</i>	<i>Building and Heating</i>	<i>Energy Supply/ Services Companies</i>	<i>Industrial Processes</i>	<i>Mixed and Others</i>	<i>Total</i>
GEF Pilot	0.0	11.0	8.0	0.0	0.0	13.3	32.3
GEF-1	11.6	5.5	39.4	41.9	14.7	41.1	154.3
GEF-2	6.6	26.5	48.8	45.7	9.8	68.8	206.3
GEF-3	6.5	8.3	37.2	87.0	18.9	143.3	301.2
GEF-4	64.8	37.7	149.7	22.1	93.8	96.0	464.0
GEF-5 FY 2011	0.0	0.0	0.0	0.0	32.8	13.2	46.0
<b>Total</b>	<b>89.5</b>	<b>89.0</b>	<b>283.1</b>	<b>196.7</b>	<b>170.0</b>	<b>375.8</b>	<b>1,204.1</b>

Includes all projects with energy efficiency components, including those classified as "Mixed and Others." Includes \$38.1 million of multi-focal area funding.

33. Regionally, 85 percent (\$1,027.7 million of \$1,204.1 million) of the GEF's climate change energy efficiency investments are in Africa, Asia, Eastern Europe and Central Asia—reflecting these regions' increased needs for energy, fueled by their high economic growth rates and significant populations (see table 7). Eastern Europe and Central Asia accessed GEF funding mostly during the first three GEF Phases (1994–2006) for projects using market-based or financial mechanisms. Asia (particularly China) also began to receive GEF funding early (in 1991), directing it toward projects dealing with regulatory frameworks, market transformation, and technology transfer. While Asia continued to attract the largest share of GEF funding throughout all GEF phases, the funding share of the economies in transition in Eastern Europe and Central Asia has consistently declined in favor of financing in LDCs, where the focuses of the projects are on regulatory frameworks and market-based approaches, as was the case in the Asian countries in the early GEF Phases. In the Latin America and Caribbean region, more efficiency projects were supported during GEF-4 than in the three prior phases, with more than a dozen projects on appliances, lighting, building efficiency and industrial processes.

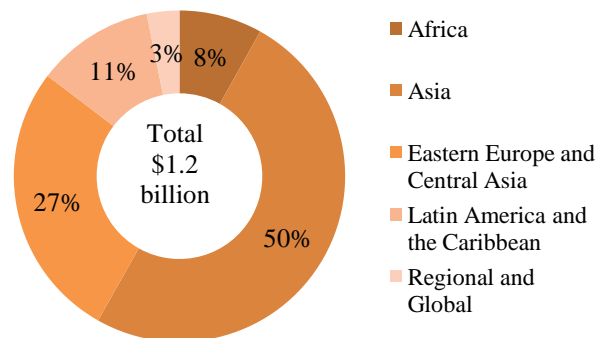
Table 7

**Regional Distribution of GEF Investments in Energy Efficiency**

<i>Region</i>	<i>Number of Projects</i>	<i>GEF Financing (\$ millions)</i>	<i>Co-financing (\$ millions)</i>
Africa	31	97.6	582.1
Asia	77	602.9	4,700.6
Eastern Europe and Central Asia	56	327.2	2,157.8
Latin America and the Caribbean	28	138.2	916.1
Regional and Global	8	38.2	143.0
<b>Total</b>	<b>200</b>	<b>1,204.1</b>	<b>8,499.6</b>

Includes all projects with energy efficiency components, including those classified as "Mixed and Others." Includes \$38.1 million of multi-focal area funding.

Figure 3

**Regional Distribution of GEF Investments in Energy Efficiency by Funding Level****Renewable Energy**

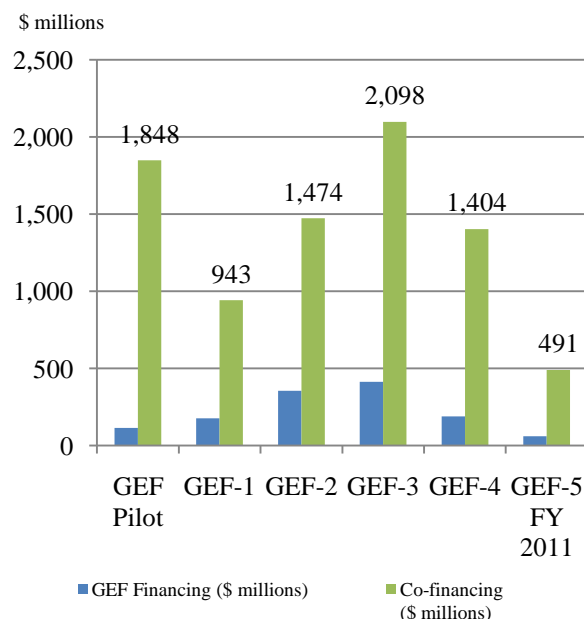
34. From 1991 to June 2011, the renewable energy portion of the GEF's climate change portfolio has included 229 projects funded with \$1.3 billion (average of \$5.7 million per project). This GEF funding has been leveraged with \$8.3 billion in co-financing. Funding for the renewable energy portfolio increased from the GEF Pilot Phase up to GEF-3. However, it decreased in GEF-4 (see figure 4). This is because of the expansion of the energy efficiency and other portfolios; the high amount of funding directed to renewable energy, such as concentrated solar power projects, approved under GEF-3 that are still under implementation; and the decision not to pursue the strategic objective for the promotion of off-grid renewable energy technologies (RETs) in GEF-4.

Table 8  
**GEF Financing and Co-financing for Renewable Energy by Phase**

Phase	Number of Projects	GEF Financing (\$ millions)	Co-financing (\$ millions)
GEF Pilot	14	114.3	1,848.0
GEF-1	18	178.0	943.3
GEF-2	52	355.1	1,473.9
GEF-3	69	414.4	2,097.7
GEF-4	69	189.2	1,403.8
GEF-5 FY 2011	7	61.0	491.0
<b>Total</b>	<b>229</b>	<b>1,312.0</b>	<b>8,257.7</b>

Includes all projects with renewable energy components, including those classified as "Mixed and Others." Includes \$61.3 million of multi-focal area funding.

Figure 4  
**GEF Financing and Co-financing for Renewable Energy by Phase**



35. As shown in table 4, the GEF-5 strategic objective CCM-3: Renewable Energy will promote investment in renewable energy technologies leading to favorable policy and regulatory environment created for renewable energy investments; and increased investment in renewable energy technologies.

36. The majority of GEF funding is directed to projects that promote a range of RETs without indicating specific technologies (table 9). This is because the GEF's role is to catalyze and transform energy markets generally, not to pick single RETs within the market. That said, however, when local climatic and market conditions clearly favor investing in specific technologies, the GEF has responded effectively by allocating targeted funds.

37. The GEF's catalytic approach to the promotion of renewable energy is multidimensional, mixing interventions that range from "soft" actions (barrier removal and capacity building) to tangible actions (direct investments in RETs). The renewable energy investments undertaken also involve many stakeholders—governments, private firms (manufacturers and dealers), financial intermediaries, recipients of technical assistance, technology suppliers and contractors, and project developers.

Table 9  
**GEF Financing for Renewable Energy by Phase and Type (\$ millions)**

Phase	Mixed	Biomass	Concentrating Solar Power	Fuel Cell / Hydrogen	Geo-thermal	Hydro power (small-micro)	Photovoltaic	Solar-thermal	Wind	Total
GEF Pilot	33.2	21.9	0.0	0.0	33.0	8.3	7.7	4.4	5.8	114.3
GEF-1	85.1	16.0	0.0	0.0	7.6	0.0	69.3	0.0	0.0	178.0
GEF-2	173.0	39.7	103.2	0.0	0.0	2.5	24.7	8.8	3.2	355.1
GEF-3	204.2	14.7	55.9	3.6	39.9	21.4	24.0	16.4	34.2	414.4
GEF-4	80.8	51.7	1.9	3.0	9.5	18.4	9.9	5.0	9.1	189.2
GEF-5 FY2011	61.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	61.0
<b>Total</b>	<b>637.3</b>	<b>144.0</b>	<b>161.1</b>	<b>6.6</b>	<b>90.0</b>	<b>50.5</b>	<b>135.7</b>	<b>34.5</b>	<b>52.3</b>	<b>1,312.0</b>

Includes all projects with renewable energy components, including those classified as "Mixed and Others." Includes \$61.3 million of multi-focal area funding.

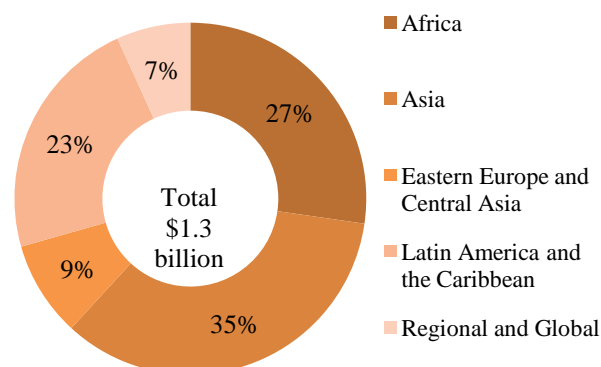
38. Most of the renewable energy investments (\$1,104.7 million of \$1,312.0 million, or 84 percent) have taken place in Africa, Asia, and Latin America and the Caribbean (table 10; figure 5).

Table 10  
**Regional Distribution of GEF Investments in Renewable Energy**

Region	Number of Projects	GEF Financing (\$ millions)	Co-financing (\$ millions)
Africa	66	357.9	1,901.9
Asia	70	453.3	3,935.5
Eastern Europe and Central Asia	30	115.0	393.3
Latin America and the Caribbean	48	296.5	1,775.3
Regional and Global	15	89.3	251.8
<b>Total</b>	<b>229</b>	<b>1,312.0</b>	<b>8,257.7</b>

Includes all projects with renewable energy components, including those classified as "Mixed and Others." Includes \$61.3 million of multi-focal area funding.

Figure 5  
**Regional Distribution of GEF Investments in Renewable Energy by Funding Level**



#### Sustainable Transport and Urban Systems

39. From GEF-2 to June 2011 of GEF-5, the GEF has supported 46 projects which include components on sustainable transport and urban systems. Prior to GEF-5, projects under this category focused on sustainable transport. Under the GEF-5 climate change strategic objective CCM-4, the focus was expanded to include integrated approaches to promoting energy efficient, low-carbon cities.

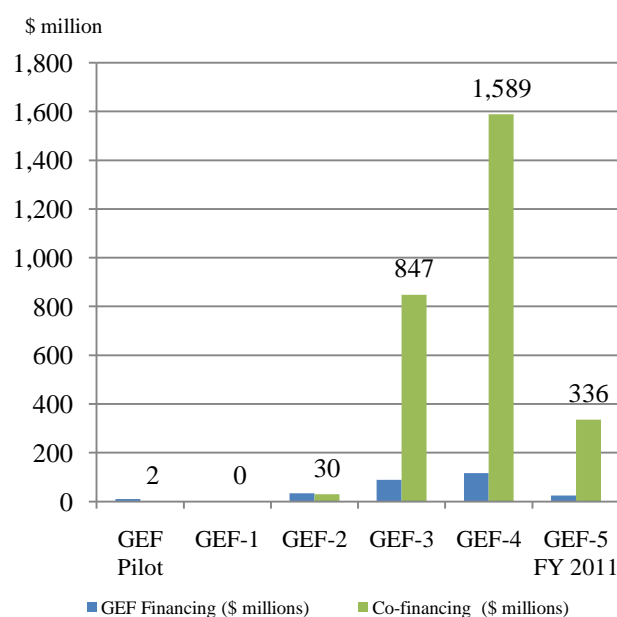
40. The GEF has allocated \$274 million to these projects (average of \$6 million per project). This funding has been supplemented by \$2.8 billion in co-financing (see table 10). This co-financing ratio of 1 to 10.2 is the highest across all GEF focal areas as these projects often requires large-scale investments to develop infrastructures. Funding for sustainable transport and urban systems activities started in 1999 and has continuously increased since then (figure 6).

Table 11  
**GEF Financing and Co-financing for Sustainable Transport and Urban Systems by Phase**

Phase	Number of Projects	GEF Financing (\$ millions)	Co-financing (\$ millions)
GEF Pilot	2	9.9	2.0
GEF-1	0	0.0	0.0
GEF-2	8	33.7	30.3
GEF-3	13	89.4	847.5
GEF-4	21	116.6	1,588.8
GEF-5 FY 2011	2	24.8	335.6
<b>Total</b>	<b>46</b>	<b>274.3</b>	<b>2,804.1</b>

Includes all projects with sustainable transport and urban systems components, including those classified as "Mixed and Others." Includes \$2.2 million of multi-focal area funding.

Figure 6  
**GEF Financing and Co-financing for Sustainable Transport and Urban Systems by Phase**



41. The GEF has funded sustainable transport and urban system projects that fall within the following general categories:

- Projects focusing on technological solutions, such as fuel cell buses and electric three-wheelers;
- Projects that improve the transport system on an urban scale, either by “stand-alone” investments (public transport infrastructures, non-motorized transport (NMT) infrastructures); or
- Comprehensive urban strategies, such as urban and transport planning, traffic demand management, public transport infrastructures and fleet improvement, and NMT infrastructure.

During the GEF-5, the scope also encompasses integrated approaches to promoting energy efficient, low-carbon cities.

42. During GEF-2, the GEF’s portfolio focused on technological solutions. Since GEF-3, the focus shifted to comprehensive strategy options (table 12). As shown in table 4, the GEF-5 strategic objective CCM-4: Transport/Urban will promote energy efficient, low-carbon transport and urban systems by supporting adoption and implementation of sustainable transport and urban policy and regulatory frameworks and supporting increased investment in less GHG-intensive transport and urban systems.

Table 12  
**GEF Financing for Sustainable Transport and Urban Systems by Phase and Type (\$millions)**

Phase	Comprehensive strategy	Stand alone investments	Technological options	Total
GEF Pilot	9.9	0.0	0.0	9.9
GEF-1	0.0	0.0	0.0	0.0
GEF-2	6.7	3.2	23.8	33.7
GEF-3	80.1	2.9	6.3	89.4
GEF-4	103.5	5.0	8.1	116.6
GEF-5 FY 2011	24.8	0.0	0.0	24.8
<b>Total</b>	<b>225.1</b>	<b>11.0</b>	<b>38.2</b>	<b>274.3</b>

Includes all projects with sustainable transport and urban systems components, including those classified as "Mixed and Others." Includes \$2.2 million of multi-focal area funding.

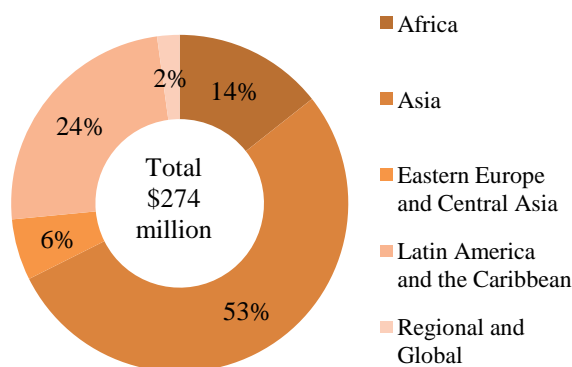
43. Most of the investments in sustainable transport and urban systems (\$252.3 million of \$274.3 million, or 92 percent) have taken place in Africa, Asia, and Latin America and the Caribbean (see figure 7).

Table 13  
**Regional Distribution of GEF Investments in Sustainable Transport and Urban Systems**

Region	Number of Projects	GEF Financing (\$ millions)	Co-financing (\$ millions)
Africa	8	39.4	490.8
Asia	19	146.1	1,953.3
Eastern Europe and Central Asia	6	16.1	80.9
Latin America and the Caribbean	7	66.8	269.9
Regional and Global	6	5.9	9.2
<b>Total</b>	<b>46</b>	<b>274.3</b>	<b>2,804.1</b>

Includes all projects with sustainable transport and urban systems components, including those classified as "Mixed and Others." Includes \$2.2 million of multi-focal area funding.

Figure 7  
**Regional Distribution of GEF Investments in Sustainable Transport and Urban Systems by Funding Level**



*Land Use, Land-Use Change, and Forestry (LULUCF) and Sustainable Forest Management/ Reducing Emissions from Deforestation and Degradation Plus Investment Program (SFM/REDD+)*

44. Since its inception in 1991, the GEF has supported more than 340 projects and programs in the field of SFM, although climate change mitigation benefits were generally not formally recognized until GEF-4. Overall, the GEF has allocated approximately \$1.7 billion to forest initiatives, supplemented by more than \$5.7 billion in co-financing. Historically, most of the GEF's investments were dedicated to forest conservation for biological diversity, with projects directed toward land degradation objectives beginning about the year 2000. Land degradation projects began to include carbon benefits. Growing international attention given to forests for their potential to mitigate climate change led to the inclusion of LULUCF and SFM<sup>8</sup> in the GEF-4 Climate Change focal area strategy.

45. Although all LULUCF projects should be sustainable, in GEF-5 SFM has expanded to the SFM/REDD+ incentive program, and the synergies of multi-focal area projects producing multiple global environmental benefits (GEBs) are being encouraged with the SFM/REDD+ incentive.

46. As shown in table 4, the GEF-5 strategic objective CCM-5: LULUCF will promote conservation and enhancement of carbon stocks through sustainable management forestry by supporting adoption of good management practices in LULUCF both within the forest land and in the wider landscape and by supporting restoration and enhancement of carbon stocks in forests and non-forest lands, including peatlands.

47. The cohesive \$250 million SFM/REDD+ incentive program was created with \$100 million from the LULUCF objective of the climate change mitigation focal area, combined with funding from the GEF Biodiversity and Land Degradation focal areas. SFM/REDD+ projects focus on activities in all types of forests, and consist of objectives and funding from at least two of the System for Transparent Allocation of Resources (STAR) allocation focal areas. For every \$3 requested from the STAR focal areas, an additional \$1 may be requested from the SFM/REDD+ incentive to conduct activities aimed at SFM/REDD+ objectives. Altogether, GEF may provide \$1 billion for funding SFM/REDD+ throughout GEF-5. This investment is expected to leverage substantial additional funding from external sources. Because all SFM/REDD+ projects are expected to include climate change mitigation benefits, and for comparability for GEF-4 projects, we report on all SFM/REDD+ projects, including those whose core focal area funding is for Biodiversity and Land Degradation benefits.

48. Since the inception of the GEF, the LULUCF and SFM/REDD+ portion of the GEF's climate change portfolio has included 36 projects funded with \$166.2 million, for an average of \$4.6 million per project (see table 14). These funds have been supplemented with \$847 million in co-financing, with an average co-financing ratio of 1 to 5.1. Although a few projects have been funded beginning with the Pilot phase through GEF-3, GEF-4 was the first phase with notable funding (see figure 8).

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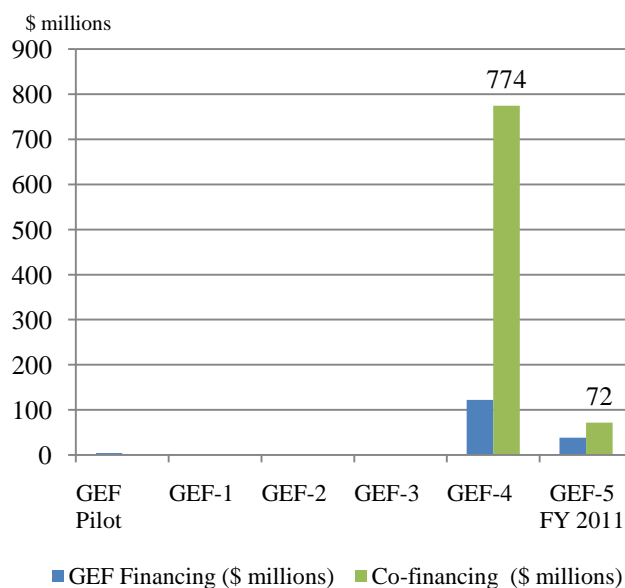
<sup>8</sup> Although the Bali Action Plan uses the term sustainable management of forests, GEF has long used the term Sustainable Forest Management (SFM).

**Table 14**  
**GEF Financing and Co-financing for LULUCF and SFM/REDD+ by Phase**

Phase	Number of Projects	GEF Financing (\$ millions)	Co-financing (\$ millions)
GEF Pilot	2	4.4	0.1
GEF-1	0	0.0	0.0
GEF-2	1	0.8	1.0
GEF-3	0	0.0	0.0
GEF-4	25	122.4	774.0
GEF-5 FY 2011	8	38.6	72.0
<b>Total</b>	<b>36</b>	<b>166.2</b>	<b>847.0</b>

Includes all projects with LULUCF and SFM/REDD+ components, including those classified as "Mixed and Others." Includes \$88.2 million of multi-focal area funding.

**Figure 8**  
**GEF Financing and Co-financing for LULUCF and SFM/REDD+ by Phase**



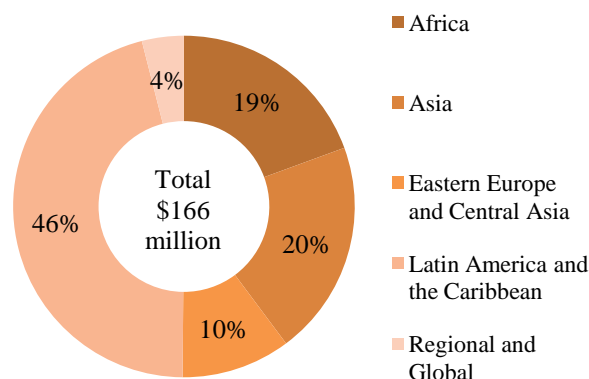
49. Regionally, almost half of the LULUCF and SFM/REDD+ projects are in Latin America and the Caribbean, and about one-fifth each in Africa and Asia (see table 15; figure 9). All projects in Eastern Europe and Central Asia are from GEF-5. The majority of projects prior to GEF-4 were located in Africa.

**Table 15**  
**Regional Distribution of GEF Investments in LULUCF and SFM/REDD+**

Region	Number of Projects	GEF Financing (\$ millions)	Co-financing (\$ millions)
Africa	7	32.3	51.8
Asia	9	33.9	488.8
Eastern Europe and Central Asia	3	17.2	43.1
Latin America and the Caribbean	15	76.3	255.5
Regional and Global	2	6.6	7.9
<b>Total</b>	<b>36</b>	<b>166.2</b>	<b>847.0</b>

Includes all projects with LULUCF and SFM/REDD+ components, including those classified as "Mixed and Others." Includes \$88.2 million of multi-focal area funding.

**Figure 9**  
**Regional Distribution of GEF Investments in LULUCF and SFM/REDD+ by Funding Level**



50. In the first year of GEF-5, GEF has combined multi-focal area, multi-trust fund resources to contribute a total of \$108.8 million in SFM/REDD+ and some adaptation (SCCF and LDCF) projects within the 12-country *Sahel and West Africa Program in Support of the Great Green Wall Initiative*. The program will expand sustainable land and water management in targeted landscapes, producing multiple GEBs including carbon and climate benefits. The program also ties into renewable energy objectives. More information on this programmatic initiative is in Part II, Section 3.

51. GEF LULUCF projects span and link landscapes, economic sectors, and people and the land. LULUCF activities include developing national systems to measure and monitor forest carbon stocks and changes, reduce deforestation and degradation, increase forestland and adopt good management practices. In the first year of GEF-5, funding exhibits the widespread applicability for LULUCF and SFM/REDD+ funds (see table 16). Coupling LULUCF and other climate change objectives such as renewable energy and energy efficiency in projects can improve energy access and reduce emissions from energy use while reducing deforestation and increasing carbon stocks in forests. Twenty percent of the climate funding in table 16 is targeted at objectives other than LULUCF. Coupling LULUCF and other GEF focal area

objectives such as Biodiversity and Land Degradation captures synergies in multiple GEBs, with over half of the funding targeted at these other benefits. Additional benefits are encouraged through SFM/REDD+ funding. LULUCF objectives are common in the upgraded Small Grants Program (SGP) projects, with about 20 percent of the funding coming from LULUCF.

Table 16

**GEF-5 Financing for LULUCF Projects by Approach and Type (FY 2011)**

Activities	LULUCF and Mixed related to Small Grants Program (\$ millions)		SFM/REDD+ funds only (\$ millions)	Other focal area funding (\$ millions)	SCCF/LDCF (\$ millions)	Total (\$ millions)
	LULUCF and Mixed (\$ millions)	Mixed related to Small Grants Program (\$ millions)				
Project	7.8	17.1	4.4	9.3		38.6
Program (Sahel and West Africa)	11.5	---	18.5	57.9	21.0	108.8
<b>Total</b>	<b>19.3</b>	<b>17.1</b>	<b>22.9</b>	<b>67.2</b>	<b>21.0</b>	<b>147.4</b>

Mixed projects include funding for other strategic objectives.

52. Between July 2010 and June 2011, the GEF continued to participate in several international fora focusing on REDD+. The GEF, for example, represented the International Organizations Group of the Forest Carbon Partnership Facility (FCPF) consisting of 16 multilateral and regional organizations at FCPF Participants Committee and Participants Assembly meetings. In addition, the GEF acted as an observer at UN-REDD Programme Policy Board meetings, Forest Investment Program (FIP) Sub-Committee meetings, and is participating in the REDD+ Partnership. In these fora, the GEF has played an important role in continuously advocating the need for the creation of multiple environmental benefits in the frame of REDD+ programs and projects.

53. At the request of GEF, over the past year the STAP provided advisory products and information in three areas. In September, 2010, STAP hosted a workshop on carbon benefits to provide advice on carbon estimation on LULUCF and all GEF forest and land management projects. Workshop results and suggestions were published in "Recommendations of the GEF-STAP Cross-Focal Area Workshop: Approaches to Address Carbon Benefits in the context of Multiple Global Environmental Benefits in Implementing the SFM/ REDD+ Program in GEF-5". This workshop was the first time that the Convention on Biological Diversity (CBD), UNFCCC, and United Nations Convention to Combat Desertification (UNCCD) Secretariats all participated and gave presentations at a GEF workshop.

**b. Achievements During the Reporting Period***Guiding Principles*

54. Development of GEF-5 strategy in the climate change mitigation focal area drew on past experiences and was guided by three principles: (i) responsiveness to Convention guidance; (ii) consideration of national circumstances of recipient countries; and (iii) cost-effectiveness in achieving GEBs. In its fifth replenishment cycle, the GEF endeavors to make a transformative impact in helping recipient countries move to a low-carbon development path through market transformation of and investment in environmentally sound, climate-friendly technologies.

55. Recent decisions reached by the COP have given the GEF guidance, particularly in the areas of development and transfer of environmentally sound technologies (ESTs) and of LULUCF. At COP 13, the GEF was requested to elaborate a strategic program to scale up the level of investment in technology transfer to help developing countries address their needs for ESTs. COP 14 welcomed the technology transfer program presented by the GEF as a step toward scaling up the level of investment in technology transfer to developing countries and requested the GEF to consider the long-term implementation of the strategic program on technology transfer to reduce GHG emissions.

56. The GEF-5 climate change strategy provides options for countries with different national circumstances to tackle climate change mitigation, while supporting sustainable development. As shown in table 4, the six strategic objectives for climate change mitigation strategy in GEF-5 are:

- 1) Promote demonstration deployment, and transfer of innovative low-carbon technologies
- 2) Promote market transformation for energy efficiency in industry and buildings
- 3) Promote investments in renewable energy technologies
- 4) Promote energy efficient, low-carbon transport and urban systems
- 5) Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-



- use change, and forestry  
6) Support enabling activities and capacity building.

57. The first objective focuses on innovative technologies at the stage of market demonstration or commercialization where technology push is still critical. The second to fifth objectives focus on technologies that are commercially available in the country but face barriers and require market pull to achieve widespread adoption and diffusion. The last objective is devoted to supporting enabling activities and capacity building under the UNFCCC.

#### *Accomplishments*

58. During the reporting period, FY 2011, July 1, 2010 to June 30, 2011, the GEF allocated \$299.2 million from the GEF Trust Fund to 19 projects in the climate change focal area, including 18 full-sized projects (FSPs) and one medium-sized project (MSP) (see table 18).

59. These projects will leverage approximately \$2 billion in co-financing from the governments of the recipient countries, the private sector, the GEF Agencies, other multilateral and bilateral agencies, and non-governmental organizations (NGOs).

60. The 19 approved projects during the reporting period are distributed across countries in four different regions. Out of the 19 projects, five are in Asia and the Pacific, four are in Latin America and the Caribbean, three are in Africa, and five are in Europe and Central Asia, while two are global and regional projects.

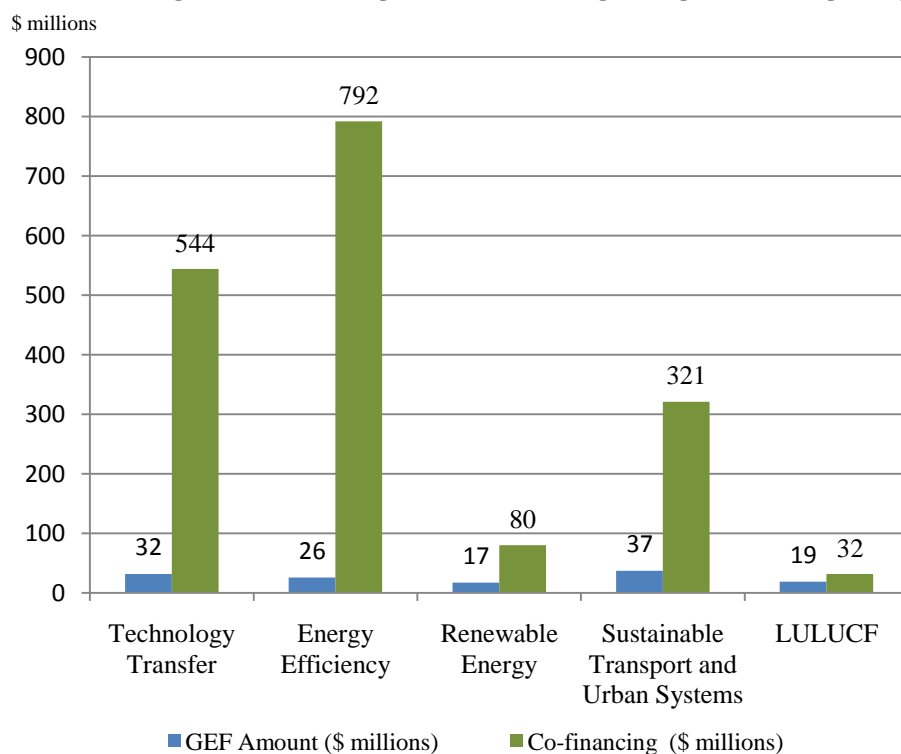
61. Of the 19 climate change mitigation projects, two projects predominantly focus on energy efficiency; two on renewable energy; one on sustainable transport and urban systems; four on LULUCF and SFM, and two on technology transfer. Each of these projects can also include components that emphasize other strategic objectives. In addition, there are eight projects that are classified as mixed because they support a variety of strategic objectives. Table 17 provides a summary of project financing with details on the amount of financing for each climate change mitigation strategic objective.

Table 17

#### **GEF-5 Financing and Co-financing for Climate Change Mitigation Strategic Objectives (FY 2011)**

<i>Focal Area Objective</i>	<i>Description</i>	<i>GEF Amount (\$ millions)</i>	<i>Co-financing (\$ millions)</i>	<i>Grand Total (\$ millions)</i>
CCM-1	Technology Transfer	31.8	544.2	576.0
CCM-2	Energy Efficiency	25.9	792.3	818.2
CCM-3	Renewable Energy	17.2	80.1	97.3
CCM-4	Sustainable Transport and Urban Systems	37.3	321.0	358.3
CCM-5	LULUCF	19.0	31.9	51.0
CCM-6	Enabling Activities	0.0	0.0	0.0
<b>Grand Total</b>		<b>131.2</b>	<b>1,769.4</b>	<b>1,900.7</b>

Figure 10

**GEF-5 Financing and Co-financing for Climate Change Mitigation Strategic Objectives (FY 2011)**

62. Of the 19 mitigation projects in FY 2011, 15 support multi-focal area objectives with \$118 million in financing beyond the amount supporting climate change mitigation objectives.

