



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

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Agenda Item 14

**RELATIONS WITH THE CONVENTIONS
AND OTHER INTERNATIONAL INSTITUTIONS**

Recommended Council Decision

The Council, having considered document GEF/C.48/09, *Relations with the Conventions and Other International Institutions*, welcomed the report and requested the GEF network to continue to work with recipient countries to reflect the guidance and national priorities in their GEF programming and activities.

EXECUTIVE SUMMARY

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

Highlights reported include:

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

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INTRODUCTION

1. This document reports on developments of interest to the GEF since the 47th GEF Council meeting in October 2014 within the context of the Convention on Biological Diversity (CBD), the United Nations Framework Convention on Climate Change (UNFCCC), the Stockholm Convention on Persistent Organic Pollutants (the Stockholm Convention), the UN Convention to Combat Desertification (UNCCD), the Montreal Protocol on Substances that Deplete the Ozone Layer (the Montreal Protocol) and the Minamata Convention on Mercury. The report also provides information on the GEF Secretariat's relations with other conventions and institutions. In terms of International Waters, information is provided on an annual basis and will be included in the report to the 49th GEF Council meeting.

CONVENTION ON BIOLOGICAL DIVERSITY

Ratification

2. For the Nagoya-Kuala Lumpur Supplementary Protocol on Liability and Redress to the Cartagena Protocol on Biosafety: Denmark deposited its instrument of approval on February 25, 2015; Estonia acceded to the Supplementary Protocol on February 6, 2015; India deposited its instrument of ratification on December 19, 2014; and Switzerland ratified to the Protocol on October 27, 2014. The list of signatories and ratifications may be found at:

<http://bch.cbd.int/protocol/parties/#tab=1>

3. For the Cartagena Protocol on Biosafety: Côte d'Ivoire deposited its instrument of accession on March 12, 2015; the State of Palestine deposited its instrument of accession on January 2, 2015; and the United Arab Emirates acceded to the Protocol on September 12, 2014. The list of signatories and ratifications may be found at:

<http://bch.cbd.int/protocol/parties/#tab=0>

4. To date, 92 Parties to the Convention have signed and 59 Parties to the Convention have ratified the Nagoya Protocol on Access and Benefit Sharing (ABS). The list of signatories and ratifications may be found at:

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

National Reporting

5. As of March 2015, 136 countries have submitted the final version of their fifth national reports for the CBD. Another 23 countries have submitted an advanced draft of their report.

6. As of March 2015, no new countries submitted the final version of their fourth national reports. The total number of submissions is 181.

Meetings and Events

7. The GEF Secretariat and the CBD Secretariat jointly developed a half-day workshop agenda for delivery at the GEF Extended Constituency Workshops implemented for Southern Africa (February 17-19, 2015), Mesoamerica and Venezuela (March 3-5, 2015), and East Asia

and China (March 17-19, 2015). The workshops have provided an opportunity for GEF and CBD operational focal points to better understand the content and focus of the GEF-6 biodiversity strategy and how it responds to the Strategic Plan for Biodiversity for 2011-2020. In addition, the CBD Secretariat provided an update on implementation progress of the Strategic Plan for Biodiversity and outlined how to produce reports on national financing for biodiversity conservation using the preliminary financial reporting framework.

UN FRAMEWORK CONVENTION ON CLIMATE CHANGE

Ratification

8. During the reporting period, there were no new parties to the UNFCCC. As of March 2015, there are 196 parties to the Convention.

National Reporting/National Communications

9. The following is the total number of national communications submitted from non-Annex I Parties, as of March 2015:

- (a) Initial national communications: **148**
- (b) Second national communications: **108**
- (c) Third national communications: **11**
- (d) Fourth national communications: **1**
- (e) Fifth national communications: **1**

10. Full details of reports submitted are available on the UNFCCC website at: http://unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php.

Reporting to COP

11. The GEF Secretariat prepared and submitted its report to the Twentieth Conference of the Parties (COP 20) to the UNFCCC, held in Lima, Peru in December 2014. This report provides the GEF's responses to guidance received from the nineteenth Conference of the Parties (COP 19) and several conclusions from the 39th and 40th sessions of the Subsidiary Body for Implementation (SBI 39 and 40), during the reporting period from July 1, 2013 to June 30, 2014. These responses may be seen in the COP20 report at:

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

12. The GEF received guidance from the COP, as well as conclusions of relevance from SBI40. Table 2 in Annex 1 of this document reports the relevant decision paragraphs and specific guidance and conclusions provided to the GEF during COP 20 and SBI 40, along with GEF's response.

13. The GEF will, in its report to the Twenty-first Conference of the Parties (COP 21), elaborate on the steps taken to implement the guidance provided. The report, covering the period

from July 1, 2014 until June 30, 2015, is expected to be officially submitted to the UNFCCC Secretariat, upon approval by the GEF Council, in August 2015.

Meetings and Events

14. The GEF Secretariat participated in COP 20 in Lima, Peru, from December 1 to 13, 2014. Highlights of GEF activities during the COP include, *inter alia*, participation in a Ministerial dialogue on Climate Change Finance and interventions on the GEF annual report, national communications, and biennial update reports. In addition, the GEF delegation participated in contact groups and other sessions to brief Parties and to respond to questions on GEF activities, its support to Parties and its responses to COP guidance. Furthermore, the GEF delegation organized and/or took part in: a GEF side event on Public and Private Green Financial Innovations, the Global Landscape Forum, the International Conference on South-South Cooperation on Climate Change, a GEF side event with the title ‘What do we know about adaptation: Perspectives on the adaptation experience and the way forward’, and a side event organized by the World Wildlife Fund on Lessons Learned from the Adaptation Funds.

15. Key issues of relevance to the GEF that were discussed at COP 20 include (i) a potential long-term mitigation goal, to be further discussed in upcoming meetings; (ii) the framework for and specifications of the information to be included in the intended nationally determined contributions by Parties, which is of particular relevance to the GEF as an operating entity of the financial mechanism of the Convention that finances the preparation of the intended nationally determined contributions; (iii) long-term climate finance, including a request to developed country Parties to enhance the available quantitative and qualitative information of a pathway to scaling up climate finance; (iv) an highlight of actions of private sector players, sub-national authorities, indigenous groups and others to advance the climate agenda on the ground; and (v) adaptation to climate change, including a provision that adaptation may be included, on a limited basis, in the intended nationally determined contributions. The guidance provided by the COP and decisions of relevance to the GEF are presented in Annex I to this document, including GEF’s responses to the guidance provided.

16. During the reporting period, the GEF Secretariat also participated in the following UNFCCC meetings and provided updates on GEF programming. Of particular relevance was GEF’s active engagement to inform Parties about GEF support options for the preparation of intended nationally determined contributions:

- (a) Second meeting of the National Adaptation Plan (NAP) Task Force of the Adaptation Committee on September 26-27, 2014 in Bonn, Germany;
- (b) Sixth meeting of the Adaptation Committee on September 29-October 1, 2014 in Bonn, Germany;
- (c) Eighth meeting of the Standing Committee on Finance on October 1-3, 2014 in Bonn, Germany;
- (d) Eighth meeting of the Board of the Green Climate Fund on October 14-17, 2014 in Bridgetown, Barbados;

- (e) Sixth part of the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) on October 20-25, 2014 in Bonn, Germany;
- (f) Least Developed Countries Expert Group (LEG) regional training workshop on National Adaptation Plans for the Pacific on November 3-7, 2014 in Port Vila, Vanuatu;
- (g) Regional Technical Dialogue on intended nationally determined contributions on November 10-12, 2014 in Mexico City, Mexico;
- (h) Regional Technical Dialogue on intended nationally determined contributions on January 27-29, 2015 in Addis Ababa, Ethiopia;
- (i) Eighth part of the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) on February 8-13, 2015 in Geneva, Switzerland;
- (j) Least Developed Countries Expert Group (LEG) regional training workshop on National Adaptation Plans for Eastern and Southern Africa on February 23-27, 2015 in Livingstone, Zambia;
- (k) Adaptation Committee workshop on the means of implementation for enhancing adaptation action on March 2-4, 2015 in Bonn, Germany;
- (l) Stocktaking meeting of the Least Developed Countries Expert Group (LEG) on March 9-11, 2015 in Bangkok, Thailand;
- (m) Tenth meeting of the Technology Executive Committee (TEC) on March 9–12, 2015 in Bonn, Germany;
- (n) Ninth meeting of the Standing Committee on Finance (SCF) on March 10-11, 2015 in Bonn, Germany;
- (o) Ninth meeting of the Board of the Green Climate Fund on March 24-26, 2015 in Songdo, Republic of Korea;
- (p) Third NAP Expo on April 14-15, 2015 in Bonn, Germany; and
- (q) Workshop on experiences, good practices, lessons learned, gaps, and needs on the process to formulate and implement NAPs, organized by the Adaptation Committee and the LEG on April 16-17, 2015 in Bonn, Germany.

Joint Activities

17. Over the past few years, the GEF Secretariat and the UNFCCC Secretariat have jointly conducted regular meetings and an annual retreat. During the reporting period the GEF Secretariat met with the UNFCCC Secretariat in Lima, Peru, in December 2014 during COP 20. The aim of the discussion was to discuss the support provided by the GEF towards the 2015 Paris agreement, including means and ways in which the GEF can support the preparation of intended nationally determined contributions by non-Annex I Parties to the Convention. Another goal was to assess the work procedure and submission of the COP 20 report and to incorporate lessons learned in the work procedure for the preparation of the COP 21 report.

UN CONVENTION TO COMBAT DESERTIFICATION

Reporting

18. The GEF report for the UNCCD Fifth Reporting Cycle was submitted through the Performance Review and Assessment of Implementation System (PRAIS) and was considered by Parties at the 13th Session of the Committee for Review of Implementation of the Convention (CRIC13) in March 2015. The GEF contribution was reviewed along with reports from countries and GEF Partner Agencies, showing continued progress towards mobilizing resources for the implementation of the Convention and its 10-Year Strategic Plan.

Decisions of COP

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

Meetings and Events

20. During the period covered by this report, the GEF Secretariat participated in two major events of the Convention: the 3rd Scientific Conference and 4th Session of the Committee on Science and Technology (CST-4); and the 13th Session of the Committee to Review Implementation of the Convention (CRIC13).

21. The 3rd UNCCD Scientific Conference and CST-4 took place in Cancun, Mexico March 9-12, 2015. The theme of the Conference was “combating drought, land degradation and desertification for poverty reduction and sustainable development: the contribution of science, technology, traditional knowledge and practices.” The conference focused on how to anticipate the impact of climate change and land degradation in order to establish options for using ecosystems to reduce poverty and environmental degradation. GEF Secretariat delegation presented a poster that synthesized lessons from combating land degradation through the Integrated Ecosystem Management approach. The GEF Secretariat also used the opportunity to organize two side events for sharing knowledge on lessons and experiences from projects in Burkina Faso, China, and India. These knowledge sharing opportunities will play an important role in strengthening the efficient programming of GEF resources in the context of post-2015 development priorities in affected countries.

22. The 13th Session of the Committee for Review of Implementation of the Convention (CRIC13) was held March 25-27, 2015 in Bonn, Germany. The Session reviewed progress on the achievement of strategic objectives of the Convention’s 10-Year-Strategy (2008-2018), based on reports submitted by all country Parties, including financial resources mobilized to combat land degradation, desertification and drought. As a financial mechanism for the convention, GEF support was considered based on programming of resources by eligible country Parties for sustainable land management. During meetings of the regional annexes prior to the CRIC (March

23-24), the GEF Secretariat delegation briefed and updated country Parties on programming directions for GEF-6, including GEF financing for enabling activities under the convention.

23. The GEF Secretariat participated in a two-day (March 27-28, 2015) Regional Workshop on alignment of National Action Programs (NAPs) for country Parties from the Pacific region.

24. Another noteworthy event was the Consultation Workshop for the GEF-6 Integrated Approach Pilot on Fostering Sustainability and Resilience for Food Security in Sub Saharan Africa, organized jointly with UNEP and IFAD on October 21-22, 2014 in Nairobi, Kenya. The GEF and UNCCD Secretariats jointly supported and facilitated the consultation process, which involved government representatives from 22 countries in the dryland regions. As a result of strong engagement by UNCCD National Focal Points, the program implementation will be most certainly aligned with priorities of National Action Programs in the participating countries.

STOCKHOLM CONVENTION ON PERSISTENT ORGANIC POLLUTANTS

Reporting

25. The GEF Secretariat, in preparation for the 7th COP to the Stockholm Convention has developed the report of the GEF Council to the COP in accordance with the Memorandum of Understanding with the COP. The document has been circulated to the GEF Council and reports on the projects in the second half of GEF-5, the response of the GEF to the consolidated guidance received from COP 6 and the results of the 6th GEF replenishment. The GEF will present the report in May 2015 at the 7th COP to the Stockholm Convention.

Ratification

26. From October 2014 until March 2015, no new countries have acceded to or ratified the Stockholm Convention on Persistent Organic Pollutants. The status of ratifications can be retrieved on the Stockholm Convention website:

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

National reporting

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

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

28. As of March 2015, 155 countries have submitted their initial NIPs to the Stockholm Convention Secretariat, and 22 countries have transmitted their second NIPs.

Meetings and events

29. In July 2014, the GEF Secretariat attended two regional workshops of the Basel, Rotterdam and Stockholm Conventions in preparation for the 2015 joint COPs of the Basel, Rotterdam and Stockholm Conventions, including Asia and the Pacific, March 17-18, 2015, Africa, March 24-27, 2015 and Latin America and Caribbean, April 13-15, 2015. These meetings were aimed at preparing countries for the 2015 COPs. The GEF Secretariat presented the Chemicals and Waste Strategy for GEF-6 and had the opportunity to interact with participating countries about priority projects on Persistent Organic Pollutants (POPs), mercury, and the Strategic Approach to International Chemicals Management (SAICM) and discuss programming within the different the regions.

MONTREAL PROTOCOL ON SUBSTANCES THAT DEplete THE OZONE LAYER

Meetings and events

30. The GEF Secretariat participated in the 54th meeting of the Implementation Committee of the Montreal Protocol, the 26th meeting of the Parties to the Montreal Protocol and the 36th meeting of the Executive Committee for the Implementation of the Montreal Protocol. The GEF provided information to the Implementation Committee for its deliberation on the compliance status of Kazakhstan which is a GEF funded party. The GEF participated in discussions on the proposed hydrofluorocarbon (HFC) amendments and also worked with the Multilateral Fund for the Implementation of the Montreal Protocol (MLF) Secretariat and UNIDO on finalizing the hydrochlorofluorocarbon (HCFC) project for Azerbaijan.

