

GEF/C.49/06 September 25, 2015

49th GEF Council Meeting October 20 – 22, 2015 Washington, D.C.

Agenda Item 04

RELATIONS WITH THE CONVENTIONS AND OTHER INTERNATIONAL INSTITUTIONS

Recommended Council Decision

The Council, having considered document GEF/C.49/06, *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 Global Environment Facility (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) CBD: Updates on the ratification of CBD protocols; on the submission of national reports; on the GEF Secretariat's participation in events; and an annex with GEF's responses to decisions of the Conference of the Parties (COP).
- (b) UNFCCC: Updates on ratification and progress on National Communications and Biennial Update Report; on GEF reports submitted to the UNFCCC and its subsidiary bodies; on the GEF Secretariat's participation in meetings; and an annex with GEF's responses to COP decisions.
- (c) UNCCD: Updates on the GEF reporting; on the Secretariat's participation in events; and an annex with GEF's responses to COP decisions.
- (d) Stockholm Convention and Montreal Protocol: Updates on ratifications, national reporting, and on related meetings and events for the Stockholm Convention and the Montreal Protocol.
- (e) Minamata Convention: Updates on ratifications, meetings, and other events related to mercury.
- (f) Post-2015 framework: A report on the GEF Secretariat's participation in meetings related to the UN Sustainable Development Goals (SDGs) and the UN Climate Summit.
- (g) International Waters: A report on the GEF Secretariat's participation in various meetings relating to the International Waters focal area, including the UN Economic Commission for Europe (UNECE) Water Convention and the UN Watercourses Convention.
- (h) A summary of relations and activities associated with other international institutions, including the Green Climate Fund (GCF), the Adaptation Fund and the UN Forum on Forests.

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Introduction

1. This document reports on developments of relevance to the Global Environment Facility (GEF) 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. The document covers the period of May 2015 to September 2015. This report also includes information on activities related to International Waters focal area that have taken place since the 47th GEF Council, covering the period from October 2015 to September 2015.

CONVENTION ON BIOLOGICAL DIVERSITY

Ratification

- 2. As of September 16, 2015 there are 196 Parties to the CBD, with two new Parties having acceded during the reporting period. See https://www.cbd.int/information/parties.shtml
- 3. For the Nagoya-Kuala Lumpur Supplementary Protocol on Liability and Redress to the Cartagena Protocol on Biosafety, 33 Parties have deposited their instrument of ratification or accession. Three Parties deposited their instrument of ratification or accession to the Supplementary Protocol during the reporting period. The list of signatories and ratifications may be found at: http://bch.cbd.int/protocol/parties/#tab=1
- 4. For the Cartagena Protocol on Biosafety, there were no changes since the last reporting. As of September 2015, 170 Parties to the Convention have ratified or acceded to the Protocol. The list of signatories and ratifications may be found at:

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

5. To date, 92 Parties to the Convention have signed and 65 Parties to the Convention have ratified the Nagoya Protocol on Access and Benefit Sharing (ABS). Three Parties acceded during the reporting period, and one Party deposited its instrument of ratification on August 18, 2015. The list of signatories and ratifications may be found at: http://www.cbd.int/abs/nagoya-protocol/signatories/.

National Reporting

6. As of September 16, 2015, 156 countries have submitted the final version of their fifth national reports for the CBD. Another 11 countries have submitted an advanced draft of their report.

7. As of September 16, 2015, no new countries submitted the final version of their fourth national reports. The total number of submissions is 181.