63. Seven of the 19 projects were implemented under the Fifth Operational Phase of the SGP, administered by UNDP. This included the umbrella program and specific projects in Bolivia, Costa Rica, India, Kenya, Mexico, and Pakistan. These seven projects in FY 2011, financed \$176.1 million including agency fees, project management, and project preparation, support climate change mitigation objectives with \$38 million and support multi-focal area objectives with \$107 million, attracting total co-financing of \$166 million.

64. The projects are distributed over all 10 GEF Agencies. UNDP has the largest share in terms of number of projects: 10 out of the 19 approved projects are with UNDP, including seven small-grant projects. This is followed by the World Bank (five projects), UNIDO (one project), IDB (one project), and EBRD (one project). There is one joint project with ADB and UNEP.

65. In addition to financing the implementation of projects, the GEF assists eligible countries in formulating and developing projects consistent with their national priorities, including those identified in their National Communications. During the reporting period, the GEF provided a total of \$0.25 million of project preparation grants (PPGs) for the development of two of the 19 climate change mitigation projects from the GEF Trust Fund.

Table 18

**GEF-5 FY 2011 Projects**

<i>Project Size</i>	<i>GEF Strategic Objective</i>	<i>Project ID Code</i>	<i>Country</i>	<i>Implementing Agency</i>	<i>Project Name</i>	<i>GEF Financing (\$ millions)</i>	<i>Co-financing (\$millions)</i>
FSP	Renewable Energy	4493	China	World Bank	China Renewable Energy Scaling-Up Program (CRESP) Phase II	30.0	444.1
FSP	Energy Efficiency	4348	Kazakhstan	EBRD	Reducing GHG Emissions through a Resource Efficiency Transformation Programme (ResET) for Industries in Kazakhstan	7.8	38.5
FSP	Energy Efficiency	4427	Russian Federation	World Bank	Russia Energy Efficiency Financing (REEF) Project	25.0	824.5
FSP	Technology Transfer	4490	Nigeria	World Bank	Small-scale Associated Gas Utilization	3.0	30.6
FSP	Technology Transfer	4512	Regional	ADB/UNEP	Pilot Asia-Pacific Climate Technology Network and Finance Center	10.0	60.0
FSP	Sustainable Urban Environment & Transport	4500	China	World Bank	GEF Large-City Congestion and Carbon Reduction Project	20.0	88.3
FSP	LULUCF and SFM	4454	Jamaica	IADB	Integrated Management of the Yallahs River and Hope River Watersheds	4.3	8.8
FSP	LULUCF and SFM	4468	Belarus	UNDP	Landscape Approach to Management of Peatlands Aiming at Multiple Ecological Benefits	3.0	10.5
FSP	LULUCF and SFM	4332	Azerbaijan	UNDP	Sustainable Land and Forest Management in the Greater Caucasus Landscape	6.4	11.4
FSP	Mixed	4488	China	World Bank	Green Energy Schemes for Low-Carbon City in Shanghai, China	4.8	247.2
FSP	Mixed	4469	Turkey	UNDP	Integrated Approach to Management of Forests in Turkey, with Demonstration in High Conservation Value Forests in the Mediterranean Region	7.8	21.2
MSP	Mixed	4514	South Africa	UNIDO	Greening the COP 17 in Durban	1.1	1.4
<b>Subtotal Regular Projects</b>						<b>123.1</b>	<b>1,786.5</b>
FSP	Renewable Energy	4362	Kenya	UNDP	Fifth Operational Phase of the GEF Small Grants Program in Kenya	5.5	5.5
FSP	LULUCF and SFM	4353	Mexico	UNDP	Fifth Operational Phase of the GEF Small Grants Program in Mexico	4.8	5.9
FSP	Mixed	4380	Pakistan	UNDP	Fifth Operational Phase of the GEF Small Grants Program in Pakistan	3.0	3.6
FSP	Mixed	4382	Costa Rica	UNDP	Fifth Operational Phase of the GEF Small Grants Program in Costa Rica	4.8	4.6
FSP	Mixed	4383	India	UNDP	Fifth Operational Phase of the GEF Small Grants Program in India	5.4	6.0
FSP	Mixed	4481	Bolivia	UNDP	Fifth Operational Phase of the GEF Small Grants Program in Bolivia	4.5	6.0
FSP	Mixed	4329	Global	UNDP	Fifth Operational Phase of the GEF Small Grants Program	148.1	134.6
<b>Subtotal Small Grants Program</b>						<b>176.1</b>	<b>166.2</b>
<b>Total GEF-5 FY 2011</b>						<b>299.2</b>	<b>1,952.7</b>

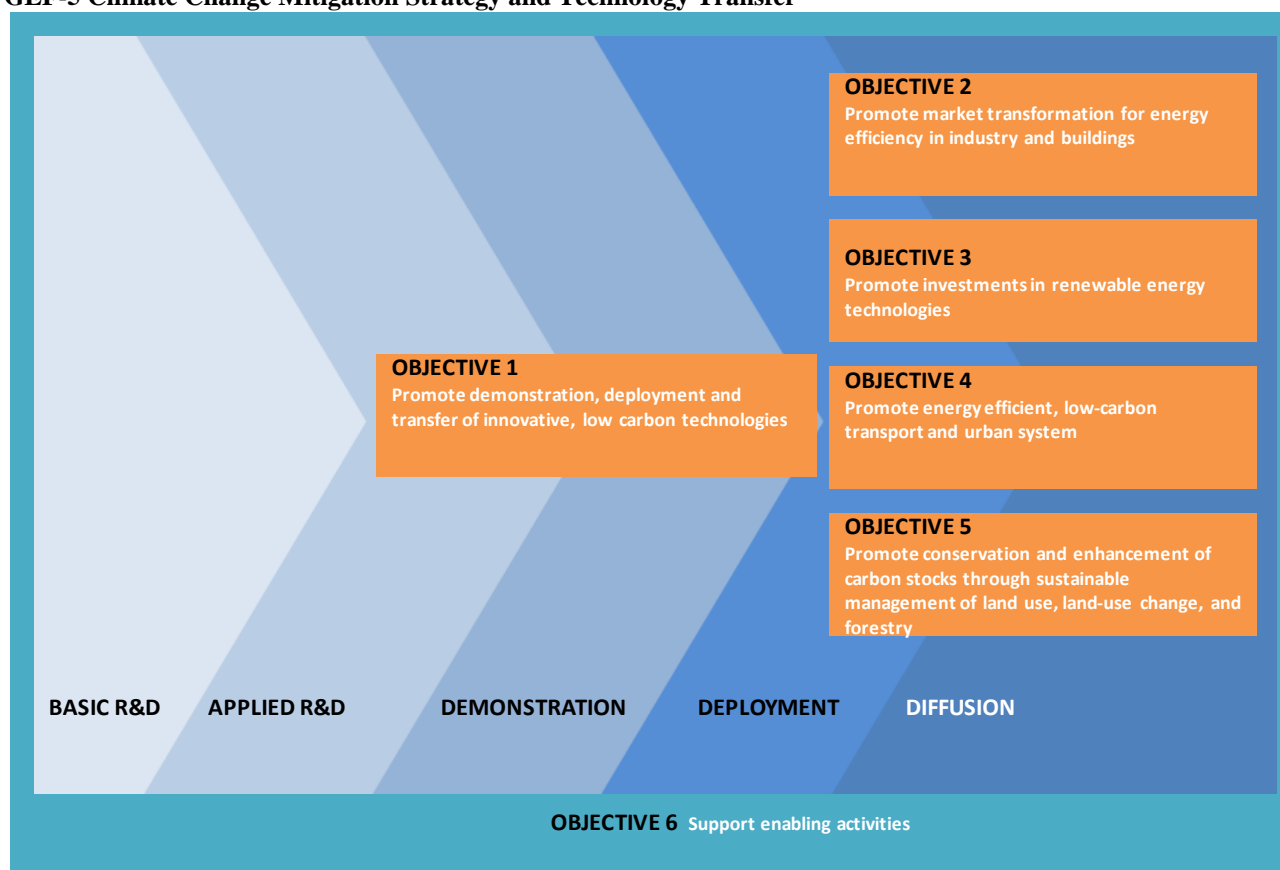
## 2. Technology Transfer

66. The transfer of EST has been a key cross-cutting theme for the GEF since its establishment. The GEF-5 climate change mitigation strategy promotes technology transfer at various stages of the technology development cycle, from demonstration of innovative, emerging low-carbon technologies to diffusion of commercially proven, ESTs and practices. Similarly, the results-based management framework for the SCCF and the LDCF includes the transfer and adoption of adaptation technology as one of the three overarching objectives of the Funds. The entire GEF climate change portfolio can be characterized as supporting technology transfer as defined by the Intergovernmental Panel on Climate Change (IPCC) and the technology transfer framework outlined by the COP.

67. Figure 11 shows how the GEF-5 mitigation objectives are linked to different stages of technology transfer. The demonstration and deployment of innovative technologies with significant impacts for long-run emission reduction are supported under objective 1 (CCM-1). Deployment and diffusion of technologies, to be catalyzed by GEF investments, fall under mitigation objectives 2 through 5. The GEF-5 priority sectors include: energy efficiency in industry and buildings (CCM-2); renewable energy (CCM-3); transport and urban systems (CCM-4); and sustainable management of land use, land-use change, and forestry (CCM-5). Enabling activities, such as the TNAs and National Communications, also provide information on priorities to be addressed (CCM-6).

Figure 11

**GEF-5 Climate Change Mitigation Strategy and Technology Transfer**



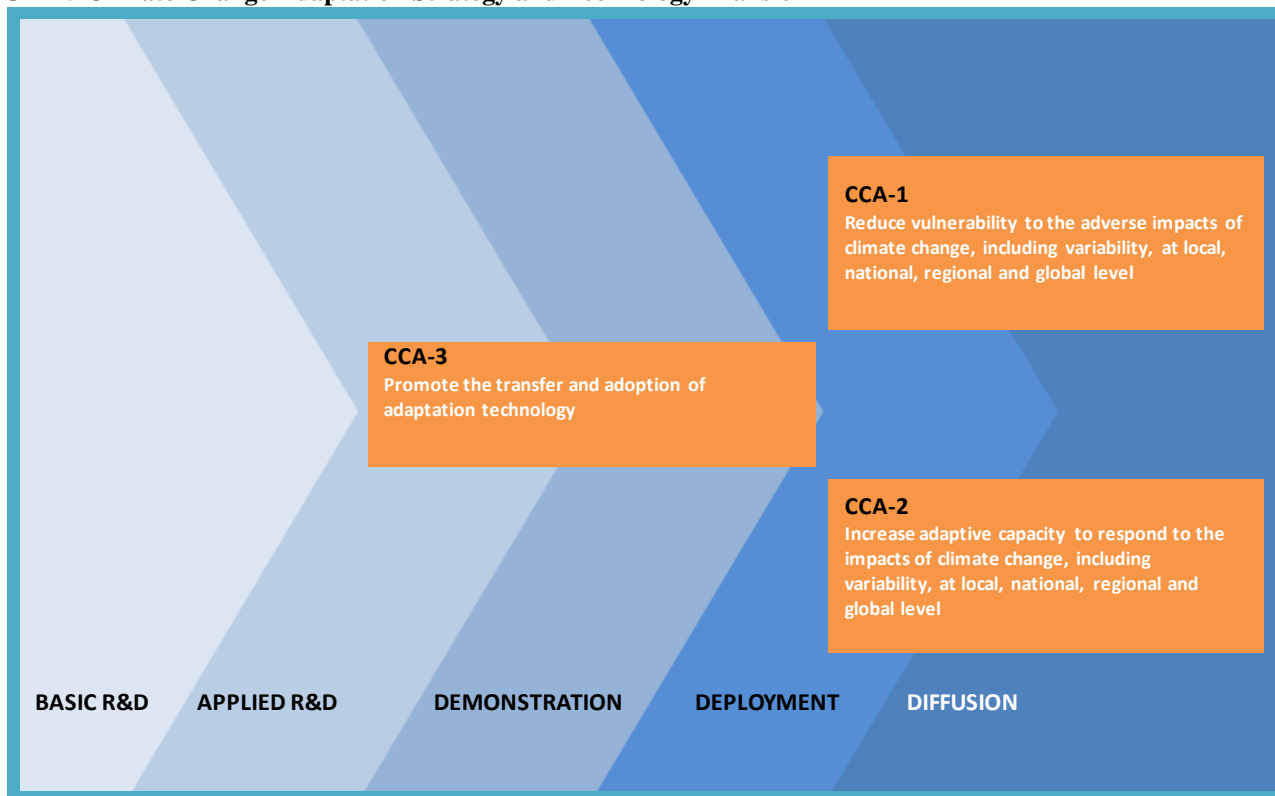
68. The SCCF has a specific financing window on technology transfer (SCCF-B), which has made contribution to the Poznan Strategic Program on Technology Transfer. In addition to SCCF-B, the transfer and adoption of adaptation technologies constitutes a strategic objective of the LDCF and the SCCF, including the SCCF adaptation program (SCCF-A).

69. Technology transfer has been a major component in most adaptation projects and programs financed under the LDCF and the SCCF. Such projects have supported, *inter alia*, wetland and/or mangrove restoration, beach nourishment, innovative irrigation systems, drought-resistant crops, climate resilient infrastructure, and high-tech

solutions for data logging and alert systems. In addition, many of the adaptation projects have included techniques for the improved management of local practices. As a result, capacity building, public awareness, and support for the mainstreaming of adaptation strategies in local economic development, land-use, and environmental planning have been important components of many projects. Figure 12 shows how the GEF-5 adaptation objectives are linked to different stages of technology transfer.

Figure 12

### GEF-5 Climate Change Adaptation Strategy and Technology Transfer



70. During the reporting period, two innovative technology transfer projects under GEF-5 Climate Change strategic objective CCM-1 have been approved by the GEF Council and the LDCF/SCCF Council, with GEF financing of \$12 million, SCCF resources amounting to \$2 million, and co-financing of \$120 million.

71. The *Pilot Asia-Pacific Climate Technology Network and Finance Center* project has been jointly developed by ADB and UNEP to accelerate climate technology investments in developing countries of the Asia-Pacific region. This innovative project is one of the first multi-Trust Fund projects, and receives funding from the GEF Trust Fund for mitigation as well as the SCCF for adaptation. The project is also expected to generate lessons learned to help inform the ongoing process to operationalize the Technology Mechanism, in particular the Climate Technology Centre and Network, which is part of the Cancun Agreements.

#### a. Progress on Poznan Strategic Program on Technology Transfer

72. In November 2008, the GEF Council and the LDCF/SCCF Council approved the Strategic Program on Technology Transfer, which included a funding window of \$50 million with \$35 million from the GEF Trust Fund and \$15 million coming from the SCCF.

73. COP 14 welcomed the GEF's Strategic Program on Technology Transfer (renaming it the Poznan Strategic Program on Technology Transfer) as a step toward scaling up the level of investment in the transfer of ESTs to developing countries, while recognizing the contribution that this program could make to enhancing technology transfer activities under the Convention. There are three funding windows to support technology transfer under the Poznan Strategic Program, namely (1) technology needs assessments (TNAs); (2) piloting priority technology projects linked to TNAs; and (3) dissemination of GEF experience and successfully demonstrated ESTs.

74. COP decision 2/CP.14 on development and transfer of technologies requested the GEF to report to COP 16 on the process made in carrying out the activities listed below and to provide interim reports to the Subsidiary Body for Implementation (SBI) at its thirtieth and thirty-first sessions (SBI 30 and SBI 31):

- To promptly initiate and expeditiously facilitate the preparation of projects for approval and implementation under the Strategic Program
- To collaborate with the GEF Agencies in order to provide technical support to developing countries in preparing or updating their TNAs
- To consider the long-term implementation of the Strategic Program.

75. In accordance with decision 2/CP.14, the GEF presented interim reports to SBI 30 and SBI 31, respectively, on the progress made in carrying out the Poznan Strategic Program on Technology Transfer.

76. In accordance with the conclusions of SBI 31 (FCCC/SBI/2009/L.18), the GEF presented a report on the progress made on the implementation of this program at SBI 32. In accordance with decision 2/CP.14, the GEF presented a report to COP 16 on the process made in carrying out the Poznan Strategic Program.

#### *Technology Transfer Pilot Projects*

77. Guided by the COP decision 2/CP.14, the Call for Proposals for technology transfer pilot projects under Window two of the Poznan Strategic Program was issued in March 2009 by the GEF CEO and closed in September 2009. Fourteen proposals of technology transfer pilot projects were prioritized for funding, including 13 FSPs and one MSP. During the call for proposals, only one proposal for adaptation was received. This proposal was funded, along with three other proposals that included adaptation elements.

78. Total GEF Trust Fund and SCCF funding for the 14 pilot projects amounted to \$58 million, and total co-financing for these projects comes to more than \$195 million.

79. As of June 2011, GEF Agencies charged with implementing the technology transfer pilot projects have reported considerable progress in project preparation. Three projects have been CEO endorsed and are progressing in project implementation. One project was cancelled upon request from the GEF Agency, and is pending re-submission to the GEF by a different Agency. Upon re-submission and approval by the GEF Council, this project will again be included under the Poznan pilot project portfolio. The figures reported in table 19 are for the 13 projects that are under implementation or preparation, and do not include the cancelled project that is undergoing re-submission.

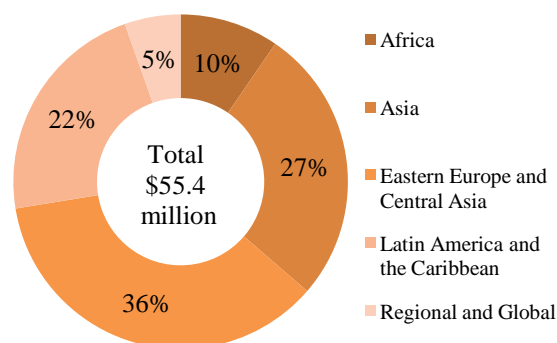
80. The technologies targeted by these projects for development and transfer are diverse and innovative. They include technologies on renewable energy (solar, biomass, wind, wave, and hydrogen production and storage), energy efficiency (insulation materials, and efficient and hydrofluorocarbon-free appliances), transport ("green" trucks), composting, carbon capture and storage from sugar fermentation, and membrane drip irrigation (for adaptation). The projects come from 14 countries in Africa, Asia, Latin America and the Caribbean, and Europe and Central Asia.

Table 19  
**Regional Distribution of GEF Investments  
in the Poznan Technology Transfer Pilot Program**

<i>Region</i>	<i>Number of Projects</i>	<i>GEF Financing (\$ millions)</i>	<i>Co-financing (\$ millions)</i>
Africa	2	5.3	40.3
Asia	5	14.8	46.4
Eastern Europe and Central Asia	1	20.0	40.0
Latin America and the Caribbean	4	12.3	60.1
Regional and Global	1	3.0	3.5
<b>Total</b>	<b>13</b>	<b>55.4</b>	<b>190.3</b>

Includes all projects under the Poznan Technology Transfer Pilot.  
Includes \$10.0 million of multi-focal area funding. These figures do not include the one cancelled project that is undergoing re-submission.

Figure 13  
**Regional Distribution of GEF Investments  
in the Poznan Technology Transfer Pilot Program by  
Funding Level**



*Technology Needs Assessments (TNAs)*

81. The TNA project concept, under Window one of the Poznan Strategic Program, was approved by the LDCF/SCCF Council in April 2009. Based on this TNA project concept, UNEP, as the GEF Agency, developed a full project document, which was endorsed by the GEF CEO in September 2009. Project implementation by UNEP started in October 2009.

82. The TNA project aims to provide targeted financial and technical support to assist 35 to 45 developing countries in developing and/or updating their TNAs within the framework of Article 4.5 of the UNFCCC and to support them in preparing Technology Action Plans. The project seeks to use methodologies in the updated TNA Handbook, which became available in May 2010.

83. Key areas of progress that have been achieved during this reporting period include the following:

- 21 additional (second round) countries were selected in October 2010. They are: Azerbaijan, Bhutan, Bolivia, Colombia, Cuba, the Dominican Republic, Ecuador, El Salvador, Ethiopia, Ghana, Kazakhstan, Laos, Lebanon, Mauritius, Moldova, Mongolia, Nepal, Rwanda, Sri Lanka, Sudan, and Zambia. They join the first round countries, which are: Argentina, Bangladesh, Cambodia, Cote d'Ivoire, Costa Rica, Georgia, Guatemala, Indonesia, Kenya, Mali, Morocco, Peru, Senegal, Thailand, and Vietnam. This brings the total number of participating countries to 36.
- Seven first round countries have submitted TNA draft reports containing prioritized technologies.
- The third Project Steering Committee (PSC) meeting was held in November 2010 to assess the project progress and discuss the upcoming activities.
- Regional Capacity Building workshops for first round countries were held in Asia, Africa, and Latin America in January and February 2011. The workshop focused on analysis of barriers and development of technology action plans by the countries, a key output expected from the project to help countries identify appropriate policy actions and projects for subsequent implementation.
- Regional capacity building workshops in Asia, Africa, and Latin America are being organized between June and August 2011, focusing on technical support and stakeholder engagement process.
- UNEP missions to the second round countries were organized during the second quarter of 2011 and Memoranda of Understanding containing work plans have been discussed and finalized with the countries.
- Training materials, database, and a website have been developed by the UNEP implementation team, in collaboration with other relevant agencies and stakeholders. Three guidebooks have been released as a part of the technical support to countries.
- The first in a series of newsletters ("TNA Newsletter") -- aimed at keeping countries and other stakeholders informed of the project progress and sharing experiences -- has been published.

84. The GEF Secretariat and UNEP cooperated with the UNFCCC in the organization of the UNFCCC Workshop on Technology Needs Assessments, held in Bonn, Germany on 1–2 June 2011. An update on the TNA project in the context of the Poznan Strategic Program on Technology Transfer was provided. Five of the TNA reports from the first-round countries were presented. UNEP also participated in a Panel discussion on the role of TNAs in enhanced action on technology development and transfer to support action on mitigation and adaptation.

*Dissemination of GEF Experiences in Technology Transfer*

85. The GEF has also supported dissemination of GEF experiences and successfully demonstrated ESTs, under Window three of the Poznan Strategic Program. The project is managed by the GEF Secretariat in collaboration with relevant GEF agencies and other interested parties. Key activities and progress made during this reporting period include the following:

- *Ministerial Meeting on Technology Transfer: Challenges and Opportunities.* This meeting was organized on 20 April 2011 in partnership with the Government of France, which, as the Presidency of the G20, has sought to advance on the subject of technology transfer with a view to contribute to the on-going discussions to operationalize the key elements of the Cancun Agreements related to technology transfer. The meeting was convened in partnership with the Forum Francophone des Affaires (Francophone Business Forum). The participants included a significant number of ministers, senior level representatives from international organizations including the UNFCCC and the GEF Agencies, as well as private sector institutions. The meeting addressed technology transfer challenges and opportunities, including a presentation of a model pilot proposal for establishing and implementing the regional climate technology centres and network with the GEF support. The meeting summary is available from the GEF.

- *Booklet on Poznan Strategic Program on Technology Transfer*<sup>9</sup>. This publication presents the *Poznan Strategic Program on Technology Transfer*, and provides updates on GEF's contribution as well as progress. The document also provides a snapshot of the GEF-5 approach to promote technology transfer. The booklet is available in English, French, and Spanish.
- *Booklet on Transfer of Environmentally Sound Technologies - Case Studies from GEF Climate Change Portfolio*<sup>10</sup>. GEF technology transfer investments have generated not only significant emissions reductions, but a body of knowledge and lessons learned that are informing today's technology transfer activities. This publication features some of the key EST supported by the GEF to date, encompassing the areas of renewable energy, energy efficiency, sustainable transport, and innovative financing. The case studies provide background information, project description, technology description, as well as results and outcomes. The common features of successful EST transfer projects are identified to inform future projects.
- GEF Technology Transfer website. The GEF website has been updated with specific information on technology transfer, which can be accessed from: <http://www.thegef.org/gef/TT>.
- COP 16 Side Event *From Innovation to Market Transformation; the Role of the GEF in Technology Transfer*. The GEF organized this side event on 2 December 2010 and highlighted the role played by the GEF in facilitating technology transfer from innovation to market transformation to help address climate change challenges for both mitigation and adaptation. The event featured country-level experiences in technology transfer-related activities supported by the GEF from Egypt, Jordan, and Mexico. In addition, the event introduced the Long-Term Program on Technology Transfer.

#### **b. Long-Term Implementation of the Poznan Strategic Program**

86. Progress achieved under the Poznan Strategic Program on Technology Transfer, particularly in the development of pilot projects and TNAs, has highlighted the need to go beyond current practices to catalyze investments in technology transfer.

87. The GEF submitted a Long-Term Program on Technology Transfer to the COP at its 16th session, in response to decision 2/CP.14. The GEF submission included the following elements to further scale up investment in ESTs in developing countries in accordance with the GEF-5 climate change strategy, and to enhance technology transfer activities under the Convention:

- Support for Climate Technology Centers and a Climate Technology Network
- Piloting Priority Technology Projects to Foster Innovation and Investments
- Public-Private Partnership (PPP) for Technology Transfer
- Technology Needs Assessments (TNA)
- GEF as a Catalytic Supporting Institution for Technology Transfer.

88. The long-term aspects of implementing the Poznan Strategic Program are reflected in, and are in line with, the GEF-5 Climate Change Mitigation Strategy and the GEF Adaptation Strategy. The GEF is well positioned and ready to support technology centers and networks at the global, regional, and national levels, in accordance with Convention guidance as well as priorities of the GEF recipient countries. The *Pilot Asia-Pacific Climate Technology Network and Finance Center* project by ADB and UNEP is an example of such support.

89. The GEF will step up its efforts in promoting the demonstration, deployment and transfer of technologies for both mitigation and adaptation. For mitigation, the GEF will target piloting of low-carbon, innovative options as well as projects for wider deployment and diffusion of commercially viable technologies. In order to further enhance adaptation-relevant technology transfer, the GEF plans to launch the Adaptation Technology Transfer Program under its Long-Term Program, subject to donor contributions to Window B of the SCCF.

90. The GEF is ready to fund the preparations and updating of TNAs during GEF-5, especially for countries that have not been supported for TNAs from GEF-4, in accordance with Convention guidance.

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<sup>9</sup> GEF. 2010. *Booklet on Implementing the Poznan Strategic Program on Technology Transfer*. Available at <http://www.thegef.org/>

<sup>10</sup> GEF. 2010. *Booklet on Transfer of Environmentally Sound Technologies - Case Studies from GEF Climate Change Portfolio*. Available at <http://www.thegef.org/>



91. Technology transfer projects aimed for support by the GEF address both mitigation and adaptation priorities, and should be consistent with the priorities identified in the TNAs, National Communications, or other national policy documents.

92. Drawing on the GEF's past experience and lessons learned, an initiative to promote PPP for Technology Transfer could be established to support private sector engagement in technology transfer in order to leverage innovative financial instruments or business models for technology deployment and diffusion in developing countries. The GEF could aim at further developing the platform concept, under which a portfolio of technology transfer projects could be managed.

### 3. Climate Change Adaptation

#### a. Overview of GEF Support for Adaptation

93. As the financial mechanism of the UNFCCC, the GEF plays a key role in financing adaptation. The GEF Operational Strategy of 1995 (GEF/C.6/3, September 1995) outlines that “the strategic thrust of GEF financed climate change activities is to support sustainable measures that minimize climate change damage by reducing the risk, or the adverse effects, of climate change. The GEF will finance agreed and eligible enabling, mitigation, and adaptation activities in eligible recipient countries.” From the beginning of its second replenishment in 1998, the GEF has financed six regional and global Stage II initiatives to build capacity for adaptation in vulnerable countries. Totalling some \$27 million in GEF grants, these early programs, such as the Assessments of Impacts and Adaptations to Climate Change (AIACC) and the Caribbean Planning for Adaptation to Climate Change (CPACC), have been instrumental in preparing the ground for subsequent investments in adaptation.

94. In 2001, in response to guidance provided in the Marrakesh Accords (CP.7, 2001), the Strategic Priority on Adaptation (SPA) was launched as a \$50 million allocation within the GEF Trust Fund. The objective of the SPA was to reduce vulnerability and to increase adaptive capacity to the adverse effects of climate change in the GEF focal areas (GEF/C.27/Inf.10, October 2005). 26 innovative pilot projects have been approved under the SPA and initial lessons from the portfolio have been captured in a 2010 evaluation (GEF/ME/C.39/4, October 2010).

95. As SPA resources have been fully allocated, the GEF now manages adaptation finance solely through the LDCF and the SCCF. In response to UNFCCC guidance, the GEF was entrusted with the management of the two Funds in 2001 (Decisions 5 and 7, CP.7). While the SCCF has four financing windows, adaptation constitutes the priority area for both the LDCF and the SCCF. As of June 30, 2011, the LDCF and SCCF had mobilized \$178.6 million and \$127.74 million respectively for 47 and 31 projects and programs.

96. Projects and programs supported by the SPA, the LDCF and the SCCF are designed taking into account the information provided in 189 National Communications and 45 National Adaptation Programmes of Action (NAPAs) financed by the GEF Trust Fund and the LDCF respectively. These projects are among the first in the world to translate vulnerability assessments and national development priorities into concrete measures for climate resilience in key sectors, such as agriculture and food security, water resources management, disaster risk management, health, infrastructure development, and the sustainable management of ecosystems. Thanks to these early steps, developing countries are rapidly gaining experience of how to address the impacts of climate change on some of the world’s poorest and most vulnerable communities.

Table 20  
**GEF Financing for SIDS and LDCs on Climate Change Adaptation**

Phase	GEF Financing for SIDS		GEF Financing for LDCs	
	Number of Projects	GEF Financing (\$ millions)	Number of Projects	GEF Financing (\$ millions)
GEF Pilot	0	0.0	0	0.0
GEF-1	0	0.0	0	0.0
GEF-2	0	0.0	0	0.0
GEF-3	3	9.1	5	15.9
GEF-4	14	69.4	38	149.7
GEF-5 FY 2011	3	7.1	10	33.8
<b>Total</b>	<b>20</b>	<b>85.6</b>	<b>53</b>	<b>199.4</b>

Figures include financing from other focal areas in case of multi-focal area projects.

97. Through the SPA, the LDCF and the SCCF, the GEF has significantly strengthened its commitment to SIDS and LDCs. As of June 30, 2011, the LDCF and the SCCF had supported 20 projects and programs in 33 out of 38 SIDS, and 53 projects in 40 out of 48 LDCs. During the reporting period, 3 new adaptation projects were approved for SIDS and 10 for LDCs.

98. The strategic goal for adaptation is to support developing countries to become climate resilient by promoting both immediate and longer-term adaptation measures in development policies, plans, programs, projects and actions. The efforts will result in reduced absolute economic losses at country level due to climate change, including variability.

The key metric for measuring impact will be the economic loss trend over a project period and beyond due to climate change, including variability. Strategic objectives and expected outcomes are shown in table 21.

Table 21

### Climate Change Adaptation Strategic Objectives and Expected Outcomes

<i>Climate Change Adaptation (CCA) Objective</i>	<i>Expected Outcomes</i>
<b>CCA-1: Reducing Vulnerability:</b> Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level	<p>Outcome 1.1: Mainstreamed adaptation in broader development frameworks at country level and in targeted vulnerable areas</p> <p>Outcome 1.2: Reduced vulnerability to climate change in development sectors</p> <p>Outcome 1.3: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas</p>
<b>CCA-2: Increasing Adaptive Capacity:</b> Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level	<p>Outcome 2.1: Increased knowledge and understanding of climate variability and change-induced threats at country level and in targeted vulnerable areas</p> <p>Outcome 2.2: Strengthened adaptive capacity to reduce risks to climate-induced economic losses</p> <p>Outcome 2.3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level</p>
<b>CCA-3: Adaptation Technology Transfer:</b> Promote transfer and adoption of adaptation technology	<p>Outcome 3.1: Successful demonstration, deployment, and transfer of relevant adaptation technology in targeted areas</p> <p>Outcome 3.2: Enhanced enabling environment to support adaptation-related technology transfer</p>

#### b. Least Developed Countries Fund (LDCF)

##### *Achievements Since Inception*

99. The LDCF was designed to support the special needs of the LDCs under the UNFCCC with the priority of preparing and implementing NAPAs. At the end of the reporting period, \$190.27 million had been approved for projects and enabling activities to meet this mandate. Since its inception, the LDCF has funded the preparation of 48 NAPAs, of which 45 have been completed, while the remaining three are in the final stages of preparation. 45 countries have officially submitted NAPA implementation projects for approval by the LDCF/SCCF Council or the GEF CEO<sup>11</sup>. Forty-seven projects and programs in 39 countries have been approved for funding, totaling \$178.6 million and leveraging \$826.43 million in co-financing. Of these, 33 projects have started implementation on the ground, generating real adaptation benefits to some of the world's poorest and most vulnerable communities. As of June 30, 2011, some \$415.5 million has been pledged to the LDCF.