31. As an outcome of the MOP, the parties have agreed to meeting at a dedicated open-ended working group in April 2015 to discuss all the issues associated with HFCs. In this regard the GEF Secretariat has been requested by the Ozone Secretariat to provide information on projects it has funded that have leap frogged HFC technology in its projects related to energy efficiency and its ODS proposal. This information will be used in a paper from the Ozone Secretariat.

MINAMATA CONVENTION ON MERCURY

Ratification

32. The Minamata Convention on Mercury was opened for signature and ratification in October 2013. To date the Convention has 128 signatures and 10 countries have ratified it. The status of signatures and ratifications can be found on the Minamata Convention website:

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

Meetings and events

33. On November 3-7, 2014, the GEF Secretariat attended the 6th Meeting of the Intergovernmental Negotiating Committee on the Minamata Convention (INC6) in Bangkok, Thailand. The GEF presented a report of its activities to support the Convention since its adoption in October 2013, including GEF's response to the request of the diplomatic conference that adopted the Minamata Convention. The report was circulated to the GEF Council. The report was noted by the INC. As a consequence, the INC provided guidance to the GEF related to the eligibility of non-signatory developing countries and countries with economies in transition for accessing the Minamata Initial Assessments (MIAs). The guidance provided by the INC and GEF's response to this guidance is annexed to this document.

34. The GEF Secretariat attended several Regional Workshops of the Minamata Convention to aid countries with ratification in the interim period. At the meetings, the GEF presented how eligible countries can access GEF funding to support ratification and early implementation in the interim period. The meetings were also an opportunity to discuss GEF-6 programming in the regions. GEF Secretariat attended the following workshops:

- (a) Caribbean regional workshop, Port of Spain, Trinidad and Tobago, January 17-21, 2015;
- (b) Asia and Pacific regional workshop, Jakarta, Indonesia, March 17-20, 2015;
- (c) Africa workshop, March 24-25, 2015; and
- (d) Latin America and the Caribbean regional workshop, Montevideo, Uruguay, April 14-17, 2015.

35. The GEF Secretariat attended two forums on artisanal and small-scale gold mining (ASGM). The forums were organized by the UNEP Global Mercury Partnership and were focused on assisting countries with ASGM sectors prepare to implement the Minamata Convention. One of the major outcomes of the meetings was assisting countries plan for generation National Action Plans under the convention. The GEF Secretariat attended the following meetings:

- (a) Andean ASGM Forum, Lima, Peru, March 17-19 – During this meeting the GEF Secretariat discussed with countries their priorities for the ASGM sector
- (b) Global ASGM Forum, Tanzania, April 14-16

RELATIONS WITH OTHER INTERNATIONAL INSTITUTIONS

UN Sustainable Development Goals

36. The GEF Secretariat has continued its engagement with the post-2015 development agenda process towards UN Sustainable Development Goals. In particular, the GEF Secretariat has been a co-lead with the United Nations Conference on Trade and Development (UNCTAD) and the United Nations Capital Development Fund (UNCDF) of the sub-group working on the issue of Means of Implementation (Goal 17 of the Report of the Open Working Group of the General Assembly). The group has provided input based on the requests of the co-facilitators of

the negotiations and the UN Statistical Commission. The GEF Secretariat, together with co-leads, has coordinated the group of agencies to reach consensus and provide substantive and useful inputs for these negotiations. The GEF has also been engaged in the discussions within the UN Technical Support Team (UNTST) of several relevant goals to the work of the GEF. The GEF Secretariat has participated in meetings related to the post-2015 development agenda in the areas of chemicals, oceans, and others.

37. In addition, the GEF has participated in the UN Inter-Agency Consultative Group on the Small Island Developing States (SIDS). This group is coordinated by the UN Department of Economic and Social Affairs (UNDESA), providing a valuable opportunity for UN agencies to follow-up and implement the SAMOA Pathway and coordinate activities related to SIDS.

Adaptation Fund Board

38. The Adaptation Fund Board held its twenty-fourth meeting on October 9-10, 2014 in Bonn, Germany. During this meeting, the Board approved the following six projects:

- (a) A project in India, to be implemented by the National Bank for Agriculture and Rural Development, with a total value of \$689,264;
- (b) A project in India, to be implemented by the National Bank for Agriculture and Rural Development, with a total value of \$2,510,854;
- (c) A project in Costa Rica, to be implemented by *Fundo de Cooperación para el Desarrollo Sostenible*, with a total value of \$9,970,000;
- (d) A project in Kenya, to be implemented by the National Environment Management Authority, with a total value of \$9,998,302;
- (e) A project in South Africa, to be implemented by the South African National Biodiversity Institute, with a total value of \$7,495,055; and
- (f) A project in South Africa, to be implemented by the South African National Biodiversity Institute, with a total value of \$2,442,682.

Project Approvals

39. The Board approved, intersessionally, a project in Ghana, to be implemented by UNDP, with a total value of \$8,293,972.

40. The Board approved, intersessionally, a project in Mali, to be implemented by UNDP, with a total value of \$ 8,533,348.

41. The Board approved, intersessionally, a project in Nepal, to be implemented by the World Food Programme, with a total value of \$ 9,527,160.

Resources

42. The Board has approved 44 projects and programs for funding at the end of the reporting period, amounting to \$291 million in total. As of February 28, 2015, funds available to support funding decisions were \$177.01 million.

Implementation of the Readiness Program for Climate Finance

43. Over the reporting period, the Adaptation Fund Secretariat has continued the Program, and jointly organized a Climate Finance Readiness workshop for Latin America and the Caribbean region (Panama City, Panama, March 24-26, 2015) with the Development Bank of Latin America (CAF), and with the support of the government of Panama. This event brought together experts in the field of climate finance, from different financing and supporting organizations, along with representatives from accredited national implementing entities, who all shared experiences and ideas and became more familiar with the Adaptation Fund's procedures, operational policies and guidelines in order to efficiently design, propose and manage the full-cycle implementation of climate adaptation projects and programs. The seminar was also used as an opportunity to promote the South-South cooperation grants for already-accredited national implementing entities to assist potential applicant national entities in preparing accreditation applications.

44. The deadline for submissions was August 15, 2014 and four countries have requested support through two national implementing entities. They have all been funded.

Participation at COP 20/CMP 10

45. The Adaptation Fund Board (AFB) secretariat participated in the UNFCCC COP20/CMP10 meeting on December 1-13, 2014 in Lima, Peru. The main objectives of the team's participation were to support the AFB Chair Mr. Mamadou Honadia (Burkina Faso, African Group) and other Board members in sessions that had relevance to the Fund, to interact with donors to prepare ground for contribution decisions, to raise awareness of the Fund, and to create and strengthen relationships with various stakeholders. During this meeting, the CMP 10 decided to extend the interim arrangement between the GEF and the Adaptation Fund Secretariat until 2017.

UN Forum on Forests

46. The GEF Secretariat participated in the Second meeting of the Ad hoc Expert Group (AHEG2), of the International Arrangement on Forests (IAF), held at UN Headquarters, January 12-16, 2015. The GEF Secretariat also participated in meetings and events of the Collaborative Partnership on Forests (CPF)¹ at the following dates and places: (i) September 23, 2014 in New

¹ The CPF is a voluntary arrangement among 14 international organizations and secretariats with substantial programs on forests with a key objective to support the United Nations Forum on Forests (UNFF) and its member countries. The CPF provides major inputs to the UNFF and

York, coinciding with the UN Climate Summit; (ii) October 5, 2014 in Salt Lake City, coinciding with the XXIV World Congress of the International Union of Forest Research Organizations (IUFRO), and via video conference to CPF meetings in Rome, November 26-27, 2014, and March 31, 2015.

other important international forest dialogues, including the conventions on climate change, biodiversity and desertification.

ANNEX I

GEF Responses to Decisions and Guidance of the Conferences of Parties of the CBD, the UNFCCC, the UNCCD and the Intergovernmental Negotiating Committee on the Minamata Convention

Table 1: GEF's Response to Guidance contained in Decision COP/XII/30/ adopted by the CBD COP

COP Decision	GEF's Response
<p>B. Fourth review of the effectiveness of the financial mechanism</p>	
<p><i>Invites</i> the Global Environment Facility to take the following action in order to further improve the effectiveness of the financial mechanism:</p> <p>(a) Enhance its catalytic role in mobilizing new and additional financial resources while not compromising project goals;</p> <p>(b) In collaboration with the Global Environment Facility agencies and Parties, continue to streamline the project cycle as suggested by the Independent Evaluation Office of the Global Environment Facility in the fifth Overall Performance Study;²</p> <p>(c) Coordinate with the Secretariat of the Convention on Biological Diversity on how to better measure progress in achieving the Aichi Biodiversity Targets by initiatives supported by the Global Environment Facility, taking into account the agreed GEF-6 portfolio-level indicators;</p> <p>(d) Explore ways to balance the comprehensiveness and conciseness of the report of the Global Environment Facility, acknowledging the need to demonstrate progress in programming resources towards achievement of the Aichi Biodiversity Targets;</p> <p>(e) Make available a preliminary draft of its report to the Conference of the Parties, particularly focusing on the response of the Global Environment Facility to previous guidance from the Conference of the Parties, to the Subsidiary Body on Implementation prior to the meeting of the Conference of the Parties at which the report will be formally considered, with a view to promoting effective and timely consideration of the</p>	<p>(a) GEF will continue to enhance its catalytic role in mobilizing resources including the strategic use of multi-focal area investments to leverage resources from other partners.</p> <p>(b) Streamlining the project cycle is an ongoing process. At the October 2014 Council Meeting decisions were made to streamline the Programmatic Approach and to implement a project cancellation policy.</p> <p>(c) As GEF-6 is implemented, the GEF Secretariat (GEFSEC) will communicate with the CBD Secretariat to demonstrate how the current GEF indicators measure progress and contributions to the Aichi Biodiversity Targets and explore how this could be improved.</p> <p>(d) GEF will streamline reporting for COP XIII, building on the most recent report for COP XII which itself was a streamlined report from previous COPs.</p> <p>(e) GEF will meet this request for the upcoming COP.</p>

² See <http://www.gefio.org/ops/ops-5>.

COP Decision	GEF's Response
information provided in the report;	
<i>Encourages</i> the Executive Secretary and the Chief Executive Officer of the Global Environment Facility to continue to strengthen inter-secretariat cooperation and collaborate with the Independent Evaluation Office of the Global Environment Facility and the Global Environment Facility agencies;	The GEF CEO welcomes this guidance and will continue to strengthen cooperation with the CBD Secretariat. The first explicit indicator of this cooperation has been the joint workshop delivery by CBD-SEC and GEF-SEC prior to each ECW being presented during 2015.
<i>Requests</i> the Global Environment Facility to indicate in its report to the thirteenth meeting of the Conference of the Parties, how it plans to respond to the report on the first determination of funding requirements, noted in decision XI/5, pursuant to paragraph 5.2 of the Memorandum of Understanding;	GEF will comply with this request for COP XIII.
<i>Welcomes</i> the creation of programmes 5 and 8 in the GEF-6 biodiversity focal area strategy, reflecting the importance of the Cartagena and the Nagoya Protocols, and <i>invites</i> Parties to prioritize projects accordingly;	Noted.
<p style="text-align: center;">C. Cartagena Protocol on Biosafety</p> <p><i>Taking note of</i> decision BS-VII/5, <i>invites</i> the financial mechanism to implement the following guidance³ considered and adjusted by the Conference of the Parties for consistency with Article 21 of the Convention:</p> <p>(a) To support, in view of the experience gained during the second national reporting process, the following activities within the Biodiversity Focal Area Set Aside for eligible Parties, in particular those that have reported to the Compliance Committee difficulties in complying with the Protocol, with a view to fulfilling their national reporting obligation under the Protocol:</p> <ul style="list-style-type: none"> (i) Preparation of the third national reports under the Cartagena Protocol on Biosafety, in accordance with paragraph 2 (g) of decision BS-VI/5; (ii) Preparation, by Parties that have not yet done so, of their first national reports under the Cartagena Protocol on Biosafety, in accordance with decision BS-V/14; <p>(b) To support the following activities of eligible Parties within Programme 5 on Implementing the</p>	<p>Program 5 of the GEF-6 biodiversity strategy, “Implementing the Cartagena Protocol on Biosafety”, provides ample latitude for countries to seek support for these activities (a-b, d-g) using resources from their country allocation.</p> <p>GEF will support a global project to provide expedited support for the preparation of the third national reports using funds from the biodiversity focal area set aside.</p>

³ Guidance received from the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety is contained in section II of appendix I.