Meetings and Events

- 8. The GEF Secretariat personnel held a meeting with the Executive Secretary and CBD Secretariat staff on July 27, 2015, to discuss the following:
 - (a) How the CBD and GEF Secretariats can collaborate on ensuring the success of CBD COP 13 in Mexico in 2016. The GEF Secretariat agreed to participate in a number of upcoming consultations on the COP planning. The GEF Secretariat further introduced GEF's new organizational structure and outlined how integrated resource programming, including the Integrated Approach Pilots (IAPs), can support and promote increased biodiversity mainstreaming which can accelerate achievement of the Aichi Targets.
 - (b) The GEF-7 needs assessment, where the GEF Secretariat provided inputs to the draft questionnaire that CBD Secretariat developed for circulation to Parties. The GEF Secretariat agreed to continue to provide inputs to the GEF-7 needs assessment process as requested by the Expert Panel and the CBD Secretariat.
 - (c) Finally, the upcoming GEF report to the COP was discussed and how the GEF could better shape the report to more concretely demonstrate how GEF's increasing support to biodiversity mainstreaming, both through the GEF-6 biodiversity strategy, multi-focal area projects supported by climate change mitigation and sustainable forest management resources, and the IAPs will lead to achievement of the Aichi Targets, i.e., to demonstrate the potential of these investments to deliver outcomes that contribute to the achievement of the Aichi Targets beyond resource flow reporting as is currently the practice.

UN FRAMEWORK CONVENTION ON CLIMATE CHANGE

Ratification

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

National Reporting/National Communications

10. 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: **109**

(c) Third national communications: **13**

- (d) Fourth national communications: **1**
- (e) Fifth national communications: 1
- 11. Full details of reports submitted are available on the UNFCCC website at: http://unfccc.int/national_reports/non-annex_inatcom/submitted_natcom/items/653.php.

Intended Nationally Determined Contributions

- 12. To support countries in preparation of the upcoming COP in Paris, France in late 2015, the GEF has made resources available for countries to prepare their intended nationally determined contributions (INDCs). As of September 16, 2015, the GEF had approved projects to support INDC preparations for 46 countries: Afghanistan, Antigua and Barbuda, Azerbaijan, Benin, Botswana, Burundi, Cambodia, Chad, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Dominica, Eritrea, Fiji, Guinea-Bissau, Iraq, Kyrgyzstan, Lao PDR, Lesotho, Maldives, Mauritania, Mongolia, Mozambique, Myanmar, Namibia, Nauru, Niger, Nigeria, Papua New Guinea, Republic of Moldova, Rwanda, Sao Tome and Principe, Senegal, South Africa, Sri Lanka, Swaziland, Tanzania, Thailand, Timor Leste, Trinidad and Tobago, Tunisia, Turkmenistan, Uzbekistan, Yemen, Zambia and Zimbabwe.
- 13. Details of the GEF support for INDCs are available on the GEF website at: http://www.thegef.org/documents/gef-support-intended-nationally-determined-contributions. The GEF Secretariat plans to provide regular updates on the status of the INDC support by the GEF and their submission, in the period leading up to COP 21.

Reporting to COP

14. The GEF Secretariat prepared and submitted its report to the twenty-first session of the COP to the UNFCCC in August 2015. The document reports on GEF's activities from July 1, 2014 to June 30, 2015, relating to its responses and implementation of guidance by the COP, its initiatives relating to programming directions, integrated approaches, private sector activities and climate summit and Sustainable Development Goals (SDGs), and the results of its support for climate change mitigation and adaptation. Furthermore, the report describes the outcomes of the GEF Accreditation Pilot, updates complementarity in climate finance, and summarizes how GEF financing has contributed to the reduction of the emission gap. The report is available online at:

http://www.thegef.org/documents/report-gef-21st-session-cop-unfccc

15. The GEF received guidance from COP 20 held in Lima, Peru in 2014, as well as conclusions of relevance from the Subsidiary Body for Implementation (SBI) 41 and 42. 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, SBI 41 and SBI 42, along with GEF's response.