100. The LDCF has now shifted focus from NAPA preparation to implementation. Countries and GEF Agencies are rapidly gaining experience of translating adaptation priorities into concrete adaptation measures on the ground. Despite the capacity constraints LDCs face, they have emerged as pioneers in integrating climate resilience into development policies and planning. Over the past years, the GEF Secretariat has successfully expedited access to LDCF resources in accordance with UNFCCC guidance. Streamlined project cycles, simplified guidelines for accessing resources, as well as six regional workshops for the Least Developed Countries Expert Group (LEG) represent tangible improvements in this regard. Moreover, steps have been taken to ensure that projects and programs are fully aligned with and monitored against portfolio-level objectives, outcomes and outputs. An updated results-based management (RBM) framework was presented to the LDCF/SCCF Council in November 2010 and the Adaptation Monitoring and Assessment Tool

<sup>11</sup> NAPAs are classified as enabling activities. For purposes of this section, the enabling activities are not shown in the summaries of projects and programs.

(AMAT) was launched in March 2011 (GEF/LDCF.SCCF.9/Inf.4, November 2010). A Knowledge Management Strategy, prepared for the LDCF/SCCF Council in May 2011, outlines the ways in which lessons and good practices will be gathered, stored, shared and applied in a more coherent manner across the LDCF/SCCF portfolio (GEF/LDCF.SCCF.10/Inf.4, May 2011).

Table 22  
**Regional Distribution of Adaptation Projects and Programs under the LDCF**

Region	Number of Projects	LDCF Financing (\$ millions)	Co-financing (\$ millions)
Africa	31	122.8	738.0
Asia	14	48.9	73.4
Eastern Europe and Central Asia	0	0.0	0.0
Latin America and the Caribbean	2	7.0	15.1
Regional and Global	0	0.0	0.0
<b>Total</b>	<b>47</b>	<b>178.6</b>	<b>826.4</b>

Includes all medium and full-size projects under the LDCF and joint programs during the reporting period. Includes \$51.6 million of multi-focal area funding.

Table 23  
**LDCF Financing by Phase**

Phase	Number of Projects	LDCF Financing (\$ millions)	Co-financing (\$ millions)
GEF Pilot	0	0.0	
GEF-1	0	0.0	0.0
GEF-2	0	0.0	0.0
GEF-3	0	0.0	0.0
GEF-4	35	127.0	484.1
GEF-5 FY 2011	12	51.6	342.3
<b>Total</b>	<b>47</b>	<b>178.6</b>	<b>826.4</b>

Includes all medium and full-size projects under the LDCF and joint programs during the reporting period. Includes \$51.6 million of multi-focal area funding.

Figure 14  
**Regional Distribution of Adaptation Projects and Programs under the LDCF by Funding Level**

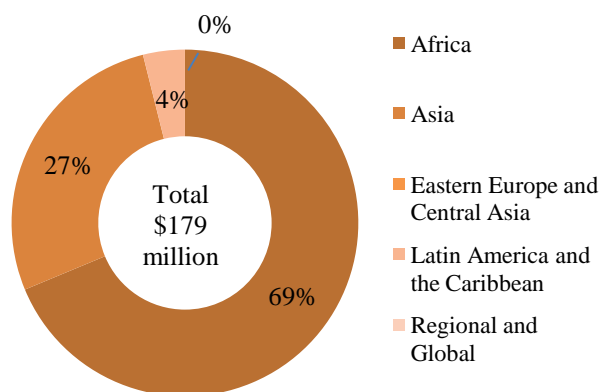
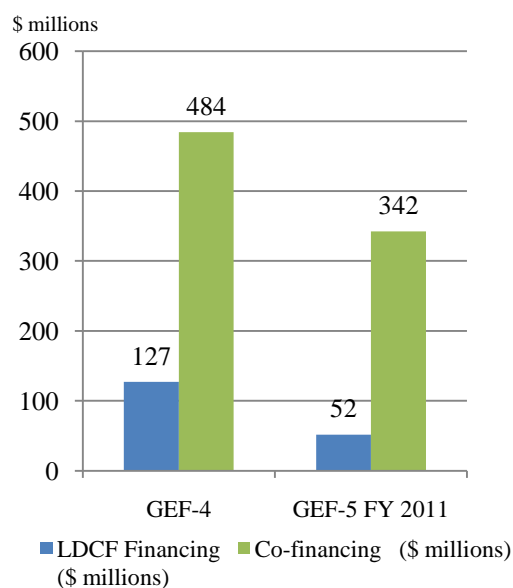


Figure 15  
**LDCF Financing by Phase**



101. Initial findings suggest that the LDCF has successfully targeted the most vulnerable sectors in recipient countries, notably agriculture, food security, and water resources management. In addition, the LDCF has supported urgent and immediate adaptation measures in disaster risk management, coastal zone management, infrastructure development and health. The first Annual Monitoring Report (AMR) of the LDCF and the SCCF (GEF/LDCF.SCCF.10/3, April 2011) suggests that activities supported by the LDCF have successfully adopted community-based approaches. LDCF projects have also improved the adaptive capacity of national, regional and local stakeholders through policy mainstreaming, training, awareness raising, and improved weather forecasting and early warning systems.

*LDCF Achievements During the Reporting Period*

102. During the reporting period, one additional NAPA was completed (Nepal), bringing the total of completed NAPAs to 45. To date, the countries that have completed their NAPAs are the following: Afghanistan, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Cape Verde, Central African Republic, Chad, Comoros, Democratic Republic of the Congo, Djibouti, Eritrea, Ethiopia, Gambia, Guinea, Guinea Bissau, Haiti, Kiribati, Lao People's Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Maldives, Mali, Mauritania, Mozambique, Nepal, Niger, Rwanda, Samoa, Sao Tomé and Príncipe, Senegal, Sierra Leone, Solomon Islands, Sudan, Togo, Tuvalu, Uganda, United Republic of Tanzania, Vanuatu, Yemen, and Zambia.

103. Between July 1, 2010 and June 30, 2011, LDCF resources amounting to \$51.62 million were approved for 8 FSPs, 3 MSPs, and one multi-trust fund programmatic approach. These projects and programs will leverage approximately \$342.34 million in co-financing from the governments of the recipient countries, GEF Agencies, other multilateral and bilateral agencies, and NGOs. For project summaries, please see Annex 2. Out of the 12 projects and programs approved during the reporting period, eight are in Africa, three are in Asia, and one is in Latin America.

104. In addition, 12 FSPs totaling \$43.55 million were CEO endorsed during the reporting period, thus beginning implementation and generating adaptation benefits for some of the most vulnerable people in the world. Including the approved projects in the reporting period, the total of approved and CEO endorsed projects under the LDCF was \$178.6 million as of June 30, 2011.

105. For the first time, a programmatic approach was approved as part of a joint LDCF/SCCF work program submitted to the LDCF/SCCF Council in May, 2011. The *Sahel and West Africa Program in Support of the Great Green Wall Initiative* was designed to integrate GEF focal areas with adaptation windows to deliver a range of global environmental and adaptation benefits. Under the programmatic approach, the LDCF contributes \$16 million to country level projects in Chad, Ethiopia, Mali and Togo, seeking to incorporate activities to reduce vulnerability and increase adaptive capacity to the impacts of climate change, including variability.

**c. Special Climate Change Fund (SCCF)***Achievements Since Inception*

106. The SCCF was established under the UNFCCC in 2001 to finance activities, programs and measures relating to climate change that are complementary to those funded by the climate change focal area of the GEF Trust Fund and by bilateral and multilateral sources. While the SCCF has four financing windows, adaptation was given top priority in accordance with UNFCCC guidance (Decision 5/CP.9). At the end of the reporting period, the SCCF-A and select projects under the SCCF technology transfer program (SCCF-B) had mobilized \$130.1 million for adaptation projects and programs in non-Annex I countries. 32 projects had been approved for funding, leveraging \$846 million in co-financing. Of these, 2 projects had been completed and 17 projects had started implementation on the ground. The SCCF remains the only multilateral source of adaptation finance open to all developing country parties to the UNFCCC. As of June 30, 2011, some \$217.8 million had been pledged to the SCCF-A. Despite recent significant pledges, the demand for SCCF-A resources continues to exceed supply.

107. Like the LDCF, the SCCF-A has benefited from simplified guidelines for accessing resources as well as a coherent framework for RBM. The SCCF-A represents a multitude of adaptation approaches in diverse regional settings. The program has continued to focus on agriculture, food security and water resources management, but recent approvals also include efforts towards developing innovative insurance schemes as well as the transfer of adaptation technologies. New projects have been approved equally across all GEF regions.

Table 24  
**Regional Distribution of Adaptation Projects and Programs under the SCCF**

Region	Number of Projects	SCCF Financing (\$ millions)	Co-financing (\$ millions)
Africa	12	36.9	272.7
Asia	10	45.9	394.0
Eastern Europe and Central Asia	3	12.1	51.8
Latin America and the Caribbean	5	28.5	108.1
Regional and Global	2	6.6	19.5
<b>Total</b>	<b>32</b>	<b>130.1</b>	<b>846.0</b>

Includes all medium and full-size projects under the SCCF and joint programs during the reporting period. Includes \$10.5 million of multi-focal area funding.

Table 25  
**SCCF Financing by Phase**

Phase	Number of Projects	SCCF Financing (\$ millions)	Co-financing (\$ millions)
GEF Pilot	0	0.0	0.0
GEF-1	0	0.0	0.0
GEF-2	0	0.0	0.0
GEF-3	1	1.1	1.6
GEF-4	22	93.0	592.8
GEF-5 FY 2011	9	36.0	251.7
<b>Total</b>	<b>32</b>	<b>130.1</b>	<b>846.0</b>

Includes all medium and full-size projects under the SCCF and joint programs during the reporting period. Includes \$10.5 million of multi-focal area funding.

Figure 16  
**Regional Distribution of Adaptation Projects and Programs under the SCCF by Funding Level**

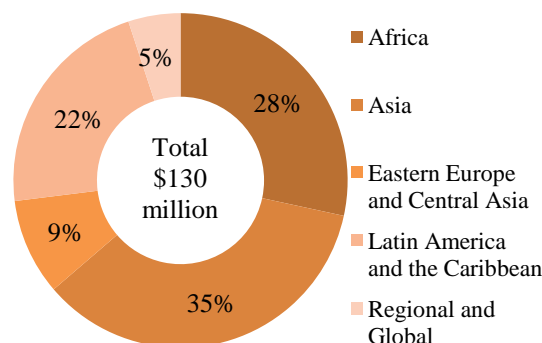
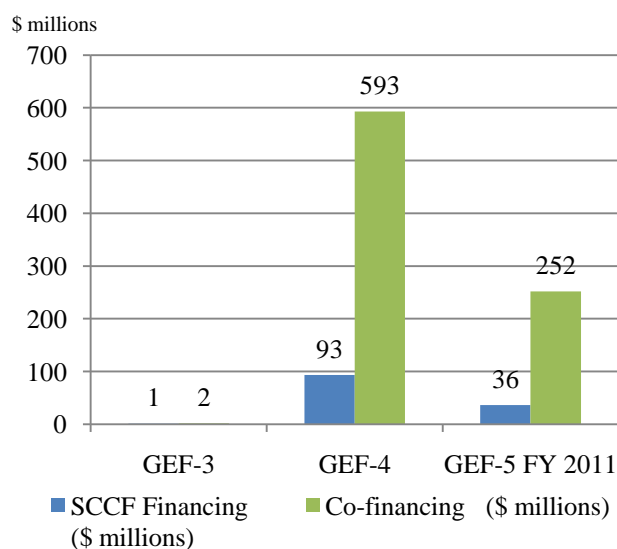


Figure 17  
**SCCF Financing by Phase**



108. An evaluation of the SCCF was launched during the reporting period, the main findings of which will be made available by COP 17.

#### SCCF Achievements During the Reporting Period

109. During the reporting period, SCCF adaptation program (SCCF-A)<sup>12</sup> grants amounting to \$35.98 million were approved for 8 FSPs and one multi-trust fund programmatic approach. These projects and programs will leverage approximately \$251.67 million in co-financing from the governments of the recipient countries, GEF Agencies, other multilateral and bilateral agencies, and NGOs. For project summaries, please see Annex 2. Out of the nine projects and programs approved during the reporting period, three are in Africa, three are in Europe and Central Asia, two are in Asia and one is in Latin America.

<sup>12</sup> The four financing windows are: (a) Adaptation to climate change; (b) Technology transfer; (c) Energy, transport, industry, agriculture, forestry, and waste management; and (d) Economic diversification. To date financing has been provided only for adaptation and technology transfer, which were selected as the Fund's priority areas (Decision 5/CP.9).

110. In addition, 3 three FSPs totaling \$8.76 million were CEO endorsed during the reporting period, thus beginning implementation on the ground. Including the approved projects in the reporting period, the total of approved and CEO endorsed adaptation projects under the SCCF adaptation and technology transfer programs is \$130.1 million as of June 30, 2011.

111. During the reporting period, the SCCF-A contributed towards two multi-trust fund initiatives. The Fund contributed \$5 million towards country-specific adaptation activities in Nigeria under the framework of *Sahel and West Africa Program in Support of the Great Green Wall Initiative*. In addition, the SCCF supported components on the transfer and adoption of adaptation technology under the FSP *Pilot Asia-Pacific Climate Technology Network and Finance Center*.

#### **d. GEF Trust Fund – Strategic Priority on Adaptation**

##### *SPA Evaluation*

112. A recent independent evaluation of the SPA (GEF/ME/C.39/4, October 2010) concludes that the projects supported under the initiative succeeded in integrating climate resilience across several GEF focal areas. In particular, the SPA supported no-regrets measures that generated multiple gains for adaptation, the global environment, and development. The SPA represents an important step towards mainstreaming adaptation in the GEF Trust Fund, although it is recognized that further measures are required to ensure that all GEBs through GEF projects and programs in all its focal areas are climate resilient.

##### *Achievements Since Inception*

113. As per UNFCCC guidance, the SPA was designed to support “pilot or demonstration projects to show how adaptation planning and assessment can be practically translated into projects that will provide real benefits, and may be integrated into national policy and sustainable development planning on the basis of information provided in the National Communications, or of in-depth national studies, including NAPAs” (Decision 6/CP.7, 2001). All projects financed under the SPA have a dual purpose of addressing local adaptation needs and generating GEBs (GEF/C.27/Inf.10, October 2005).

114. With 26 projects amounting to \$48.35 million and \$777 million in co-financing, and covering 54 countries across the globe, the SPA has been a groundbreaking initiative, financing some of the world’s first concrete adaptation projects and implementing measures to reduce the vulnerability and increase the adaptive capacity of communities and the ecosystems on which they depend. The SPA portfolio comprises a tremendous diversity of regions, sectors, themes, approaches, and GEF focal areas, thus yielding a wealth of lessons and good practices. Such lessons will not only inform future programming under the GEF Trust Fund, but also global efforts to combat the impacts of climate change on livelihoods and the environment. In certain cases the SPA made significant contributions towards mainstreaming adaptation in development policies and planning. The 26 projects are distributed regionally with three in Africa; nine in Asia; four in Eastern Europe and Central Asia; five in Latin America and the Caribbean; and five Global/Regional projects.

115. To catalyze adaptation action at the local and community level, the GEF Council approved that 10 per cent of SPA resources be channeled to community-based activities using the SGP as a delivery mechanism (document GEF/C.23/Inf.8/Rev.1, May 2004). The Community-Based Adaptation Project (CBA) supports concrete adaptation measures in ten countries, all designed and implemented by local communities, through small grants aligned with country programs. While directly enhancing the adaptive capacity and reducing the vulnerability of local communities, CBA generates lessons, good practices and innovations for scaling up nationally and internationally.

116. The GEF Secretariat continues to manage the portfolio of SPA projects, of which 2 have been completed, 13 are currently under implementation while 11 are in the preparation phase.

#### 4. Other Initiatives During the Reporting Period

117. In addition to the activities explained above, the GEF has conducted many initiatives to deliver GEBs in the field of climate change. The following sections explain what has been done during the reporting period.

##### a. Rio+20

118. The GEF plays a unique and prominent role in relation to the Rio Conventions, having delivered measureable impact for over 20 years through incremental grant financing to developing countries working to meet international environmental commitments. Today, given the GEF's standing as a financial mechanism for the UNFCCC as well as the CBD and the UNCCD, the Secretariat will be sharing this body of experience during the Rio +20 Conference, to be held in Rio de Janeiro June 4-6, 2012.

119. At this landmark event the GEF will share the lessons it has learned over the past two decades to help policymakers build on past experiences to shape the world's future sustainable development agenda. GEF-led activities include:

- Lessons learned from investing in national communications and other Rio Convention activities. The GEF will undertake a review of the progress made during the past 20 years under the Rio Conventions, with a special focus on key priorities identified in UNFCCC national communications and national reports of other Rio Conventions.
- 20 Projects over 20 Years Initiative. A retrospective analysis will be coordinated by the GEF Secretariat to reveal the principal lessons learned over the Secretariat's history. This will include 20 case studies of its most significant and illustrative projects and initiatives since its inception and be incorporated into a publication which will offer insights for the Rio +20 stakeholders who are looking to promote a green economy for the future.

Twenty years ago there was little experience in financing global environmental protection. Although the GEF has been a catalyst for numerous successes, the world is far more complex today than it was 20 years ago. Many challenges now facing us were not on the global environmental radar of 1992, and many others are exhibiting accelerating negative trends. As negative environmental trends increasingly interact, there will almost certainly be surprises that the GEF has yet to contemplate. The experiences of the GEF, its partners, and both donor and recipient countries, have created a strong track record on which to build. This publication, to be tapping this rich knowledge base, will be serving as a valuable resource for policy makers and practitioners convened at Rio+20 and through the years ahead.

- Publication on energy efficiency. The GEF will publish an in-depth study on impacts of the energy efficiency projects that it has funded, including an accurate accounting of the tons of greenhouse gas emissions mitigated by these GEF investments, as well as the number and types of technology transferred due to these GEF projects. This activity will be undertaken by GEF with support and coordination from the GEF Evaluation Office (GEF EO), GEF Agencies and countries.
- STAP contribution. The STAP is one of the characteristics that makes the GEF unique. As a preparatory step that will lead up to Rio +20, the GEF Secretariat and STAP will organize a presentation at the *Planet under Pressure Conference*, to be held in March 2012 in London, which aims at providing scientific input for global leaders and decision makers prior to Rio. The GEF Secretariat and STAP are also investigating the possibility of holding a scientific forum at the margins of the Rio +20 Summit, possibly to be called *Science of the Global Commons*, at the margins of the Rio +20 Summit.
- Performance studies summary. The GEF EO will synthesize evaluative evidence coming from the four overall performance studies conducted in the history of the GEF in relation to its relevance, effectiveness and efficiency in responding to the goals of the Rio Earth Summit and conventions, and in support of the sustainable development priorities of countries.

120. In order to increase the impact of the Rio +20 related Summit, the GEF will also continue to organize joint activities with UN partners related to the objectives of the Rio Conventions.

##### b. Innovative Use of Multiple Trust Funds

121. In May 2011, the GEF Council approved one project and one programmatic initiative that draw resources from the GEF Trust Fund as well as the LDCF and SCCF. This marked the first time in GEF's history where projects or



programs were approved for financing with resources from multiple trust funds to address both mitigation and adaptation priorities. This innovative use of multiple trust funds reflects the GEF's commitment to adapt, so that the GEF can address the adaptation and mitigation needs of the countries in a coordinated and flexible manner.

122. The project *Pilot Asia-Pacific Climate Technology Network and Finance Center* is being implemented by ADB and UNEP with \$10 million from the GEF Trust Fund and \$2 million from the SCCF. The total project, including \$75 million in co-financing, is \$87 million. The project seeks to accelerate climate technology investments in developing countries of the Asia-Pacific region. Additional information is presented in Part I, Section 2.

123. The program *Sahel and West Africa Program Supporting the Great Green Wall Initiative* is being implemented by the World Bank with \$87.8 million from the GEF Trust Fund, \$16 million from the LDCF; and \$5 million from SCCF. This program supports the implementation of a country-driven vision for integrated natural resource management for sustainable and climate-resilient development in the Sahel region. Additional information on this programmatic initiative is presented in Part II, Section 3.

124. These efforts marked the first time in GEF's history where projects or programs were approved for financing with resources from multiple trust funds to address both mitigation and adaptation priorities.

### c. Progress on GEF Reforms

125. At the conclusion of the negotiations for the GEF-5 replenishment in May 2010, agreement was reached on the policy recommendations to be implemented during GEF-5. The replenishment package was approved by the GEF Council at a special Council meeting in Uruguay in May 2010, and endorsed by the Fourth GEF Assembly, also held in Uruguay in May 2010.

126. A key reform that was undertaken prior to the replenishment was the evolution of the GEF Resource Allocation Framework (RAF) into the STAR, with the following key features: (i) all countries have individual indicative allocations in biodiversity, climate change, and land degradation; (ii) if a country is eligible for GEF financing in all three focal areas, it is allocated at least \$4 million during GEF-5; (iii) total flexibility for countries with aggregate allocations not exceeding \$7 million to combine allocations of all focal areas; (iii) marginal flexibility in focal area programming for countries with total allocations exceeding \$7 million; (iv) resources available outside the STAR for supporting countries with their reporting obligations to the respective conventions.

127. In addition to the above-mentioned reform of the resource allocation system, a number of other key reforms agreed as part of the replenishment negotiation are currently under implementation:

- Provision of resources through direct access for countries to undertake National Portfolio Formulation Exercises (NPFES) as a foundation for programming GEF resources - approved by the GEF Council in June 2010;
- Provision of resources through direct access for countries to prepare National Communications, national reports, and other enabling activities under their fundamental obligations to the different conventions - approved by the Council in June 2010;
- Reforming of the Country Support Program (CSP), to be implemented by the GEF Secretariat, as an integrated platform for providing support to recipient countries to strengthen country level coordination and ownership and raise awareness of the GEF;
- Organization of the Extended Constituency Workshops (ECW), to keep the GEF national focal points, convention focal points, including UNFCCC focal point, and other key stakeholders, including civil society, abreast of GEF strategies, policies and procedures and to encourage coordination for GEF programming at the national level;
- Broadening of the GEF partnership to include more entities in the GEF network, including NGOs, and qualified national entities that meet the minimum fiduciary standard of the GEF, including social and environmental safeguards. At its May 2011 meeting, the GEF Council approved a pilot to begin immediate implementation to bring in 10 additional entities into the GEF partnership. The Council clearly indicated a priority for national entities, requiring that at least five national entities need to be accredited and admitted to the GEF partnership prior to the inclusion of other types of entities;
- Reform of the GEF project cycle from a two-step approval process by the Council to a single-step approval process, and to reduce the elapsed preparation time from 22 months in GEF-4 to 18 months in GEF-5 - approved in June 2010;

- Refinement and streamlining of the programmatic approval through delineation of two broad types of programmatic approaches - approved in June 2010;
- Clarification of the roles and responsibilities of the different GEF entities - approved by the Council in May 2010;
- Enhancement of the participation of the conventions in the GEF network through establishment of more clearly established modalities for consultations and cooperation - approved by the Council in May 2011;
- Implementation of the GEF RBM work plan, approved by the Council in November 2010, comprised of the following five components:
  - a) Establish and implement an annual monitoring review process for GEF-5;
  - b) Upgrade and integrate portfolio monitoring in the Project Management Information System (PMIS);
  - c) Develop tools to enhance portfolio monitoring;
  - d) Develop and implement a knowledge management strategy; and
  - e) Provide and develop internal guidance on GEF RBM and knowledge management.

#### *Engagement with Civil Society Organizations*

128. The GEF-5 Replenishment negotiations emphasized the positive and influential role that civil society organizations (CSOs) play within the GEF, including in terms of policy development, project and program design, and the execution of projects. In November 2010, Council approved a strategy for CSO engagement to strengthen cooperation with CSOs at the local level as well as seeking more effective inputs on GEF policies and programs from CSO partners. The GEF has published *The A to Z of the GEF for Civil Society Organizations*<sup>13</sup> a publication that provides updated information and guidance for CSOs on GEF policies for public participation and partnership opportunities. The GEF has also been fostering increased interaction among CSOs and GEF Operational Focal Points (OFPs) and Council constituencies. OFPs are required to meet with members of the GEF NGO Network and other civil society representatives once each year. The Secretariat has been ensuring that these meetings are being planned as part of OFP work programs that receive support from the CSP. Moreover, at least one CSO representative per country is required to attend each ECM, and financial support is provided by the CSP for this. Over 50 CSOs have attended the ECWs held to date.

129. At a policy level, the GEF Secretariat has been engaging CSOs quite actively. The GEF Secretariat held productive consultations with CSOs at UNFCCC COP 16. Engagement of CSOs in the context of pre-Council meeting consultations continues apace. Financial support was provided to 30 CSO representatives to attend the November 2010 GEF Council Meetings.

130. The GEF SGP continues to provide significant support to CSOs. In 2009, the Council agreed on an approach to upgrade SGP country programs according to three major categories. Funding access for country programs differ in these categories, with the first obtaining priority access to core funds, the second with decreased access to core funds but increased access to STAR allocation funds, and the third (upgraded country programs) being fully funded by full sized projects supported by STAR allocations. Six countries put forward Project Identification Forms (PIFs) for their upgraded SGP country programs in the March 2011 intersessional work program, and an additional two were presented and approved in the May 2011 work program.

#### **d. National Communications**

131. The GEF continues to provide full cost funding for National Communications. All requests to support National Communications were met by the GEF. The GEF has set aside resources, so that each country can get up to \$500,000 for National Communications. These resources are separate from the STAR allocation of countries. The GEF has expanded its options for countries to access resources for National Communications. There are now four options. In the first option countries can work with the GEF Agency of their choice. In the second option countries can be part of the UNEP Umbrella project for National Communications. In the third option countries can access resources up to \$500,000 via direct access from the GEF Secretariat. The resources for direct access do not come from the country STAR allocation. Fourthly, for those countries that wish to do full size projects and require additional resources, they can use their STAR allocation.

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<sup>13</sup> GEF. 2011. *The A to Z of the GEF for Civil Society Organizations*. Available at [http://www.thegef.org/gef/AZ\\_CS0](http://www.thegef.org/gef/AZ_CS0)

132. As of June 2011, 143 non-Annex I Parties have received funding for the preparation of their National Communications to the UNFCCC. In this reporting period the 19 Parties (Armenia, Azerbaijan, Algeria, Brazil, Colombia, Malaysia, Thailand, Lebanon, Indonesia, Madagascar, Mongolia, Morocco, Nicaragua, Peru, Syria, Turkmenistan, Vietnam, Senegal and Uruguay) have submitted National Communications to the UNFCCC. All the National Communications projects, currently under implementation are at different stages of progress. Based on the status report submitted by the GEF Implementing Agencies in March 2011, around 65 countries reported their intention to submit their National Communications by end of 2011. For country-by-country details, please see Annex 3. The GEF will submit an addendum to its COP 16 report, prepared in collaboration with UNDP and UNEP, which updates the COP on the status of National Communications from non-Annex I Parties, including the approximate date of submission to the COP.

*Appropriate assistance to non-Annex I Parties in formulating and developing project proposals identified in their National Communications*

133. The GEF through its Agencies continues to provide assistance to countries in formulating project proposals identified in their National Communications in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2. The GEF Agencies work with the countries in order to identify and formulate project proposals. This active collaboration aims to secure that the proposals will be country driven and consistent with the priorities or programs of the countries, as they are identified in their National Communications and other national strategy papers. The GEF Agencies support the countries during the formulation and the development of proposals through the implementation of capacity building activities as described in detail in the next paragraphs, and also through bilateral communications.

134. In order to submit any project proposal for approval, the GEF Agencies have to ensure its consistency with the country's national priorities. The country confirms its endorsement of the proposal by providing a letter signed by the GEF OFP. Following the proposal submission, the GEF Secretariat, as a prerequisite for approval, examines and confirms its linkage to national priorities or programs. All the projects that have been approved by the GEF during the reporting period have been confirmed to correspond explicitly to the national priorities, including those identified in their National Communications.

135. In GEF-5 many countries have undertaken the GEF NPFES. They are undertaken by countries on a voluntary basis and serves as a basis for seeking GEF support. The NPFES provide additional opportunities for the countries to formulate and develop project proposals identified in their National Communications. In addition, the GEF will utilize other assessments supported within the Convention framework, such as the TNAs, to inform project proposal development on a voluntary basis.

*The National Communications Support Program (NCSP)*

136. The NCSP continues to offer a wide range of services to support the National Communication teams. The NCSP has organized several technical and sub-regional workshops to assist non-annex I countries in the preparation of the National Communications. During the reporting period the NCSP has held the following workshops:

- Workshop on Initial National Communications (INCs) to the UNFCCC, September 2010, Manila, Philippines. The workshop provided overall guidance to countries that are still carrying out their INCs, addressing key technical issues on GHG inventory, mitigation analysis, and Vulnerability and Adaptation (V&A) assessment among others;
- Training Workshop on Long range Energy Alternatives Planning System (LEAP) for the African Region, September, 2010, Cotonou, Benin. The workshop provided national experts with the opportunity to familiarize themselves with the use of LEAP for their mitigation analysis under the NCs;
- Technical Backstopping Workshop on V&A Assessments for Asia-Pacific, May 2011, Bangkok, Thailand. Organized in collaboration with UNFCCC secretariat through the Nairobi Work Program (NWP), the workshop's objective was to assist participating countries in addressing technical gaps related to methodologies, data, interpretation and presentation of results of their V&A assessments.

137. The NCSP has provided direct technical assistance to National Communication Coordinators. It has also carried out at least 25 technical reviews of draft studies on different National Communication components and of draft National Communication reports, assisting countries to resolve errors and inconsistencies in GHG inventories and overall reporting for National Communications. These reviews have become a critical strategy of NCSP assistance to help countries improve their National Communications before submission to the UNFCCC. This assistance seeks to address

specific technical difficulties that countries have not been able to resolve through the expertise available at the local level.

138. The NCSP has produced six bi-monthly newsletters featuring countries' experiences in the preparation of their National Communications, as well as lessons learned. The newsletter is a key forum for countries to disseminate results on specific topics of their National Communications and provide examples that other countries can learn from. The NCSP website facilitates dissemination of relevant information and materials, which includes a webpage for each country to post relevant information on their National Communications. The NCSP has published a brochure to highlight the role that National Communications are playing in countries' effort to address climate change. As part of the same initiative, the NCSP has finalized a draft guidance document on how the NCs can assist national governments in integrating climate change concerns in their planning process, based on the results of their GHG inventories, mitigation analysis and V&A assessments. In an effort to assess progress between the first to the second National Communication reports, the NCSP has carried out a preliminary synthesis of the information contained, demonstrating that countries are providing more comprehensive set of information as they gain experience in the preparation of their National Communications.

#### **e. Private Sector Strategy**

139. The GEF has engaged with the private sector since the Facility was established two decades ago. The Council has made it clear that the private sector must be encouraged to invest in sustainable enterprises that generate GEBs. In this vision, engagement with the private sector is not an end in itself, but a means to a larger goal.

140. During GEF-4, the Earth Fund was established to expand private sector engagement. The Earth Fund is a public-private partnership initiative aimed at enhancing private sector engagement in the activities of the GEF. It was launched in cooperation with the International Finance Corporation (IFC) at COP 13 in Bali (December 2007). The Earth Fund was capitalized with \$50 million approved by the GEF Council, with another \$10 million contributed by IFC. An additional \$80 million has been allocated for private sector outreach in GEF-5.

141. The Earth Fund mobilizes capital for innovative projects, technologies, and business models that will contribute to the protection of the global environment and, thereby, promote sound and sustainable economic development. The Earth Fund is managed based on the concept of "Platforms," under which a portfolio of individual activities or projects is managed. This streamlined delegated structure allows projects to be approved by the entities that manage the Platforms. Mobilization of co-financing of at least three times the GEF funding is required.

142. The IFC Earth Fund Platform is the largest operational Platform of the Earth Fund. The Council has already approved \$30 million from the Earth Fund for the IFC Platform. IFC has approved several projects in the climate arena and has many projects in the pipeline. To date, all of the approvals under the IFC Platform have been for climate initiatives.