COP Decision	GEF's Response
<p>Cartagena Protocol on Biosafety under the Biodiversity Focal Area:</p> <ul style="list-style-type: none"> (i) Implementation of national biosafety frameworks, in accordance with paragraph 2 (h) of decision BS-VI/5; (ii) Supporting capacity-building activities in the thematic work related to the Strategic Plan for Biodiversity 2011-2020, taking into account the capacity-building needs of eligible Parties; (iii) Supporting the ratification and implementation of the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress, including, inter alia, capacity-building, information sharing and awareness-raising activities; <p>(c) To consider mechanisms for:</p> <ul style="list-style-type: none"> (i) Supporting the updating and finalization of national biosafety frameworks; (ii) Facilitating access to Global Environment Facility funding for projects supporting the implementation of the Cartagena Protocol on Biosafety; (iii) Increasing the level of utilization of Global Environment Facility funding for biosafety; <p>and report to the Conference of the Parties at its thirteenth meeting;</p> <p>(d) To promptly address the need for capacity-building for the use of the Biosafety Clearing-House of all eligible Parties not yet supported;</p> <p>(e) To support Parties in the collection of national data and conducting consultations on the third national reports;</p> <p>(f) To provide support to implement the capacity-building activities referred to in paragraph 13 of decision BS-VII/12 on risk assessment and risk management;</p> <p>(g) To support capacity-building activities on socioeconomic considerations as specified in paragraphs 2 (n) and (o) of decision BS-VI/5 (appendix II to decision</p>	<p>During the course of the jointly-delivered CBD SEC and GEF SEC workshops that are part of the ECWs for 2015, the GEF SEC is emphasizing the opportunities for countries under Program 5.</p>

COP Decision	GEF's Response
<p>XI/5 of the Conference of the Parties);</p>	
<p><i>D. Nagoya Protocol on access and benefit sharing</i></p> <p><i>Taking note</i> of decision NP-1/6, <i>invites</i> the financial mechanism to implement the following guidance⁴ considered by the Conference of the Parties:</p> <p><i>Policy and strategy</i></p> <p><i>Takes note</i> of the consolidated guidance to the financial mechanism related to policy and strategy adopted in decision X/24, and <i>invites</i> the Conference of the Parties to review, and as appropriate, revise this guidance to take into account new developments such as the entry into force of the Nagoya Protocol;</p> <p><i>Programme priorities</i></p> <p><i>Requests</i> the Global Environment Facility:</p> <p>(a) To support activities contained in the guidance that the Conference of the Parties provided to the Global Environment Facility in its decision XI/5, annex, appendix 1;</p> <p>(b) To make financial resources available with a view to assisting eligible Parties in preparing their national reports;</p> <p>(c) To support activities related to implementing the awareness-raising strategy for early action on Article 21 of the Protocol;</p> <p><i>Sixth replenishment of the Global Environment Facility (GEF 6)</i></p> <p><i>Requests</i> the Global Environment Facility and its agencies to give due consideration to multi-focal area projects under the “integrated approach pilots” and other biodiversity focal area programmes that include access and benefit-sharing related activities;</p>	<p>Program 8, “Implementing the Nagoya Protocol on ABS”, provides ample opportunity for countries to seek support for these activities using resources from their country allocation.</p> <p>At such time, when a national report is required, GEF will provide expedited support for the preparation of the first national report using funds from the biodiversity focal area set aside.</p> <p>GEF will duly consider any multi-focal area projects that incorporate access and benefit-sharing related activities.</p>

⁴ The guidance received from the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol on access and benefit-sharing is contained in appendix II.

COP Decision	GEF's Response
<p>E. Other guidance to the financial mechanism</p> <p>Customary sustainable use</p> <p><i>Invites</i> Parties, other Governments, international organizations, programmes and funds, including the Global Environment Facility, to provide funds and technical support to developing country Parties and indigenous and local communities for implementation of programmes and projects that promote customary sustainable use of biological diversity;</p> <p>Marine and coastal biological diversity</p> <p><i>Recalling</i> paragraph 20 of decision X/29 and taking into account paragraph 7 of Article 20 of the Convention, as appropriate, <i>invites</i> the Global Environment Facility to continue to extend support for capacity-building to developing countries, in particular the least developed countries and small island developing States, as well as countries with economies in transition, in order to further accelerate existing efforts towards achieving the Aichi Biodiversity Targets in marine and coastal areas;</p> <p>Biodiversity and tourism development</p> <p><i>Invites</i> the Global Environment Facility and other donors, as appropriate, to continue to provide funding to support sustainable tourism that contributes to the objectives of the Convention;</p>	<p>GEF will provide funds for said activities when incorporated into and necessary for achieving objectives of projects aligned with the GEF-6 biodiversity strategy.</p> <p>GEF-6 biodiversity strategy programs one, two, six and nine aim to support efforts to achieve the Aichi Biodiversity Targets in marine and coastal areas.</p> <p>The Coastal Fisheries Initiative (CFI) (GEF: \$33.7 million, cofinance: \$201.5 million) submitted for the June 2015 Work Program has been developed to demonstrate and promote more holistic processes and integrated approaches leading to sustainable use and management of coastal fisheries complementing the GEF multi-country Large-Marine Ecosystem (LME) approach. The CFI will make a significant contribution to the Aichi Biodiversity Targets No 6 on sustainable fisheries, Target 10 on coral reefs, and Target 11 on protected areas.</p> <p>GEF-6 biodiversity program nine on biodiversity mainstreaming provides the window for countries to mainstream biodiversity considerations into tourism operations impacting globally significant biodiversity.</p>

Table 2: GEF’s Response to Guidance contained in Decisions adopted by UNFCCC COP 20 and conclusions by SBI 40

COP Decision/SBI Conclusion	GEF’s Response
<p>COP 20 Agenda Item 3 (b): Report of the Subsidiary Body for Implementation http://unfccc.int/files/meetings/lima_dec_2014/decisions/application/pdf/auv_cop20_eit.pdf</p>	
<p><i>Urged</i> Parties included in Annex II to the Convention which are in a position to do so, through multilateral agencies, including the Global Environment Facility within its mandate, relevant intergovernmental organizations, international financial institutions, other partnerships and initiatives, bilateral agencies and the private sector, or through any further arrangements, as appropriate, to provide financial, technological, technical and capacity-building support to Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties in order to assist them in implementing their national strategies, actions and plans on climate change mitigation and adaptation, and developing their low-emission development strategies or plans in accordance with decision 1/CP.16.</p>	<p>The GEF has commenced funding operations under its sixth replenishment cycle since July 2014. The GEF will, in the course of its annual reporting, provide detailed information on the financial, technological, technical and capacity-building support provided in respect to decision 1/CP.16.</p>
<p>COP 20 Agenda Item 7: Report of the Adaptation Committee http://unfccc.int/files/meetings/lima_dec_2014/decisions/application/pdf/auv_cop20_adaptationcommittee.pdf</p>	
<p><i>Requested</i> Parties, operating entities of the Financial Mechanism and other relevant entities working on adaptation to consider the recommendations contained in chapter V of the report of the Adaptation Committee, as included in the annex [to that decision].</p>	<p>With regard to generating interest in, demand for and leadership of the NAP process at the national level, and making available support for the NAP process better known; during the reporting period the GEF Secretariat attended two regional training workshops organized by the NAP Global Support Program (NAP GSP) in partnership with the Least Developed Countries Expert Group (LEG), where it shared information on the support provided through the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) towards the NAP process. Similar contributions were made at the LEG side event at COP 20; the Adaptation Committee (AC) workshop on the means of implementation for enhancing adaptation action; the third NAP Expo; and the AC-LEG workshop on experiences, good practices, lessons learned, gaps and needs on the process to formulate and implement NAPs.</p>

COP Decision/SBI Conclusion	GEF's Response
	<p>With a view to enhancing coordination, collaboration and coherence, the LDCF-financed NAP GSP has continued to foster partnerships with a growing number of bilateral and multi-lateral agencies that provide financial and technical support towards the NAP process in developing countries. The GEF Secretariat also attended the second meeting of the NAP Task Force of the Adaptation Committee, where considerable emphasis was placed on coordination and coherence in the support provided by bilateral and multi-lateral funds and agencies; as well as the eighth and ninth meetings of the Board of the Green Climate Fund (GCF).</p> <p>Finally, with regard to learning, monitoring and evaluation, the GEF Programming Strategy on Adaptation to Climate Change (document GEF/LDCF.SCCF.16/03) and the associated, updated results-based management framework for adaptation to climate change (document GEF/LDCF.SCCF.17/05) are closely aligned with the recommendations of the AC. The FY14 Annual Monitoring Review of the LDCF and the SCCF (document GEF/LDCF.SCCF.18/04) describes portfolio-level outcomes and lessons that are highly relevant to the NAP process.</p>
<p>COP 20 Agenda Item 12 (d): Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility http://unfccc.int/files/meetings/lima_dec_2014/decisions/application/pdf/auv_cop20_gef.pdf</p>	
<p><i>Encouraged</i> the Global Environment Facility to continue to cooperate with all its implementing and project agencies as well as recipient countries in order to improve its project cycle, taking into account the report of the fifth overall performance study of the Global Environment Facility and the recommendations contained therein.</p>	<p>The GEF Council, at its 47th meeting in October 2014, approved an updated Project Cancellation Policy and a revised Programmatic Approach modality to further improve its project cycle, as proposed by the GEF Secretariat in Council document GEF/C.47/07 on 'Improving the GEF Project Cycle'.</p>
<p><i>Also encouraged</i> the Global Environment Facility to continue to increase the overall transparency and openness of its operations, particularly with regard to the disclosure of information on the status of the implementation of projects and programmes, the project-level accountability of its implementing agencies and with respect to the timely disbursement of funds, as well as the advice provided to countries on co-financing.</p>	<p>The GEF fully discloses information on the status of the implementation of projects and programs as part of its annual monitoring exercise, and its reporting to the COP. The GEF Secretariat will present the fiscal year 2014 Annual Monitoring Report (AMR) II to the GEF Council at its meeting on June 2-4, 2015.</p> <p>Furthermore, the GEF Secretariat is committed to increase the overall transparency and openness of its operations and has made available, on the GEF website (http://www.thegef.org/about/organization/conflict-</p>

COP Decision/SBI Conclusion	GEF's Response
	<p>resolution-commissioner) information on the conflict-resolution services provided by the GEF and newly developed Guidelines to Implement the GEF's Policy on Public Involvement (https://www.thegef.org/documents/public-involvement).</p>
<p><i>Requested</i> the Global Environment Facility to ensure that gender mainstreaming is implemented both within its portfolio and within its structure.</p>	<p>The GEF Gender Equality Action Plan has been endorsed by the GEF Council in October 2014 to ensure comprehensive implementation of the Policy on Gender Mainstreaming within the GEF and its programs. Furthermore, a gender expert has been hired to support implementation of the GEF Gender Equality Action Plan and the GEF Secretariat has coordinated outreach activities to the country-level partners.</p>
<p><i>Encouraged</i> the Global Environment Facility to improve the communication of its co-financing policy so that it is better understood, and appropriately applied by accredited project agencies and the implementing agencies of the Global Environment Facility, while acknowledging the potential impacts of this policy on developing country Parties, in particular the least developed countries, small island developing States, and African States.</p>	<p>The GEF Secretariat has undertaken focused efforts to communicate and explain the content of the GEF's revised Co-financing Policy, approved by the GEF Council in May 2014. First, it posted the approved Policy as a stand-alone document (GEF Policy FI/PL/01) on its dedicated webpage for Policies and Guidelines (http://www.thegef.org/documents/co-financing-policy). The Secretariat conducted training on the Co-Financing Policy at all meetings under the GEF's Country Support Program, including Extended Constituency Workshops, Constituency Meetings, and National Dialogues. These meetings are attended by national GEF focal points and national focal points (or their representatives) of the UNFCCC and other conventions that the GEF serves, as well as representatives of civil society, the original 10 GEF Agencies, and accredited GEF Project Agencies. The GEF Secretariat also trains newly accredited GEF Project Agencies on this and other GEF Policies.</p> <p>Mindful of the circumstances of GEF recipient countries, particularly LDCs, SIDS and African States, the GEF Secretariat applies the Policy in a flexible manner when it reviews project and program submissions. This is anticipated by the Policy, which states that the GEF Secretariat "will not impose minimum thresholds and/or specific co-financing sources in the review of individual projects or work programs since co-financing may not always be achievable or relevant."</p>
<p><i>Also encouraged</i> the Global Environment Facility to finalize the accreditation of project agencies and to share, in its next report to the Conference of the Parties, lessons learned and progress made in its pilot</p>	<p>The GEF will, in the course of its annual reporting to the COP, share lessons learned and progress made in its pilot accreditation of project agencies, particularly in the least developed countries, small island developing States and</p>

COP Decision/SBI Conclusion	GEF's Response
accreditation of project agencies, particularly in the least developed countries, small island developing States and African States.	African States. The report, covering the period from July 1, 2014 until June 30, 2015, is expected to be officially submitted to the UNFCCC Secretariat, upon approval by the GEF Council, in August 2015.
<i>Requested</i> the Global Environment Facility to continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention receive funding to meet their obligations under Article 12, paragraph 1, of the Convention.	The GEF is exploring ways to further simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention receive funding to meet their obligations under Article 12, paragraph 1, of the Convention.
<i>Also requested</i> the Global Environment Facility to include, in its annual report to the Conference of the Parties, information on the steps that it has taken to implement the guidance provided in this decision.	The GEF will, in the course of its annual reporting to the COP, provide information on the steps taken to implement the guidance. The report, covering the period from July 1, 2014 until June 30, 2015, is expected to be officially submitted to the UNFCCC Secretariat, upon approval by the GEF Council, in August 2015.
<p>COP 20 Agenda Item 12(e): Fifth review of the Financial Mechanism</p> <p>http://unfccc.int/files/meetings/lima_dec_2014/decisions/application/pdf/auv_cop20_5reviewfm.pdf</p>	
<p><i>Acknowledged</i> the executive summary of the technical paper on the fifth review, as contained in the annex, including the conclusions and recommendations made by the Standing Committee on Finance;</p> <p><i>Encouraged</i> the operating entities of the Financial Mechanism to address, as appropriate, these recommendations in their future work, particularly with regard to the complementarity between the operating entities of the Financial Mechanism.</p>	<p>The GEF, as an operating entity of the Financial Mechanism, incorporates the recommendations made by the Standing Committee on Finance in its fifth review of the Financial Mechanism. To that effect, the GEF is engaging with the Green Climate Fund and the funds under the Convention to collaborate with the view to taking advantage of the complementarity of their respective policies and program. As recommended in the fifth review of the Financial Mechanism, the GEF will provide information on the progress made in ensuring complementarity with the other sources of climate finance in the course of its annual reporting to the COP. The report, covering the period from July 1, 2014 until June 30, 2015, is expected to be officially submitted to the UNFCCC Secretariat, upon approval by the GEF Council, in August 2015.</p>
<p>COP 20 Agenda Item 12(f): Further guidance to the Least Developed Countries Fund</p> <p>http://unfccc.int/files/meetings/lima_dec_2014/decisions/application/pdf/auv_cop20_ldcfund.pdf</p>	
<i>Invited</i> the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to continue to support the	The LDCF-financed full-sized project 'Building capacity for LDCs to participate effectively in intergovernmental climate change processes' (\$4.54 million) was launched in March 2015. The project will focus on the elements of the LDC