Meetings and Events

- 16. The GEF Secretariat has held regular dialogue with the UNFCCC Secretariat for information exchange and to foster cooperation. In particular, the GEF Secretariat personnel met with the Deputy Executive Secretary of the UNFCCC Secretariat in June 2015 to discuss GEF support to countries towards the Paris COP, summarize the status of GEF responses to COP guidance, and to discuss where the GEF could be helpful in the process towards the anticipated universal climate agreement.
- 17. During the reporting period, the GEF Secretariat also participated in the following UNFCCC meetings and provided updates on GEF programming, responses to COP guidance, thematic programming, and capacity building among other topics.
 - (a) Ninth part of the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) on June 8-11, 2015 in Bonn, Germany;
 - (b) Forty-second session of the SBI on June 8-11, 2015 in Bonn, Germany;
 - (c) Tenth meeting of the Standing Committee on Finance (SCF) on June 12-13, 2015 in Bonn, Germany;
 - (d) Tenth meeting of the Board of the Green Climate Fund (GCF) on July 6-10, 2015 in Songdo, Republic of Korea;
 - (e) Tenth part of the second session of the ADP on August 31-September 4, 2015 in Bonn, Germany;
 - (f) Eleventh meeting of the Technology Executive Committee (TEC) on September 7-11, 2015 in Bonn, Germany. In order to foster collaboration and the sharing of lessons learned, the GEF Secretariat held a side event at this TEC meeting on 'Poznan Strategic and Long-term Programs on Technology Transfer Dialogue: Seven Years of Experiences and Lessons Learned';
 - (g) Regional training workshop on National Adaptation Plans (NAP) for Lusophone and African island states on September 7-11, 2015 in Antananarivo, Madagascar;
 - (h) Third forum of the SCF on Enhancing Coherence and Coordination on Forest Financing on September 8-9, 2015 in Durban, South Africa; and
 - (i) Twenty-eighth meeting of the Least Developed Country Expert Group (LEG) on September 12, 2015, in Antananarivo, Madagascar.

UN CONVENTION TO COMBAT DESERTIFICATION

Reporting

18. The GEF Secretariat prepared and officially transmitted to the UNCCD Secretariat, in August 2015, its report for submission to the twelfth session of the COP to the UNCCD in Ankara, Turkey, to be held on October 12-23, 2015. This is the fifth report prepared by the GEF

to the COP in accordance with the Memorandum of Understanding between the UNCCD Secretariat and the GEF Secretariat. This is also the third time the GEF is reporting since the GEF Instrument was amended to list the UNCCD among the conventions for which the GEF serves as a financial mechanism.

- 19. The report provides information on GEF activities in sustainable land management (SLM) as they relate to GEF Land Degradation Focal Area, specifically desertification and deforestation, for the period of July 2013 to June 2015. Activities in other GEF Focal Areas and funding windows related to SLM are also presented. The reporting period coincides with the final year of GEF-5 and the first year of GEF-6.
- 20. The GEF report to the CCD COP presented an analysis of 74 projects that were approved with funding from the Land Degradation Focal Area, of which 53 projects were approved in the final year of GEF-5 and 21 projects in the first year of GEF-6. The total GEF grants for the projects amounted to \$527.7 million, with an additional \$2.45 billion in co-financing. These resources were utilized by countries through 27 stand-alone land degradation projects using \$68.6 million and 47 multi-focal area projects using \$459.1 million of GEF resources. Programming of relevance with resources from the LDCF and SCCF was also presented.

Decisions of the COP and GEF responses

21. During the period covered by this report, progress was made in addressing decisions taken at the COP 11 held in 2013 on collaboration with the GEF. Details of the decisions and progress with responses and actions taken by the GEF Secretariat are presented in Annex 1.

Meetings and Events

- 22. The GEF Secretariat participated in a number of meetings with the UNCCD Secretariat to coordinate preparations for GEF participation in the upcoming UNCCD COP 12. The GEF Secretariat staff met with the UNCCD Executive Secretary and UNCCD Secretariat staff on June 11, 2015 to provide an update on GEF's new organizational structure and to discuss integrated resource programming with climate and land benefits as well as the new Memorandum of Understanding (MoU). Discussions were also held on Enabling Activity support and public relations events around COP 12 on September 10, 2015 in Bonn, Germany.
- 23. GEF Secretariat staff took part in the International Civil Society Forum 'Desertif'ACTIONS 2015' (DA15) held in Montpellier, France on June 10-13, 2015. In this event, participants adopted the Montpellier Declaration, which highlights the link between land degradation, sustainable development and international stability, in a context of current and future impacts of global warming. The Declaration urges for coordinated action on climate change and land degradation to stop the negative spiral of linked impacts on ecosystem services and livelihoods.
- 24. Another key event was the consultation workshop for the IAP on Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa, organized by IFAD on July 23-24, 2015 in