143. Four additional platforms have been approved, which fully utilizes the \$50 million already approved by the GEF Council for GEF-4. One of these is a climate initiative, *Global Market Transformation for Efficient Lighting*, where \$5 million of core GEF funding is being managed by UNEP. Co-financing from Osram and Philips is already in place. Phasing out incandescent lighting has been an important focus of GEF-4.

144. At the November 2010 Council meeting, the GEF Secretariat presented options for private sector engagement that would have emphasized the Earth Fund or more traditional country level engagements under the STAR allocation. The Council directed the Secretariat to develop a new private sector strategy that contained elements of the Earth Fund while extending its reach and effectiveness.

145. The GEF Secretariat presented a revised private sector strategy at the May 2011 Council Meeting. In the document posted for Council review (C.40.13) the following top priorities for GEF-5 private sector engagement were identified:

- Non-grant Instruments. Non-grant instruments allow the GEF to attract private sector leverage by funding risk guarantee programs, taking equity positions, forming limited partnerships, or supporting concessional financing.
- Small and Medium Enterprises (SMEs). The GEF will encourage innovation in small and medium enterprises through competition, incubation and targeted investment. SMEs are critical to sustainable development.

146. The revised strategy emphasizes efforts that go beyond “business as usual” while remaining focused, to allow the GEF’s limited resources to have maximum added value—that is the “biggest-bang-for-the buck.”

147. Under this strategy, the GEF expects one or more of the platforms in partnership with a multi-lateral development bank to pioneer private sector partnerships that advance energy access while promoting local and GEBs. In Africa for example, new business models that promote access to off-grid lighting and small-scale renewable energy generation, are great candidates for private sector investments that will lead to sustainable scaling. Platforms could also address private sector partnerships for biodiversity, clean water, chemicals, REDD+, climate change mitigation and adaptation.

148. The May 2011 Council decision requested the Secretariat to provide additional details on the platforms, document the benefits of working with SMEs, and identify the gaps in private sector engagement that would be served with each platform. The GEF Secretariat will present the final private sector strategy, including one or more platform concepts, for Council approval in November 2011.

#### **f. Publications and Outreach**

149. Over the course of the reporting period the GEF has increased the number of its outreach publications and media materials that provide an insight into its mitigation, adaptation and technology transfer portfolio and they are all readily accessible on the GEF website. On the technology transfer side, the GEF has provided detailed analyses of its technology transfer portfolios in two separate brochures as described in Part I, Section 2. A brochure of technology transfer case studies shared some of the key technologies and mechanisms that the GEF has supported to date. These case studies encompassed the areas of renewable energy, energy efficiency, sustainable transport and innovative financing. With respect to adaptation, the LDCF/SCCF Programming Strategy for adaptation covers LDCF and SCCF operations and activities from July 1, 2010 to June 30, 2014.

150. To further assist LDCs in accessing funds under the LDCF, the GEF has developed simplified guidelines for accessing resources. These guidelines have been disseminated at Expanded Constituency Workshops, LDCF/SCCF Council meetings as well as other meetings with LDCs. To further enhance communications and to support LDCs in NAPA implementation, the Secretariat has supported and participated in six regional training workshops for the LEG (between October 2009 and March 2011). These workshops provided an opportunity for the GEF Secretariat to update the LEG on progress made in supporting NAPA implementation as well as to provide additional clarification regarding the project cycle including the implementation of recent GEF reforms in the operation of the LDCF. In order to assist the LDCs in accessing funds under the LDCF, LEG has developed a step-by-step guide, under the coordination of UNFCCC Secretariat and in close collaboration with the GEF and its Agencies. This guide has been written to further support LDCs in designing the implementation of NAPAs, and to guide country teams in accessing existing funding from the LDCF for implementing their NAPAs.

151. The GEF has also made available overview fact sheets and brochures on its investments and achievements over the past 20 years. These included information on climate change mitigation, adaptation and the technology transfer program, as well as on the STAR. Moreover, the GEF has improved its global visibility with the use of its interactive website and various social media outlets.

152. In addition, the GEF has started to organize ECWs under the reformed CSP. These workshops aim at keeping the GEF national focal points, convention focal points, including UNFCCC focal point, and other key stakeholders, including civil society, abreast of GEF strategies, policies and procedures and to encourage coordination.

153. During the reporting period, these workshops were organized six times, drawing significant attendance from across the regions they served (see table 26).

Table 26

**GEF Extended Constituency Workshops FY 2011**

<i>Regional workshop location</i>	<i>Date of Workshop</i>	<i>Name and Number of Countries in Attendance</i>
Kinshasa, Congo, Democratic Republic of the Congo	February 15–17, 2011	Burundi, Cameroon, Central African Republic, Congo, Democratic Republic of the Congo, Equatorial Guinea, and Gabon (7)
Belize City, Belize	March 1–3, 2011	Antigua and Barbuda, Bahamas, Barbados, Belize, Cuba, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St. Kitts And Nevis, St. Lucia, St. Vincent and Grenadines, Suriname, and Trinidad and Tobago (16)
Kyiv, Ukraine	March 22–24, 2011	Albania, Bosnia-Herzegovina, Croatia, Georgia, Macedonia, Moldova, Montenegro, Serbia and Ukraine (9)
Da Lat, Vietnam	April 5–7, 2011	Bangladesh, Bhutan, China, Cambodia, Lao PDR, Malaysia, Mongolia, India, Maldives, Nepal, Sri Lanka Thailand, and Vietnam (13)
Cartagena, Colombia	April 27–29, 2011	Argentina, Bolivia, Chile, Paraguay, Peru, and Uruguay + Brazil, Colombia, and Ecuador (9)
Panama City, Panama	May 2–4, 2011	Costa Rica, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, and Venezuela (8)

154. These events are an opportunity for focal points to meet with their counterparts from other countries in the region and other GEF partners to discuss and review policies and procedures and to share lessons and experiences from development and implementation of GEF projects and their integration within national policy frameworks. The GEF will organize 15 ECWs per year for the next four years in order to address the needs of all recipient constituencies.

**g. Results-based Management (RBM)**

155. In 2009, the GEF strengthened efforts for RBM and knowledge management tools. Progress during the reporting period is discussed.

156. In 2008, the GEF climate change focal area in collaboration with the GEF Agencies developed the first set of monitoring indicators for tracking the performance of its energy efficiency, renewable energy, and sustainable urban transport projects. Under the RBM framework, a set of indicators were developed to measure the achievements and the success of climate change adaptation projects.

157. The tracking tool for the Climate Change Mitigation (CCM) focal area was first piloted during the 2008 AMR. The FY 2010 reporting period is therefore the third year Agencies have submitted tracking tools. Out of the 145 CCM projects that submitted reports for FY 2010, 141 completed tracking tools, an increase in compliance from 54 percent for FY 2009 (72 out of 133) to 98 percent for FY 2010. Portfolio achievements for projects under implementation through FY 2010 include:

- For the 141 projects that submitted tracking tools in FY 2010, cumulative GHG emissions reductions equal 187 million tons of CO<sub>2eq</sub> (see table 27). The number of markets influenced, developed or transformed equaled 195.
- The FY 2010 project cohort consisted mainly of GEF-2 and GEF-3 projects, with only three GEF-1 and 25 GEF-4 projects. For many GEF-3 and GEF-4 projects, it is too early to report on GHG reductions. For example, in certain projects there may be long-lead times for procurement and plant construction on large scale facilities. This means that outcomes cannot be adequately measured until many years into project implementation. Even for some projects that have reduced emissions, GHG reductions are awaiting validation and were not yet reported at this stage. Fifty-two projects that did set emission reduction targets in their project documents have not reported on GHG reductions. These projects are expected to deliver GHG reductions towards the end of project implementation and after project completion.

Table 27

**Cumulative GHG Emission Reductions by GEF Phase as of FY 2010**

<i>GEF Phase</i>	<i>Project Targets (Mt CO<sub>2</sub>eq)</i>	<i>Actual Results (Mt CO<sub>2</sub>eq)</i>	<i>Percentage Achieved</i>
GEF-1	3.1	29.6	>100%
GEF-2	206.4	84.2	41%
GEF-3	253.5	68.1	27%
GEF-4	145.9	4.7	3%
<b>Total</b>	<b>716.5</b>	<b>186.6</b>	

- In terms of portfolio performance, the 2010 Project Implementation Report (PIR) cohort projects were rated on the performance towards meeting the project objective and making implementation progress. As shown in Table 28, in 2010, 86 percent of the projects were rated marginally satisfactory or above in the likelihood of achieving project development objectives. On the progress towards implementation, 85 percent were ranked marginally satisfactory or above. Both ratings met the target of at least 75 percent marginally satisfactory or above<sup>14</sup>.

Table 28

**Performance Ratings for FY 2010 Cohort**

<i>Focal Area</i>	<i>Total No. of Projects</i>	<i>Project Objective Ratings</i>		<i>Implementation Progress Ratings</i>	
		<i>Percentage Marginally Satisfactory or above</i>	<i>Percentage Marginally Unsatisfactory or below</i>	<i>Percentage Marginally Satisfactory or above</i>	<i>Percentage Marginally Unsatisfactory or below</i>
Climate Change	169	86%	14%	85%	15%
Mitigation					

158. Overall, the 2010 PIR/AMR exercise demonstrated the existence of a number of successful stories and useful lessons learned from the project cohort. In general, the lessons indicated the establishment of revolving funds and risk guarantee mechanisms can be successful with careful investigations into market conditions and constraints, however, efforts to introduce preset "incentives" in a market tended to end up with unsatisfactory results. Financing instruments (i.e., loan programs) need an exit plan to ensure sustainability after project completion or else new companies/projects could fail. The general findings, together with specific recommendations by project type will be used to inform and strengthen the design and review processes of future project proposals, refine monitoring indicators for the climate change focal area, and further develop the GEF's knowledge management functions.

159. Since the GEF report to COP 16, the new work plan for GEF-5 RBM was approved by the GEF Council in November 2010. Activities to during the reporting period are shown in table 29.

<sup>14</sup> The GEF ratings use a 6-point scale: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Marginally Unsatisfactory, Unsatisfactory, and Highly Unsatisfactory.

Table 29

**Progress on Components of the Results-based Management Work Plan**

<i>Components of RBM Work Plan</i>	<i>Progress</i>
Component 1: Reforming the AMR process	The GEF Secretariat is proposing a significant shift in how it monitors the overall portfolio of GEF projects and programs. The Secretariat will move from focusing on individual PIRs on a yearly basis to a more targeted analysis of projects that have gone through a mid-term review or are in their last year of implementation.
Component 2: Integration of data in the PMIS	All focal areas now have tracking tools that are in Excel. For the FY11 reporting process, Agencies will submit these Excel files to the Secretariat, which should allow for a more automated collection and analysis of the data received. Climate change tracking tools can be found on our website.
Component 3: Tools to enhance portfolio monitoring	Most of the elements have not yet gotten underway. The pilot phase for the portfolio learning missions has however been completed. During the fall 2010 the GEF Secretariat undertook a pilot learning missions targeting Climate Change in South Africa: Renewable Energy Portfolio (UNDP Wind Energy Project and World Bank Renewable Energy Market Transformation). Please refer to the Knowledge Management section for more details.

160. An updated RBM framework was presented to the LDCF/SCCF Council in November 2010 and the AMAT was launched in Mars 2011 (GEF/LDCF.SCCF.9/Inf.4, November 2010). Unique in the field of adaptation, AMAT seeks to measure and monitor progress against the portfolio-level outcomes and objectives of the LDCF and the SCCF. A Knowledge Management Strategy, prepared for the LDCF/SCCF Council in May 2011, supports RBM by outlining the ways in which lessons and good practices will be gathered, stored, shared and applied in a more coherent manner across the LDCF/SCCF portfolio (GEF/LDCF.SCCF.10/Inf.4, May 2011).

161. Launched in March 2010, the new GEF website has been successfully reorganized and now presents information about the GEF and its work in a more meaningful and friendly manner. It includes an extensive electronic library containing more than 3,500 documents. In its first year under operation the website has had 317,169 visits; 180,434 absolute unique visitors; and 1,299,579 page views.

162. The GEF website does however have limitations; it is not fully integrated with the GEF PMIS and some features originally planned have not yet been implemented (i.e. user profile-based pages). The following are the main improvements that the website will undergo over the next year:

- Integrate the GEF PMIS with thegef.org website;
- Develop the user-profile capability to allow some categories of users to easily retrieve information relevant to them;
- Develop a knowledge platform for Focal Points to support CSP activities; and
- Expand the multimedia section to include educational/knowledge material.

163. The GEF will also work to create a publicly accessible knowledge platform with easy-to-retrieve information, data and lessons learned both at the project-level and at the portfolio-level. The main goal is to collect and disseminate quantitative and qualitative data, relevant to GEBs, and be able to track progress on specific topics of strategic importance for the GEF. Far from duplicating existing similar initiatives, the GEF portal will aim to provide information related to the cumulative impact of GEF-funded projects. The platform will use the latest technology available to enhance data mining from outside sources and from past projects, as well as to collect data and information from projects currently under review and implementation.

164. Further progress of RBM and Knowledge Management implementation will be presented to the GEF Council in the fall of 2011 and in the COP 18 report.



## h. Review of GEF Support for Capacity Building

165. The GEF, with its partner agencies, is providing significant capacity building support to countries during the past decade, both through capacity component in regular projects and through more targeted interventions.

### *Capacity Building in GEF Mitigation and Adaptation Projects*

166. Capacity building is a key theme of GEF projects, and is embedded in the design of both mitigation and adaptation projects. In particular, capacity building for enabling activities and fulfillment of Convention obligations is identified as a distinct objective in a large number of projects.

167. Among the mitigation project portfolio of 755 projects, 515 mitigation projects have included activity components on capacity building as shown in table 30. Over 100 mitigation projects in each GEF phase from GEF-1 to GEF-4 have been supported with specific capacity building activity components. Among the 19 projects approved for GEF-5 in FY 2011, seven projects have included capacity building as specific activity components.

168. Among the 515 mitigation projects with capacity building components, 248 projects have identified capacity building as a distinct project objective, as shown in table 31. Among them, enabling activities on National Communications and other enabling activities account for 110 projects and 88 projects respectively.

169. The total budget for the 248 mitigation projects with capacity building as a distinct project objective was 289.1 million, as shown in table 32.

Table 30

### **Number of GEF Mitigation Projects with Capacity Building as a Distinct Component**

<i>Region</i>	<i>GEF-0</i>	<i>GEF-1</i>	<i>GEF-2</i>	<i>GEF-3</i>	<i>GEF-4</i>	<i>GEF-5 FY 2011</i>	<i>Total</i>
Africa	3	36	50	35	30	1	155
Asia	6	25	43	22	38	4	138
Eastern Europe and Central Asia	1	10	19	15	22	2	69
Latin America and the Caribbean	1	27	36	30	29	0	123
Regional and Global	4	4	7	8	7	0	30
<b>Total</b>	<b>15</b>	<b>102</b>	<b>155</b>	<b>110</b>	<b>126</b>	<b>7</b>	<b>515</b>

Table 31

**Number of GEF Mitigation Projects with Capacity Building as a Distinct Objective**

<i>Project Type</i>	<i>Africa</i>	<i>Asia</i>	<i>Eastern Europe and Central Asia</i>	<i>Latin America and the Caribbean</i>	<i>Regional and Global</i>	<i>Total</i>
Enabling Activities on National Communications	40	20	13	34	3	110
Climate Change Enabling Activities (Additional Financing for Capacity Building in Priority Areas)	32	18	13	25	0	88
National Climate Change Strategy and Action Plan	3	1	4	1	0	9
Building Capacity for GHG Inventory and Action Plans (and Improving GHG Inventories)	2	5	0	0	1	8
Pre-Nationally Appropriate Mitigation Action	0	0	0	1	0	1
Technological Needs Assessment	0	2	0	0	2	4
Other Capacity Building for fulfilling commitments to UNFCCC and conducting country studies	5	6	3	5	9	28
<b>Total</b>	<b>82</b>	<b>52</b>	<b>33</b>	<b>66</b>	<b>15</b>	<b>248</b>

Table 32

**Financing for Mitigation projects with Capacity Building as a Distinct Objective**

<i>Project Type</i>	<i>Total GEF financing including 10% fee (\$ millions)</i>	<i>Total Co-financing (\$ millions)</i>
Enabling Activities on National Communications	152.2	34.4
Climate Change Enabling Activities (Additional Financing for Capacity Building in Priority Areas)	12.5	0.0
National Climate Change Strategy and Action Plan	63.5	303.6
Building Capacity for GHG Inventory and Action Plans (and Improving GHG Inventories)	8.8	1.6
Pre-Nationally Appropriate Mitigation Action	4.7	11.9
Technological Needs Assessment	14.8	3.7
Other Capacity Building for fulfilling commitments to UNFCCC and conducting country studies	32.7	8.5
<b>Total</b>	<b>289.1</b>	<b>363.8</b>

170. For adaptation, under the LDCF and the SCCF, distinct components on capacity building are found in all LDCF projects as well as in 28 out of 31 SCCF projects approved at the end of the reporting period. Financing for these components amounted to 25 and 18 percent of total LDCF and SCCF approvals respectively. In addition, capacity building, as defined by the UNFCCC (2/CP.7), is consistently integrated across investment components, ensuring the transfer of adequate skills, local ownership, as well as the sustainability of the adaptation measures supported.

171. The GEF will request the Agencies and countries to provide data on the resources specifically allocated to capacity building and public awareness per each project. The compiled information will be submitted as an addendum at a later date.

*GEF-wide Capacity Development Initiatives*

172. The GEF has supported cross-cutting capacity development initiatives that encompass the various focal areas of the GEF. They have been implemented based on the GEF capacity development strategies and policies.

173. A strategic partnership in the late 1990s between the GEF Secretariat with UNDP, UNEP and the World Bank led to the creation of the Capacity Development Initiative (CDI). This partnership was a central part of the process to

formulate and promote a conceptual framework for the assessment and development of countries' environmental capacities. The CDI's recommendations formed the basis of the GEF's strategic program on capacity development, leading to the creation of the National Capacity Self-Assessments (NCSA) from 2002.

174. In 2003, the GEF approved the Strategic Approach to Enhance Capacity Building, which delineated the guiding principles and framed the programming of GEF resources. The Strategic Approach reaffirmed that the capacities necessary to meet global environmental objectives are closely related to, indeed are dependent on those capacities necessary to meet broader national environmental priorities. The Strategic Approach outlined pathways of capacity development, in addition to capacity development being pursued by the NCSAs.

175. The NCSA provided support to 146 developing countries and economies in transition to identify their individual, institutional, and systemic capacities needed to meet obligations under the Rio Conventions, including the UNFCCC. The total value of the NCSA portfolio was \$28.9 million, with an average allotment of \$200,000 per NCSA. The NCSAs called for countries to identify their priority environmental issues such as combating deforestation, promoting sustainable land management, or minimizing their vulnerabilities to the impact of climate change. They were to undertake a root cause analysis to determine the institutional capacities (e.g., knowledge, decision support systems, and governance structures) necessary to meet program objectives.

176. While the thematic assessments for each focal area identified the capacity needs specific to that particular environmental concern, the cross-cutting (or synergy) reports took an over-arching approach to understanding more basic challenges countries face in meeting and sustaining global environmental objectives. The latter analyses were an important catalyst in helping decision-makers and other stakeholders gain a better appreciation of the important linkages between and among the Conventions, and the capacities indicative of resilient systems.

177. One follow-up to the NCSAs is the re-vitalized Capacity Development Program, which targets technical support in cross-cutting capacity development areas to achieve institutional sustainability across the Rio Conventions, for example, mainstreaming global environmental obligations within national development frameworks, catalyzing environmental fiscal reform to achieve financial sustainability of global environmental outcomes, and strengthening management information systems to improve decision-making in the name of the global environment.

178. There are 25 countries at various stages in the implementation the priority recommendations identified in their NCSA Final Report and Action Plan. Whereas the NCSAs were fully funded projects, the NCSA follow-up projects, known as Cross-Cutting Capacity Development (CCCD) projects, require equal amounts of GEF and co-financing resources. These CCCD projects generally focus on environmental governance systems and mainstreaming global environmental issues into national development programs. They are to be strategically designed and implemented to create synergies among the full set of GEF and Multilateral Environmental Agreement (MEA) interventions, creating economies of scale to institutionalize critical individual, organizational, and systemic (i.e., policy, legislative and awareness) capacities. To do so, they support mechanisms and tools for improved collaboration, management information systems, decision-making, as well as mainstreaming global environmental issues into national development programmes.

#### *GEF-5 Cross-Cutting Capacity Development*

179. For GEF-5, five cross-cutting capacity development programmatic frameworks have been approved, with \$70 million allocated outside the STAR. These five components are<sup>15</sup>:

- Enhancing the capacities of stakeholders to engage throughout a consultative process
- Generating, accessing, and using information and knowledge
- Strengthening capacities to develop policy and legislative frameworks
- Strengthening capacities to implement and manage global Convention guidelines
- Enhancing capacities to monitor and evaluate environmental impacts and trends

180. The first programmatic framework is implemented through the GEF CSP and the SGP. As reported in Part I Section 4 (f), the CSP organized six ECWs covering 69 countries during FY 2011. The UNFCCC focal points of each

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<sup>15</sup> See Table 7, page 77, Summary of Negotiations, Fifth Replenishment of the GEF Trust Fund, GEF/C.37/3, 17 May, 2010, Global Environment Facility/World Bank.

country, as well as other convention focal points, the GEF national focal points, and other stakeholders were invited to enhance their knowledge about the GEF strategies, policies and procedures and to encourage coordination. The SGP achievements for FY 2011 are summarized in Part I, sections 1(f) and 4 (c).

181. The remaining four strategic framework components are implemented through targeted CCCD projects, with GEF funding up to \$1 million at an equal ratio of co-financing. Given the inherent relationship between policies, legislation, the organizations that seek to implement and enforce them, and the technical skills and resources organizations need to carry out their work, there is overlap in the capacities to be developed among the CCCD programmatic frameworks. The focus of targeted cross-cutting capacity development in GEF-5 builds on NCSA recommendations. Future CCCD projects will address urgent capacity challenges and priorities necessary to enhance a country's ability to meet its obligations under the three Rio Conventions.

182. The strategic logic behind these types of projects is to strengthen the underlying capacities needed to implement and sustain objectives and outcomes in biodiversity, climate change, and land degradation. For example, in order to mitigate and adapt to the impacts of climate change and climate variability, a country must have a minimum foundation of capacity at both the individual, institutional and systemic level in order to adequately conceptualize, develop, execute and manage project interventions, and to meet their obligations under the Rio Conventions. The same applies to protecting endemic species and tackling desertification.

183. The NCSA and CCCD work represent a valuable resource wherein countries identified and assessed their priority capacities (individual, organizational, and systemic) to address climate change concerns, and then take practical measures to address capacity gaps and short-comings. Specifically, the NCSA and CCCD work relates directly to the following priority areas according to the UNFCCC capacity building framework:

- a) Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points;
- b) Enhancement and/or creation of an enabling environment;
- f) Vulnerability and adaptation assessment;
- g) Capacity-building for implementation of adaptation measures;
- k) Improved decision-making, including assistance for participation in international negotiations;
- m) Needs arising out of the implementation of Article 4, paragraphs 8 and 9, of the Convention;
- n) Education, training and public awareness.

184. The GEF is committed to continue to provide support for countries to build their capacities to meet the challenges of climate change.

#### **i. GEF Evaluation Office (GEF EO) Activities**

##### *Annual Performance Report (APR)*

185. The APR of the GEF, which the GEF EO prepares, presents a detailed account of some aspects of project results, of processes that may affect these results, and of monitoring and evaluation (M&E) arrangements in completed GEF projects. The assessments are primarily based on the evidence presented in the terminal evaluation reports of the completed projects. This section is based on the data and analysis presented in APR 2010 (which covers the period July 1, 2009 to June 30, 2010) and covers some aspects of performance of completed GEF projects on climate change.

186. The GEF EO gives the outcome ratings based on an assessment of the extent to which the completed GEF projects achieved expected outcomes. During FY 2010, terminal evaluations for 14 climate change projects were submitted. Of these, the GEF EO rated outcome achievements of 12 (86 percent) projects in the satisfactory range. The performance of the cohort of the climate change projects covered in FY 2010 is consistent with the long-term average of 84 percent projects rated in the satisfactory range. The long-term performance of the climate change projects in terms of outcome achievements ratings is similar to that of the projects from other focal areas.

187. The GEF had invested \$35 million in the 14 completed climate change projects covered in APR 2010. At the start of the projects, an aggregate co-financing of \$175 million was promised for these projects. The GEF Agencies reported that during implementation a co-financing of \$196 million materialized—that is, \$5.6 was promised per dollar of GEF funding. For 11 projects (79 percent) the materialized co-financing was equal to or greater than the co-financing promised at inception.

188. For the FY 2010 cohort, as has also been a long-term trend, the co-financing raised for climate change projects has been higher than that for other focal areas. For projects from other focal areas a co-financing of \$1.9 was reported to have materialized per dollar of GEF funding. Co-financing mobilized by the climate change projects is significantly facilitated by the nature of the projects undertaken. These projects tend to have both: a higher potential for mobilization of co-financing and a greater proportion of national benefits vis-à-vis the incremental GEBs.

189. Of the 14 projects covered for APR 2010, 9 (64 percent) were completed within a year of the completion date expected at project start. 4 projects (29 percent) were completed with a delay of more than three years. Of the 81 climate change projects for which terminal evaluation reports have been submitted since FY 2005 (excluding those submitted in FY 2002, FY 2003, FY 2004, and including those submitted in FY 2010), data on project completion delays is available for 76 projects. Forty-five percent of these projects were completed on time or within one year of the completion date expected at project start. Twenty-two percent of the projects were completed after a delay of three years or more.

190. Terminal evaluations provide an assessment of project accomplishments and shortcomings, and form the building blocks for the assessment of performance of completed projects presented in the APR. Of the 14 additional projects covered in APR 2010, for 12 (86 percent) quality of terminal evaluation was rated in the satisfactory range. The GEF EO has been tracking quality of terminal evaluation reports for completed projects since APR 2004 and so far it has rated quality of 89 terminal evaluations for projects from the climate change focal area. Overall quality of 76 (85 percent) of these reports was rated in the satisfactory range.

#### *Evaluation of the GEF Strategic Priority for Adaptation (SPA)*

191. Another important activity for the GEF EO during FY 2011 was completion of the independent evaluation of the SPA pilot submitted to the GEF Council at its November 2010 meeting. In 2003 the GEF established the SPA dedicating \$50 million to pilot and demonstration projects that helped reduce vulnerability and increase adaptive capacity to the adverse effects of climate change in any or a combination of the GEF focal areas. With 26 projects in its portfolio amounting to \$48.35 million financed by the GEF, the SPA reached its financial close at the end of GEF-4, and all of its resources are now fully allocated. In 2008 at the GEF council meetings, the GEF EO was asked to carry out an evaluation of the SPA, which was completed by mid 2010. The evaluation was aimed at providing lessons vital to the success of other adaptation funds, and for consideration in the GEF of how to tackle climate change adaptation in its other activities.

192. The main conclusions of the evaluation included:

- All SPA projects have succeeded in fulfilling the GEF requirement regarding identification of GEBs and including climate change.
- The SPA initiative provided climate resilience to about \$780 million in investments. The SPA initiatives show overall clear linkages to the other GEF projects for which GEF funding and co-financing is provided. SPA projects received co-financing from other GEF focal areas, as well as other sources, amounting to nearly \$780 million, of which GEF SPA financing only consisted of six percent.
- The SPA portfolio represents diversity in sectors, themes and focal areas. Out of 26 SPA projects, 21 were classified as biodiversity projects, 14 were addressing land degradation, and 5 were addressing international waters. In addition, a number of themes appeared recurrently including land management, biodiversity, water, and agriculture. All regions were also represented, but with a strong concentration in Asia, as opposed to Africa, which was the initially expected of the SPA.
- Projects were generally developed in accordance the SPA Operational Guidelines.
- Adaptation measures proposed in SPA projects were found to be generally “no-regrets” measures, meaning that they would deliver development and environmental benefits regardless of climate change. The most cited adaptation measures, which related to agriculture, land management, coastal zone management and water management, could be found in regular GEF and development projects. The adaptation measures were also found to be similar across focal areas and themes, and in particular focused on natural resource use and management practices at different levels (community to policy level) indicating the assumption that an optimal way to reduce vulnerability is by changing human behavior.
- Results achieved so far have been at the output level since most projects were still under early stages of implementation.
- There was evidence of mainstreaming of adaptation at the GEF – mainly at the strategic level and to some extent in project design – but some limitations are preventing this integration from becoming fully effective.

- Although the portfolio is still in the early stages of implementation some lessons could be extracted for the GEF as a whole. Funding made available for the SPA provided financial incentives for projects to explicitly consider climate change impacts and adaptation.
- There were weaknesses in the management of the SPA portfolio, but there is still time to correct it.
- As a learning pilot within GEF, the SPA has yet to achieve its full potential, mainly because of the lack of dedicated and established learning and coordination mechanisms.

193. The evaluation included three recommendations for GEF Council consideration:

- The GEF should continue providing explicit incentives to carry on the mainstreaming of resilience and adaptation into the GEF focal areas, as a means of reducing risks to the GEF portfolio.
- To continue to manage the implementation of the SPA, the GEF needs to provide sufficient resources to the GEF secretariat, beyond resources dedicated to the processing of a pipeline of projects.
- Given that adaptation measures in SPA projects are still under implementation, further evaluations could provide opportunities to learn from outcomes and progress towards impact.

194. The SPA evaluation was put before the Council at the GEF 39<sup>th</sup> Council meeting in November 2010 together with a management response prepared by the GEF Secretariat. The GEF Council, having reviewed these documents requested the secretariat to develop and implement screening tools. These tools will serve as a first step to ensure mainstreaming and targeting of adaptation and resilience, to reduce the risks from climate change in GEF focal areas and its activities. The Council further requested the secretariat to report to its November 2012 meeting on steps taken and progress made, including indicators for RBM and M&E. The Council also requested the Secretariat to continue monitoring the implementation of the SPA to ensure lessons can be learned from the portfolio. It requested the GEF EO, STAP, and the Adaptation Task Force to provide guidelines in 2012 for evaluations of SPA projects to learn from the outcomes and impacts of the projects. More information on the evaluation is available here: [http://www.thegef.org/gef/sites/thegef.org/files/documents/SPA\\_Evaluation.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/SPA_Evaluation.pdf)

#### *Evaluation of the Special Climate Change Fund (SCCF)*

195. The LDCF/SCCF Council requested the GEF EO at its July 1, 2010 meeting, to undertake an evaluation of the SCCF, to be presented at its November 2011 meeting. The Evaluation Office has now launched this evaluation which will be conducted by office staff and a senior consultant. The evaluation will assess the implementation of the SCCF using aggregated data along four standard evaluation criteria: Relevance, Efficiency, Effectiveness and Results. More information about this evaluation and other evaluations can be found in the GEF EO website: [www.gefeo.org](http://www.gefeo.org)

#### *Country Portfolio Evaluation Studies*

196. Finally, the Country Portfolio Evaluation stream undertook two Country Portfolio Studies (CPSs) during FY 2011. These were conducted in El Salvador and Jamaica. In El Salvador, the GEF has invested \$1.4 million since 1992 (12.2 percent of the total grant amount for three projects) in the climate change focal area. In Jamaica, the GEF has invested \$7.2 million since 1994, which corresponds to 60.8 percent of the total grant for four climate change projects. In El Salvador, the focus of the climate change projects was primarily capacity building and the GEF has had an important role in supporting the country in complying with its obligations under the UNFCCC. In Jamaica, results of the CPS demonstrate that GEF support has helped Jamaica to substantially raise its capacity in such fields as renewable energy, energy efficiency, energy sector planning and management and adaptation. The adaptation activities have raised the capacity to understand and track the effects of climate change and to plan responses to them. Additional details and content of the CPS can be found here: <http://www.thegef.org/gef/sites/thegef.org/files/documents/GEFME-C40-Inf1-rev1-CPS-ElSalvandJam.pdf>

#### **j. Science and Technology Advisory Panel (STAP)**

197. At the request of GEF, over the past year the STAP<sup>16</sup> provided advisory products and information in four areas. In September, 2010, STAP hosted a workshop on carbon and other GEBs to provide advice on carbon estimation on LULUCF and all GEF forest and land management projects. Workshop results and suggestions were published in *Recommendations of the GEF-STAP Cross-Focal Area Workshop: Approaches to Address Carbon Benefits in the context of Multiple Global Environmental Benefits in Implementing the SFM/ REDD+ Program in GEF-5*<sup>17</sup>. This

<sup>16</sup> The STAP provides strategic scientific and technical advice to the GEF on its strategy and programs. The STAP consists of six members who are internationally recognized experts in the GEF's key areas of work and are supported by a network of experts.