COP Decision/SBI Conclusion	GEF's Response
<p>remaining activities contained in the least developed countries work programme.</p>	<p>work program on (i) “[s]trengthening existing and, where needed, establishing, national climate change secretariats and/or focal points to enable the effective implementation of the Convention and the Kyoto Protocol, in the least developed country Parties”; and (ii) “[p]roviding training, on an ongoing basis, in negotiating skills and language, where needed, to develop the capacity of negotiators from the least developed countries to participate effectively in the climate change process”. Other elements are being addressed in the context of NAPA implementation, as specified below.</p> <p>With regard to public awareness, LDCF projects systematically incorporate activities that “[promote] public awareness [...] to ensure the dissemination of information on climate change issues” (decision 5/CP.7, paragraph 14 [a]). Of the 115 projects that had, as at April 16, 2015, been endorsed or approved by the GEF CEO, 73 are providing training to more than 550,000 people on various aspects of climate change in 40 LDCs. Total LDCF funding approvals associated with these 73 projects amount to \$397.32 million. Specifically, during the period corresponding to the fifth replenishment cycle of the GEF (GEF-5), LDCF projects and programs reported on funding amounts associated with each strategic outcome in the GEF’s 2010-14 Programming Strategy on Adaptation. During GEF-5, some 4 per cent of total funding approvals were associated with “strengthened awareness and ownership of adaptation and climate risk reduction processes”.</p> <p>The “development and transfer of technology, particularly adaptation technology” (decision 5/CP.7, paragraph 14 [b]) represents an important means through which LDCF projects implement NAPA priorities. All NAPA implementation projects contribute towards the demonstration, deployment and/or dissemination of clearly identifiable adaptation technologies; and many also strengthen the enabling environments for technology transfer through policy and regulatory reform. During GEF-5, 20 per cent of LDCF financing was identified as directly targeting the transfer of adaptation technology, one of three strategic objectives of the GEF’s adaptation program at the time.</p> <p>The GEF, through the LDCF, provides considerable support</p>

COP Decision/SBI Conclusion	GEF's Response
	<p>towards “strengthening [...] the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information to support implementation of national adaptation programmes of action”. Hydro-meteorological and climate information services are featured as a priority in several NAPAs and, as a result, 11 per cent of all LDCF financing, or \$98.36 million, has been directed towards enhancing such services as a priority. Altogether hydro-meteorological and climate information services are supported through 58 projects in 36 LDCs, with total associated funding approvals amounting to \$290.30 million.</p>
<p><i>Requested</i> the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to share, in its next report, lessons learned and progress made in its pilot accreditation of Global Environment Facility national project agencies.</p>	<p>The GEF will, in the course of its annual reporting to the COP, share lessons learned and progress made in its pilot accreditation of national project agencies. The report, covering the period from July 1, 2014 until June 30, 2015, is expected to be officially submitted to the UNFCCC Secretariat, upon approval by the GEF Council, in August 2015.</p>
<p><i>Invited</i> the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to include, in its annual report to the Conference of the Parties, information on specific actions that it has undertaken to implement the remaining elements of the least developed countries work programme, including the updating and implementation of national adaptation programmes of action, with a view to the Conference of the Parties determining, at its twenty-first session, appropriate further guidance to be provided to the Global Environment Facility.</p>	<p>See above. The GEF will, in the course of its annual reporting to the COP, provide information on specific actions that it has undertaken to implement the remaining elements of the least developed countries work program, including the updating and implementation of national adaptation programmes of action. The report, covering the period from July 1, 2014 until June 30, 2015, is expected to be officially submitted to the UNFCCC Secretariat, upon approval by the GEF Council, in August 2015.</p>
<p><i>Requested</i> the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to enhance communication with its implementing agencies and to encourage its implementing agencies to enhance their communication with countries to facilitate a timely implementation of other elements of the least developed countries work programme including national adaptation programmes of action.</p>	<p>The GEF Secretariat has communicated to its implementing agencies the request of the COP and encouraged a timely implementation of other elements of the least developed countries work program, including the national adaptation programmes of action.</p>

COP Decision/SBI Conclusion	GEF's Response
<p>Ad Hoc Working Group on the Durban Platform for Enhanced Action at its second session (ADP 2.7) http://unfccc.int/files/meetings/lima_dec_2014/application/pdf/auv_cop20_lima_call_for_climate_action.pdf</p>	
<p><i>Reiterated</i> its call to developed country Parties, the operating entities of the Financial Mechanism and any other organizations in a position to do so to provide support for the preparation and communication of the intended nationally determined contributions of Parties that may need such support.</p>	<p>The GEF has made resources available for countries to prepare their intended nationally determined contributions, and has participated in various meetings and workshops to encourage countries to utilize available GEF resources for this purpose. A component has been added to the Global Support Program for national communications and Biennial Update Reports (BURs) to provide technical assistance to countries to prepare their intended nationally determined contributions.</p> <p>As of April 2015, the GEF has approved projects supporting the following 44 countries in preparing their intended nationally determined contributions: Afghanistan, Antigua and Barbuda, Azerbaijan, Benin, Burundi, Cambodia, Chad, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Dominica, Eritrea, Fiji, Gabon, Guinea-Bissau, Iraq, Kyrgyzstan, Lesotho, Maldives, Mauritania, Mongolia, Mozambique, Myanmar, Namibia, Nauru, Niger, Nigeria, Papua New Guinea, Republic of Moldova, Rwanda, Sao Tome & Principe, Senegal, Seychelles, South Africa, Sri Lanka, Swaziland, Thailand, Timor Leste, Tunisia, Turkmenistan, Uzbekistan, Yemen, Zambia and Zimbabwe.</p>
<p>Subsidiary Body for Implementation (SBI 41) Agenda Item 4(c): Reporting from Parties not included in Annex I to the Convention – Provision of financial and technical support http://unfccc.int/resource/docs/2014/sbi/eng/129.pdf</p>	
<p><i>Invited</i> the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approvals of funding and disbursement of funds.</p> <p><i>Also invited</i> the GEF to continue providing information on an approximate date of completion of the draft national communications and an approximate date of submission to the secretariat of the national communications, for consideration by SBI 43 (November–December 2015).</p>	<p>The GEF continues to provide resources to non-Annex I Parties to prepare their national communications and BURs using the existing policy guidelines, taking fully into account decision 2/CP.17 paragraphs 41 (a) and (e). Since its report to COP 20, the GEF has supported 48 additional countries in their preparation of national communications and BURs. In addition, through the Global Support Program, implemented in conjunction by UNDP and UNEP, the GEF is supporting technical backstopping, capacity building, and information sharing and knowledge management activities for national communications, BURs, and intended nationally determined contributions.</p> <p>The GEF will provide information on an approximate date of</p>

COP Decision/SBI Conclusion	GEF's Response
	completion of the draft national communications and an approximate date of submission to the secretariat of the national communications, for consideration by SBI 43.
<i>Further invited</i> the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approvals of funding and disbursement of funds, as well as an approximate date of submission to the secretariat of the BURs, for consideration by SBI 42 (June 2015).	The GEF Secretariat will report to SBI 42 on the requested information.
<i>Invited</i> the GEF to provide, in its report to COP 21 (November–December 2015), information on the procedures available to facilitate access by non-Annex I Parties to funding for the preparation of their national communications and multiple BURs with one application.	The GEF will, in its report to COP 21, provide information on the procedures available to facilitate access by non-Annex I Parties to funding for the preparation of their national communications and multiple BURs with one application. The report, covering the period from July 1, 2014 until June 30, 2015, is expected to be officially submitted to the UNFCCC Secretariat, upon approval by the GEF Council, in August 2015.
<p>Subsidiary Body for Implementation (SBI 41)</p> <p>Agenda Item 7: Matters relating to the least developed countries</p> <p>http://unfccc.int/resource/docs/2014/sbi/eng/124.pdf</p>	
<i>Invited</i> the Global Environment Facility to continue to explore ways of simplifying access to the LDCF.	The GEF continues to explore ways of simplifying access to the LDCF, including through an improved project cycle and the pilot accreditation of GEF Project Agencies. The GEF Secretariat will present a progress report on the accreditation pilot at the 48 th Council meeting on June 2-4, 2015.
<p>Subsidiary Body for Implementation (SBI 41)</p> <p>Agenda Item 12(b): Poznan strategic programme on technology transfer</p> <p>http://unfccc.int/resource/docs/2014/sbi/eng/132.pdf</p>	
<i>Noted</i> the consultations between the GEF and the Advisory Board of the Climate Technology Centre and Network (CTCN) and the progress made on aligning the implementation of the element of the Poznan strategic programme related to support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, which were carried out in response to an invitation from SBI 40.2	<p>The GEF Secretariat will report to SBI 42 on the collaboration between the regional technology transfer and finance centres supported by the GEF under the Poznan strategic programme and the CTCN.</p> <p>The GEF Secretariat has also been providing updates on the progress made on the CTCN support, regional and national centre support, as well as lessons learned on the Poznan strategic programme to the UNFCCC Secretariat to facilitate</p>

COP Decision/SBI Conclusion	GEF's Response
<p>It also <i>noted</i> the areas of collaboration between the regional technology transfer and finance centres supported by the GEF under the Poznan strategic programme and the CTCN and <i>invited</i> the GEF to report on this collaboration as part of its future progress reports.</p>	<p>its review.</p>

Table 3: GEF’s Response to Guidance contained in Decisions adopted by the UNCCD COP

COP Decision	GEF’s Response
Invites the donors to the sixth replenishment of the Global Environment Facility to strive for a robust replenishment of resources, including for the Land Degradation Focal Area;	Donors responded with an overall robust replenishment for GEF-6, including the allocation of \$431 million to the Land Degradation Focal Area.
Calls on Parties to align their programming of Global Environment Facility resources at the national level, taking into account the priorities of sub-regional and regional action programmes to justify additional support for collaborative actions at the regional level;	The strategic directions for GEF-6 include several indicative programs for collaborative and transboundary programming by countries, including options for integration across focal areas.
Invites Parties to utilize Global Environment Facility financial resources in their implementation of activities geared towards the objectives of the Convention, taking into account the outcome of the United Nations Conference on Sustainable Development (Rio+20) relating to desertification, land degradation and drought, including the potential for harnessing synergies through the use of relevant Global Environment Facility incentive mechanisms across the various focal areas;	The GEF and UNCCD Secretariat are working to produce a Guide Book that will help countries to better assess options for programming GEF resources under the Land Degradation Focal Area, and in relation to other focal areas. A draft of the Guide Book will be completed for publication as soon as all GEF project cycle and operational policies are finalized.
Also invites the Global Environment Facility, during its sixth replenishment period, to support national-level capacity development for affected country Parties, as appropriate, to take coordinated action at the national, regional and international level to monitor globally land degradation and restore degraded lands in arid, semi-arid and dry sub-humid areas, if requested and among other activities;	The Land Degradation focal area allocation for GEF-6 includes provision for Enabling Activity financing to eligible countries. <i>Update: The GEF and UNCCD Secretariats have consulted and agreed on the plan and procedures for enabling activity financing during GEF-6. The priorities are based on decisions from COP11, and plan is aligned with deadlines for county Parties to meet their obligations.</i>
Encourages eligible country Parties to make use of the Global Environment Facility programme on capacity development to support the capacity needs in relation to the Rio conventions;	The strategic direction for GEF-6 includes a program on capacity development, which will enable countries to address this need.
Invites the Global Environment Facility to consider promoting the involvement of the private sector to generate multiple global environmental benefits and improve livelihoods, through country-driven sustainable land management initiatives and programmes;	The GEF-6 replenishment process and the strategic directions give due consideration to the important role of private sector, inter alia through the non-grant instrument (NGI).
Also invites eligible Parties that have yet to request Global Environment Facility resources for UNCCD enabling activities to do so, bearing in mind that GEF-5 phase ends in June 2014, after which these resources will no longer be available;	133 of 144 eligible countries successfully secured GEF resources for enabling activities prior to end of GEF-5. This has significantly enhanced the response by countries for obligations on reporting and alignment of National Action Programmes with the UNCCD 10-year Strategy.

COP Decision	GEF's Response
<p>Further invites the Global Environment Facility to continue to simplify and clarify the procedures for accessing the funding for the implementation of the Convention, including for the alignment of national action programmes with the 10-year strategic plan and framework to enhance the implementation of the Convention (2008–2018) and for timely reporting;</p>	<p>The GEF-6 Land Degradation Focal Area Guide Book under preparation will include a description of all GEF policies and procedures for accessing resources.</p> <p><i>Update: The Guide Book has been published as a “Primer” on Sustainable Land Management Financing for the Sixth GEF Replenishment Phase (GEF-6). This is now being widely distributed as electronic and print copies, and also used for presentations and briefings at various events of the convention.</i></p>
<p>Invites the Global Environment Facility to continue its efforts to inform and build the capacity of eligible country Parties on the procedures mentioned in paragraph 8 above;</p>	<p>The GEF will continue to organize its Extended Constituency Workshops (ECWs) as a means of strengthening capacity and increasing knowledge on policies and procedures.</p> <p><i>Update: The ECWs for GEF-6 have been initiated and efforts are made by the GEF Secretariat to mobilize representation by all UNCCD National Focal Points.</i></p>
<p>Requests the secretariats of the Global Environment Facility and the UNCCD to engage in consultations on harmonizing the disbursement of funding for enabling activities with the deadlines for the alignment and the reporting and review process;</p>	<p>The GEF and UNCCD Secretariats will consult on harmonization as soon as priorities for enabling activity financing have been established.</p> <p><i>Update: The GEF and UNCCD Secretariats have consulted and agreed on the plan and procedures for enabling activity financing during GEF-6. The priorities are based on decisions from COP11, and plan is aligned with deadlines for county Parties to meet their obligations.</i></p>
<p>Invites the Global Environment Facility to continue raising awareness of UNCCD issues, including through its communication strategy;</p>	<p>The GEF Secretariat continued to regularly share on its website and through publications stories, best practices and lessons from projects addressing land degradation. In addition, a special issue of the GEF Secretariat’s newsletter “Greenline” was dedicated to Sustainable Land Management.</p> <p><i>Update: The GEF produced a series of news items on its programs to raise awareness about SLM, including a focus on soils to celebrate 2014 as the International Year of Soil.</i></p>
<p>Requests the Executive Secretary, in consultation with the Chief Executive Officer of the Global Environment Facility, to prepare draft amendments to the existing Memorandum of Understanding between the UNCCD and the Global Environment Facility and to report on the proposed draft</p>	<p>The Memorandum of Understanding has been thoroughly revised and updated to take into account recent decisions of the COP. It will be reviewed by both Secretariats before presentation to the next UNCCD COP.</p>

COP Decision	GEF's Response
amendments to the Conference of the Parties at its twelfth session on this matter.	