Rome, Italy. Implementing agencies and executing partners are converging on a division of roles and responsibilities for the regional, cross-cutting capacity building, knowledge services and coordination project. A design workshop was held in Addis Ababa, Ethiopia, in September 2015, where Agencies sought countries' feedback on a detailed proposal as to how the regional project could serve countries' actions at the national level.

25. On the occasion of the World Day to Combat Desertification on June 17, 2015 the GEF CEO underscored the GEF's mandate to address land degradation, with a particular focus on desertification and deforestation.

STOCKHOLM CONVENTION ON PERSISTENT ORGANIC POLLUTANTS

Reporting

26. The GEF Secretariat presented the report of the GEF on its activities to support the Stockholm Convention at the seventh COP to the Stockholm Convention in May 2015. The report was welcomed by the COP. The COP used the report to inform its discussions on the financial mechanism which resulted in additional guidance being provided to the GEF.

Ratification

27. There are 179 Parties to the Convention as at September 2015. There were no new Parties to the Convention from March to September 2015. One country ratified the 2009 and 2013 amendments to the Convention in May 2015, making the country eligible to receive support to implement its obligations in relation to the chemicals listed in 2009 and 2013. The status of ratifications to the Convention and amendments can be retrieved on the Stockholm Convention website:

http://chm.pops.int/Countries/StatusofRatifications/PartiesandSignatories/tabid/252/Default.aspx
http://chm.pops.int/Countries/StatusofRatifications/Amendmentstoanneves/tabid/348

http://chm.pops.int/Countries/StatusofRatifications/Amendmentstoannexes/tabid/348 6/Default.aspx

National reporting

28. 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

29. As of September 2015, the status of NIP submissions is as follows:

NIP	Number of Countries
Initial 12 Chemicals	169
2009 Amendments	36
2011 Amendments	31
2013 Amendments	4

Meetings and events

- 30. The GEF Secretariat participated in the seventh COP to the Stockholm Convention, which was held back-to-back with the twelfth COP to the Basel Convention and the seventh COP to the Rotterdam Convention on May 4-15, 2015 in Geneva, Switzerland.
- 31. During this COP, Parties agreed to list three new chemicals, including Hexachlorobutadiene (HCBD), Pentachlorophenol and Chlorinated naphthalenes. In Annex 2, a description of these chemicals is provided.
- 32. In keeping with the precedents set at the joint COPs in 2013, GEF matters were taken up in a joint financial and technical assistance contact group of the three COPs. The following is a short summary of the decisions taken that require action/noting by the GEF. The GEF Secretariat is now working to respond to the decision:

33. Needs Assessment:

- (a) The seventh COP adopted the terms of reference for the assessment of the funding needed by developing-country Parties and Parties with economies in transition to implement the Convention over the period 2018-2022 and invited Parties and others to provide, by August 31, 2016 the relevant information. The results of the assessment will be sent to the GEF to inform the negotiations of the seventh GEF replenishment; and
- (b) The COP took note of the entry into force of the 2009 amendments, 2011 amendments, 2013 amendments, 2015 amendments and other amendments which will occur before the next meeting of the COP and the funding implications.
- 34. Effectiveness of the implementation of the Memorandum of Understanding (MoU) between the COP and the GEF Council:
 - (a) The COPs welcomed the report of the GEF to the Stockholm Convention COP and took note of the leveraging ratio of 1:3 between the Facility project grant and other resources, and also took note of the concerns raised by some parties in this regard. The issue of co-financing was discussed at great length by the COP which resulted in a request to the Secretariat of the Convention, in consultation

with the Secretariat of the GEF, to prepare a report on the effectiveness of the implementation of the MoU between the COPs and the GEF Council, including more details on the follow-up actions, as well as information on the application of the Facility's co-financing policy, for consideration by the COP at its eighth meeting.