<sup>17</sup> GEF. 2011. *Recommendations of the GEF-STAP Cross-Focal Area Workshop: Approaches to Address Carbon Benefits in the*

workshop was the first time that the CBD, UNFCCC and UNCCD Secretariats all participated and gave presentations at a GEF workshop. Responding to GEF Council decision ,GEF/ME/C.39/4, in June 2011 STAP organized a workshop “*Review of tools and methods to increase climate resilience of GEF focal areas*” attended by 35 experts from the GEF Secretariat, GEF agencies, bilateral institutions and academia<sup>18</sup>.

198. In November 2010, the “Manual for Calculating GHG Benefits of GEF Projects: Energy Efficient and Low Carbon Transport projects” was released. Its purpose is to aid agencies in estimating GHG benefits for GEF projects. STAP also completed a study on “Enhancing Resilience to Reduce Climate Risks: Scientific Rationale for Sustained Delivery of Global Environmental Benefits in GEF Focal Areas.” This study was requested to provide information to support the GEF’s overall objective of delivering sustained GEBs in the face of the increasing risks posed by climate change and the increased understanding of the scientific concept of “resilience.”

199. During March 17-18, 2011, STAP held its twice annual meeting at the headquarters of UNIDO in Vienna, Austria. Under discussion was STAP's work and future activities on the global environment. STAP considered ways to translate its recent work into policy, discussing and presenting concrete measures for GEF project interventions in developing countries and countries in transition. STAP, and its partners, also discussed environmental priorities that could be addressed in the upcoming year, including the inter-linkages between chemicals management, water use and management, and their impact on ecosystems. Consideration for defining stronger links between renewable energy and energy efficiency in STAP's advice, and translating the findings of the Global Energy Assessment (GEA) for the GEF were also items of discussion.

200. Following the LDCF/SCCF Council decision of May 2011, steps have been taken to formalize the role of STAP with respect to climate change adaptation, particularly under the LDCF and the SCCF (GEF/LDCF.SCCF.10/5, May 2011). STAP has recruited a Panel Member dedicated to adaptation, with the responsibility of reviewing the scientific rationale and technical validity of all LDCF/SCCF full size projects in the context of climate change impacts, vulnerability and adaptation; providing strategic advice on LDCF/SCCF strategies and policies as required; advising on project or program development on a selective basis at the invitation of Agencies; helping design and implement approaches to test the adaptation learning objectives; assisting in developing impact and vulnerability profiles for global environmental benefits that can be applied across the LDCF and the SCCF as well as the GEF TF; and assisting in further refining and increasing the precision of the Adaptation Monitoring and Assessment Tool.

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context of *Multiple Global Environmental Benefits in Implementing the SFM/ REDD+ Program in GEF-5*. Available at <[http://www.thegef.org/gef/GEF\\_39\\_Inf.19\\_STAP\\_SFM\\_REDD Program\\_in\\_GEF-5](http://www.thegef.org/gef/GEF_39_Inf.19_STAP_SFM_REDD_Program_in_GEF-5)>

<sup>18</sup> The full agenda, workshop presentations, and supporting documents are available online at: <<http://www.unep.org/stap/Events/SciencePanelWorkshops/ResilienceWorkshop/tabid/56151/Default.aspx>>

## PART II: Africa: Poised for Sustainable Growth

### 1. Introduction

201. Over the last two decades, biodiversity, land degradation, and energy access and low-carbon development have benefited from financing leveraged through strong partnership between the GEF, development agencies, and African national governments. Mitigating the drivers of deforestation and land degradation through synergistic design of projects involving renewable energy, energy efficiency, or technology transfer, for example, can produce multiple GEBs. As Africa continues to develop and urbanize, the GEF partnership and financing can contribute to sustainable development through a variety of innovative projects that provide clean energy access, efficient sustainable transport systems, pilot and transfer technologies, and promote safeguards to improve synergy among the focal areas. At the same time, through the LDCF and the SCCF, the GEF provides vital support to the continent that is most vulnerable in the face of climate change. Additional resources for adaptation are crucial in reversing adverse trends and emerging threats associated with more frequent natural disasters, water scarcity, declining agricultural productivity, food insecurity, poverty, displacement, and conflict. The GEF partnership plays an important role in ensuring that Africa's development trajectory is a resilient one.

### 2. Overview of GEF Projects in Africa

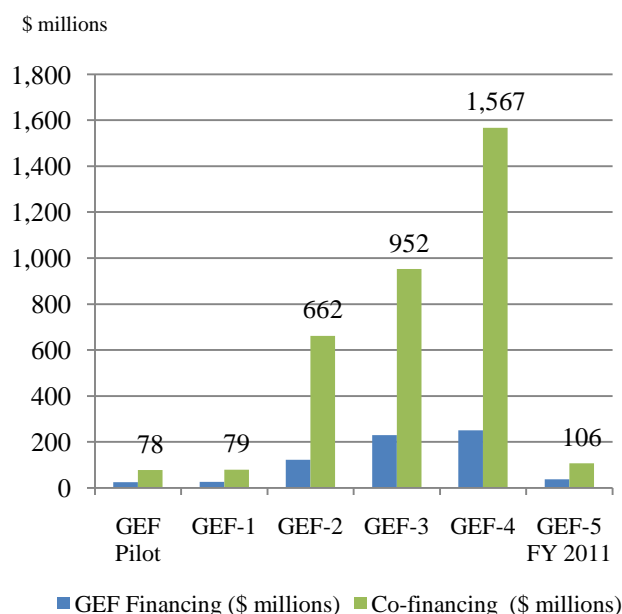
202. Since 1991, GEF has funded 270 climate change projects in Africa with \$691.8 million, which leveraged \$3.4 billion in co-financing<sup>19</sup>. 194 projects focused on mitigation and 76 projects were adaptation projects (table 33). Enabling activities were funded from both the mitigation and the adaptation funding windows. The GEF-2 phase saw the largest number of mitigation projects funded (53 out of 194) and then GEF-3 and GEF-4 continued the trend of a large number of mitigation projects in Africa.

Table 33  
GEF Projects in Africa by Phase

Phase	Number of Projects	GEF Financing (\$ millions)	Co-financing (\$ millions)
GEF Pilot	8	25.1	77.8
GEF-1	40	26.5	79.4
GEF-2	53	121.6	661.9
GEF-3	77	230.2	952.1
GEF-4	80	250.6	1,567.2
GEF-5 FY 2011	12	37.8	106.3
<b>Total</b>	<b>270</b>	<b>691.8</b>	<b>3,444.7</b>

This chart shows all climate change mitigation and adaptation projects, including enabling activities, but does not show programmatic initiatives. Projects funded from GEF Trust Fund, LDCF, and SCCF are included.

Figure 18  
GEF Projects in Africa by Phase



203. The increase in the co-financing ratio of the projects is particularly notable. The GEF ensured a significant increase of co-financing for its projects in Africa during the last three replenishment phases, with co-financing for climate change projects in Africa increasing from \$661.9 million during GEF-2, to \$1 billion during GEF-3, and finally reaching \$1.5 billion during GEF-4. Co-financing has been increasing even as GEF financing levels during GEF-3 and GEF-4 were steady at \$230.2 million and \$250.6 million, respectively.

<sup>19</sup> When comparing these figures to those in other sections, please note that in this section, projects for adaptation funded under the GEF Trust Fund, the LDCF, and the SCCF, including enabling activities are included; programmatic initiative are not included.



204. The Climate Change mitigation cluster with its 194 projects in Africa covers the strategic objectives on enabling activities, renewable energy, energy efficiency, technology transfer, LULUCF and SFM/REDD+ and sustainable transport and urban systems. Eighty-two enabling activities have been funded in Africa during GEF-1 through GEF-3. Other than enabling activities, the most frequent strategic objective funded in Africa is renewable energy with a total of 61 projects (table 34). The main agencies involved in renewable energy projects are the World Bank, UNDP and UNIDO. During GEF-4, there was a steep increase in the number of energy efficiency projects (16 of 25 total projects where in GEF-4) as well as a higher frequency of LULUCF (5 of 7 total) projects funded in Africa.

Table 34

**GEF Climate Change Mitigation Projects in Africa by Type of Project**

Phase	Enabling Activities	Renewable Energy	Energy Efficiency	LULUCF	Sustainable	Mixed	Total
				and Sustainable Forest Management	Urban Environment & Transport		
GEF Pilot	0	6	0	2	0	0	8
GEF-1	35	3	1	0	0	1	40
GEF-2	35	14	3	0	1	0	53
GEF-3	12	20	5	0	3	3	43
GEF-4	0	17	16	5	4	5	47
GEF-5 FY 2011	0	1	0	0	0	2	3
<b>Total</b>	<b>82</b>	<b>61</b>	<b>25</b>	<b>7</b>	<b>8</b>	<b>11</b>	<b>194</b>

205. To date, 79 climate change projects implemented in Africa have reported GHG emissions reduction. The projects expected lifetime emissions reductions are estimated to be 89.42 Mt CO<sub>2eq</sub> and 85.59 Mt CO<sub>2eq</sub> of direct and indirect emissions respectively. The overall GEF funding for these 79 projects is \$427.6 million resulting in an estimated cost effectiveness of \$2.44/ton of CO<sub>2eq</sub>.

206. In terms of distribution of projects and project funding by implementing agencies, the World Bank and UNDP are the most active GEF Agencies in Africa, channeling 44 percent and 37 percent of the total GEF funding of \$691.8 million respectively. UNDP has implemented the highest number of projects in Africa with 152 (table 35).

Table 35

**GEF Projects in Africa by Implementing Agency**

Lead Agency	Number of Projects	GEF Financing (\$ millions)	Co-financing (\$ millions)
AfDB	5	15.5	75.4
FAO	1	2.4	4.5
IFAD	6	21.9	59.6
UNDP	152	253.1	1,187.2
UNEP	50	69.0	135.5
UNIDO	13	25.5	61.1
World Bank	43	304.4	1,921.5
<b>Total</b>	<b>270</b>	<b>691.8</b>	<b>3,444.7</b>

This chart shows all climate change mitigation and adaptation projects, including enabling activities, but does not show programmatic initiatives. Projects funded from GEF Trust Fund, LDCF, and SCCF are included.

207. In GEF-4, a number of Programmatic Approaches increased GEF support to many countries in Africa that had traditionally received limited support. Allocations were made by sub-regional areas. The first program, the *Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa* (SIP) was approved by the GEF Council in June 2007, to support Sub-Saharan African countries in pursuing the multi-sector, long-term programmatic approaches needed to scale up SLM. Two programs were approved by the Council during November 2008, the *Strategic Program in West Africa* (SPWA), and the *CBSF: Strategic Program for the Sustainable Forest Management in the Congo Basin*. The SPWA had two sub-components, one for biodiversity and the other for energy. More details on these are provided below.

208. The SIP aims to directly contribute to the implementation of the national action programs to combat desertification. The projects under SIP focus on making SLM investments climate resilient. In June 2007, the GEF Council approved the SIP's programmatic framework and an accompanying portfolio of planned projects to be initiated in 2007–2010, amounting to an overall GEF investment of \$150 million in GEF-4 with support from multi-focal areas. Thirty-six projects are included in the programmatic framework covering the following countries: Burundi, Comoros, Djibouti, Eritrea, Ethiopia, Gambia, Ghana, Kenya, Lesotho, Madagascar, Malawi, Mali, Mauritania, Niger, Nigeria, Rwanda, Senegal, South Africa, Sudan, Swaziland, Tanzania, and Uganda.

209. The GEF program *Strategic Program in West Africa*, which includes two sub-components, one on biodiversity (*SPWA-BD*) with \$ 39.5 million for 21 projects, and the other on energy (*SPWA-CC*) with \$36 million for 22 projects. The program covers a total of 18 countries in the region: Benin, Burkina Faso, Burundi, Cape Verde, Cote d'Ivoire, Chad, Gambia, Ghana, Guinea, Guinea Bissau, Liberia, Mali, Mauritania, Niger, Nigeria, Senegal, Sierra Leone, and Togo.

210. GEF implementing agencies for the energy sub-component are the World Bank, UNDP, UNEP and UNIDO. The various projects in the program demonstrate the diverse nature of energy needs in West Africa with projects ranging from large scale urban transport to mini-grid systems for isolated rural areas. The largest project in the program is the World Bank implemented project *Nigeria Urban Transport*. Several of the UNIDO implemented projects focus on renewable energy powered mini-grids in rural areas for productive use in countries like Gambia, Cape Verde, Sierra Leone, Nigeria, Liberia, Guinea, Chad and Cote d'Ivoire.

211. The GEF program *CBSP: Strategic Program for the Sustainable Forest Management in the Congo Basin*, including a regional forest carbon inventory system, was successfully put in place with total GEF financing of \$54.7 million. Thirteen projects (five regional, one transboundary, and seven national) were approved. The objective of the *CBSP* is to strengthen sustainable management of forest ecosystems of the Congo Basin as a contribution to the conservation of the globally relevant biodiversity and ecosystem services, maintaining a solid foundation for the region's sustainable development.

212. The programmatic approaches for the Congo Basin and the West Africa region have been useful tools in light of both resource constraints in each country within the region imposed by the resource allocation system of the GEF and the need for stronger regional integration given the common challenges that these countries face. Clearly, these approaches are emerging as viable and attractive for allocating GEF resources in a more strategic and results-oriented manner. Their implementation continues to offer unique opportunities to develop regional platforms for knowledge management, exchange, and dissemination of best practices. They underline the fundamental roles of the GEF as a co-financing mechanism, promoter of innovation, and the dissemination of good practices. In view of this experience and taking into account lessons learnt, programmatic approaches, where feasible, are considered key assets to achieving GEF-5 objectives, especially to secure larger scale sustained impact on the global environment by integrating it into national and regional strategies by way of internal and external partnerships.

213. The Poznan Strategic Program established three funding windows totaling \$50 million. The funding windows include support to assess country priorities in technologies through TNAs; support for technology transfer pilot projects; and dissemination of the GEF experience and successfully demonstrated ESTs. By the end of 2010, the GEF has successfully provided funding for these activities. Eleven African countries are conducting their TNAs under the Poznan program. Of the pilot projects, two are in Africa with a total of \$5.3 million in GEF financing and \$40.3 million in co-financing.

214. Africa is the most vulnerable continent in the face of climate change. Agriculture, the mainstay of most African economies and livelihoods, is under particular pressure from rising temperatures, declining and changing precipitation, and growing water stress. Human health and coastal zones are equally at risk. With support from the GEF, through the LDCF and the SCCF, African countries have taken rapid measures to respond to these challenges.

215. GEF support for adaptation in Africa was initiated under the SPA in 2005. In GEF-5, nine adaptation activities in Africa have been funded through the LDCF and the SCCF (table 36). Thirty-three (33) out of 48 LDCs are located in Africa. Accordingly, Africa has received the largest share of LDCF resources. As of June 30, 2011, NAPAs had been completed for 32 out of 33 African LDCs, out of which 27 had seen their first NAPA implementation projects approved under the LDCF. In total, the LDCF had supported 31 projects and programs in Africa, amounting to \$122.83 million in grants and leveraging \$737.97 million in co-financing. The SCCF, in turn, had supported 12 projects amounting to \$36.94 million in grants and leveraging \$272.71 million in co-financing.

Table 36

**GEF Climate Change Adaptation Projects in Africa by Type of Project**

<i>Phase</i>	<i>Enabling Activities</i>	<i>SPA</i>	<i>Adaptation</i>	<i>Total</i>
GEF Pilot	0	0	0	0
GEF-1	0	0	0	0
GEF-2	0	0	0	0
GEF-3	31	2	1	34
GEF-4	1	1	31	33
GEF-5 FY 2011	0	0	9	9
<b>Total</b>	<b>32</b>	<b>3</b>	<b>41</b>	<b>76</b>

This chart shows all climate change adaptation projects, including enabling activities, but does not show programmatic initiatives. Projects funded from GEF Trust Fund, LDCF, and SCCF are included.

216. In accordance with priorities identified in the NAPAs, LDCF and SCCF support to adaptation in Africa has been overwhelmingly focused on water resources management, agriculture and food security, as well as disaster risk management. In addition, projects have addressed countries' needs for weather information and early warning systems through concrete investments in infrastructure as well as associated capacity building. Sustaining the momentum created during NAPA preparation, LDCF projects in Africa have placed a significant emphasis on mainstreaming adaptation in relevant strategies, policies and development plans.

217. As the GEF aspires toward long-term sustainability of the benefits, GEF-5 represents a new opportunity to further advance the partnership between the GEF and the African partner countries.

### 3. New Programmatic Initiative in Support of the Great Green Wall Initiative

218. During the reporting period, the GEF significantly increased its commitments in Africa through the approval of the multi-trust fund, multi-focal area *Sahel and West Africa Program in Support of the Great Green Wall Initiative*. The GEF is providing a total \$108.8 million of financing: \$87.8 million from the GEF Trust Fund; \$16 million from the LDCF; and \$5 million from the SCCF. The project has attracted \$1.81 billion in co-financing and supports 12 countries. The countries participating in the *Sahel and West Africa Program in Support of the Great Green Wall Initiative* are Benin, Burkina Faso, Chad, Ethiopia, Ghana, Mali, Mauritania, Niger, Nigeria, Senegal, Sudan, and Togo. Of these, six use climate change STAR allocation funding of \$11.4 million for climate change benefits under the LULUCF and renewable energy objectives. Funding includes a regional project on knowledge management.

219. This program supports the implementation of a country-driven vision for integrated natural resource management for sustainable and climate-resilient development in the Sahel region. Planned multiple GEBs include increases in biodiversity benefits diversity, increasing forest carbon sequestration, reduction in emissions from deforestation and degradation and low-carbon development, and reversing trends in land degradation. The program responds to a series of high level ministerial meetings (Ndjamena June and November 2010; Bonn 2011) through which countries in the Sahel region have consistently called for an international partnership to implement their vision. The topic areas of the baseline investments include agriculture, food security, disaster risk management, renewable energy, rural development, and watershed management.

220. The program will also produce climate change mitigation and other GEBs from GEF resources using incentive financing from the SFM/REDD+ Program to increase focus on forests and forests in the wider landscape. Of the \$87.82 million from the GEF Trust Fund, SFM/REDD+ contributes \$18.5 million in funding. The GEF increment of funding centers on securing ecosystem services from the landscape mosaic by promoting good management practices and approaches that have multiple GEBs. This could include community land use planning to address open access of wood for fuel.

#### **4. Summary of Durban, South Africa Showcase at COP 17**

221. South Africa will host COP 17 from November 28 to December 9, 2011. This global event will be held in the City of Durban (eThekweni). In line with the previous COP sponsors (most recently Denmark and Mexico), the South African Government is keen to take advantage of the hosting of this global event to mobilize all stakeholders in greening the COP 17, and also showcasing the South Africa – GEF partnership through targeted interventions. Concerned with the carbon footprints that are generated by international mega events, South Africa is keen to demonstrate its commitment to promote responsible environmental management, whilst improving the living standards and livelihoods of its people.

222. The GEF is financing a UNIDO implemented project in support of the greening of the COP 17 meeting. The objective of the project is to demonstrate South Africa's commitment to reduced GHG emissions, promote renewable energy sources and ensure a broad climate change awareness by decision-makers and the general public with a focus on showcasing targeted activities under the National Greening Program and the South Africa - GEF partnership during the COP 17. Within the context of COP 17, this project will highlight opportunities for countries to take tangible early steps to reduce emissions and adapt to climate change, establish a foundation for development of small and medium enterprises to develop innovative technologies to promote economic development and enhance competitiveness in South Africa and showcase low carbon energy technologies and transportation systems supported by GEF.

## PART III: Convention Guidance to the GEF

### 1. Introduction

223. Since the start of the Convention, guidance to the GEF has been provided within the context of the overall guidance to the financial mechanism. Since the GEF's inception, the number of articles of the COP decisions that provide guidance to the GEF, including to the LDCF and the SCCF, totals 171 (table 37). As of this first report under GEF-5, COP 16 has provided guidance to the GEF with 11 articles.

224. The GEF has continued to be responsive to COP guidance by incorporating the guidance into its climate change mitigation and adaptation strategies, approving projects, and adapting its policies and procedures. The overall performance studies prepared by the GEF EO have found that since its inception the GEF has been responsive to the COP guidance.

#### *Enhancing communication with the UNFCCC Secretariat*

225. The GEF has continued to enhance communication with the UNFCCC Secretariat in its effort to be responsive to convention guidance. The GEF has also increased its efforts at the country level to promote consultations among the GEF Secretariat and the Convention Focal Points.

226. Building on several changes made in GEF-4 to improve GEF's relationship to the UNFCCC, the GEF continues to emphasize enhanced collaboration in GEF-5. Examples include:

- a) The GEF Secretariat staff members participate on a regular basis in meetings and events organized under the UNFCCC, including the UN Climate Change Conferences and the COP. During this reporting period, the GEF delegation participated in the Bonn Climate Change Talks (June 2010), UN Climate Change Conference in Bonn (August 2010), Tianjin Climate Change Conference (October 2010), COP 16, UN Climate Conference in Bangkok (April 2011), and UN Climate Change Conference in Bonn (June 2011). In addition, the GEF Secretariat participated in the an expert workshop on the Technology Mechanism and a workshop on nationally appropriate mitigation actions workshops organized during the Bangkok Climate Change Conference in April 2011.
- b) The UNFCCC Secretariat participated in the Technical Advisory Groups (TAGs) that were developing the GEF-5 Strategies. The UNFCCC and the GEF secretariats have held retreats.
- c) During this reporting period, a 2-day retreat was held on 19 and 20 May 2011 by video conference to discuss priority subjects including SFM/REDD+, mitigation, adaptation, technology transfer, National Communications, and capacity building. Both heads of the Secretariats took part, underscoring the mutual commitment towards cooperation and communication. Both secretariats agreed to continue to organize that more frequent retreats will take place in the future. A summary of the retreat is available on the GEF web-site at [http://www.thegef.org/gef/climate\\_change](http://www.thegef.org/gef/climate_change).
- d) The GEF Secretariat has participated in regular telephone conferences to discuss the Technology Mechanism, organized by the UNFCCC Secretariat in 2011.
- e) During GEF-4, the STAP has undertaken missions to the UNFCCC Secretariat and established working connections to their Subsidiary Bodies, and Convention Focal Points have participated in STAP meetings.
- f) Some UNFCCC Focal Points have participated in the most recent GEF Familiarization Seminar, where the GEF was introduced to newcomers to the GEF partnership. At the country level, many of the convention Focal Points are part of GEF national committees and of the decision making process of prioritization exercises.
- g) The UNFCCC Secretariat provides its updates on how it is advancing during the Council meetings.

227. Furthermore, the GEF has seconded a senior staff to the Green Climate Fund (GCF) Transitional Committee Technical Support Unit located in the UNFCCC Secretariat. The GEF has also participated in the GCF Transitional Committee meeting held in Mexico.

*Summary of Past Convention Guidance*

228. COP 15 was the first COP where no specific additional guidance was provided to the GEF. COP 16 provided substantial guidance to GEF. The guidance is summarized in table 37. Response to specific COP 16 guidance is provided in Part III, Section 2.

Table 37  
**Number of Guidance Articles to the GEF in COP Decisions**

<i>Year</i>	<i>COP</i>	<i>Number of guidance articles</i>
1995	COP 1	10
1996	COP 2	10
1997	COP 3	2
1998	COP 4	9
1999	COP 5	5
2000	COP 6	3
2001	COP 7	10
2002	COP 8	19
2003	COP 9	3
2004	COP 10	48
2005	COP 11	7
2006	COP 12	13
2007	COP 13	9
2008	COP 14	12
2009	COP 15	0
2010	COP 16	11
<b>Total</b>		<b>171</b>

## **2. COP 16 Guidance and SBI 34 Conclusions**

229. COP 16 provided guidance to the GEF in decisions 1, 2, 3, and 10; and specific guidance to the GEF on the LDCF and SCCF in decisions 4 and 5. The SBI 34 conclusions are also relevant guidance for the GEF. Table 38 shows the COP 16 guidance and table 39 shows SBI conclusions with a short summary of the GEF's response.

230. Under SBI 34 agenda item 5, Financial Mechanism of the Convention (conclusion L.17), the SBI requested the GEF to clarify in its annual report to COP 17, whether the activities in decision 5/CP.7, paragraph 7(a)(iv) fall within its mandate. As shown in table 39, the GEF affirms that its mandate under the LDCF and the SCCF covers these activities. A listing of projects funded under the LDCF and SCCF that are consistent with the decision is provided in table 40.

Table 38

**COP 16 Guidance to the GEF during GEF-5 and GEF's Response (Summary)**

<i>Guidance of the COP</i>	<i>GEF's Response</i>
<p><b>Decision 1/CP.16</b> documents The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. In section IV. Finance, technology and capacity-building, the decision:</p> <ul style="list-style-type: none"> <li>• Requests the secretariat, in consultation with the President of the Conference of the Parties, to make arrangements enabling relevant United Nations agencies, international financial institutions and multilateral development banks, along with the secretariat and the Global Environment Facility, to second staff to support the work of the Transitional Committee for the design phase of the Green Climate Fund;</li> </ul>	<ul style="list-style-type: none"> <li>• The GEF has seconded a senior member of the GEF management team to support the work of the Transitional Committee.</li> </ul>
<p><b>Decision 2/CP.16</b> provides additional guidance to the GEF regarding the fourth review of the financial mechanism of the UNFCCC and requests that information be provided in the report.</p> <ul style="list-style-type: none"> <li>• Decides that the GEF has provided and should continue to enhance its support to developing countries in: <ul style="list-style-type: none"> <li>(a) Meeting their commitments under the Convention;</li> <li>(b) Strengthening national capacity-building;</li> <li>(c) Applying and diffusing technologies, practices and processes for mitigation;</li> </ul> </li> <li>• Requests the GEF to continue improving its modalities to increase the responsiveness, effectiveness and efficiency of its support, including: <ul style="list-style-type: none"> <li>(a) Being responsive to new guidance from the Conference of the Parties;</li> <li>(b) Including in its reporting to the Conference of the Parties a critical assessment of its experience with implementation of projects, as well as its experience with incorporating guidance from the Conference of the Parties into its strategies and programme priorities;</li> <li>(c) Enhancing modalities which reinforce country ownership and improve the allocation of resources;</li> <li>(d) Further simplifying and improving its procedures, particularly those for the identification, preparation and approval of activities;</li> <li>(e) Ensuring that access to resources is expeditious and timely;</li> <li>(f) Enabling country-level programming, where appropriate;</li> <li>(g) Ensuring consistency and complementarity with other financing activities;</li> <li>(h) Promoting private-sector financing and investment to address climate change activities;</li> <li>(i) Strengthening its knowledge management approach to share best practices;</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• The GEF continues to improve its modalities through the GEF-5 reforms.</li> <li>• GEF regularly reports to the Conference of the Parties and the SBI on its experience with project implementation and incorporation of guidance.</li> <li>• GEF-5 reforms place a priority on country ownership, including the clear allocation of resources, the country support program, and support for National Portfolio Formulation Exercise. The GEF has also introduced direct access of financial resources by countries for National Communications.</li> <li>• The GEF continues to work collaboratively with other organizations on complementary financing activities.</li> <li>• The GEF has proposed a strategy for private sector engagement under GEF-5 to the GEF Council.</li> <li>• The GEF continues to strengthen knowledge management activities.</li> </ul>

*Guidance of the COP**GEF's Response*

**Decision 3/CP.16** calls on the GEF to complete its reforms as early as possible in order to facilitate the successful implementation of the fifth replenishment cycle of the GEF.

- Requests the GEF in the implementation of these reforms to give full information to countries, in particular in relation to the implications of these reforms on the activities conducted by the GEF;
- Urges the GEF, as an operating entity of the financial mechanism of the Convention, to increase access to funding for activities related to Article 6 of the Convention
- Specifically Requests the GEF:
  - (a) To continue to provide funds for technical support for the preparation of National Communications of Parties not included in Annex I to the Convention (non-Annex I Parties), similar to that provided by the National Communications Support, recognizing that the costs of such technical support are not deducted from the funds provided to non-Annex I Parties for the preparation of their National Communications;
  - (b) To ensure that the expedited process under the operational procedures continues to provide timely disbursement of funds to non-Annex I Parties for the preparation of their National Communications;
  - (c) To work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which non-Annex I Parties receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations, and to avoid gaps between enabling activities of current and subsequent National Communications, recognizing that the process of preparation of National Communications is a continuous cycle;
  - (d) To finalize any remaining operational procedures to ensure the timely disbursement of funds for those Parties that decide to access resources for the preparation of their National Communications through direct access;
  - (e) To provide detailed information on funding for projects that have been identified in the National Communications of non-Annex I Parties in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved.

- The GEF continues to improve its modalities through the GEF-5 reforms.
- Through the Extended Constituency Workshop and Constituency meetings, the GEF is providing updates and necessary information to the countries, including convention focal points, on the current reforms.
- The GEF has also contacted each recipient country to provide an update in writing on financing options available for National Communications.
- The GEF supports all requests for National Communications.
- The GEF, through its regular reporting to the SBI and the Conference of the Parties, will continue to provide detailed, accurate, timely, and complete information on the most recent GEF Council decisions related to National Communications and its activities relating to the preparation of National Communications from non-Annex I Parties.
- The GEF provides financing for public awareness activities through project activities so that public awareness is integrated in each GEF project.



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**Decision 4/CP.16**, noting the information on the Special Climate Change Fund provided through the annual reports of the GEF to the Conference of the Parties:

- Decides to conclude the assessment of the status of implementation of paragraph 2 of decision 1/CP.12 and to request the entity entrusted with the operation of the Special Climate Change Fund to include in its report to the Conference of the Parties at its seventeenth session information on the implementation of paragraph 2 (a-d) of decision 7/CP.7.

- The SCCF was established in 2001 accordance with Decision 7/CP.7 of the Convention. In May 2002, the GEF Council approved arrangements proposed for the establishment of the Fund (GEF/C.19/6, May 2002), including its scope, guidance, financing, and eligibility criteria.
- In November 2004, the SCCF was operationalized with the approval of the programming principles for adaptation and technology transfer, SCCF-A and SCCF-B (GEF/C.24/12, November 2004). These programming principles were developed in accordance with Decision 5/CP.9, which provides that adaptation activities are to have top priority for funding and that technology transfer and its associated capacity-building activities are also to be an essential area for funding. This initial programming document formed the basis for mobilizing funds for the SCCF and the Trustee began accepting contribution payments to the SCCF in January 2005.
- In May 2007, the LDCF/SCCF Council approved programming directions (GEF/LDCF.SCCF.2/4, May 2006) for the programs on mitigation in different sectors and economic diversification, SCCF-C and SCCF-D, in line with Decision 1/CP.12.
- As of June 30, 2011, Parties had pledged a total of \$217.8 million towards the programs for adaptation and technology transfer. No voluntary contributions have been made towards mitigation in different sectors or economic diversification.
- At the end of the reporting period, the SCCF adaptation program had mobilized \$127.74 million for 24 full-sized projects, 6 medium-sized projects and one multi-trust fund programmatic approach in non-Annex I countries. These projects and programs leverage \$840 million in total co-financing (see also Section I.3 above). The SCCF program for technology transfer had mobilized \$6.15 million for three pilot projects under the Poznan Strategic Program on Technology Transfer. Moreover, the program financed the Technology Needs Assessment project for 35 to 45 countries with \$9 million.
- The independent GEF Evaluation Office launched an evaluation of the SCCF during the reporting period, the main findings of which will be made available by COP 17. The evaluation will focus on assessing the SCCF adaptation program. As for the remaining three

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programs, the evaluation will review issues pertaining to guidance as well as the availability and accessibility of funds. The evaluation considers three overarching questions: (i) What can we learn from the SCCF and its funded projects in terms of financing adaptation measures? (implementation of SCCF eligibility criteria and of the RBM framework in the identification, approval and monitoring of SCCF projects); (ii) What can we learn from the SCCF and its funded projects in terms of designing and implementing adaptation measures and approaches? (use of vulnerability assessments; alignment with national agendas; and prioritization of sectors, regions and adaptation measures); (iii) What lessons can be drawn from the governance and management of the SCCF as a whole? (adherence to principles of transparency, accountability, responsiveness and cost-effectiveness).