Table 4: GEF’s Response to Guidance contained in Decisions adopted by the Intergovernmental Negotiating Committee on the Minamata Convention (INC)

INC Guidance	GEF’s Response
<p><i>Request</i> the Global Environment Facility to apply the following eligibility criteria in providing financial support to developing countries and countries with economies in transition for activities under the Minamata Convention on Mercury:</p> <p>Eligibility criteria</p> <p>(a) Parties to the Convention;</p> <p>(b) Signatories to the Convention in undertaking activities, particularly enabling activities, to facilitate early implementation and ratification of the Convention;</p> <p>(c) Non-signatories to the Convention, for enabling activities, provided that any such State is taking meaningful steps towards becoming a Party as evidenced by a letter from the relevant minister to the Executive Director of the United Nations Environment Programme and to the Chief Executive Officer and Chairperson of the Global Environment Facility.</p>	<p>The GEF Secretariat transmitted this guidance along with a decision to accept and implement the guidance to the GEF Council by mail which was subsequently accepted by the Council. The GEF Secretariat has transmitted the Council’s decision to the Minamata Convention Secretariat.</p> <p>GEF Secretariat attended several Regional Workshops of the Minamata Convention to aid countries with ratification in the interim period. At the meetings the GEF presented how eligible countries can access GEF funding to support ratification and early implementation in the interim period. The meetings were also an opportunity to discuss GEF-6 programming in the regions. GEF Secretariat attended the following workshops:</p> <ul style="list-style-type: none"> • Caribbean regional workshop, Port of Spain, Trinidad and Tobago, January 17-21, 2015 • Asia and Pacific regional workshop, Jakarta, Indonesia March 17-20, 2015 • Africa workshop, March 24-25, 2015 • LAC regional workshop, Montevideo, Uruguay, April 14-17, 2015 <p>The GEF Secretariat attended two forums on arsenal and small scale gold mining (ASGM). The forums were organized by the UNEP Global Mercury Partnership and were focused on assisting countries with ASGM sectors prepare to implement the Minamata Convention. One of the major outcomes of the meetings was to assist countries in generating National Action Plans under the Convention. The GEF Secretariat attended the following meetings:</p> <ul style="list-style-type: none"> • Andean ASGM Forum, Lima, Peru, March 17-19 – During this meeting the GEF Secretariat discussed with countries their priorities for the ASGM sector • Global ASGM Forum, Tanzania, April 14-16 <p>Other activities with Minamata Convention Secretariat responding to this guidance:</p> <ol style="list-style-type: none"> 1. Notification procedure for Article 7 of the Convention. The GEF Secretariat and the Minamata Secretariat agreed that a letter notifying the Minamata Convention Secretariat of a ‘more than insignificant’ mercury usage in the ASGM sector from a

INC Guidance	GEF's Response
	<p>relevant Minister or the GEF operational focal point would satisfy the requirement for a notification to enable access to resources from the GEF for the develop of National Action Plans.</p> <ol style="list-style-type: none"> <li data-bbox="894 411 1419 653">2. In relation to implementing the guidance received from the INC on the eligibility of non-signatories for accessing funds from the GEF for Minamata Initial Assessments the GEF Secretariat and the Minamata Convention Secretariat have agreed on the format of the letter required from the proposing country. <li data-bbox="894 653 1419 915">3. The GEF Secretariat and the Minamata Convention Secretariat at the request of the INC will begin drafting of the Memorandum of Understanding between the GEF Council and the COP of the Minamata Convention which will be presented at INC-7. The GEF Secretariat will present the outcome of this task at an appropriate meeting of the GEF Council.

Table 5: Consolidated Responses by the GEF to Guidance contained in Decisions adopted by the Stockholm Convention on Persistent Organic Pollutants

This Section provides a review of all COP decisions, by article and chronologically, followed by GEF responses and activities pertaining to reach particular COP decision.

Guidance to the financial mechanism

This guidance is intended to assist the entity or entities entrusted with the operation of the financial mechanism pursuant to paragraph 6 of Article 13 and in accordance with article 14 of the Stockholm Convention on Persistent Organic Pollutants.

COP	Decision	Paragraph	Text	GEF Response
1	SC-1/9	4	Requests the entity or entities entrusted with the operations of the financial mechanism of the Convention, including the Global Environment Facility, to incorporate on an on-going basis guidance from the Conference of the Parties in the further development of their operational programs to ensure that the objectives of the Convention are addressed.	<p>The GEF, in its operations, takes into account COP guidance in formulating and implementing its policies and programs. The programming priorities articulated by the COP have guided the programming of resources by the GEF from GEF-2 to present. The majority of funding is programmed in UPOPs reduction through BAT/BEP introduction, PCB elimination, DDT elimination and pesticide management. Also every request for funding to develop NIPs has been funded. All requests to review and update NIPs have also been funded.</p> <p><u>Update for COP 7:</u></p> <p>The GEF used the information transmitted by the Parties, on the needs assessment, the 3rd review of the financial mechanism and the consolidated guidance, to develop the GEF 6 programming strategies for chemicals and waste.</p>
		5	Requests the GEF to prepare and submit reports to each ordinary meeting of the Conference of the Parties on its operations in support of the Convention, as set out in the memorandum of understanding (MOU) between the Conference of the Parties and the Council of GEF.	The development of GEF operational programs incorporates the guidance from the COP. So far the GEF has submitted reports to all the previous five COPs on GEF activities supporting implementation of the Convention in recipient countries. A full list of reports provided by the GEF to the Secretariat of Conventions is attached in Annex 3

				of the report. These reports can be retrieved at https://www.thegef.org/documents?f[0]=field_document_type%3A131 or www.pops.int (under each COP).
SC-1/9 Annex	1	<p>Eligibility</p> <p>(a) <i>Country eligibility:</i> To be eligible to receive funding from the financial mechanism a country must be:</p> <ul style="list-style-type: none"> (i) A developing country or country with an economy in transition; and (ii) A Party to the Convention. <p>For the preparation of the initial national implementation plan, developing countries and countries with economies in transition that are signatories or in the process of becoming Parties should also be eligible.</p> <p>The entity or entities entrusted with the operations of the financial mechanism should take full account of the specific needs and the special situation of the least developed countries and small island developing States in their actions with regard to funding;</p> <p>(b) <i>Eligible activities:</i> Activities that are eligible for funding from the financial mechanism are those that seek to meet the objectives of the Convention, by assisting eligible Parties to fulfil their obligations under the Convention, in accordance with guidance provided by the Conference of the Parties.</p>	<p>In response to this Guidance the GEF's eligibility policy for POPs incorporates the criteria for funding enabling activities.</p> <p>For LDC and SIDS the GEF uses a flexible approach to consideration of funding needs and co-financing ratio</p> <p>All activities that have been funded are all eligible.</p> <p><u>Update for COP 7:</u></p> <p>In developing the GEF 6 strategy, a set aside program for LDCS and SIDS has been included in the Chemicals and Waste Strategy that takes into account the special needs of LDCS and SIDS. It should be noted that LDCS and SIDS will also have access to the entire focal area resources.</p>	
SC-1/9 Annex	2	<p>Policy and strategy</p> <p>Timely, adequate and sustainable financial resources on a grant or concessional basis should be allocated to meet the agreed full incremental costs of implementing eligible activities:</p> <ul style="list-style-type: none"> (a) That are country-driven and are endorsed by the Parties concerned; 	<p>This Guidance is reflected in the strategies of the GEF.</p>	

			<ul style="list-style-type: none"> (b) That assist eligible Parties in meeting their obligations under the Stockholm Convention and are in conformity with, and supportive of, the priorities identified in their respective national implementation plans; (c) That are in conformity with the programme priorities as reflected in the relevant guidance and guidelines developed and/or adopted by the Conference of the Parties, as appropriate; (d) That build capacity and promote the utilization of local and regional expertise; (e) That promote multiple-source funding approaches, mechanisms and arrangements; and (f) That promotes sustainable national socio-economic development, poverty reduction and activities consistent with existing national sound environmental management programmes geared towards the protection of human health and the environment. 	
SC-1/9 Annex	3	<p>Programme priorities</p> <p>Priority should be given to the funding of activities that enable eligible Parties to fulfil their obligations under the Convention, in particular with:</p> <ul style="list-style-type: none"> (a) Development, review and updating, as appropriate, of national implementation plans, pursuant to Article 7 of the Convention; (b) Development and implementation of activities identified in national implementation plan as national or regional priorities; (c) Reducing the need for specific exemptions by eligible Parties; (d) Activities that support or promote capacity-building, including human resource development and institutional development and/or strengthening; including those from centres for regional and sub-regional capacity- 	<p>The GEF has responded to this guidance as follows:</p> <ul style="list-style-type: none"> (a) All requests for development, review and updating of NIPs have been funded. (b) The screening criteria for consideration of project proposals include an examination of the match between the project proposal and an articulation as a priority in the NIP. The GEF is flexible to include projects that are not in the NIP due to evolving conditions in a country. (c) This is included in the GEF strategies. (d) A number of projects address capacity building and the majority of projects funding include capacity building as a component. (e) A large number of projects that seek to address management, treatment and disposal of POPs include technical assistance components which receive funding. The GEF also encourages its agencies to utilize the regional centers set up by the convention. (f) Through the funding of NIPs the GEF provides assistance in 	

			<p>building and technology assistance, e.g.:</p> <ul style="list-style-type: none"> (i) Institutional strengthening and capacity-building; (ii) Capacity improvement for designing, developing and enforcing action plans, strategies and policies, including measures to minimize negative impacts on workers and local communities; <ul style="list-style-type: none"> (e) Activities that promote and provide access to technical assistance through appropriate arrangements, including those from centres for regional and sub-regional capacity-building and technology assistance; (f) Assistance with needs assessment and information on available sources on funding; (g) Activities that promote transfer of technology adapted to local conditions, to eligible Parties, including best available techniques and best environmental practices; (h) Activities that promote education, training, public participation and awareness-raising of stakeholders and the general public; (i) Projects that are responsive to priorities identified in the national implementation plans of eligible Parties and take fully into account the relevant guidance of the Conference of the Parties; (j) Activities that enhance information exchange and management; (k) Development and promotion of alternatives to persistent organic pollutants, including non-chemical alternatives. 	<p>regard to needs assessments of the Parties. Information on available resources is provided in the reports to the COP after the end of each replenishment negotiation. And information on programming and access to resources are provided through Extended Constituency Workshops that the GEF conducts in all its recipient constituencies on an annual basis since the beginning of GEF-5.</p> <ul style="list-style-type: none"> (g) This is included in the programming of resources bearing in mind projects are country driven and so the final choice of how technology transfer is executed is the country's decision. (h) A large number of projects have included education, training, public participation and awareness raising as components particularly in projects that introduce new management systems, treatment, emission reduction, new technology, and legislative/policy changes. (i) The screening criteria for consideration of project proposals include an examination of the match between the project proposal and an articulation as a priority in the NIP. The GEF is flexible to include projects that are not in the NIP due to evolving conditions in a country. (j) Some projects include mechanisms to enhance information exchange and management. (k) A number of projects, particularly those that seek to address the reduction of the consumption of DDT and other pesticides have been funded where non-chemical alternatives are developed and demonstrated. Some of the non-chemical alternative projects invest in integrated pest management and integrated vector management.
SC-1/9 Annex	4	<p>Determination of funding</p> <p>In accordance with paragraph 7 (d) of article 13, the</p>	<p>The GEF has incorporated the needs assessments provided by the Convention into the development of the strategic programming document used during the GEF replenishment process.</p>	

			Conference of the Parties will regularly provide the entity or entities entrusted with the operations of the financial mechanism pursuant to paragraph 6 of article 13 of the Convention assessments of the funding needed to ensure effective implementation of the Convention.	
	SC-1/9 Annex	5	<p>Updating the guidance</p> <p>The Conference of the Parties shall review, in consultation, as appropriate, with the entity or entities entrusted with the operation of the financial mechanism, the effectiveness of the present guidance on a regular basis and update and prioritize it as necessary.⁵ Such reviews will coincide with the schedule of reviews for the effectiveness of the financial mechanism.</p>	No Action required from the GEF.

Consolidated additional guidance to the financial mechanism

Article 3 - Measures to reduce or eliminate releases from intentional production and use

DDT

COP	Decision	Paragraph	Text	GEF Response
COP-1	SC-1/25	8(b)	Concludes that sufficient capacity at the national and subnational levels is necessary for effective implementation, monitoring and impact evaluation (including associated data management) of the use of DDT and its alternatives in disease vector control, and recommends that the financial mechanism of the Convention support activities to build and strengthen	The GEF has through programming projects in countries which produce and consume DDT built and strengthened the capacity in these countries to adopt alternatives to DDT and has strengthened the relevant public health systems in this regard.

⁵ In determining the length of time between updates of the guidance, the Conference of the Parties may wish to take into account the schedule for the review of the effectiveness of the financial mechanism.

			such capacity as well as measures to strengthen relevant public health systems.	
	SC-1/25	8(f)	Requests the financial mechanism of the Convention, and invites other international financial institutions, to support ongoing processes to develop global partnerships on long-term strategies for developing and deploying cost-effective alternatives to DDT, including the development of insecticides for indoor residual spraying, long-lasting insecticide treated materials and non-chemical alternatives.	The GEF has responded to this through funding projects that meet these needs.
COP-3	SC-3/16	4	Invites Governments, non-governmental organizations, industry and intergovernmental organizations to participate in the development of the business plan for promoting a global partnership on the development and deployment of alternative products, methods and strategies to DDT for disease vector control and encourages the Global Environment Facility, donors and other funding agencies to provide financial and other resources to support the creation and implementation of the business plan.	The GEF has supported the implementation of the business plan through the funding of projects from countries.
COP-4	SC-4/28	4	Requests the Global Environment Facility to provide, within its mandate, financial support for country-driven activities of the global alliance for the development and deployment of products, methods and strategies as alternatives to DDT for disease vector control ⁶ and invites developed country Parties, funding agencies and other financial institutions to support the alliance.	Under GEF-4, the GEF Council approved a program framework document and a number of projects to promote alternatives to DDT for vector control. Further support for country-driven activities, within the GEF's mandate to address DDT alternatives, is envisaged in the draft GEF-5 strategy for chemicals.
COP-5	SC-5/23	12	Requests the financial mechanism of the Convention and invites parties and observers and other financial	The GEF continues to support the global search and implementation of alternatives to DDT. In the reporting

⁶ See decision SC-4/2.

			institutions in a position to do so to provide financial support to the development and deployment of products, methods and strategies as alternatives to DDT.	period two projects for DDT with GEF resources of over US\$25 million were approved to develop new biological based alternatives and physical barriers for the control of malaria as well as to build the capacity in Africa to implement integrated vector management approaches.
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PCB

COP	Decision	Paragraph	Text	GEF Response
COP-5	SC-5/23	3	Requests the financial mechanism of the Convention and invites parties and observers and other financial institutions in a position to do so to provide financial support for country-driven training and capacity-building activities related to activities of the polychlorinated biphenyls elimination network.	The GEF provided US\$34.5 million in grant to countries to manage PCB in equipment in use and to destroy 15,183 tonnes of PCB oil and PCB contaminated oil and equipment during the reporting period.