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**Decision 5/CP.16** provides further guidance for the operation of the Least Developed Countries Fund and reiterated the need to implement national adaptation programmes of action as soon as possible after completion. Specifically, decision 5/CP.16:

- Reiterates its request to the GEF, as an operating entity of the financial mechanism of the Convention operating the Least Developed Countries Fund, in parallel to supporting the ongoing implementation of national adaptation programmes of action, to facilitate the implementation of the remaining elements of the least developed countries work programme;
- Reiterates its request to the GEF to work with its agencies to improve communication with least developed country Parties and to speed up the process by, for instance, establishing a time frame within which least developed country Parties can access funding and other support for the preparation and implementation of projects identified in their national adaptation programmes of action;
- Requests the GEF to provide funding from the Least Developed Countries Fund to least developed country Parties, upon request, to enable the update of their national adaptation programmes of action with a view to further improving their quality, to facilitate the integration of least developed countries adaptation actions into development planning and to reflect increased adaptation knowledge and changed priorities in the countries;
- Requests the GEF to include, in its reports to the Conference of the Parties, information on specific steps it has taken to implement this decision, for consideration by the Conference of Parties at its subsequent sessions

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- As of June 30, 2011, the LDCF had approved funding for 48 NAPAs, out of which 45 were completed and the remaining three were in the final stages of preparation and expected to be completed during 2011. Of the 45 countries with approved NAPAs, all had submitted proposals for NAPA implementation projects and 39 had had their first projects approved for funding. As of July 1, 2010, a streamlined project cycle has been adopted under the LDCF, providing a maximum of 18 months for the preparation of full sized projects and allowing a one-step approval process for medium sized projects.
- In projects and programs submitted for funding under the LDCF, LDCs have successfully integrated core elements of the LDC work program.
  1. Public awareness of climate change impacts and appropriate adaptation measures is advanced through distinct components and outputs in more than 75 per cent of the projects and programs financed under the LDCF.
  2. The transfer and adoption of adaptation technology constitutes one of the strategic objectives of the LDCF. Accordingly, technology transfer in a variety of sectors; in the shape of technology information, hard technologies, as well as capacity building, coordination and policy; constitutes a major component of most LDCF projects (see also Part I, Chapter 2 above).
- More than a fifth of LDCF projects and programs strengthen the capacity of meteorological and hydrological services to collect, analyze, interpret and disseminate weather and climate information in accordance with priorities identified in NAPAs (see also table 40 below)

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- In November 2010, the GEF Secretariat published simplified guidelines on accessing resources under the LDCF (Accessing Resources under the Least Developed Countries Fund). These guidelines have been disseminated at Expanded Constituency Workshops, LDCF/SCCF Council meetings as well as other meetings with LDCs. To further enhance communications and to support LDCs in NAPA implementation, the Secretariat has supported and participated in six regional training workshops for the Least Developed Countries Expert Group (LEG) between October 2009 and March 2011. These workshops provided an opportunity for the GEF Secretariat to update the LEG on progress made in supporting NAPA implementation as well as to provide additional clarification regarding the project cycle including the implementation of recent GEF reforms in the operation of the LDCF.
- At the end of the reporting period, the GEF had not received requests from LDCs to support the update of NAPAs.

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**Decision 10/CP.16** provides additional guidance on capacity-building under the Convention for developing countries

- Invites Parties to enhance reporting on best practices related to capacity-building in their National Communications, submissions and other relevant documents, with a view to furthering learning and broadening the impact of capacity-building activities;
- [Requests] [Reiterates the request to] the Global Environment Facility, as an operating entity of the financial mechanism, to [increase] [continue to provide financial] [its] support to capacity-building activities in developing countries in accordance with decisions 2/CP.7 and 4/CP.9;

- The GEF, with its partner Agencies, is providing significant capacity building support, both through capacity components in regular projects/programmes including those supporting Convention obligations and through more targeted interventions across the focal areas (see Part I, section 4(h)).
- Capacity building is a key theme of GEF projects, and is embedded in the design of both mitigation and adaptation projects. In particular, capacity building for enabling activities and fulfilment of Convention obligations is identified as a distinct objective in a large number of projects.
- Among the mitigation project portfolio of 755 projects, 515 mitigation projects include activity components on capacity building. Among these 515 mitigation projects with capacity building components, 248 projects identify capacity building as a distinct project objective.
- Among the adaptation projects under the LDCF and the SCCF, distinct components on capacity building are found in all LDCF projects as well as in 28 out of 31 SCCF projects approved by the end of the reporting period. Financing for these components amounted to 25 and 18 percent of total LDCF and SCCF approvals respectively.
- The GEF also supports cross-cutting capacity development initiatives that encompass the various focal areas of the GEF. GEF-5 has five cross-cutting capacity development programmatic frameworks, implemented through the GEF CSP and SGP, as well as the CCCD projects.

Table 39

**SBI 34 Conclusions and Requests to the GEF during GEF-5 and GEF's Response (Summary)***SBI 34 Conclusions**GEF's Response*

Under SBI 34 agenda item 4, National Communications from Parties not included in Annex I to the Convention (d) Provision of financial and technical support (conclusion L.9), the SBI requested:

- GEF to continue to provide detailed, accurate, timely and complete information on its activities relating to the preparation of NCs by non-Annex I Parties, in accordance with decision 10/CP.2, paragraph 1 (b), including information on the dates of approval of funding and disbursement of funds,
- GEF to continue to provide information on the approximate date of submission of the draft NCs and an approximate date of submission of the NCs to the secretariat, for consideration by SBI 35.
- The SBI took note, with appreciation, of the information provided by the GEF in its oral report to the SBI on the expanded possibilities and options available to non-Annex I Parties to access resources for their National Communications and looked forward to being provided with information in the report of the GEF to the Conference of the Parties at its seventeenth session on this issue.
- GEF to continue to provide funds for technical support for the preparation of NAINCs.
- The SBI requested the GEF provide its response in the GEF report to the COP, specifically in the GEF table on status of NAI NCs, and present at the SBI 35.

Under SBI 34 agenda item 5. Financial mechanism of the Convention (conclusion L.17), the SBI requested:

- GEF to clarify in its annual report to COP 17, whether its activities in decision 5/CP.7, paragraph 7(a)(iv) fall within its mandate.
- The SBI requested the GEF also provide its response at the SBI 35.

Under SBI 34 agenda item 6. Article 6 of the Convention, the SBI requested:

- The SBI further invited the GEF and its implementing agencies to provide to the SBI at its thirty-fifth session information on resources made available for the implementation of Article 6 related activities for consideration at its thirty-sixth session.

Under SBI 34 agenda item 7. Matters relating to Article 4, paragraphs 8 and 9, of the Convention

- The GEF continues to provide detailed, accurate, timely and complete information on its activities relating to the preparation of National Communications by non-Annex I Parties, in accordance with decision 10/CP.2, paragraph 1 (b), including information on the dates of approval of funding and disbursement of funds,
- The GEF to continue to provide information on the approximate date of submission of the draft National Communications and an approximate date of submission of the National Communications to the UNFCCC secretariat,
- The GEF continues to provide full cost financing for National Communication
- The GEF affirms that its mandate under the LDCF and the SCCF covers these activities. A listing of projects funded under the LDCF and SCCF that are consistent with the decision is provided in table 37.
- The GEF is currently working with the agencies to compile the information which will be submitted as an addendum to the COP Report.
- As of June 30, 2011, LDCF had approved funding for 48 NAPAs,

*SBI 34 Conclusions**GEF's Response*

(b) Matters relating to the least developed countries (conclusion L.4), the SBI requested:

- LEG to continue to assist the LDCs that have not yet completed their NAPAs to complete and submit these as soon as possible, in collaboration with the Global Environment Facility and its agencies.
- The SBI requested the GEF also provide its response at the SBI 35.

out of which 45 were completed while the remaining three (Angola, Myanmar and Timor Leste) were in the final stages of preparation and expected to be completed during 2011

Under SBI 34 agenda item 12. Development and transfer of technologies (conclusion L.10), the SBI requested:

- COP 17 to invite the GEF to continue to provide financial support to other NAI Parties as appropriate to conduct or update their TNAs.
- GEF, Parties and relevant organizations in a position to do so invited to provide financial support for project proposals, including those for pilot projects of the types supported by the Poznan strategic programme related to technologies for adaptation.
- GEF to provide reports on progress made in carrying out its activities under the Poznan strategic programme.
- The SBI requested the GEF provide a report to the COP on progress made in carrying out its activities under the Poznan strategic programme, summarize its response in the GEF report to the COP, and present at the SBI 35.

• The Long-Term Program on Technology Transfer includes support for additional countries to carry out and/or update their TNAs. The GEF is therefore ready to consider supporting additional TNAs.

- The Long-Term Program on Technology Transfer includes piloting of priority technology projects to foster innovation and investments for both mitigation and adaptation. In addition, the entire GEF-5 climate change mitigation portfolio supports technology transfer. Technology transfer is also a strategic objective for the LDCF/SCCF.
- GEF plans provide a progress report to COP 17 and present it at the SBI 35.

Table 40

**Support from the LDCF and the SCCF towards Activities in Decision 5/CP.7, paragraph 7(a)(iv)**

<i>GEF ID</i>	<i>GEF Project title</i>	<i>Relevant outcome</i>	<i>Trust fund</i>	<i>LDCF/SCCF grant financing for relevant outcome</i>
3219	Reducing Climate Change-induced Risks and Vulnerabilities from Glacial Lake Outbursts in the Punakha-Wangdi and Chamkhar Valleys	1. Improved national, regional, and local capacities to prevent climate change-induced GLOF disasters in the Punakha-Wangdi and Chamkhar Valleys	LDCF	295,000
3358	Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa	1. Climate risk information management	LDCF	610,000
3408	Implementing NAPA Priority Interventions to Build Resilience in the most Vulnerable Coastal Zones in Djibouti	3. Reduced losses from extreme climatic events and improved information for decision making	LDCF	460,000
3701	Enhancing Climate Risk Management and Adaptation in Burundi	1. Local population better equipped to adapt to climate change and variability.	LDCF	2,150,000
3716	Integrating Adaptation to Climate Change into Agricultural Production and Food Security in Sierra Leone	3.2 Agriculture climatic data collection and analysis for decision making	LDCF	177,400
3728	Strengthening of the Gambia's Climate Change Early Warning Systems	1. Enhanced capacity of hydro-meteorological services and networks for predicting climate change events and risk factors and issuing early warnings	LDCF	380,500
3838	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in flood prone areas	1. Early Warning System for climate change risks in Gishwati Ecosystem developed.	LDCF	660,000
3841	Improvement of Early Warning System to Reduce Impacts of Climate Change and Capacity Building to Integrate Climate Change into Development Plans	1. Improved reliability of hydro-climatic data	LDCF	537,500
4034	Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts	1. Increased knowledge and understanding of climate variability and climate induced threats on agricultural production, food security and vulnerability, in Lao PDR	LDCF	498,070
4227	Building adaptive capacity and resilience to climate change in Afghanistan	1. Increased capacity and knowledge base for assessment monitoring and forecasting of CC –to – water related risks in Afghanistan.	LDCF	900,000
<b>Sub-total for 10 LDCF projects</b>				<b>6,668,470</b>



2902	Adaptation to the Impact of rapid glacier retreat in the tropical Andes Project	3. Effective use of the information of the monitoring network as an input to planning in glacierized basins and decisions taken to support its long term operation.	SCCF	450,000
3934	Reducing disaster risks from wildfire hazards associated with climate change in South Africa	2. Early warning and hazard risk management systems are in place to deal with the additional fire risks associated with climate change	SCCF	1,269,000
4261	Integrating climate change risks into water and flood management by vulnerable mountainous communities in the Greater Caucasus region of Azerbaijan	2. Key institutions have capacities, technical skills, tools and methods to apply advanced climate risk management practices for water stress and flood mitigation	SCCF	840,000
4492	Adaptation of Nicaragua's Water Supplies to Climate Change	1. Strengthening the ability of the national and municipal level government and communities to respond to extreme hydro meteorological events, such as sea level rise, increase in precipitation, floods, droughts, and natural disasters (hurricanes).	SCCF	1,000,000
<b>Sub-total for 4 SCCF projects</b>				<b>3,559,000</b>

Activities in decision 5/CP.7, paragraph 7(a)(iv) are: strengthening existing and, where needed, establishing national and regional systematic observation and monitoring networks (sea-level rise, climate and hydrological monitoring stations, fire hazards, land degradation, floods, cyclones and droughts).

## ANNEX 1: Summaries of Projects Approved under the GEF Trust Fund

1. China: *China Renewable Energy Scaling-Up Program (CRESP) Phase II* (World Bank, GEF: \$30 million; Total Cost: \$474.1 million)

GEF has financed the first phase of this World Bank project (CRESP). Building on achievements and lessons learned from the first phase, the objective of CRESP Phase II is to support Chinese government's 12th Five-Year Plan to enable continued and sustainable scale-up of commercial renewable energy development through cost reduction, efficiency improvement, and smooth integration to the grids, thereby contributing to government's target of reduction in carbon intensity. GEF will mainly finance technical assistance activities for policy implementation support, the removal of technological barriers, and capacity building, and incremental investment for technology improvement and demonstration.

2. Kazakhstan: *Reducing GHG Emissions through Resource Efficiency Transformation Program (ResET) for Industries* (EBRD, GEF: \$7.8 million; Total Cost: \$46.3 million)

The project will reduce energy consumption and associated GHG emissions by facilitating the adoption of more efficient technologies and processes in industries in Kazakhstan. EBRD will catalyze market transformation in the manufacturing sector in Kazakhstan by blending its financing with technical assistance and concessional funding to support improvements in industrial energy efficiency. Specifically, the project aims to establish a new Facility in Kazakhstan, the Resource Efficiency Transformation Program (ResET), to support EBRD's clients in implementing best international technologies and practices in the area of resource efficiency, especially to finance investment operations in the manufacturing sector.

3. Russia: *Russia Energy Efficiency Financing (REEF) Project* (World Bank, GEF: \$25 million; Total Cost: \$849.5 million)

The objective of the project is to reduce GHG emissions through the removal of barriers related to energy efficiency investments in industrial and municipal sectors. GEF support under the proposed project will be critical for unlocking the financing potential of large commercial banks with regards to investments in energy efficiency improvements in the industrial, utility and municipal sectors. Gazprom Bank and the World Bank will bring \$300 million each to establish credit lines for these investments, which will be supported by GEF technical assistance. In particular, GEF supports Municipal Energy Efficiency Action Plans, which will help develop a sound pipeline of municipal investments. In addition, the GEF will help broaden the market through the recruitment of other banks into the energy efficiency lending market.

4. Nigeria: *Small-scale Associated Gas Utilization* (World Bank, GEF: \$3 million; Total Cost: \$33.6 million)

The project will assist the Government of Nigeria to pursue its low-carbon development path by the use of associated gas which otherwise would have been flared and wasted. It will also stimulate further investment in energy efficient small-scale gas utilization technologies and practices by enhancing private sector engagement. GEF funds will be used to assess the technical and economic viability of using currently flared gas in various applications, supporting transformational scale-up of small scale utilization of associated gas. This assessment will lead to a demonstration facility to utilize flared gas.

5. Regional: *Pilot Asia-Pacific Climate Technology Network and Finance Center* (ADB/UNEP, GEF: \$10 million; SCCF: \$2 million; Total Cost: \$85 million)

This multi-trust fund project seeks to accelerate climate technology investments in developing countries of the Asia-Pacific region. The project will provide capacity building to create the necessary conditions to foster investments in climate technology transfer and mobilize appropriate financial resources from both public and private sources to catalyze investments in EST deployment. The project will pilot a regional approach to facilitating deployment of climate technologies, one that combines upstream and downstream support, from networking, capacity building and technical advice so as to establish enabling conditions, down to mobilization of financial resources to make investments happen. In short, it seeks to demonstrate the effectiveness of linking technology and finance mechanisms in catalyzing climate actions. (This project is also listed in Annex 2, Summaries of Projects Approved Under the LDCF and the SCCF in the SCCF section.)

6. China: *Green Energy Schemes for Low-Carbon City in Shanghai* (World Bank, GEF: \$4.8 million; Total Cost: \$252 million)

The overall objective is to pilot green energy schemes for low-carbon cities in Shanghai, with a focus in Changning District, thereby reducing GHG emissions. The project will focus on four components: (1) green buildings, including

retrofitting existing buildings and piloting new near zero-emission buildings (including smart metering); (2) low-carbon energy mix, including on-site distributed generation from renewable energy and natural gas and purchase of green electricity; (3) green transport with a focus on electric buses; and (4) integrating green energy schemes to achieve low-carbon objectives. At the Changning district level, the project will pilot innovative business models, financing mechanisms, and new low-carbon technologies, and integrating both supply and demand-side abatement options to achieve their low-carbon objective under all four components. At the Shanghai municipal level, new policies will be developed, particularly for building energy efficiency and renewable districted generation, which will be first piloted in Changning district. If successful, the Changning model has a wide replication potential in Shanghai and China.

7. China: *GEF Large-City Congestion and Carbon Reduction Project* (World Bank, GEF: \$20 million; Total Cost: \$108.3 million)

The objective of the project is to alleviate traffic congestion in large cities and to achieve GHG emission reduction through policy formulation and development and demonstration of National Public Transit Metropolis Action Plan (NPTMAP). The project will develop and demonstrate a comprehensive package of measures including infrastructure, policies, economic incentives and capacity building, to discourage private car use while supporting high-capacity, low-carbon transport modes. The incremental activities under GEF financing will include: (a) Technical assistance on the development of NPTMAP and transportation demand management (TDM) policy framework at the national level; (b) Technical assistance on the design of the proposed public transport infrastructure in the demonstration cities, including Bus Rapid Transit (BRT) lines and bus dedicated lanes; (c) Development and upgrading of related intelligent transportation system (ITS) systems for TDM and public transport in the demonstration cities; (d) Development and implementation of TDM implementation plan for each city respectively; (e) Capacity building on TDM and Public Transit Metropolis development, including workshops and training on public transport service improvement and TDM policy and measures development and implementation.

8. Jamaica: *Integrated Management of the Yallahs River and Hope River Watersheds* (IADB, GEF: \$4.3 million; Total Cost: \$12 million)

This multi-focal area project brings together resources from the biodiversity and land degradation focal areas and accesses resources from the SFM/REDD+ window to support an integrated approach to reduce pressures on the natural resources and biodiversity of the Yallahs River and Hope River Watersheds of the Blue Mountains by increasing the practice of SLM resulting in improved management of biological diversity and enhanced flow of ecosystem services that sustain local livelihoods. The project complements IADB loans with activities geared towards improved agricultural and forest management and the incorporation of biodiversity and ecosystem service values into land and spatial planning which defines land-use in the project area.

9. Belarus: *Landscape Approach to Management of Peatlands Aiming at Multiple Ecological Benefits* (UNDP, GEF: \$3 million; Total Cost: \$12.6 million)

The project will promote integrated management of peatlands at landscape level, with a demonstration in the Poozerie landscape, to conserve biodiversity, enhance carbon sinks, and secure multiple ecosystem services. The project will demonstrate ways and means of improving peatland management, and strengthen national policies governing peatland management including inter alia sustainable peatland forest management. Under the climate change focal area, the project will restore degraded peatlands to natural condition. Under SFM, the project will develop a new model for peatland forests management, encouraging sustainable land uses such as wildlife management and the production of non-timber forest resources. The current measurement, reporting and verification (MRV) system for trading peatland carbon emissions reductions in Belarus will be used and improved on the basis of its application at new biotopes. A pipeline of forest peatland restoration projects will be developed for the voluntary and compliance markets through the ecosystem carbon mechanism.

10. Turkey: *Integrated Approach to Management of Forests in Turkey, with Demonstration in High Conservation Value Forests in the Mediterranean Region* (UNDP, GEF: \$7.8 million; Total Cost: \$28.8 million)

The project seeks to promote an integrated approach to management of forests in Turkey, demonstrating multiple environmental benefits in high conservation value forests in the Mediterranean forest region. The rationale is to attack several problems in an integrated package: enhance Turkey's readiness for REDD+; improve MRV system for carbon, designed for national-level but applying it in the Mediterranean forest region; implement and demonstrate forest carbon management activities on the ground including fire prevention; work on integrated pest management to reduce carbon losses to pests; establish new protected areas for biodiversity in these Mediterranean forests. Through a baseline project, a micro-crediting program for locals to avoid illicit cutting of native forests will be conducted at the same time.

11. Azerbaijan: *Sustainable Land and Forest Management in the Greater Caucasus Landscape* (UNDP, GEF: \$6.4 million; Total Cost: \$17.8 million)

The project secures the flow of multiple ecosystem services, including carbon storage and sequestration, while ensuring

ecosystem resilience to climate change. The project seeks to create synergies between Land Degradation and Climate Change focal areas through SLM and sustainable forest management (SFM) interventions. The project will improve the enabling framework for SLM and SFM and at the same time address grazing practices and pasture management at the field level in order to achieve global environment benefits. The project will directly contribute to forest and pastureland restoration and improved land and forest management in Azerbaijan.

12. South Africa: *Greening the COP 17 in Durban* (UNIDO, GEF: \$1.1 million; Total Cost: \$2.5 million)

The project seeks to demonstrate South Africa's commitment to reduce GHG emissions, promote renewable energy sources and broaden climate change awareness by decision-makers and the general public, with a focus on showcasing targeted activities under the National Greening Program and the South Africa–GEF partnership during the COP 17 meeting in Durban 2011. The project will highlight opportunities for countries to take tangible early steps to reduce emissions and adapt to climate change, establish a foundation for development of small and medium enterprises to develop innovative technologies to promote economic development and enhance competitiveness in South Africa and showcase low carbon energy technologies and transportation systems supported by GEF. The activities of this project will not only build on the initiatives developed and experience gained during the Greening of the FIFA World Cup, but also emphasize South Africa's national priorities and GEF's commitment to promote renewable energy and energy efficiency technologies and measures to reduce carbon footprints of COP 17. The project will also provide South African government in partnership with GEF an international forum to demonstrate its commitment to climate change mitigation and adaptation.

13. Global: *Fifth Operational Phase of the GEF Small Grants Program* (UNDP, GEF: \$148.1 million; Total Cost: \$282.7 million).

Launched in 1992, the SGP is a mechanism by which the GEF contributes to the overall objective of the UNFCCC at the community level. SGP contributes to the achievement of GEBs through support to community climate change projects. Grants are made directly to CSOs and community-based organizations (CBO) in recognition of the key role they play as a resource and constituency for climate change concerns. SGP supports initiatives in the areas of renewable energy, energy efficiency, environmentally sustainable transport projects, and CBA. These projects also become capacity building endeavors at the institutional level, because of the highly decentralized and demand-driven nature of these projects and the use of processes that encourage maximum country and community-ownership. SGP operates on the premises that local people are empowered to protect the environment when they are organized to take actions, have a measure of control over access to the natural resource base, can deploy the necessary information and knowledge, and believe that their social and economic welfare is dependent on sound long-term natural resource management—all of which are integral aspects of SGP projects. The coming four years of the SGP, the 5th Operational Phase (OP5), will be a continuation of the ongoing modality and operational approach that has been refined and consistently improved over the previous 18 years. The program will be implemented in 126 countries with objectives and expected outcomes build directly on the GEF's strategic priorities for GEF-5. Because the grants to be provided by the SGP in OP5 have yet to be selected, in each country SGP can support a strategic approach by ensuring funding for civil society and community-level grants that are in line with global GEF priorities. When possible and relevant, the SGP supports integrated and synergistic multi-focal area approaches. While the SGP is consistent with GEF strategies for each focal area, the SGP is a strategic program of the GEF that addresses environmental issues in an integrated manner through all focal areas. Regarding Climate Change focal area, SGP objectives will be consistent with and support the first, fourth and fifth climate change strategic objectives for GEF-5. In line with the first GEF strategic objective, for OP5 SGP will provide grants to promote the demonstration, development and transfer of innovative low-carbon solutions at the community level, such as micro-solar power and fuel-efficient stoves. In line with the fourth GEF strategic objective for climate change, SGP will promote energy efficient, low carbon transport at the community level, for example with support for low-emission and energy efficient motor scooters and small boat motors, which make up the majority of individual motorized transport in rural areas. In line with the fifth GEF strategic objective, the SGP supports the conservation and enhancement of carbon stocks through LULUCF activities including development of carbon monitoring systems (linking, where appropriate, with other relevant international initiatives, such as REDD).

14. Kenya: *Fifth Operational Phase of the GEF Small Grants Program* (UNDP, GEF: \$5.5 million; Total Cost: \$11 million)

The project objective is to secure GEBs through community-based initiatives and actions in key terrestrial and marine ecosystems of Kenya. The project will also enhance capacity of civil society and community based organizations to address these objectives. The Climate Change Mitigation component will remove (a) information, know-how and financial barriers to the adoption of modern biogas installations and other renewable energy technologies, to achieve upscale and replication of SGP GEF-4 pilot initiatives. (b) Information and capacity barriers for participation of small scale renewable energy producers in the Feed-in Tariffs (FIT).

15. Mexico: *Fifth Operational Phase of the GEF Small Grants Program in Mexico* (UNDP, GEF: \$4.8 million; Total Cost: 14.6 million)

The project will conserve Mexico's Southeastern large ecosystems and to help mitigate climate change through community based initiatives and actions. The Climate Change Mitigation component will promote maintenance of carbon stocks in community-owned lands in Mexico's Southeastern forest ecosystems.

16. Pakistan: *Fifth Operational Phase of the GEF Small Grants Program in Pakistan* (UNDP, GEF: \$3 million; Total Cost: \$6.6 million)

The project will ensure a mosaic of land uses and community practices across the rural landscape that provide sustainable livelihoods while generating global benefits in terms of biodiversity conservation, reduced GHG emissions and increased carbon storage. The project will also enhance capacity of civil society and community based organizations to address these objectives. The Climate Change Mitigation component includes demonstration, deployment, and transfer of renewable energy and energy efficient technologies as well as conservation and enhancement of carbon stocks through sustainable use of land, land use changes and forestry.

17. Costa Rica: *Fifth Operational Phase of the GEF Small Grants Program* (UNDP, GEF: \$4.8 million; Total Cost: \$9.4 million)

The project will achieve GEBs through community-based initiatives and actions that address habitat fragmentation and enhance ecological connectivity in twelve biological corridors linking eight Protected Areas and their buffer zones. The climate change mitigation component will encourage uptake of energy efficient and renewable energy technologies by rural households and for production processes and prevention and management community forest fire. Carbon stocks will be increased through community-based actions on forest protection, reforestation, and natural regeneration.

18. India: *Fifth Operational Phase of the GEF Small Grants Program* (UNDP, GEF: \$5.4 million; Total Cost: \$11.4 million)

The project will ensure a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits across STAR focal areas. Under the climate change mitigation focal area, the project will promote energy efficient wood/biomass burning stoves at the community level. The project will also provide grants to promote the demonstration, development and transfer of renewable energy solutions at the community level, such as micro hydro power, and solar home systems, which will also lead to investments in renewable energy and reduced GHG emissions.

19. Bolivia: *Fifth Operational Phase of the GEF Small Grants Program* (UNDP, GEF: \$4.5 million; Total Cost: \$10.5 million)

The project seeks to secure GEBs through strategic and integrated community-based actions in biodiversity, climate change mitigation, and sustainable land management in the Chaco eco-region of Bolivia. The Climate Change Mitigation component will promote investments in renewable energy technologies and enhance carbon stocks in forest and non forest lands.

## ANNEX 2: Summaries of Projects Approved under the LDCF and the SCCF

### 1. LDCF Projects and Programs approved in FY 2011

1. Burundi: *Enhancing Climate Risk Management and Adaptation in Burundi (ECRAMB)* (AfDB, LDCF: \$3.5 million; Total Cost: \$19.2 million)

The objective of the project is to integrate relevant information on climate change, including variability, into national and sub-national decision-making processes for better awareness, preparedness and adaptation, through enhanced capacity of the population to adapt to climate change and reduce vulnerability. The main component will invest in: (i) the improvement of the climate and hydrological observation networks to generate improved climate information and appropriate data to enhance baseline investments in conservation and production; (ii) the development of national meteorological and hydrological GIS datasets supporting planning and implementation of adaptation, risk reduction and climate proofing interventions; (iii) piloting of new enhanced methodologies for soil and water conservation in the watershed in the face of climate change and modification of baseline investments in order to demonstrate climate change proofing. Other components in the project include: capacity building and knowledge management.

2. Gambia: *Strengthening of the Gambia's Climate Change Early Warning Systems* (UNEP, LDCF: \$1.2 million; Total Cost: \$2.7 million)

The objective of the project is to enhance adaptive capacity and reduce vulnerability to climate change through a strengthened early warning and information sharing mechanism for a better informed decision making by government and affected population. The project will therefore implement the second NAPA priority for the Gambia, that of strengthening the early warning system. The following outcomes will be delivered: (i) enhanced capacity of hydro-meteorological services and networks for predicting climate change events and risk factors; (ii) more effective, efficient and targeted delivery of climate information including early warnings; (iii) improved and timely preparedness and response of various stakeholders to climate risks and vulnerabilities forecasts.

3. Cambodia: *Vulnerability Assessment and Adaptation Program for Climate Change within the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems* (UNEP, LDCF: \$1.8 million; Total Cost: \$6 million)

The project will work to increase the resilience of natural ecosystems, such as mangrove forests, along the coast and reduce vulnerability of coastal communities to climate change impacts and risks. To achieve its objective, the project will inter alia rehabilitate degraded mangrove forests, introduce alternative livelihoods, protect agricultural production systems and raise awareness regarding climate change, its impacts and appropriate adaptation mechanisms. This will be realized through the achievement of the following outcomes: (i) institutional capacity to assess climate change risks and integrate them into national development policies strengthened; (ii) adaptation planning in the coastal zone improved; (iii) vulnerability of productive systems to increased floods reduced; (iv) resilience of coastal buffers to climate change increased and livelihoods improved.

4. Afghanistan: *Building Adaptive Capacity and Resilience to Climate Change in Afghanistan* (UNEP, LDCF: \$5.5 million; Total Cost: \$21.5 million)

The proposed LDCF project will address climate change to water-related threats and risks in Afghanistan by implementing a set of interventions that will strengthen the institutional capacity to monitor and predict future changes in order to support decision making to address climate change while helping local populations to adapt through the promotion of sustainable natural resources management practices and resilient livelihoods. Project interventions include: (i) increasing capacity and knowledge base on assessment, monitoring and forecasting of climate change to water-related risks in Afghanistan; (ii) integrating climate change risks into relevant policies, plans and programs (at national and sub-national levels); (iii) reduction of climate change vulnerability in the selected project sites through use of appropriate technologies for improved water use efficiency and increased environmental resilience; (iv) increasing knowledge of good practices on increasing climate change resilience.

5. Senegal: *Climate Change adaptation project in the areas of watershed management and water retention* (IFAD, LDCF: \$5.63 million; Total Cost: \$14.5)

The objective of this project is to increase the resilience of agricultural production systems and associated value chains to climate impacts in the water sector by ensuring the supply and availability of water for agricultural use in a scenario of increasing climate change-induced water scarcity. The intervention will be structured around five components: (i) capacity building, awareness raising and knowledge management at the national level; (ii) water harvesting and watershed management; (iii) water conservation and efficient irrigation; (iv) monitoring and evaluation; and (v) project

management. The project will contribute to food security and rural livelihoods objectives undermined by the effects of climate change.

6. Liberia: *Enhancing Resilience to Climate Change by Mainstreaming Adaptation Concerns into Agricultural Sector Development in Liberia* (UNDP, LDCF: \$2.7 million, Total Cost: \$8.8 million)

The objective of the project is to increase the resilience of poor, agricultural-dependent communities and decrease vulnerability of the agricultural sector to climate change in Liberia. Specific contributions towards the reduction of vulnerabilities to climate change will be achieved through the pursuit of specific outcomes including: (i) integrating concerns into relevant policies and planning processes at the state and national levels; (ii) comprehensive capacity development for individuals in national agencies focusing on agriculture and in pilot countries, and farmers; (iii) demonstration of risk reduction strategies and measures at pilot sites; (iv) strengthening technical capacity to integrate climate change risk management into farmer level agricultural capacity; and (v) capturing and disseminating lessons learned to stakeholders.