Endosulfan

COP	Decision	Paragraph	Text	GEF Response
COP-5	SC-5/23	5	Recognizes that financial and technical support is required to facilitate the replacement of the use of endosulfan in developing countries.	Countries are encouraged to include endosulfan in their NIP updates.

Article 5 - Measures to reduce or eliminate releases from unintentional production

Best available techniques and best environmental practices

COP	Decision	Paragraph	Text	GEF Response
COP-3	SC-3/16	5	Urges the Global Environment Facility to incorporate best available techniques and best environmental practices and demonstration as one of its priorities for providing financial support.	COP decision on prioritizing demonstration of BAT/BEP was incorporated in GEF-4 POPs Strategy and GEF-5 Chemicals Strategy. GEF-4 identified as a priority “improving the capacity for POPs destruction in GEF recipient countries) or the demonstration of best available techniques/best environmental practices for the reduction of releases of unintentionally produced POPs”. GEF-5 states that

				<p>“investments supported by the GEF will address implementation of best available techniques and best environmental practices (BAT/BEP) for release reduction of unintentionally produced POPs, including from industrial sources and open-burning”. The two strategies can be found at: https://www.thegef.org/council-meeting-documents/gef-5-focal-area-strategies-0 under Chemicals.</p>
COP-5	SC-5/23	6	<p>Requests the financial mechanism of the Convention to provide funding to parties to enable them to implement best available techniques and best environmental practices to support the reduction or elimination of unintentional releases of persistent organic pollutants.</p>	<p>During the reporting period, 7 projects that reduce the unintentional release of dioxins and furans from medical waste, e-waste, and municipal waste were approved at a value of \$55.5 million.</p> <p>Additional projects addressing open burning are expected to be submitted for funding during the next reporting period.</p>

Toolkit for Identification and Quantification of Releases of Dioxin, Furans and Other Unintentional Persistent Organic Pollutants

COP	Decision	Paragraph	Text	GEF Response
COP-6	SC-6/9	4	<p>Requests the Secretariat and the Global Environment Facility to ensure that the Toolkit experts contribute to the development of a training programme on the revised Toolkit in support of data comparability and consistency of time trends and also requests the Secretariat to organize, within available resources, awareness raising and training activities on the revised Toolkit;</p>	<p>Noted. The GEF will collaborate with the Secretariat of the Convention.</p>

Article 7 - Implementation plans

Preparation and updating of national implementation plans

COP	Decision	Paragraph	Text	GEF Response
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COP-1	SC-1/12	9	<p>Requests the financial mechanism of the Convention, recognizing the importance of national implementation plans to a Party's ability to implement its obligations under the Convention, to support the regular review and updating of national implementation plans in accordance with the guidance adopted under paragraph 1 above.</p>	<p>The GEF Council, at its 16th Session in November 2000, decided that “should the GEF be the financial mechanism for the legal agreement it would be willing to initiate early action with regard to the proposed enabling activities with existing resources” mainly by supporting two types of activities: 1). development and strengthening of capacity aimed at enabling the recipient country to fulfill its obligations under the POPs Convention. These country-specific enabling activities will be eligible for full funding of agreed costs; and 2). on-the-ground interventions aimed at implementing specific phase-out and remediation measures at national and/or regional levels, including targeted capacity building and investments. This second category of GEF interventions will be eligible for GEF incremental costs funding.</p> <p>In its decision GEF/C.17/4, the Council approved Initial Guidelines for Enabling Activities of the Stockholm Convention on Persistent Organic Pollutants, as an early response for assisting developing countries and countries with economies in transition to implement measures to fulfill their obligations under the Convention. The GEF Secretariat undertook great efforts to inform recipient countries of the availability of this assistance, including through the appropriate dissemination of relevant information at the Diplomatic Conference that would be held in Stockholm in May 2001 for the adoption of the Convention. GEF-3 efforts focused on supporting the development of NIPs as required in Article 7 of the Stockholm Convention.</p> <p>As of August 2012, the GEF has assisted 139 countries to inventory their POPs and develop priority interventions to reduce or eliminate releases of these chemicals to the</p>
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				<p>environment. 108 countries have formally submitted their NIPs to the Stockholm Convention. These efforts have also raised awareness and built institutional capacities for a comprehensive approach to toxic chemical management.</p> <p><u>COP 7 Update:</u></p> <p>During the reporting period an additional 43 National Implementation Plans were funded by the GEF.</p>
COP-4	SC-4/28	1	<p>Requests the Global Environment Facility to provide the necessary financial and technical assistance to developing country Parties and Parties with economies in transition in accordance with Articles 13 and 14 of the Convention, especially least developed countries and small island developing States, to help them to prepare or update their national implementation plans and to comply with the requirements of the Stockholm Convention.</p>	<p>The preparation and update of NIPs is included in the draft GEF-5 strategy for chemicals, objective 1, outcome 5, and paragraph 44. An allocation of US\$25 million was included in the GEF-5 replenishment.</p>

Funding of priorities listed in national implementation plans

COP	Decision	Paragraph	Text	GEF Response
COP-3	SC-3/16	11	<p>Requests the Global Environment Facility as the principal entity entrusted with the operation of the financial mechanism on an interim basis to give special consideration to those activities relevant to the sound management of chemicals identified as priorities in national implementation plans when deciding on the funding of activities under the Convention.</p>	<p>Where possible, GEF activities identify and address the needs to establish basic, foundational capacities for sound management of chemicals, which has been listed as focal area indicators.</p>
	SC-3/16	12	<p>Requests the Global Environment Facility to give special consideration to support for those activities identified as priorities in national implementation plans which promote capacity-building in sound chemicals management, so as to enhance synergies in the implementation of different multilateral environment</p>	<p>In GEF-4 projects that supported POPs and mercury management and elimination in the health care sector were funded.</p> <p>In GEF-5, the GEF encourages projects that exploit synergies within the Chemicals focal area and with other</p>

			agreements and further strengthen the links between environment and development objectives.	<p>focal areas such as climate change and international waters in order to maximize global environmental benefits.</p> <p>The GEF has projects on the ground for co-reduction of CO₂, POPs and mercury, and is exploring the possible way of operationalizing POPs/ODS co-destruction to realize POPs/GHG emission reduction.</p>
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Article 8 - Information exchange

Listing of new chemicals

COP	Decision	Paragraph	Text	GEF Response
COP-5	SC-5/23	4	Also requests the financial mechanism of the Convention to support activities in respect of the newly listed chemicals and invites other international financial institutions to do so.	<p>The GEF has approved 16 enabling activities during the reporting period, to update the National Implementation Plans. 2 additional EA's were approved for parties who have not yet developed their NIPs and 2 more NIP update projects were approved as components in FSPs. The full list of projects is included in Annex 2.</p> <p>One project in China, in addition to reducing emissions of dioxins and furans, addresses PBDE's through the sound management of electronic and electric waste.</p>

Article 9 - Information exchange

Clearing-house mechanism

COP	Decision	Paragraph	Text	GEF Response
COP-4	SC-4/28	5	Requests the financial mechanism of the Stockholm Convention, including its principal entity the Global Environment Facility, and invites other relevant international financial institutions and others from the	Information generation, management, and exchange, as capacity building more generally, is relevant and cuts across all objectives and outcomes in the draft GEF-5 strategy. For example it is the norm that a project addressing POPs waste

			donor community to provide the financial resources, within their mandates, necessary for Parties that are developing countries or countries with economies in transition, Stockholm Convention regional centres and other interested stakeholders to carry out projects aimed at improving information exchange at the regional and national levels and to set up clearing-house mechanism nodes as described in the note by the Secretariat on the possible role of the clearing-house mechanism at the national and regional levels. ⁷	management and disposal would put in place a data management system. Projects that aim at demonstrating and promoting alternatives to specific POPs have strong information dissemination components, etc. Country – driven, Standalone projects for information exchange activities could be supported within the GEF’s mandate as per objective 1, outcome 5, of the draft GEF - 5 chemicals strategy.
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Article 12 - Technical assistance

Technical assistance and technology transfer

COP	Decision	Paragraph	Text	GEF Response
COP-1	SC-1/15	1	Adopts the guidance on technical assistance contained in the annex to the present decision and recommends its use by Parties and the financial mechanism of the Convention.	Providing technical assistance to recipient countries has been considered in all of GEF’s POPs strategies across replenishment phases.
COP-5	SC-5/23	11	Encourages the Global Environment Facility and parties in a position to do so to provide funds necessary to facilitate the technical assistance and technology transfer to be provided to developing-country parties and parties with economies in transition.	All projects approved in the reporting period provide Technical Assistance to countries and in a number of projects BAT/BEP for the reduction of dioxins and furans are being implemented in the health care waste management sector, the pulp and paper sector, municipal and e-waste management and others. IVM is being introduced in one project approved during the reporting period.

Regional Centers

COP	Decision	Paragraph	Text	GEF Response
COP-3	SC-3/16	10	Requests the Global Environment Facility, in its	Regional centers are participating in GEF projects through

⁷ UNEP/POPS/COP.4/20.

			support for the delivery of technical assistance on a regional basis, to give consideration to the proposals that may be developed by nominated Stockholm Convention centres and to prioritize such support to those centres situated in developing countries and countries with economies in transition in accordance with paragraph 31 of the terms of reference for regional and sub-regional centres contained in the annex to decision SC-2/9 and paragraph 5 (e) of the annex to decision SC-3/12.	implementing agencies. <u>COP 7 Update:</u> The GEF 6 chemicals and waste strategy encourages parties in the development of their projects to implement the Stockholm convention to consider including the regional centers in the design and implementation phase of the projects.
COP-5	SC-5/23	7	Also requests the financial mechanism of the Convention and invites parties and observers and other financial institutions in a position to do so to provide financial support to enable regional centres to implement their work plans.	Parties and agencies are encouraged to work with the regional centres set up by the Convention for inputs into design of the projects and execution during the implementation of the project. The decision to include the regional centres is ultimately the Parties' in the development and execution of their projects. The GEF has agreed with the Convention Secretariat to continue to strengthen the role of the regional centres and it is expected that projects utilizing the regional centres will be reported upon during the next reporting period. In this period regional centres in Africa are involved in the design and execution of an e-waste project.
COP-6	SC-6/16	11	Invites parties, observers and financial institutions in a position to do so to provide financial support to enable regional centres to implement their work plan aimed at supporting parties in implementing their obligations under the Convention;	The GEF 6 Chemicals and Waste Strategy specifically addressed the regional centres as follows: Support for Convention Regional Centers The GEF has received guidance from the COP of the Stockholm Convention to provide the opportunity for Regional Centers set up under the Stockholm Convention and Basel Convention to execute projects. The GEF is

				cognizant of the country driven approach for project identification and development and recognizes that the regional centers can only be involved on the invitation of countries. The GEF encourages countries to use the regional centers either as executing agencies or providers of technical assistance in the development and implementation of their projects particularly in regional projects where these centers would have a comparative advantage
COP-6	SC-6/20	6	Reiterates its request to the Global Environment Facility, in its support for the delivery of technical assistance on a regional basis, to give consideration to the proposals that may be developed by nominated Stockholm Convention centres and to prioritize such support to those centres situated in developing countries and countries with economies in transition in accordance with paragraph 31 of the terms of reference for regional and sub-regional centres contained in the annex to decision SC-2/9 and paragraph 5 (e) of the annex to decision SC-3/12;	<p>The GEF 6 Chemicals and Waste Strategy specifically addressed the regional centres as follows:</p> <p>Support for Convention Regional Centers</p> <p>The GEF has received guidance from the COP of the Stockholm Convention to provide the opportunity for Regional Centers set up under the Stockholm Convention and Basel Convention to execute projects. The GEF is cognizant of the country driven approach for project identification and development and recognizes that the regional centers can only be involved on the invitation of countries. The GEF encourages countries to use the regional centers either as executing agencies or providers of technical assistance in the development and implementation of their projects particularly in regional projects where these centers would have a comparative advantage</p>

Needs Assessment

COP	Decision	Paragraph	Text	GEF Response
COP-2	SC-2/12	Annex, 5 (a)	The Global Environment Facility, as the principal entity entrusted with the operations of the financial mechanism on an interim basis, is invited to provide information gathered through its operations relevant to assistance needs in eligible Parties.	The GEF provided such information to evaluators.
COP-3	SC-3/15	Annex, 7	The Global Environment Facility, which, as the	The GEF provided such information to evaluators.

		(a)	principal entity entrusted with the operation of the financial mechanism on an interim basis, is invited to provide information gathered through its operations relevant to assistance needs in eligible Parties.	
	SC-3/16	13	Also requests the Global Environment Facility to support, within its project activities, the capacity of developing countries and countries with economies in transition to estimate the costs and funding needs of activities in their national implementation plans.	GEF supports such activities if proposed in their NIP development proposals.
COP-5	SC-5/22	12	<i>Invites</i> parties, the Global Environment Facility and relevant international and non-governmental organizations to provide information to the Secretariat on their views of and experiences in applying the methodology used to undertake the needs assessment, including information on priority setting in national implementation plans as appropriate, for the continuous improvement of the methodology;	The Secretariat of the Conventions officially invited the GEF Secretariat to comment on the methodology used for the assessment of funding needs in 2012. The GEF also facilitated responses from the GEF network of agencies on the methodology. The Secretariat has provided all required information to aid in the preparation of the report to the COP.
COP-6	SC-6/17	2	Requests the Secretariat to transmit that report to the Global Environment Facility for consideration during the sixth replenishment process of the Global Environment Facility and for action as appropriate;	The GEF received the report and used it in the development of the GEF 6 chemicals and waste strategy.