7. Sao Tomé and Príncipe: *Strengthening the Adaptive Capacity of Most Vulnerable Sao Tomean's Livestock-keeping Households* (AfDB, LDCF: \$2.3 million; Total Cost: \$10 million)

The project objective is to improve the resilience of livestock systems in support of the productivity of stockbreeding. The adaptive alternative proposed through this GEF project builds on the behavior of farmers in Sao Tomé and Príncipe, explores how they have adapted livestock management to climate change across the country over the years, and what support they need to enhance their coping mechanisms with and climate change and variability. The LDCF incremental financing will primarily support and supplement all these baseline programs by (i) strengthening the adaptive capacity of most vulnerable livestock-keeping households; (ii) mainstreaming adaptation options into the national development strategy on livestock; and (iii) building indigenous capacity on livestock system adaptation to climate change through integrated sustainable livestock centers demonstrating breed's resilience, rangeland management, animal waste management, bio-agriculture and animal-feed.

8. Mozambique: *Adaptation in Coastal Zones of Mozambique* (UNDP, LDCF: \$5 million; Total Cost: \$13.8 million)

Mozambique has the third longest maritime coastline in Africa (2700 km) and the majority of the population lives in coastal zones. These populations are particularly vulnerable to climate change. The objective of the project is to develop the capacity of communities living in the coastal zones of Mozambique to manage climate change risks by (i) providing climate change risks and adaptation options analysis and mainstreaming it into policies, investment plans and sector budgets at the national and sub-national levels; (ii) piloting demonstration projects to increase the capacity of communities living in the coastal zones to cope with climate change impacts such as coastal erosion and to improve coastal ecosystem resilience to climate change; and (iii) knowledge management to enable the replication of climate change adaptation measures in coastal zones.

9. Central African Republic: *Integrated Adaptation Program to Combat the Effects of Climate Change on Agricultural Production and Food Security in the Central African Republic* (UNDP, LDCF: \$3.1 million; Total Cost: \$8.7 million)

The project will focus on creating the necessary enabling environment at all levels to support the integration of climate change risk management into national and local planning frameworks as well as in agricultural plans. Specific contributions towards the reduction of vulnerabilities to climate change will be achieved through the pursuit of specific project outcomes including: (i) policy, institutional and financial capacities developed and strengthened to plan for and manage climate change risks to the agricultural sector; (ii) adapted agro-pastoral options implemented in key vulnerable areas; (iii) knowledge/experiences shared, capitalized and disseminated. The project will focus on specific vulnerable regions that are representative of key agro-ecological regions of the country, thus providing a basis for future scale-up of proven techniques and practices, including participatory plant breeding.

10. Haiti: *Strengthening Climate Resilience and Reducing Disaster Risk in Agriculture to Improve Food Security in Haiti Post Earthquake* (FAO, LDCF: \$3 million; Total Cost: \$8.3 million)

The objective of this project is to increase the resilience of vulnerable farmers including their livelihoods and agro-ecosystems to the impacts of climate change and variability in the post-earthquake crises through the integration of disaster risk management and adaptation practices in the agricultural sector and replication of more hazard-resilient crop varieties and cultivation technologies. It will implement an integrated strategy for adaptation in crop production-focused interventions with emphasis on the enhancement of rural smallholder food security (availability and access) and disaster risk management (DRM). Given the countrywide vulnerability of small-scale farmers and the intensification of climate-related impacts on rural livelihoods, the proposed project has been designed as an integrated countrywide project.

11. Maldives: *Increasing Climate Change Resilience of Maldives through Adaptation in the Tourism Sector* (UNDP, LDCF: \$1.8 million; Total Cost: \$3.5 million)

Tourism resorts in the Maldives are regularly exposed to major climate hazards, including windstorms, heavy rainfall, extreme temperatures and drought, sea swells, and storm surges. LDCF support will provide the tourism sector in Maldives with the required policy environment, regulatory guidance, technical skills and knowledge to ensure that climate change-related risks can be systematically factored into day-to-day tourism operations. The project will strengthen the capacity of the Ministry of Tourism, Arts and Culture and tourism businesses to recognize evident climate risk issues in tourism operations and adopt appropriate adaptation measures to address them. The project is structured around 3 outcomes: (i) strengthened adaptive capacity of the tourism sector to reduce risks to climate-induced economic losses; (ii) reduced vulnerability of at least 10 tourism operations and 10 tourism-associated communities to the adverse effects of climate change; and (iii) transfer of climate risk financing solutions to public and private sector tourism institutions.

12. Regional, Africa: *Sahel and West Africa Program Supporting the Great Green Wall Initiative* (World Bank) (LDCF Project Grant: \$16 million; SCCF Project Grant: \$5 million; Total Cost: \$366 million)

This multi-trust fund program supports the implementation of a country-driven vision for integrated natural resource management for sustainable and climate-resilient development in the Sahel region. The program responds to a series of high level ministerial meetings (N'djamena June and November 2010; Bonn 2011) through which countries in the Sahel region have consistently called for an international partnership to implement their vision. The program builds on a series of baseline investments amounting to \$1.8 billion in co-financing in 12 countries. The investments cover agriculture, food security, disaster risk management, rural development, and watershed management. The program leverages GEF resources under STAR according to country allocations as well as LDCF and SCCF resources according to eligibilities and the principle of equitable access under the LDCF. Each country will design a GEF project based on national level priorities for STAR resources and, where LDCF and SCCF are utilized, in accordance with NAPA priorities and National Communications. The different projects will directly address the priorities of the Climate Change Adaptation focal area for LDCF and SCCF as well as the GEF Land Degradation, Biodiversity, and Climate Change focal areas. The program will also leverage incentive financing from the SFM/REDD+ Program to increase focus on forest landscapes. (This project is also listed in Annex 1, Summaries of Projects Approved Under the GEF Trust Fund, and in the SCCF section below.)

## 2. SCCF Projects and Programs approved for FY 2011

13. Swaziland: *To Promote the Implementation of National and Transboundary Integrated Water Resource Management that is Sustainable and Equitable Given Expected Climate Change* (UNDP, SCCF: \$1.9million; Total Cost: \$8 million)

The goal of the project is to ensure that national and transboundary water resources management is adapted to the expected impact of climate change. The project will deliver adaptation benefits in relation to water resources management that is sustainable in the face of expected climate change and the protection of livelihoods, by (i) developing policy response options derived from community level and macro-level analysis of risks and (ii) developing tolls for equitable water resources management that is sustainable in the face of climate change and (iii) adjusting sectoral investment plans on water and agriculture. In addition, it will contribute to tripartite negotiations on water allocation between Swaziland, and its neighboring countries who share the same water resources, namely Mozambique and South Africa.

14. Azerbaijan: *Integrating Climate Change Risks into Water and Flood Management by Vulnerable Mountainous Communities in the Greater Caucasus Region of Azerbaijan* (UNDP, SCCF:\$ 3.1 million; Total Cost: \$10.3 million)

The goal of the project is to sensitize the water management policies to the long term risks of climate change. The project will reduce vulnerability of the communities of the Greater Caucasus region of Azerbaijan to water stress and hazards by improved water and flood management. The project involves the following outcomes: (i) water and flood management framework is modified to respond to adaptation needs and improve climate risk management on over 22,067 sq. km of land in the highly vulnerable region of the Greater Caucasus; (ii) key institutions have capacities, technical skills, tools and methods to apply advanced climate risk management practices for water stress and flood mitigation; (iii) community resilience to floods and water stress improved by introducing locally tailored climate risk management practices benefiting over one million people in 22,067 km<sup>2</sup> of the southern slopes of the Greater Caucasus.



15. Indonesia: *Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities* (UNDP, SCCF: \$5.5 million; Total Cost: \$60 million)

The objective of the project is to enable the province of Nusa Tenggara Timor to strengthen climate resilience of rural communities and to improve livelihood, food, and water security. The project will focus on three specific outcomes: (i) capacity developed to integrate climate resilience in sustainable development planning at the provincial level; (ii) local government and rural communities have integrated climate resilience actions in their development plans; (iii) livelihoods and sources of income diversified and strengthened for vulnerable rural communities in three districts. The scope of the project involves active participation of local volunteers to reinforce local ownership and mobilize communities to be active participants through volunteer action in the process of adaptation to climate change through knowledge generation and management and capacity building, ensuring that vulnerable groups have the opportunity to participate in the decision-making processes that affect their lives.

16. Ghana: *Promoting a Value Chain Approach to Adaptation in Agriculture* (IFAD, SCCF: \$2.9 million; Total Cost: \$11.4 million)

The project addresses the risks to the achievement of Ghana's development priority to increase the food security and income of the rural poor. The objective is to promote activities that can help overcoming climate-induced risks to the achievement of food security and income generation for rural communities in Ghana, by minimizing: (i) the direct impacts of climate change on root and tuber production and processing, particularly in terms of water use efficiency; and (ii) the socio-economic vulnerability to climate change of the poorest segment of the population, particularly women, engaged in the cultivation of cassava and other agricultural products and processing as their source of livelihood.

17. Tajikistan: *Increasing Climate Resilience Through Drinking Water Rehabilitation in North Tajikistan* (EBRD, SCCF: \$3 million; Total Cost: \$26 million)

The objective of this project is to build the climate change resilience of water supplies in seven cities in Northern Tajikistan, by (i) encouraging water use efficiency, (ii) more reliable and climate resilient water sources and rehabilitating water supply infrastructure, and (iii) reforming water utility management including tariff reform, leading to more sustainable supplies of safe drinking water that are resilient to the expected impacts of climate change, and are environmentally and financially sustainable. This project will make an important contribution towards improving the preparedness of communities in the project area for climate change. It will also help to build the institutional capacity needed for this infrastructure to be managed and maintained in a sustainable manner, including financial sustainability.

18. Nicaragua: *Adaptation of Nicaragua's Water Supplies to Climate Change* (World Bank, SCCF: \$6.6 million; Total Cost: \$38.1 million)

The objective of the project is to enhance the current and future climate resilience of investments in water supply and rural sectors. The proposed SCCF grant will finance four components: (i) institutional strengthening for the integration of climate impacts in water resources management; (ii) protection of micro-watersheds and water sources from climate-induced vulnerabilities; (iii) investment in supply- and demand-side measures to increase drinking water availability in vulnerable areas through supply-augmenting and efficiency measures; and (iv) coastal wetland protection and reduction of vulnerability to sea level rise in order to reduce climate-induced impacts on drinking water supplies in vulnerable areas. All of the activities proposed for SCCF financing will be additional to ongoing and planned investments by the Government of Nicaragua and by the World Bank.

19. Regional, Africa: *Sahel and West Africa Program Supporting the Great Green Wall Initiative* (World Bank) (LDCF Project Grant: \$16 million; SCCF: \$5 million; Total Cost: \$366 million)

This multi-trust fund program supports the implementation of a country-driven vision for integrated natural resource management for sustainable and climate-resilient development in the Sahel region. The program responds to a series of high level ministerial meetings (Njamena June and November 2010; Bonn 2011) through which countries in the Sahel region have consistently called for an international partnership to implement their vision. The program builds on a series of baseline investments amounting to \$1.8 billion in co-financing in 12 countries. The investments cover agriculture, food security, disaster risk management, rural development, and watershed management. The program leverages GEF resources under STAR according to country allocations as well as LDCF and SCCF resources according to eligibilities and the principle of equitable access under the LDCF. Each country will design a GEF project based on national level priorities for STAR resources and, where LDCF and SCCF are utilized, in accordance with NAPA priorities and National Communications. The different projects will directly address the priorities of the Climate Change Adaptation focal area for LDCF and SCCF as well as the GEF Land Degradation, Biodiversity, and Climate Change focal areas. The program will also leverage incentive financing from the SFM/REDD+ Program to increase focus on forest landscapes. (This project is also listed in Annex 1, Summaries of Projects Approved Under the GEF Trust Fund, and in the LDCF section above.)

20. Regional, Asia: *Pilot Asia-Pacific Climate Technology Network and Finance Center* (ADB-UNEP, GEF \$10 million; SCCF: \$2 million; Total Cost: \$85 million)

This multi-trust fund project supports the deployment of technologies for both climate change mitigation and adaptation in the developing countries of the Asia-Pacific region. With respect to adaptation, the project will directly contribute to SCCF priority areas on technology transfer, including the implementation of TNAs, technology information, capacity building for technology transfer and enabling environments. The project will focus on piloting innovative financial mechanisms and catalyzing investments in climate change adaptation technologies in priority sectors, such as water, agriculture/food security, health, and coastal zone development. (This project is also listed in Annex 1, Summaries of Projects Approved Under the GEF Trust Fund.)

21. Albania, Macedonia and Serbia: *Southeastern Europe and Caucasus Catastrophe Risk Insurance Facility* (SEEC CRIF) (World Bank, SCCF Project Grant \$6 million; Total Cost: \$27.6 million)

The project aims to provide affordable catastrophe and weather risk insurance products to farmers, SMEs, homeowners and governments with a view to reducing their financial exposure to climate change. SCCF funding will enable participating countries to expand upon the existing baseline project by supporting additional activities that will not only assess climate change in the context of catastrophes and weather risk, but also develop insurance products to help those at risk to adapt and become more resilient to climate change. SCCF funds will also help develop insurance products that will encourage the public to further reduce the risk of climate change by offering lower product prices for those who have undertaken adaptation and mitigation activities.

### **ANNEX 3: Status of National Communications from Parties Not Included in Annex I of the Convention**

1. Information was compiled by the Implementing Agencies (UNDP and UNEP) as of March 2010. The table below was submitted to the GEF by the National Communications Support Program.

**STATUS OF NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED  
IN ANNEX I TO THE CONVENTION**

*Important note: Information was compiled by the Implementing Agencies (UNDP and UNEP). The table below was submitted to the GEF by the National Communications Support Program. We kindly request parties to inform their respective implementing agencies if there are inconsistencies in the information below.*

*(INC – Initial National Communication, SNC – Second National Communication, TNC – Third National Communication, FNC – Fourth National Communication IA-Implementing Agency, EA-Executing Agency)*

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
1. Afghanistan	UNEP	INC under preparation	12-Feb-08	420,000	16-Mar-10	Dec-12	Apr-13	<input checked="" type="checkbox"/> National Circumstances: More than 75% completed <input checked="" type="checkbox"/> GHG Inventories: 25 – 50% completed <input checked="" type="checkbox"/> V&A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
2. Albania	UNDP	23-Nov-09 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Self-assessment funds for TNC allocated <input checked="" type="checkbox"/> IA Awaiting submission of TNC project document
3. Algeria	UNDP	25-Nov-10 (SNC)	--	--	--	--	--	--
4. Angola	UNEP	INC under preparation	04-Sep-08	420,000	01-Apr-09	Jul-11	Sep-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V&A Analysis: More than 75% completed <input checked="" type="checkbox"/> Mitigation Analysis: More than 75% completed <input checked="" type="checkbox"/> Other Information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed
5. Antigua and Barbuda	UNDP	10-Sep-01 (INC)	18-Apr-06	420,000	6-Jun-06	Nov-10	To be determined as soon as the revised report is finalized	<input checked="" type="checkbox"/> All components completed
6. Argentina	WB	7-Mar-08 (SNC)	--	--	--	--	SNC submitted	<input checked="" type="checkbox"/> Project Document for TNC endorsed by GEF CEO 1 Oct-10 for the amount of \$2,439,209
7. Armenia	UNDP	7-Sep-10 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Self-assessment funds for TNC allocated <input checked="" type="checkbox"/> IA Awaiting submission of TNC project document
8. Azerbaijan	UNDP	23-May-00 (INC)	21-Jul-05	420,000	28-Jul-05	Sent for Publication	Dec-11	<input checked="" type="checkbox"/> TNC self-assessment funds requested

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
9. Bahamas	UNDP	5-Nov-01 (INC)	22-May-06	420,000	19-Jun-06	Jul-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: 50-75% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed
10. Bangladesh	UNDP	12-Nov-02 (INC)	2-Aug-07	420,000	10-Nov-08	Mar-2011	Jun-11	<input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed
11. Bahrain	UNEP	20-April-05 (INC)	31-Jan-07	420,000	04-Apr-07	Apr-2011	Jun-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information More than 75% completed <input checked="" type="checkbox"/> Constraints & Gaps: More than 75% completed Project Cooperation Agreement (PCA) for TNC between Bahrain and UNEP sent to Country for signature
12. Barbados*	UNDP	30-Oct-01 (INC)	22-Nov-06	420,000	1-Dec-06	--	--	* IA did not receive a reply from the EA.
13. Belize	UNDP	16-Sep-02 (INC)	24-Mar-06	470,000 Includes TNA	2-May-06	Oct-09	To be determined by the government	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project document under preparation
14. Benin	UNDP	21-Oct-02 (INC)	26-Oct-06	420,000	Jul-07	Apr-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed
15. Bhutan	UNDP	13-Nov-00 (INC)	30-May-07	420,000	Aug-07	Jul-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: 50-75% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
16. Bolivia	UNDP	2-Dec-09 (SNC)	11-February-11	500,000	--	--	--	<input checked="" type="checkbox"/> TNC initiation phase underway
17. Bosnia & Herzegovina	UNDP	26-May-2010 (INC)	29-Sep-10	500,000	6-Dec-10	--	--	<input checked="" type="checkbox"/> SNC underway
18. Botswana	UNDP	22-Oct-01 (INC)	23-Dec-05	420,000	3-Feb-06	Sep-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed
19. Brazil	UNDP	30-Nov-10 (SNC)	6-June-10	5,720,000	--	--	--	<input checked="" type="checkbox"/> TNC initiation phase underway
20. Burkina Faso	UNDP	16-May-02 (INC)	5-Jun-06	420,000	27-Jul-06	Apr-11	Apr-11	<input checked="" type="checkbox"/> All components complete
21. Burundi	UNDP	28-Jun-10 (SNC)	--	--	--	--	--	----
22. Cambodia	UNDP	8-Oct-02 (INC)	9-May-06	420,000	24-Jun-06	Dec-10	Dec-11	<input checked="" type="checkbox"/> All components complete
23. Cameroon	UNEP	31-Jan-05 (INC)	03-Feb-09	420,000	17-Feb-09	Dec-12	--	<input checked="" type="checkbox"/> National Circumstances: 50% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 50% completed <input checked="" type="checkbox"/> V&A Analysis Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
24. Cape Verde	UNDP	13-Nov-00 (INC)	30-Jan-07	420,000	July-07	Apr-11	May 2011	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> Request for TNC self-Assessment funds received.
25. Central African Republic	UNEP	10-Jun-03 (INC)	30-Aug-06	420,000	13-Nov-06	Dec-12	Mar-13	<input checked="" type="checkbox"/> National Circumstances: 50-75% completed <input checked="" type="checkbox"/> GHG Inventories: 25-50% completed <input checked="" type="checkbox"/> V&A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated

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26. Chad	UNDP	29-Oct-01 (INC)	30-Jan-07	420,000	Jun-07	Aug-11	Jun-12	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed
27. Chile	UNDP	8-Feb-00 (INC)	8-Sep-06	420,000	Aug-07	Jun-11	Aug-11	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> Self-assessment for TNC funds allocated <input checked="" type="checkbox"/> TNC Project document currently under preparation
28. China	UNDP	10-Dec-04 (INC)	18-Jan-07	5,350,000 Includes PDF funds	Dec-08	Aug-11	Jun-12	<input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> National Circumstances: <25% completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed
29. Colombia	UNDP	7-Dec-10 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> SNC submitted
30. Comoros	UNEP	5-Apr-03 (INC)	30-Mar-07	420,000	14-May-07	Jun-12	Dec-12	<input checked="" type="checkbox"/> National Circumstances: 25-50% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V&A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
31. Congo (Republic of)	UNDP	27-Nov-09 (SNC)	--	--	--	--	--	--
32. Congo Democratic Republic	UNEP	28-Nov-09 (SNC)	--	--	--	--	--	Project Cooperation Agreement (PCA) for TNC between Congo Democratic Republic and UNEP sent to Country for signature. Stock taking exercise undertaken and report submitted to IA
33. Cook Islands	UNDP	30-Oct-99 (INC)	22-Dec-05	420,000	21-Apr-06	Jun-11	Jun-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed
34. Costa Rica	UNDP	7-Oct-2009 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project Document under preparation

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35. Cuba	UNDP	28-Sep-01 (INC)	15-Mar-08	420,000	Mar-08	Jul-12	2012-2013	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed
36. Côte d'Ivoire	UNEP	26-Apr-2010 (SNC)	--	--	--	--	--	Small Scale Funding Agreement (SSFA) signed between Côte d'Ivoire and UNEP on 7 Jan-10. Received funds for self-assessment exercise. Preparation of TNC project proposal underway.
37. Democratic People's Republic of Korea*	UNEP	7-May-04 (INC)	25-Apr-05	420,000	04-May-05	Jun-12	--	<input checked="" type="checkbox"/> National Circumstances: 75% completed <input checked="" type="checkbox"/> GHG Inventories: More 50% completed <input checked="" type="checkbox"/> V&A Analysis: More than 50% completed. <input checked="" type="checkbox"/> Mitigation Analysis: More than 50% completed <input checked="" type="checkbox"/> Other Information: 25-50 % completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
38. Djibouti	UNEP	06-Jun-02 (INC)	08-Jun-06	420,000	13-Jun-06	Sep-11	Nov-11	<input checked="" type="checkbox"/> National Circumstances: Completed. <input checked="" type="checkbox"/> GHG Inventories: Completed. <input checked="" type="checkbox"/> V&A Analysis: Completed. <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
39. Dominica	UNDP	4-Dec-01 (INC)	16-Feb-06	420,000	4-Apr-06	May-11	Sep-11	<input checked="" type="checkbox"/> All components complete
40. Dominican Republic	UNDP	17-Dec-2009 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Endorsement letter for TNC received
41. Ecuador	UNDP	15-Nov-00 (INC)	8-Feb-06	420,000	23-Mar-06	Oct-10	Apr-11	<input checked="" type="checkbox"/> All components complete
42. Egypt	UNDP	7-Jun-2010 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project Document currently under preparation
43. El Salvador	UNDP	10-Apr-00 (INC)	30-May-07	420,000	Sep-07	Aug-11	Oct-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed



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44. Eritrea	UNDP	16-Sep-02 (INC)	30-Jan-07	420,000	Jun-07	Jun-11	Sep-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed
45. Equatorial Guinea*	UNEP	INC under preparation	02-Mar-09	420,000	23-Apr-09	Mar-12	---	<input checked="" type="checkbox"/> National Circumstances: Less than 25% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V&A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated * IA did not receive a response to request for updated information from EA
46. Ethiopia	UNDP	16-Oct-01 (INC)	--	--	--	--	--	<input checked="" type="checkbox"/> SNC self-Assessment funds approved
47. Fiji	UNEP	18-May-06 (INC)	09-Apr-09	420,000	24-Apr-09	Jan-12	Mar-12	<input checked="" type="checkbox"/> National Circumstances: 25-50% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V&A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
48. Gabon*	UNDP	22-Dec-04 (INC)	31-Jan-07	420,000	May-07	Working draft completed	Dec-10 (Tentative)	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: 50-75% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed * IA did not receive a response to request for updated information from EA

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49. Gambia	UNEP	6-Oct-03 (INC)	05-Sep-06	420,000	02-Jan-07	Apr-11	Nov-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: 50-75% completed <input checked="" type="checkbox"/> Other Information: More than 75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed Project Cooperation Agreement signed between Gambia (The) and UNEP on 19/01/11. EA to provide banking details for funds transfer.
50. Georgia	UNDP	2-Oct-09 (SNC)	5-May-05	420,000	24-Jun-05	Completed	SNC submitted	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project Document under preparation
51. Ghana	UNDP (SNC)/UNEP (TNC)	2-May-01 (INC)	10-May-06	420,000	29-Jun-06	Feb-11	May-11	<input checked="" type="checkbox"/> All components of SNC complete Project Cooperation Agreement signed between Ghana and UNEP on 1/02/11 for TNC. Received funds for self-assessment exercise. Preparation of TNC project proposal underway.
52. Grenada	UNDP	21-Nov-00 (INC)	8-Sep-06	420,000	May-07	Nov-11	Mar-12	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed
53. Guatemala	UNDP	1-Feb-02 (INC)	7-Nov-06	420,000	Dec-06	Jul-11	Nov-11	<input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A analysis: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> National Circumstances: 50-75% completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed
54. Guinea	UNEP	28-Oct-02 (INC)	24-Sep-07	420,000	01-Oct-07	Jun-11		<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V&A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated

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55. Guinea Bissau	UNDP	1-Dec-05 (INC)	1-Nov-06	470,000 Includes TNA	Apr-07	Mar-11	Apr-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed
56. Guyana	UNDP	16-May-02 (INC)	5-Apr-07	470,000 Includes TNA	Aug-07	Jun-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
57. Haiti	UNEP	3-Jan-02 (INC)	29-Sep-05	420,000	06-Oct-05	Jun-11	Jul-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V&A Analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% completed <input checked="" type="checkbox"/> Other Information: 25~50% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
58. Honduras	UNDP	15-Nov-00 (INC)	2-Dec-05	420,000	Mar-07	Not reported	Not reported	<input checked="" type="checkbox"/> All components complete
59. India	UNDP	22-Jun-04 (INC)	GEF council approved	3,849,000 Includes PDFB	Jul-07	May-11	Jun-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: >75% completed (90%) <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed
60. Indonesia	UNDP	27-Oct-99 (INC)	16-Jan-07	420,000	Jul-07	--	Jan-11	--
61. Iran, Islamic Republic of	UNDP	31-Mar-03 (INC)	22-Dec-05	420,000	23-Jan-06	Dec-10	Jun-11	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project document under preparation
62. Iraq	UNDP	INC Project Documentation under preparation	--	--	--	--	--	<input checked="" type="checkbox"/> Did not request self-assessment funds <input checked="" type="checkbox"/> INC project document under preparation
63. Jamaica	UNDP	21-Nov-00 (INC)	21-Apr-06	420,000	7-Jul-06	Dec-10	Dec-11	<input checked="" type="checkbox"/> All components complete

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64. Jordan	UNDP	08-Dec-09 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> Project Document under preparation.
65. Kazakhstan	UNDP	4-Jun-09 (SNC)	22-Jun-10	500,000	7-Dec-10	--	--	<input checked="" type="checkbox"/> TNC currently underway
66. Kenya	UNEP	22-Oct-02 (INC)	26-Oct-05	420,000	18-Nov-05	Oct-11	Nov-11	<input checked="" type="checkbox"/> National Circumstances: Between 50-75% completed <input checked="" type="checkbox"/> GHG Inventories: Between 25-50% completed <input checked="" type="checkbox"/> V&A Analysis: Between 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
67. Kiribati	UNDP (INC)	30-Oct-99 (INC)	31-Jan-07	420,000	May-07	Aug/Sep-2011	Nov/Dec-2010	<input checked="" type="checkbox"/> GHG Inventories: 50-75% completed <input checked="" type="checkbox"/> V&A analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: 50-75% completed <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed
68. Kuwait	UNEP	INC to be prepared	--	--	--	--	--	INC Project proposal reviewed by IA Finalization of Internal Cooperation Agreement (ICA) with UNEP-ROWA Office representative in Bahrain.
69. Kyrgyzstan	UNEP	1-Dec-08 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Project Document under preparation; did not request self-assessment funds
70. Lao People's Democratic Republic	UNDP	2-Nov-00 (INC)	17-May-07	420,000	17-May-07	Mar-12	Sep-12	<input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
71. Lebanon	UNDP	Mar-11 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Self-assessment allocated <input checked="" type="checkbox"/> TNC product document under preparation
72. Lesotho	UNEP	17-Apr-00 (INC)	04-Sep-06	420,000	25-Oct-06	Dec-10	--	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: More than 75 % completed <input checked="" type="checkbox"/> V&A Analysis: Between 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: More than 75 % completed <input checked="" type="checkbox"/> Constraints & Gaps: More than 75 % completed

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73. Liberia	UNEP	INC under preparation	31-Aug-05	420,000	31-Aug-05	Oct-11	Nov-Dec 2011	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Between 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed
74. Libyan Arab Jamahiriya *	UNEP	INC under preparation	31-Jan-02	275,000	20-Feb-02	Dec-08	--	<input checked="" type="checkbox"/> GHG Inventories: More than 50% completed * Project approved before commencement of umbrella project * IA did not receive a response to request for updated information from EA
75. Madagascar	UNEP	7-Dec-10	--	--	--	--	--	Project Cooperation Agreement signed between Madagascar and UNEP on 31/01/11. Received funds for self-assessment exercise. Preparation of TNC project proposal underway.
76. Malawi	UNDP	2-Dec-03 (INC)	8-Feb-06	420,000	Dec-06	Mar-11	Not reported	<input checked="" type="checkbox"/> All components complete
77. Malaysia	UNDP	22-Aug-00 (INC)	21-Dec-05	420,000	Jan-07	Jul-10	Actual date to be advised by Ministry of Natural Resources and Environment	<input checked="" type="checkbox"/> All components complete
78. Maldives	UNEP	5-Nov-01 (INC)	--	--	--	--	--	Small Scale Funding Agreement (SSFA) signed between Maldives and UNEP on 9/07/2010 Received funds for self-assessment. Preparation of SNC project proposal underway.
79. Mali*	UNDP	13-Nov-00 (INC)	8-Sep-06	420,000	11-Sep-06	Apr-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed * IA did not receive a reply from the EA. Data reflected is taken from the most recent Status Survey provided.
80. Malta	UNDP	27-July-2010 (SNC)	--	--	--	--	--	----

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81. Marshall Islands	UNDP	24-Nov-00 (INC)	30-Jan-07	420,000	7-Aug-07	Dec-11	May-12	<input checked="" type="checkbox"/> GHG Inventories: 25-50% completed <input checked="" type="checkbox"/> V&A analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed
82. Mauritania	UNEP	6-Dec-08 (SNC)	3-Mar-2011	500,000	--	--	--	TNC Project document approved by both IA and EA. Implementation of project activities yet to commence.
83. Mauritius	UNEP	28-May-99 (INC)	22-Feb-07	420,000	30-Apr-07	Jun-10	Jun-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed Project Cooperation Agreement (PCA) for TNC between Mauritius and UNEP sent to Country for signature.
84. Mexico	UNDP	14-Dec-09 (FNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Draft Project Document of Fifth NC submitted to IA for review and submission to the GEF
85. Micronesia (Federated States of)	UNDP	4-Dec-97 (INC)	20-Aug-06	420,000	Aug-06	Jul-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed
86. Moldova	UNEP	27-Jan-11	6-Oct-10	500,000	13-Oct-2010	Sep-13	Nov-13	<input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V&A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
87. Mongolia	UNEP	10-Dec-10	--	--	--	--	--	Project Cooperation Agreement (PCA) for TNC between Mongolia and UNEP sent to Country for signature
88. Montenegro	UNDP	12-Oct-10 (INC)	--	--	--	--	--	Project Document for SNC currently under review.
89. Morocco	UNDP	3-Nov-10 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Request for TNC Self-assessment underway

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
90. Mozambique	UNEP	6-Jun-06 (INC)	11-Oct-06	420,000	25-Oct-06	Jun-11	Sep-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% completed <input checked="" type="checkbox"/> Other Information: 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
91. Myanmar	UNEP	INC under preparation	26-Dec-06	420,000	12-Mar-07	Jan-11	Jun-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed  Project Cooperation Agreement (PCA) for SNC between Myanmar and UNEP sent to Country for signature
92. Namibia	UNDP	7-Oct-02 (INC)	14-Dec-05	420,000	24-Jan-06	May-11	Dec-11	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> Request for SNC self-assessment received
93. Nauru	UNDP	30-Oct-99 (INC)	25-May-07	420,000	July-07	Sep-11	Nov-11	<input checked="" type="checkbox"/> GHG Inventories: 50-75% completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed
94. Nepal	UNEP	1-Sep-04 (INC)	8-July-09	420,000	14-July-09	Oct-12	Dec-12	<input checked="" type="checkbox"/> National Circumstances: 25-50% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V&A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
95. Nicaragua	UNDP	25-Jul-01 (INC)	4-Feb-05	420,000	7-Mar-05	Feb-11	Apr-11	<input checked="" type="checkbox"/> All components complete
96. Niger	UNDP	9-Dec-09 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project Document under preparation

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
97. Nigeria*	UNDP	17-Nov-03 (INC)	30-Mar-06	420,000 Includes TNA	1-Aug-06	Mar-11	To be determined	<input checked="" type="checkbox"/> GHG Inventories: not yet initiated <input checked="" type="checkbox"/> V&A analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation: Not yet initiated <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated * IA did not receive a reply from the EA. Data reflected is taken from the most recent Status Survey provided.
98. Niue	UNEP	2-Oct -01 (INC)	11-Nov-04	420,000	20-Dec-04	Mar-11	Dec-11	<input checked="" type="checkbox"/> National Circumstances: More than 75% completed <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V&A Analysis: More than 75% completed <input checked="" type="checkbox"/> Mitigation Analysis: More than 75% completed <input checked="" type="checkbox"/> Other Information: More than 75% completed <input checked="" type="checkbox"/> Constraints & Gaps: More than 75% completed Project Cooperation Agreement (PCA) for TNC between Niue and UNEP sent to Country for signature
99. Oman	UNDP	INC under preparation	15-May-07	300,000	7-Jul-07	Dec-11	Dec-11	<input checked="" type="checkbox"/> National Circumstances: <25% completed <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V&A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
100. Pakistan*	UNEP	15-Nov-03 (INC)	Project Document under preparation	--	--	--	--	* IA did not receive a response to request for updated information from EA.
101. Panama	UNDP	20-Jul-01 (INC)	7-Jun-06	420,000	Sep-06	Jul-11	Aug-11	<input checked="" type="checkbox"/> All components complete
102. Palau	UNEP	18-Jun-03 (INC)	9-Dec-05	420,000	13-Dec-05	Sep-11	Dec-11	<input checked="" type="checkbox"/> All components complete Project Cooperation Agreement (PCA) for TNC between Palau and UNEP sent to country for signature.
103. Papua New Guinea	UNDP	27-Feb-02 (INC)	17-Jul-06	420,000	Feb-07	Jun-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: 50-75% completed <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed



Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
104. Paraguay	UNDP	10-Apr-02 (INC)	8-Dec-05	420,000	10-Mar-06	Apr-11	Apr-11	<input checked="" type="checkbox"/> All components complete
105. Peru	UNDP	28-Sep-10 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project document under preparation
106. Philippines	UNDP	19-May-00 (INC)	18-Apr-06	420,000	2-Aug-06	Jun-11	2011 (once approved)	<input checked="" type="checkbox"/> All components complete
107. Republic of Moldova	UNEP	27-Jan-10 (SNC)	6-Oct-10	500,000	12-Oct-10	Aug-13	Sep-13	<input checked="" type="checkbox"/> Project inception workshop of Third National Communications under preparation
108. Rwanda	UNEP	6-Sep-05 (INC)	22-Sep-06	420,000	16-Oct-06	Nov-10	Feb-10	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed Project Cooperation Agreement (PCA) for TNC between Rwanda and UNEP sent to Country for signature
109. Saint Kitts and Nevis	UNDP	30-Nov-01 (INC)	25-Oct-06	420,000	May-07	Jun-12	Dec-12	<input checked="" type="checkbox"/> GHG Inventories: <25% completed <input checked="" type="checkbox"/> V&A analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> National Circumstances: <25% completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
110. Saint Lucia	UNDP	30-Nov-01 (INC)	9-Jun-06	420,000	14-Jun-06	Jun-11	Jul-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed
111. Saint Vincent and the Grenadines	UNDP	21-Nov-00 (INC)	7-Jun-06	420,000	27-Jun-06	Oct-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
112. Samoa	UNDP	14-Jun-10 (SNC)	--	--	--	--	--	----

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
113. São Tome and Principe	UNDP	19-May-05 (INC)	24-Sep-07	420,000	Dec-07	April/May-11	Jun-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed
114. Saudi Arabia	UNDP	29-Nov-05 (INC)	30-May-07	420,000	Dec-07	Apr-11	Jun-11	<input checked="" type="checkbox"/> All components complete
115. Senegal	UNEP	16-Sep-10 (SNC)	--	--	--	--	--	Small Scale Funding Agreement (SSFA) signed between Senegal and UNEP on 9/07/10. Received funds for self-assessment. Preparation of TNC project proposal underway.
116. Serbia	UNDP	29-Nov-2010 (INC)	--	--	--	--	--	--
117. Seychelles*	UNDP	15-Nov-00 (INC)	9-Jun-06	420,000	16-Jun-06	Nov-10	Dec-10	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed * IA did not receive a reply from the EA. Data reflected is taken from the most recent Status Survey provided.
118. Sierra Leone	UNDP	8-Jan-07 (INC)	21-Apr-08	420,000	Oct-08	Dec-12	Not reported	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: 50-75% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other Information: 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed
119. Solomon Islands	UNDP	29-Sep-04 (INC)	30-Jan-07	420,000	16-Aug-07	Apr-11	Apr-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed
120. South Africa	UNEP	11-Dec-03 (INC)	18-Oct-2007	420,000	09-Nov-2007	Sep-10	Sep-11	<input checked="" type="checkbox"/> All components complete

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
121. Sri Lanka	UNDP	6-Nov-00 (INC)	30-May-07	420,000	Jul-07	Oct-10	May-11	<input checked="" type="checkbox"/> All components complete
122. Sudan	UNDP	7-Jun-03 (INC)	10-May-07	420,000	16-Sep-07	Jun-11	Oct-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> Other information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed
123. Syrian Arab Republic	UNDP	29-Dec-2010 (INC)	--	--	--	--	--	<input checked="" type="checkbox"/> Request for SNC Self-assessment currently under review
124. Swaziland	UNDP	21-May-02 (INC)	29-Mar-07	470,000 Includes TNA	May-07	Apr-11	Jun-11	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: <75% completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed
125. Suriname	UNDP	26-Mar-06 (INC)	27-Jan-09	420,000	Jan-09	Jul-12	Dec-12	<input checked="" type="checkbox"/> GHG Inventories: <25% completed <input checked="" type="checkbox"/> V&A analysis: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: not yet initiated
126. Tajikistan	UNDP	31-Dec-08 (SNC)	23-Mar-11	500,000	--	--	--	<input checked="" type="checkbox"/> TNC Project Document approved
127. Thailand	UNDP	13-Nov-00 (INC)	31-May-06	420,000	Dec-06	Jan-11	Feb-11	<input checked="" type="checkbox"/> All components complete
128. The Former Yugoslav Republic of Macedonia	UNDP	15-Jan-09 (SNC)	--	--	--	--	-	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project document under preparation
129. Timor Leste	UNDP	INC Under Preparation	14-Aug-09	420,000	1-Sep-09	Sep-13	Dec-13	<input checked="" type="checkbox"/> GHG Inventories: <25% completed <input checked="" type="checkbox"/> V&A analysis: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> National Circumstances: <25% completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
130. Tanzania United Republic of	UNEP	4-Jul-03 (INC)	21-July-06	420,000	15-Aug-06	Mar-11	Jun-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: More than 75% completed <input checked="" type="checkbox"/> Other Information: More than 75% completed <input checked="" type="checkbox"/> Constraints & Gaps: More than 75% completed Project Cooperation Agreement (PCA) for TNC between Tanzania and UNEP sent to Country for signature.
131. Togo	UNDP	20-Dec-01 (INC)	8-Sep-06	420,000	Apr-07	Jan-11	June or Dec 2011	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> Project document under preparation
132. Tonga	UNDP	21-Jul-05 (INC)	17-Jan-07	405,000 Did not request self-assessment funds	Jan-07	Completed	Mar-11	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> Draft TNC Project Document prepared
133. Trinidad and Tobago	UNDP	30-Nov-01 (INC)	6-Jun-06	420,000	May-07	Mar-11	Sep-11	<input checked="" type="checkbox"/> All components complete
134. Tunisia	UNDP	27-Oct-01 (INC)	8-Jun-05	405,000 Did not request self-assessment funds	25-Aug-05	Oct-09	Submission in process	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> Request for Self-Assessment funds received
135. Turkmenistan	UNEP	29-Nov-10 (SNC)	--	--	--	--	--	Project Cooperation Agreement signed between Turkmenistan and UNEP on 19/01/11. EA to provide banking details for funds transfer.
136. Tuvalu	UNDP	30-Oct-99 (INC)	17-Jan-07	420,000	May-07	Dec-11	Jun-12	<input checked="" type="checkbox"/> GHG Inventories: 25-50% completed <input checked="" type="checkbox"/> V&A analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% completed <input checked="" type="checkbox"/> National Circumstances: 50-75% completed <input checked="" type="checkbox"/> Other information: 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
137. Uganda	UNEP	26-Oct-02 (INC)	28-Aug-08	420,000	10-Sep-08	Aug-12	--	<input checked="" type="checkbox"/> National Circumstances: Between 50-75% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V&A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
138. Uruguay	UNDP	18-Nov-10 (TNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Did not request self-assessment funds for FNC <input checked="" type="checkbox"/> Project Document for FNC submitted to IA
139. Uzbekistan	UNEP	3-Dec-08 (SNC)	--	--	--	--	--	Project Cooperation Agreement signed between Uzbekistan and UNEP on 11/02/11 for TNC. EA to provide banking details for funds transfer.
140. Vanuatu	UNDP	30-Oct-99 (INC)	22-Dec-05	420,000	24-Jul-06	Nov-11	Dec-11	<input checked="" type="checkbox"/> GHG Inventories: <25% completed <input checked="" type="checkbox"/> V&A analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> National Circumstances: 25-50% completed <input checked="" type="checkbox"/> Other information: 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed
141. Venezuela (Bolivarian Republic of)	UNDP	13-Oct-05 (INC)	Project Proposal under preparation	--	--	--	--	<input checked="" type="checkbox"/> SNC project document submitted to IA Mar-11
142. Vietnam	UNEP	7-Dec-10 (SNC)	--	--	--	--	--	Project Cooperation Agreement (PCA) for TNC between Vietnam and UNEP sent to Country for signature
143. Yemen	UNDP	29-Oct-01 (INC)	8-Nov-06	470,000 Includes TNA	Sep-07	Apr-11	Apr-11	<input checked="" type="checkbox"/> All components complete
144. Zambia*	UNDP	18-Aug-04 (INC)	2-Feb-07	470,000 Includes TNA	17-Aug-07	Nov-10	Dec-10	<input checked="" type="checkbox"/> All components complete * IA did not receive a reply from the EA. Data reflected is taken from the most recent Status Survey provided.

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved \$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
145. Zimbabwe	UNEP	25-May-98 (INC)	24-Apr-06	420,000	13-Jun-06	Jun-11	Jul-11	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: 25~50% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25~50% completed

## ANNEX 4: Status Report on the LDCF and the SCCF

1. The LDCF was established in November 2002 to address the needs of the least developed countries whose economic and geophysical characteristics make them especially vulnerable to the impact of global warming and climate change. The SCCF was established in November 2004 to finance activities, programs and measures relating to climate change that are complementary to those funded by resources from the GEF Trust Fund and with bilateral and multilateral funding. The GEF administers both the SCCF and LDCF and the World Bank acts as trustee for both funds.

### 1. Least Developed Countries Fund (LDCF)

#### a. Status of Pledges and Contributions

2. As of June 30, 2011, pledges had been received from 24 Contributing Participants: Australia, Austria, Belgium, Canada, Czech Republic, Denmark, Finland, France, Germany, Hungary, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Portugal, Romania, Spain, Sweden, Switzerland, the United Kingdom and the United States. The total amount pledged to date is \$416 million. Table A4.1 shows details of the status of pledges, commitments<sup>20</sup> and payments made to the LDCF since inception.

3. During the fiscal year July 1, 2010 to June 30, 2011, the Trustee has received pledges for \$128 million and payments against signed contribution agreements for \$96 million.

#### b. Summary of Funding Approvals, Trustee Commitments, and Cash Transfers

4. As of June 30, 2011, cumulative net funding decisions by the Council and the CEO amounted to \$172 million, of which \$152 million was for projects and project preparation activities, \$15 million was for fees, and \$5 million was for administrative expenses and corporate activities of the LDCF. Details are presented in table A4.2.

5. Funding approved by the Council and the CEO is committed by the Trustee and transferred following established procedures for all financial transactions as agreed between the Trustee and the Agencies. The Trustee has committed a total amount of \$127 million, of which \$112 million relates to projects and project preparation activities, \$11 million to fees, and \$4 million to cover corporate activities and administrative expenses.

6. Cash transfers are made to Agencies on an as-needed basis to meet their projected disbursement requirements. Out of the cumulative commitments of \$127 million, upon request from Agencies, the Trustee has transferred \$63 million as of June 30, 2011. As a result, \$64 million remains payable to Agencies. Details of funding approvals, commitments and cash transfers can be found in table A4.2.

#### c. Schedule of Funds Available

7. Current assets held in trust total \$228 million, comprising cash, investments and promissory notes pending transfer to Agencies. Of this amount, \$112 million is set aside to cover funding approved by Council or the CEO. Consequently, net funds available for approval by the Council or the CEO amounts to \$116 million. Details on the funds available for Council or CEO approval as of June 30, 2011, can be found in table A4.3.

#### d. Investment Income

8. Donor contributions to LDCF are held in trust by the World Bank and maintained in a commingled investment portfolio ("Pool") for all trust funds administered by the World Bank. The assets in the Pool are managed in accordance with the investment strategy established for all of the trust funds administered by the World Bank. The LDCF had investment returns of \$1,204,987 in FY 2011.

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<sup>20</sup>Represents the amounts for which contributing participants have signed trust fund administration agreements.

## **2. Special Climate Change Fund (SCCF)**

### **a. Status of Pledges and Contributions**

9. As of June 30, 2011, pledges had been received from 14 Contributing Participants: Canada, Denmark, Finland, Germany, Ireland, Italy, the Netherlands, Norway, Portugal, Spain, Sweden, Switzerland, the United Kingdom and the United States. The total amount pledged to date is \$218 million. Table A4.4 shows details of the status of pledges, commitments and payments made to the SCCF since its inception; table A4.5 presents this information broken down by program.

10. During FY 2011, the Trustee has received pledges for \$50 million and payments against signed contribution agreements for \$33 million.

### **b. Summary of Funding Approvals, Trustee Commitments, and Cash Transfers**

11. As of June 30, 2011, cumulative net funding decisions taken by the Council and the CEO amounted to \$139 million, of which \$124 million was for projects and project preparation activities, \$11 million was for fees, and \$4 million was for administrative expenses and corporate activities of the SCCF. Details are presented in table A4.6.

12. Funding approved by the Council and CEO is committed by the Trustee and transferred following established procedures for all financial transactions as agreed between the Trustee and the Agencies. Out of total funding approvals of \$139 million, the Trustee has committed \$95 million, of which \$83 million relates to projects and project preparation activities, \$8 million to fees, and \$3 million to cover corporate activities and administrative expenses.

13. The Trustee transfers funds to Agencies on an as-needed basis to meet the projected disbursement requirements of the Agencies. As of June 30, 2011, out of total cumulative commitments of \$95 million, the Agencies have requested and the Trustee has transferred \$67 million. As a result, \$28 million remains payable to Agencies, pending their request. Details of funding approvals, commitments and cash transfers can be found in table A4.6.

### **c. Schedule of Funds Available**

14. Current assets, comprising cash and investments held in trust pending transfer to Agencies, total \$89 million (for both the Adaptation program and Transfer of Technology program). Of this amount, \$72 million is set aside to cover funding approved by Council and CEO. Consequently, net funds available for approval by the Council or the CEO amount to \$17 million. Details on the funds available for Council or CEO approval as of June 30, 2011 can be found in table A4.7, which shows the funding status by program.

### **d. Investment Income**

15. The SCCF shares the same investment management as the LDCF. Its overall investment return was \$649,769 during FY 2011.



Table A4.1

## Least Developed Countries Fund Status of Pledges and Contributions as of June 30, 2011

1	Total Pledges Outstanding and Contributions Finalized				Pledges Outstanding		Contribution Agreements Finalized				
	2	3 = 5 + 7	4 = 6 + 9 + 11	5	6	7 = 8 + 10		Paid (Receipts)		Unpaid	
						8	9	10	11		
Contributing Participant	Currency	Amount	USDeq. b/	Amount	USDeq. b/	Total Contributions	Amount Paid in Currency	USDeq. a/	Amount Due in Currency	USDeq. b.	
Australia	AUD	31,500,000	30,336,581	15,000,000	16,068,731	16,500,000	16,500,000	14,267,850	0	0	
Austria	EUR	400,000	580,400	0	0	400,000	400,000	580,400	0	0	
Belgium	EUR	10,440,000	13,926,000	0	0	10,440,000	10,440,000	13,926,000	0	0	
Canada	CAD	30,000,000	27,358,972	0	0	30,000,000	30,000,000	27,358,972	0	0	
Czech Republic	EUR	18,000	25,454	0	0	18,000	18,000	25,454	0	0	
Denmark	DKK	170,400,000	30,230,398	0	0	170,400,000	170,400,000	30,230,398	0	0	
Finland	EUR	10,100,000	13,846,518	0	0	10,100,000	10,100,000	13,846,518	0	0	
France	EUR	10,850,000	14,617,380	0	0	10,850,000	10,850,000	14,617,380	0	0	
Germany	EUR	115,000,000	164,308,332	50,000,000	72,377,754	65,000,000	30,000,000	41,266,150	35,000,000 c/	50,664,428	
Hungary	EUR	1,000,000	1,344,300	0	0	1,000,000	1,000,000	1,344,300	0	0	
Ireland	d/ EUR	1,384,869	1,749,794	0	0	1,384,869	1,384,869	1,749,794	0	0	
	USD	8,000,000	8,000,000	0	0	8,000,000	8,000,000	8,000,000	0	0	
Italy	USD	1,000,000	1,000,000	0	0	1,000,000	1,000,000	1,000,000	0	0	
Japan	USD	250,000	250,000	0	0	250,000	250,000	250,000	0	0	
Luxembourg	d/ EUR	1,000,000	1,582,900	0	0	1,000,000	1,000,000	1,582,900	0	0	
	USD	4,120,000	4,120,000	0	0	4,120,000	4,120,000	4,120,000	0	0	
Netherlands	d/ USD	2,100,000	2,100,000	0	0	2,100,000	2,100,000	2,100,000	0	0	
	EUR	10,200,000	14,242,602	0	0	10,200,000	10,200,000	14,242,602	0	0	
New Zealand	NZD	8,100,000	5,808,840	0	0	8,100,000	8,100,000	5,808,840	0	0	
Norway	d/ USD	2,000,000	2,001,658	0	0	2,000,000	2,000,000	2,001,658	0	0	
	NOK	63,000,000	10,640,240	0	0	63,000,000	63,000,000	10,640,240	0	0	
Portugal	EUR	50,000	64,065	0	0	50,000	50,000	64,065	0	0	
Romania	d/ EUR	150,000	217,133	150,000	217,133	0	0	0	0	0	
Spain	EUR	1,354,185	1,773,184	0	0	1,354,185	1,354,185	1,773,184	0	0	
Sweden	SEK	87,000,000	12,120,429	0	0	87,000,000	87,000,000	12,120,429	0	0	
Switzerland	CHF	5,800,000	5,263,145	0	0	5,800,000	5,800,000	5,263,145	0	0	
United Kingdom	GBP	12,000,000	18,700,800	0	0	12,000,000	12,000,000	18,700,800	0	0	
United States	USD	30,000,000	30,000,000	0 e/	0	30,000,000	30,000,000	30,000,000	0	0	
			<u>416,209,125</u>		<u>88,663,619</u>			<u>276,881,079</u>		<u>50,664,428</u>	

a/ Represents (1) the actual US dollar value of paid-in cash contributions and (2) June 30, 2011 value of amount pending FX.

b/ Valued at the exchange rates available on June 30, 2011

c/ Payable in installments in the year 2011, 2012, 2013, 2014 and 2015.

d/ Contributions made in more than one currency.

e/ United States indicated that USD 30 million for LDCF has been requested for FY11 which is subject to Congressional approval.

d/ Represent Romania's first pledge to LDC Fund.

Table A4.2

**Least Developed Countries Fund Summary of Allocation, Commitments and Disbursements as of June 30, 2011  
(in \$)**

Entity	Cumulative Net Amounts			
	Approved Allocations	Commitments	Disbursements	Amount Due
	(1)	(2)	(3)	(4) = (2) - (3)
<b>Projects</b>				
AfDB	3,525,335	3,525,335	525,335	3,000,000
FAO	2,181,818	2,181,818	2,181,818	0
IBRD	28,974,586	4,980,300	4,980,300	0
IFAD	11,464,800	6,464,800	2,964,800	3,500,000
UNDP	89,726,987	83,124,993	32,020,664	51,104,329
UNEP	16,229,555	11,364,555	6,974,555	4,390,000
<i>Sub-total</i>	152,103,081	111,641,801	49,647,472	61,994,329
<b>Fees</b>				
AfDB	352,534	352,534		352,534
FAO	218,182	218,182	218,182	0
IBRD	2,590,163	487,030	487,030	0
IFAD	1,146,480	646,480	296,480	350,000
UNDP	9,115,611	8,361,922	8,361,922	0
UNEP	1,656,201	1,169,701	996,201	173,500
<i>Sub-total</i>	15,079,171	11,235,849	10,359,815	876,034
<b>Corporate Budget and Workshop <sup>a/</sup></b>				
Secretariat <sup>b/</sup>	3,983,855	3,262,102	2,601,571	660,531
Evaluation	45,500	45,500	27,000	18,500
STAP	78,600	78,600	0	78,600
Trustee	1,131,400	1,131,400	936,400	195,000
<i>Sub-total</i>	5,239,355	4,517,602	3,564,971	952,631
<b>Total for LDCF</b>	<b>172,421,607</b>	<b>127,395,252</b>	<b>63,572,258</b>	<b>63,822,994</b>

a/ Includes amounts allocated to cover administrative expenses to manage the LDCF and Corporate Activities.

b/ USD 700,000 loan from the LDCF Trust Fund to the Adaptation Fund Secretariat Trust Fund has been reimbursed and is included in Secretariat amounts

Table A4.3

**Least Developed Countries Fund for Climate Change Schedule of Funds Available updated as of June 30, 2011  
(in \$ equivalent)**

		(in USDeq.)
<b><u>1. Funds held in Trust</u></b>		<b>227,586,571 <i>a</i></b>
Cash and investments	227,586,571	
Promissory notes	0	
<b><u>2. Restricted Funds</u></b>		<b>0</b>
Reserve to cover foreign exchange rate fluctuations	0	
<b>3. Funds held in Trust with no restrictions ( 3 = 1 - 2 )</b>		<b>227,586,571</b>
<b><u>4. Approved Amounts pending disbursement</u></b>		<b>111,900,667</b>
Amounts Trustee Committed	63,822,994	
Amounts pending Council/CEO approval and/or CEO endorsement	48,077,673	
Monthly approvals for processing	0	
<b>5. Funds Available for Council/CEO approval and/or CEO endorsement ( 5 = 3 - 4 )</b>		<b><u>115,685,904</u></b>

a/ unencashed promissory notes and amounts pending FX are valued at exchange rate as of June 30, 2011

Table A4.4  
**Special Climate Change Fund Status of Pledges and Contributions as of June 30, 2011**

1	Total Pledges Outstanding and Contributions Finalized a/				Pledges Outstanding		Contribution Agreements Finalized				
	1	2	3 = 5+7	4 = 6+9+11	5	6	Paid (Receipts)		Unpaid		
							7 = 8+10	8	9	10	11
Contributing Participant	Currency	Total Contribution	USDeq. b/	Amount	USDeq. b/	Total Contribution	Amount Paid in Currency	USDeq. c/	Amount Due in Currency	USDeq. b/	
Canada	CAD	13,500,000	12,894,703	0	0	13,500,000	13,500,000	12,894,703	0	0	
Denmark	DKK	50,000,000	9,041,885	0	0	50,000,000	50,000,000	9,041,885	0	0	
Finland	e/ USD	367,592	367,592	0	0	367,592	367,592	367,592	0	0	
	EUR	5,270,000	7,327,213	0	0	5,270,000	5,270,000	7,327,213	0	0	
Germany	EUR	60,017,000	86,061,570	25,000,000	36,188,877	35,017,000	12,400,000	17,133,340	22,617,000 d/	32,739,353	
Ireland	USD	2,125,000	2,125,000	0	0	2,125,000	2,125,000	2,125,000	0	0	
Italy	USD	10,000,000	10,000,000	0	0	10,000,000	5,000,000	5,000,000	5,000,000	5,000,000	
Netherlands	EUR	2,400,000	3,128,880	0	0	2,400,000	2,400,000	3,128,880	0	0	
Norway	NOK	136,000,000	24,247,979	0	0	136,000,000	136,000,000	24,247,979	0	0	
Portugal	EUR	1,070,000	1,299,099	0	0	1,070,000	1,070,000	1,299,099	0	0	
Spain	EUR	9,000,000	12,349,100	0	0	9,000,000	9,000,000	12,349,100	0	0	
Sweden	SEK	40,000,000	6,120,153	0	0	40,000,000	40,000,000	6,120,153	0	0	
Switzerland	e/ CHF	4,850,000	4,184,310	0	0	4,850,000	4,850,000	4,184,310	0	0	
	USD	400,000	399,973	0	0	400,000	400,000	399,973	0	0	
United Kingdom	GBP	10,000,000	18,603,167	0	0	10,000,000	10,000,000	18,603,167	0	0	
United States	USD	20,000,000	20,000,000	0 f/	0	20,000,000	20,000,000	20,000,000	0	0	
			<u>218,150,624</u>		<u>36,188,877</u>			<u>144,222,394</u>		<u>37,739,353</u>	

a/ Pledged contributions are made towards the Program for Adaptation and for the Transfer of Technology.

b/ Valued at the exchange rates available on - June 30, 2011

c/ Represents the actual US dollar value of paid-in cash contributions.

d/ This amount is payable in installments in the year 2011, 2012, 2013, 2014 and 2015.

e/ Contributions made in more than one currency.

f/ United States indicated that USD 20 million for SCCF has been requested for FY11 which is subject to Congressional approval.

Table A4.5

**Special Climate Change Fund Status of Contributions by Program as of June 30, 2011**

Contributing Participant	Currency	Total Contribution	Contribution Agreements Finalized			
			Amount Paid in Currency	USDeq. <sup>a/</sup>	Amount Due in Currency	USDeq. <sup>b/</sup>
<b>I. Program for Adaptation</b>						
Canada	CAD	11,000,000	11,000,000	10,342,172	0	0
Denmark	DKK	40,000,000	40,000,000	7,233,508	0	0
Finland	EUR	4,920,000	4,920,000	6,905,848	0	0
	USD	367,592	367,592	367,592	0	0
Germany	EUR	60,017,000	12,400,000	17,133,340	22,617,000 <sup>c/</sup>	32,739,353
Ireland	USD	1,275,000	1,275,000	1,275,000	0	0
Italy	USD	5,000,000	0	0	5,000,000	5,000,000
Netherlands	EUR	2,400,000	2,400,000	3,128,880	0	0
Norway	NOK	119,500,000	119,500,000	21,246,440	0	0
Portugal	EUR	1,070,000	1,070,000	1,299,099	0	0
Spain	EUR	8,000,000	8,000,000	11,050,100	0	0
Sweden	SEK	37,000,000	37,000,000	5,690,107	0	0
Switzerland	CHF	3,500,000	3,500,000	3,095,798	0	0
	USD	400,000	400,000	399,973	0	0
United Kingdom	GBP	10,000,000	10,000,000	18,603,167	0	0
United States	USD	20,000,000	20,000,000	20,000,000	0	0
				127,771,025		37,739,353
<b>II. Program for Technology Transfer</b>						
Canada	CAD	2,500,000	2,500,000	2,552,531	0	0
Denmark	DKK	10,000,000	10,000,000	1,808,377	0	0
Finland	EUR	350,000	350,000	421,365	0	0
Ireland	USD	850,000	850,000	850,000	0	0
Italy	USD	5,000,000	5,000,000	5,000,000	0	0
Norway	NOK	16,500,000	16,500,000	3,001,539	0	0
Spain	EUR	1,000,000	1,000,000	1,299,000	0	0
Sweden	SEK	3,000,000	3,000,000	430,046	0	0
Switzerland	CHF	1,350,000	1,350,000	1,088,512	0	0
				16,451,369		0
<b>Total for SCCF</b>				<b>144,222,394</b>		<b>37,739,353</b>

a/ Represents actual US dollar value of paid-in cash contributions.

b/ Valued at exchange rates on June 30, 2011.

c/ This amount is payable in installments in the year 2011, 2012, 2013, 2014 and 2015.

Table A4.6

**Special Climate Change Fund Summary of Allocations, Commitments and Disbursements  
as of June 30, 2011 (in \$)**

<u>Entity</u>	<b>Cumulative Net Amounts</b>			
	<b>Approved Allocations</b>	<b>Commitments</b>	<b>Disbursements</b>	<b>Amount Due</b>
	(1)	(2)	(3)	(4) = (2) - (3)
<u>Projects</u>				
ADB	3,798,382	50,000	50,000	0
EBRD	2,999,774	0	0	0
IBRD	53,128,083	38,038,454	33,064,454	4,974,000
IFAD	6,602,000	1,975,000	1,975,000	0
UNDP	47,898,836	34,277,636	17,169,503	17,108,133
UNEP	9,456,818	9,206,818	5,025,000	4,181,818
<i>Sub-total</i>	123,883,893	83,547,908	57,283,957	26,263,951
<u>Fees</u>				
ADB	379,838	5,000	5,000	0
IBRD	5,049,416	3,622,645	3,188,100	434,545
IFAD	660,200	197,500	197,500	0
UNDP	4,122,022	3,319,902	3,310,902	9,000
UNEP	943,182	918,182	918,182	0
<i>Sub-total</i>	11,154,658	8,063,229	7,619,684	443,545
<u>Corporate Budget</u> <sup>a/</sup>				
Secretariat	2,143,576	1,699,335	1,278,216	421,119
Evaluation	248,500	248,500	112,000	136,500
STAP	78,600	78,600	0	78,600
Trustee	1,145,400	1,145,400	972,200	173,200
<i>Sub-total</i>	3,616,076	3,171,835	2,362,416	809,419
<b>Total for SCCF</b>	<b>138,654,627</b>	<b>94,782,972</b>	<b>67,266,057</b>	<b>27,516,915</b>

a/ Includes amounts allocated to cover administrative expenses to manage the SCCF and Corporate activities, including annual audit.

Table A4.7

**Special Climate Change Fund Schedule of Funds Available updated as of June 30, 2011(in \$ equivalent)****Program for Adaptation**

<b><u>1. Funds held in Trust</u></b>		<b>75,604,054</b>
Cash and investments	75,604,054	
Promissory notes	0	
<b><u>2. Restricted Funds</u></b>		<b>0</b>
Reserve to cover foreign exchange rate fluctuations	0	
<b>3. Funds held in Trust with no restrictions ( 3 = 1 - 2 )</b>		<b>75,604,054</b>
<b><u>4. Approved Amounts pending disbursement</u></b>		<b>61,928,211</b>
Amounts Trustee Committed	23,258,697	
Amounts pending Council/CEO approval and/or CEO endorsement	38,669,514	
Monthly approvals for processing	0	
<b>5. Funds Available for Council/CEO approval and/or CEO endorsement ( 5 = 3 - 4 )</b>		<b>13,675,843</b>

**Program for Transfer of Technology**

<b><u>6. Funds held in Trust</u></b>		<b>13,274,668</b>
Cash and investments	13,274,668	
Promissory notes	0	
<b><u>7. Restricted Funds</u></b>		<b>0</b>
Reserve to cover foreign exchange rate fluctuations	0	
<b>8. Funds held in Trust with no restrictions ( 8 = 6 - 7 )</b>		<b>13,274,668</b>
<b><u>9. Approved Amounts pending disbursement</u></b>		<b>10,159,718</b>
Amounts Trustee Committed	4,258,218	
Amounts pending Council/CEO approval and/or CEO endorsement	5,901,500	
Monthly approvals for processing	0	
<b>10. Funds Available for Council/CEO approval and/or CEO endorsement ( 10 = 8 - 9 )</b>		<b>3,114,950</b>

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<b>Total SCCF Funds Available for Council/CEO approval and/or CEO endorsement ( 5 + 10 )</b>		<b><u><u>16,790,793</u></u></b>
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