Article 13 - Financial resources and mechanisms

General additional guidance to the Financial Mechanism

COP	Decision	Paragraph	Text	GEF Response
COP-3	SC-3/16	1	Reaffirms its decisions SC-1/9 and SC-2/11.	
COP-4	SC-4/27	1	Reaffirms its decisions SC-1/9, SC-2/11 and SC-3/16.	
	SC-4/28	3	Requests the entity or entities entrusted with the	Country-driven activities within the GEF's mandate can be

			operations of the financial mechanism of the Convention, including the Global Environment Facility, when implementing the guidance to the financial mechanism adopted by the Conference in decision SC-1/9, to take into account the priorities identified by Parties in their implementation plans transmitted to the Conference of the Parties.	further considered and would be eligible as per paragraph 35 of the draft chemicals strategy for GEF-5. Central to past GEF strategies is that interventions are based on priorities identified in a country's NIP. This principle is repeated in GEF-5 strategies for chemicals.
COP-5	SC-5/23	1	Requests the Secretariat to prepare consolidated guidance to the financial mechanism of the Stockholm Convention on Persistent Organic Pollutants for consideration by the Conference of the Parties at its sixth meeting.	The GEF will work with the Secretariat of Conventions to develop a joint proposal on the consolidated guidance.
	SC-5/23	2	Decides to update the consolidated guidance every four years starting from the sixth meeting of the Conference of the Parties as an input of the Conference of the Parties to the negotiations on the replenishment of the Trust Fund of the Global Environment Facility.	No action required from the GEF.
	SC-5/23	10	Also requests the financial mechanism of the Convention, when providing financial support, to give priority to countries that have not yet received funding for the implementation of activities contained in their national implementation plans.	<p>During the reporting period a number of first time post-NIP implementation projects were approved. The GEF continues to apply this as one of the criteria in developing work programs.</p> <p>Fourteen post NIP implementation projects were approved in countries that had not yet received funding for implementation of activities contained in their NIPs. The GEF continues to apply this as one of the criteria in constituting work programs.</p> <p><u>COP 7 Update:</u></p> <p>The GEF continues to apply this guidance along with others in the approval of projects for funding.</p>

Article 14 - Interim financial arrangements

General additional guidance to the Global Environment Facility

COP	Decision	Paragraph	Text	GEF Response
COP-2	SC-2/11	3	Further requests the Global Environment Facility to include in its regular reports to the Conference of the Parties a more in-depth analysis of its financing, including co-financing, in its persistent organic pollutants portfolio, which includes sources, mechanisms, arrangements and trends.	<p>Each GEF report to the COP provides an in-depth analysis of GEF financing and co-financing in the POPs portfolio, details of the reports can be retrieved at http://www.thegef.org/documents?f[0]=field_document_type%3A131</p> <p><u>COP 7 update:</u></p> <p>The 5th GEF Assembly adopted a revised policy on co-financing which can be retrieved at http://www.thegef.org/documents/co-financing-policy</p>
	SC-2/11	4	Invites the Global Environment Facility to use its network in identifying other sources of finance for persistent organic pollutant activities and to continue to develop operational requirements which facilitate and guide the approach and actions of its implementing agencies and executing agencies to proactively assist in mobilizing other sources of financing for persistent organic pollutants projects from multilateral and bilateral sources and non-governmental organizations, including the private sector.	<p>The GEF is using its funding to leverage other sources of finance from both public and private sectors. Public sector co-financier includes national and local government, GEF Agencies, NGOs, other multilateral and bilateral partners. Private sector co-financier mainly includes industrial sectors and industry associations.</p>
	SC-2/11	5	Requests the Global Environment Facility to clarify its approach to the application of the concept of incremental costs in its activities in the persistent organic pollutants focal area.	<p>The COP requested the GEF to “clarify its approach to the application of the concept of incremental costs in its activities in the POPs focal area”. One of the policy recommendations approved in the context of the GEF replenishment is that the GEF Secretariat and GEF agencies should prepare clearer operational guidelines for the application of the incremental cost principle in GEF operations for each focal area. As a follow up, and in response to the Evaluation of Incremental Cost Assessment prepared by the GEF Office of Evaluation, the GEF Council at its meeting in December 2006 requested the GEF</p>

				<p>Secretariat to prepare new operational guidelines that respond, amongst other things, to the need to simplify the demonstration of project baseline, incremental costs, and co-funding.</p> <p>This is work in progress and the GEF will report more fully on the outcomes of this work and its implications for the POPs focal area in its report to COP-4. In the meanwhile, and without prejudice to further GEF Council decisions, it is possible to make general statements about the GEF's approach to incremental costs in the POPs focal area.</p> <p>The GEF, in the original policy covering incremental costs⁸, defines incremental costs as the costs of the additional national action beyond what is strictly necessary for a country to achieve its own national development goal, but that is nevertheless necessary to generate global environmental benefits. This requires an estimate of the sustainable development baseline, and of the costs of the GEF supported alternative. The difference in costs between the baseline and the alternative course of action (the "project", or program) constitutes the incremental costs.</p> <p>In practical terms, the determination of GEF funding of incremental costs involves negotiation and flexibility. The policy paper cited above refers to the "approach to estimating agreed full incremental costs". The words "approach" and "estimate" clearly points to the fact that the determination of incremental costs is not a formulaic⁹ exercise. The word "agreed" conveys that the determination</p>
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⁸ "Incremental Costs", GEF/C.7/Inf.5, 1996 - <http://www.thegef.org/council-meeting-documents/incremental-costs>

⁹ It should be noted that in general the GEF has not defined negative lists of items that could never be covered by GEF funding. There are a few exceptions: i) For enabling activities (NIP development), vehicle purchase is normally excluded, and the procurement of laboratory equipment is capped at 5% of the GEF grant; and ii) The GEF Council has expressed the view that, whilst the closure of plants of POPs producing chemicals was a desirable outcome that could be part of a GEF project, the GEF could not finance the loss of revenues or compensate workers from such closures.

				<p>of incremental costs is not imposed, but is a negotiation between project proponents and the GEF and other project cofinanciers (The GEF policy refers to “technical negotiations between the GEF and the recipients”.)</p> <p>One conceptual issue when applying the incremental cost principle to POPs is that the estimate of incremental cost is most useful and straightforward where it “involves a comparison between two projects or programs that provide the same service¹⁰”. In the case of interventions that address the disposal of POPs and POPs-containing wastes, there is often no such baseline on which to base a comparison. Secondly, although there are domestic benefits in terms, for example, of reduced morbidity and health care costs that can accrue from the GEF intervention, these are not always understood or taken into consideration. Moreover, even if it can be agreed in principle that a particular POPs reduction intervention will generate both local and global benefits, it is not technically feasible to develop a “formula” that would help in apportioning these benefits and related costs.</p> <p><u>Update to information provided at COP 3</u></p> <p>The GEF COP 3 report included a discussion of the approach to applying the incremental costs principle in the POPs focal area. In addition, and complementary to that discussion, the GEF Council adopted in June 2007 <i>revised Operational Guidelines for the Application of the Incremental Cost Principle</i>. The guidelines provide for a simplified demonstration of the “business-as-usual” scenario, and a discussion of “incremental reasoning” that puts the emphasis on the fit with focal area strategies and co-funding in relation with the impact/value-added of the proposed GEF intervention. The “incremental costs analysis annex” is no longer a requirement.</p>
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¹⁰ Ahuja D., *The incremental cost of climate change mitigation projects*, GEF Working Paper #9, 1993

SC-2/11	6	Also requests the Global Environment Facility to dedicate a section of its website on Operational Programme 14 to guidance on how to apply for funding and to finalize as soon as possible its operations manual related to the Stockholm Convention.	The GEF Secretariat undertook great efforts to inform recipient countries of the availability of its assistance to Parties of Stockholm Convention by announcing the application procedures through website and other meetings with OFPs.
SC-2/11	7	Further requests the Global Environment Facility to consider the guidance from the Conference of the Parties on incremental costs.	COP guidance was taken into account while finalizing GEF programming documents. The GEF Secretariat attempts to ensure that the guidelines and information requirements are followed in project design and implementation, monitoring and evaluation.
SC-2/11	8	Notes that the Resource Allocation Framework of the Global Environment Facility is not currently applied to the persistent organic pollutants focal area and invites the Global Environment Facility to consult with the Convention Secretariat with regard to its future work on the Resource Allocation Framework as it relates to the Convention without prejudice to any further decision on the application of the Resource Allocation Framework to the persistent organic pollutants focal area and to report on this issue to the Conference of the Parties at its third meeting.	<p>The COP requested the GEF to report on the development of the Resource Allocation Framework. With the successful conclusion of the fourth replenishment of the GEF Trust Fund, the RAF is being implemented, initially for the focal areas of biodiversity and climate change.</p> <p>The policy recommendations approved by the replenishment negotiations and endorsed by the GEF Council instruct the GEF Secretariat to “work to develop a GEF-wide RAF based on global environmental priorities and country-level performance relevant to those priorities”. The policy recommendations further provide that “there will be an independent mid-term review of the RAF to be considered by the Council in November/December 2008, at which time the Council will review the Secretariat’s progress in developing indicators for the other focal areas. Taking into account (i) the findings of the mid-term review, (ii) the progress in developing indicators for other focal areas, and (iii) subsequent decisions by the Council on the GEF-wide RAF framework, the Secretariat will implement a GEF-wide RAF by 2010, if feasible.”</p> <p>National focal points in GEF-recipient countries are expected to play an important role in facilitating a consultative process in their respective countries that leads to</p>

				<p>the best use of resources. The GEF Council has expanded support for GEF national focal point development and national capacity building so that countries can better address global environmental challenges and strengthen their capacities to work through the RAF approach. To this end, two new initiatives – Country Support Program (CSP) for Focal Points and the GEF National Dialogue Initiative – have provided opportunities for stakeholders to seek clarification and provide feedback about the RAF.</p> <p>During the reporting period, the first meeting to increase familiarity with RAF was held with the POPs inter-agency task force, in which the Stockholm Convention Secretariat participated. No further directly related activities took place during the reporting period. The GEF Secretariat will continue to consult with the Stockholm Secretariat on this matter.</p>
SC-2/11	10	Also requests the Global Environment Facility to inform the Conference of the Parties of the ways in which the Global Environment Facility might support the procurement of scientific equipment and the development of scientific and technical capacity necessary for specific project execution in developing countries and countries with economies in transition necessary to fulfil their obligations under the Convention.		<p>Past experience with GEF and other projects shows that the procurement of scientific equipment and the development of scientific and technical capacity is best conducted in the framework of larger programs where procurement or capacity is not the end in itself, but rather a means to reaching a broader goal (here, specifically, POPs reduction and elimination). In particular, experience shows that the likelihood of such efforts being sustainable is greatly enhanced when they take place in a broader context.</p> <p>In general, most GEF FSPs that aim to implement alternatives to replace POPs or that aim to remove and dispose of POPs containing waste include elements of scientific and technical capacity development. For example, one project is concerned with promoting various measures, including bait systems and alternative construction technologies and practices to replace the use of POPs pesticides used for termite control. This includes a modest research and development component to enhance the demonstration of the applicability of the selected alternatives to local conditions. Another project on PCB management</p>

				<p>includes training of government and electric utilities personnel on various aspects of PCB monitoring, including sampling, data evaluation, and quality assurance/quality control. The same project includes the use of ground penetrating radar technology to locate PCB burial sites, and will also introduce thermal desorption technology for the treatment of relatively low level contaminated soils. In another project dealing with PCB management, the GEF will co-finance the upgrade and strengthening of existing laboratories for POPs analysis. This also constitutes a small portion of the funding allocated to a project dealing with the demonstration of alternatives to DDT for vector control. Such projects typically also include training on integrated malaria vector control techniques and introduce geographical information systems to analyse malaria epidemiology and entomological and other data. Finally, two GEF projects are supporting the introduction of available non-combustion technologies to destroy POPs, and yet another project will support research and development in two developing countries to verify the efficacy of low-cost technologies for site remediation.</p>
COP-3	SC-3/16	3	<p>Welcomes the ongoing policy reforms within the Global Environment Facility and also welcomes in particular the streamlining of its project cycle, its review of focal area strategies and priority setting and its increased emphasis on the sound management of chemicals.</p>	No action required from the GEF.
	SC-3/16	8	<p>Welcomes the Global Environment Facility's shift in emphasis from support for the preparation of national implementation plans to the implementation of those plans and requests the Global Environment Facility to continue to streamline its project cycle so that persistent organic pollutant projects can be developed and implemented on a priority basis.</p>	No action required from the GEF.
	SC-3/16	9	<p>Welcomes the co-financing analysis of the Global Environment Facility in its report to the Conference of</p>	No action required from the GEF.

			the Parties at its third meeting and urges the Global Environment Facility to take into full consideration the different characteristics of projects when establishing its co-financing requirements.	<p><u>COP 7 Update:</u></p> <p>The 5th GEF Assembly revised the co-financing policy of the GEF. The policy can be retrieved at https://www.thegef.org/documents/co-financing-policy</p>
COP-4	SC-4/27	3	Requests the Global Environment Facility to ensure that the Bureau of the Conference of the Parties and the Convention Secretariat are appropriately informed and consulted in a timely manner on any further developments with regard to the Resource Allocation Framework that involve the persistent organic pollutant focal area.	<p>Noted</p> <p><u>COP 7 Update:</u></p> <p>There has been no change to the system for transparent allocation of resources STAR (which has replaced RAF) in regard to POPS.</p>
	SC-4/27	4	Welcomes the continuing policy reforms within the Global Environment Facility as they relate to the streamlining of the project cycle and urges the Global Environment Facility to continue such efforts.	<p>No action required from the GEF.</p> <p><u>COP 7 Update:</u></p> <p>During the reporting period reforms to the project cycle have been made including reducing the level of information required at the PIF stage, making the request for project preparation automatic on approval of a PIF, raising the ceiling of medium sized projects to \$2 Million. Additional reforms are ongoing including developing a cancellation policy for projects that exceed the 18 month timeframe for development. These will be reported in the update at COP 8.</p>
COP-5	SC-5/24	5	Requests the Secretariat, in consultation with the Secretariat of the Global Environment Facility, to prepare a report on the effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility for consideration by the Conference of the Parties at its sixth meeting.	<p>The GEF is working with the Secretariat of the Convention on the preparation of the planned evaluation of the effectiveness of the MOU between the COP and the GEF Council. Details on the cooperation with the Secretariat of the Convention are provided in paragraphs 12-19 in this report.</p>
COP-6	SC-6/20	2	Requests the entities entrusted with the financial mechanism of the Convention, taking into account the	<p>During the reporting period 12 requests were received and funded for review and updating of National Implementation</p>

			<p>general guidance to the financial mechanism set out in the annex to decision SC-1/9, to continue to support eligible parties to the Convention in their efforts to develop plans for the implementation of their obligations under the Convention and to review and update, as appropriate, those implementation plans on a periodic basis;</p>	<p>Plans and 2 requests for National Implementation Plans were received and funded. These “initial NIPs” covered all current substances listed in the Stockholm Convention.</p>
SC-6/20	3	<p>Also requests the entities entrusted with the financial mechanism of the Convention, taking into account the specific deadlines set forth in the Convention, to continue to consider in their programming of areas of work for the forthcoming two bienniums, from 2014 to 2017, the following priority areas:</p> <p>(a) Elimination of the use of polychlorinated biphenyls in equipment by 2025;</p> <p>(b) Environmentally sound waste management of liquids containing polychlorinated biphenyls and equipment contaminated with polychlorinated biphenyls, having a polychlorinated biphenyls content above 0.005 per cent, in accordance with paragraph 1 of Article 6 and part II of Annex A of the Convention, as soon as possible and no later than 2028;</p> <p>(c) Elimination or restriction of the production and use of newly listed persistent organic pollutants;</p> <p>(d) Elimination of the production and use of DDT, except for parties that have notified the Secretariat of their intention to produce and/or use it;</p> <p>(e) For parties that produce and/or use DDT, restriction of such production and/or use for disease vector control in accordance with World Health Organization recommendations and guidelines on the use of DDT and when locally safe, effective and</p>	<p>The GEF 6 Chemicals and Waste Strategy, Program 4 adopts the guidance provided as follows:</p> <p>In accordance with Convention Guidance, the programme will take into account the specific deadlines set forth in the Convention, including the following areas:</p> <p>(a) Elimination of the use of polychlorinated biphenyls in equipment by 2025</p> <p>(b) Environmentally sound waste management of liquids containing polychlorinated biphenyls and equipment contaminated with polychlorinated biphenyls, having a polychlorinated biphenyls content above 0.005 per cent, in accordance with paragraph 1 of Article 6 and part II of Annex A of the Convention, as soon as possible and no later than 2028</p> <p>(c) Elimination or restriction of the production and use of newly listed persistent organic pollutants</p> <p>(d) Elimination of the production and use of DDT, except for parties that have notified the Secretariat of their intention to produce and/or use it</p> <p>(e) For parties that produce and/or use DDT, restriction of such production and/or use for disease vector control in accordance with World Health Organization recommendations and guidelines on the use of DDT and when locally safe, effective and affordable alternatives are</p>	

		<p>affordable alternatives are not available to the party in question;</p> <p>(f) Use of best available techniques for new sources in the categories listed in part II of Annex C of the Convention as soon as practicable but no later than four years after the entry into force of the Convention for a party;</p>	<p>not available to the party in question</p> <p>(f) Use of best available techniques for new sources in the categories listed in part II of Annex C of the Convention as soon as practicable but no later than four years after the entry into force of the Convention for a party</p> <p>In addition to time bound areas above, in response to Convention Guidance, and in areas where the activity has a direct benefit to a convention obligation, the GEF may support the following initiatives under this program:</p> <p>(a) Elimination of stockpiles, and where applicable production of DDT, obsolete pesticides and new POPs (Article 6)</p> <p>(b) Management and phase out POPs</p> <p>(c) Environmentally sound management of POPs-containing wastes in accordance with the Basel Convention and its relevant technical guidelines</p> <p>(d) Reduction of emissions of unintentional POPs (UPOPs) (Article 5)</p> <p>(e) Introduction of alternatives to DDT for vector control including approaches to improve their safe and rational use for public health</p> <p>(f) Introduction of non-chemical alternatives</p> <p>(g) Integrated pesticide management including in the context of food security</p> <p>(h) Application of green industry, or sound chemicals management along the supply chain</p> <p>(i) Design of products and processes that minimize the use and generation of hazardous substances and waste</p>
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				Projects with significant investment, for example, treatment technologies such as alternatives to large-scale incineration, implementation of supply chain management and Green Chemistry, may be considered when there are both large-scale leveraging of national and bilateral resources and strong long-term national commitments.
	SC-6/20	5	<p>Requests the Global Environment Facility:</p> <p>(a) To respond to the rapidly evolving chemicals and wastes agenda and the changing needs of developing country parties and parties with economies in transition, including, among other measures, through the Small Grants Programme;</p> <p>(b) When providing financial support, to give priority to countries that have not yet received funding for the implementation of activities contained in their national implementation plans;</p> <p>(c) To take into account the changing needs of developing country parties and parties with economies in transition when updating their national implementation plans to include newly listed persistent organic pollutants;</p> <p>(d) To continue to provide adequate financial resources to activities to implement obligations under the Stockholm Convention, while within its mandate exploring how to mobilize further financial resources for chemicals and wastes;</p> <p>(e) To consider increasing, in the sixth replenishment of the Trust Fund of the Global Environment Facility, the overall amount of funding accorded to the chemicals focal area;</p>	<p>a. The GEF 6 chemicals and waste strategy has been designed to respond to the evolving chemicals and waste agenda. This has been accompanied by a re-defining of the focal area. The GEF instrument has been amended to replace the former POPS and ODS focal areas with a Chemicals and Waste focal area that integrates the work of the GEF on Chemicals in Waste and insures integrated and synergistic programming. In regard to the Small Grants Program the GEF 6 Small Grants Programming document has the following provisions for chemicals and waste :</p> <p>Local to Global Chemicals Management Coalition</p> <p>SGP will focus support on communities in the forefront of chemical threats either as users or consumers. Activities will include support for innovative, affordable and practical solutions to chemicals management in joint effort with SGP's established partners such as IPEN, as well as new partnerships including with government agencies, research institutions, private sector and international agencies such as UNIDO and WHO. SGP will seek to establish systems of local certification of producers and/or their products which then could expand to the national level through initially producer-consumer agreements eventually graduating to national government policy. In mercury management, at least one artisanal gold-mining community in each of the hotspot countries - Burkina Faso, Cambodia, Ghana, Indonesia, Mali, Mongolia, Peru, Senegal, Tanzania, Zimbabwe – could be converted to the use of alternative gold mining techniques and serve as basis for policy changes in these countries.</p>

				<p>b. Projects that come from countries that have not previously received funding to implement their national implementation plans are afforded priority.</p> <p>c. During the reporting period 12 Parties requested funding to update their national implementation plans and 2 Parties requested funding for their first national implementation plan. In all these projects the GEF encourage the Parties to include all chemicals currently listed in the Convention as well as newly listed chemicals which were not yet in force and chemicals likely to be listed at COP 7.</p> <p>d. In GEF 5, 375M was allocated to the Stockholm Convention. At the end of the GEF 5, 369M had been allocated to projects for the Stockholm Convention. These projects indirectly funded the Basel Convention when they dealt with the environmentally sound management of POPS waste. Some projects also addressed multiple chemicals issues for example POPS and mercury emissions from health care waste while other projects addressed multiple environmental issues including POPS and Climate Change, specifically energy efficiency.</p> <p>e. The GEF 6 Chemicals and Waste Focal area has 554M allocated to it. This is the third largest focal area of the GEF after Biodiversity and Climate Change.</p>
	SC-6/20	8	Requests the Global Environment Facility to include, in its regular reports to the Conference of the Parties, as set forth in paragraph 9 (a) of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility, information on the implementation of the complete set of guidance referred to in paragraph 7 (a) of the present decision.	A complete response to all guidance received by the GEF referred to paragraph 7(a) of decision 6/20 is contained in Annex 2 of this report.

Replenishment of the Global Environment Facility Trust Fund

COP	Decision	Paragraph	Text	GEF Response
COP-3	SC-3/16	2	Welcomes the successful fourth replenishment of the Global Environment Facility along with the increased level of the funding for persistent organic pollutants within that replenishment.	No Action required from the GEF
	SC-3/16	7	Decides that the outcomes of the periodic assessments of the funding necessary and available for the implementation of the convention shall be an input of the Conference of the Parties to the negotiations on the replenishment of the Trust Fund of the Global Environment Facility.	The GEF uses the needs assessment as an input into the replenishment process.
COP-4	SC-4/27	2	Calls on developed countries, in the context of the fifth replenishment of the Global Environment Facility, being aware of the funding needs assessment ¹¹ and in the light of the current and possible future listing of new persistent organic pollutants, to make all efforts to make adequate financial resources available in accordance with their obligations under Article 13 of the Convention to enable developing country Parties and Parties with economies in transition to fulfil their obligations under the Convention.	No action required from the GEF.
COP-5	SC-5/25	2	Requests the Secretariat to compile information relevant to the third review of the financial mechanism and submit it to the Conference of the Parties for consideration at its sixth meeting.	GEF is cooperating with the Secretariat of the Convention and independent evaluators to provide all necessary information to facilitate the review of the financial mechanism.

Article 16 - Effectiveness evaluation

¹¹ UNEP/POPS/COP.4/27.

COP	Decision	Paragraph	Text	GEF Response
COP-2	SC-2/11	9	Requests the Global Environment Facility to work with the Convention Secretariat to determine an appropriate approach for capacity-building for developing country Parties and Parties with economies in transition in the process of effectiveness evaluation pursuant to Article 16 of the Convention.	<p>The GEF has consulted regularly with the Stockholm Secretariat on this issue. As the COP will be considering for adoption at its third session the draft implementation plan for the global monitoring plan for the first effectiveness evaluation, the GEF will continue to keep a watchful brief with a view to defining support that may be provided for country driven and sustainable implementation activities in eligible countries, consistent with the GEF’s mandate.</p> <p>Through support to the project “Assessment of existing capacity and capacity building needs to analyse POPs in developing countries”, with co-financing from Canada, Germany and Japan, the GEF has already taken steps that contribute to this effort. The project, which is nearing completion, has led to the development of a database of existing laboratory capacity and a number of training tools and guidance material, and has worked on various aspects of POPs analysis with selected laboratories in Africa, Latin America, and South East Asia.</p>
	SC-2/13	10	Agrees that immediate actions for long-term funding arrangements, including capacity-building to implement the global monitoring plan, should be started, taking into account gaps in information between regions and their capabilities to implement monitoring activities to enable long-term evaluation of the Convention in accordance with the provisions of its Article 13 on the financial mechanism.	No action required from the GEF.
COP-3	SC-3/16	6	Invites the Global Environment Facility to incorporate activities related to the global monitoring plan and capacity-building in developing countries, small island developing States and countries with economies in transition as priorities for providing financial support.	In response to the COP, reference to the Global Monitoring Plan (GMP) was made in the GEF-4 strategy for POPs and discussions were held with the Convention Secretariat and UNEP to ascertain how best the GEF could provide support to this effort through country driven and sustainable implementation activities in eligible countries, consistent

				with the GEF's mandate. It was envisaged that the GEF might support a limited number of sub-regional MSPs to strengthen capacities in developing countries and countries with economies in transition and enhance their participation to the GMP. To date, the GEF Secretariat has received requests for four PIF that were processed expeditiously for approval for the Eastern and Southern African region, for West Africa, for Latin America and the Caribbean, and for the Small Island Developing States (SIDS). The full project document for the latter was recently submitted for CEO endorsement and is approved at time of writing.
COP-4	SC-4/28	2	Requests the financial mechanism of the Stockholm Convention and invites other donors to provide sufficient financial support for further step-by-step capacity enhancement, including through strategic partnerships, to sustain the new monitoring initiatives which provided data for the global monitoring report prepared in connection with the evaluation of the effectiveness of the Convention. ¹²	The GEF supported 4 sub-regional medium-sized projects to strengthen capacities in developing countries and countries with economies in transition and enhance their participation to the GMP for the Eastern and Southern African region, for West Africa, for Latin America and the Caribbean, and for SIDS. One additional project has been recently submitted by UNEP and will include monitoring of new POPs. This project is under review.
	SC-4/31	9	Requests the financial mechanism of the Stockholm Convention and invites other donors to provide sufficient financial support to further step-by-step capacity enhancement, including through strategic partnerships, to sustain the new monitoring initiatives which provided data for the first monitoring report.	
COP-5	SC-5/23	8	Further requests the financial mechanism of the Convention and invites other donors to provide financial support to permit further step-by-step capacity enhancement, including through strategic partnerships, to enable the collection of data on all indicators stipulated in the effectiveness evaluation	The GEF approved a project implemented by UNEP to develop methodologies to include the new POPs in the GMP. In this period the GEF has worked bilaterally with UNEP to develop and scale up the GMPs. At the time of this report

¹² UNEP/POPS/COP.4/33.

			framework set out in the annex to the note by the Secretariat on effectiveness evaluation. ¹³	these projects were submitted to the GEF for funding at a total value of US\$12M.
	SC-5/23	9	Requests the financial mechanism of the Convention and invites other donors to provide financial support to permit further step-by-step capacity enhancement, including through strategic partnerships, to sustain the new monitoring initiatives, which provided data for the first monitoring report.	<p>The GEF approved a project implemented by UNEP to develop methodologies to include the new POPs in the GMP.</p> <p>Another project was also approved for UNIDO to develop the methodologies to assess the new POPs in projects and to develop inventories.</p> <p>Apart from the above-mentioned project, another project was also approved for to develop the methodologies to assess the new POPs in projects and to develop inventories.</p>
COP-6	SC-6/18	3	Requests the Secretariat, in consultation with the secretariat of the Global Environment Facility, to prepare a report on the effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility for consideration by the Conference of the Parties at its seventh meeting;	Noted. The GEF provided inputs into the report.

¹³

UNEP/POPS/COP.5/31.