35. Forth review of the Financial Mechanism:

(a) The COPs adopted the terms of reference for the fourth review of the financial mechanism which will cover the activities of the financial mechanism for the period from August 2012 to July 2016, with special emphasis on the activities concluded during that period.

36. Guidance to the Financial Mechanism:

- (a) The COP also welcomed the establishment of the GEF chemicals and waste focal area, its strategy and the increased funds allocated for chemicals and waste, and encourages the Facility to continue to enhance synergies in its activities, taking into account the co-benefits for the Basel and Rotterdam conventions and the SAICM, while first addressing the needs of the Stockholm Convention. The COP also noted with concern that there was no increase in GEF-6 funding for the Stockholm Convention.
- (b) The COP also noted the evolving funding needs of developing countries and countries with economies in transition to implement the Stockholm Convention and the chemicals and waste agenda, and reaffirms the request to the GEF to respond in this regard. Related to this issue of co-benefits to other chemical conventions the COP requested the Secretariat of the Basel, Rotterdam and Stockholm conventions, in consultation with the secretariat of the GEF, to identify possible elements of guidance from the Stockholm Convention to the Facility that also address the relevant priorities of the Basel and Rotterdam conventions for consideration by the Stockholm Convention COP at its eighth meeting.
- 37. The GEF Secretariat personnel had regular meetings with the Stockholm Convention personnel to discuss the GEF engagement in the COP. GEF Secretariat staff also met with the Executive Secretary in May and June 2015 to provide an update on GEF's new organizational structure and to discuss GEF-6 strategy and programming. The Executive Secretary participated in the GEF Council in June 2015, and provided an overview of the COP and collaboration with the GEF.

MONTREAL PROTOCOL ON SUBSTANCES THAT DEPLETE THE OZONE LAYER

Meetings and events

- 38. GEF Secretariat staff met with personnel from the Multilateral Fund in July 2015 to discuss GEF-6 strategy and Ozone-related programming to explore possibilities for complementary support.
- 39. During the reporting period, the following meetings of the Montreal Protocol were held:
 - (a) Thirty-sixth meeting of the Open Ended Working Group of the Parties to the Montreal Protocol; and
 - (b) Seventy-forth Executive Committee Meeting of the Multilateral Fund for the Implementation of the Montreal Protocol.
- 40. The GEF Secretariat was unable to attend these meetings.

MINAMATA CONVENTION ON MERCURY

Ratification

41. The Minamata Convention on Mercury was opened for signature and ratification in October 2013. To date the Convention has 128 signatures and 13 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

- 42. GEF Secretariat staff met with the UNEP Coordinator for the Intergovernmental Negotiations for Minamata Convention in May 2015, to discuss how the GEF could be helpful to facilitate the Convention ratification, exchange views on the GEF-6 resource programming, and to provide a briefing on GEF's organizational structure.
- 43. There were no official meetings related to the Minamata Convention during the reporting period. The GEF will attend, as an expert observer, the Ad Hoc Working Group of Experts on Financing, established by the intergovernmental negotiating committee on mercury (INC6) with the mandate to provide input to INC7 in implementing the decision of the Conference of Plenipotentiaries, as outlined in paragraph 6 of resolution 2 of the Final Act, on financial arrangements.

INTERNATIONAL WATERS

Update on multi-state cooperation frameworks

44. GEF's financing serves as a catalyst for cooperation in international waters and supports countries to jointly manage their transboundary surface and groundwater basins, as well as coastal and marine systems, to enable the sharing of benefits from their utilization. On the surface water resources side alone, only 40 per cent of the 276 trans-boundary rivers and lake basins in the world are governed by agreements. Where agreements exist, 80 per cent involve only two countries, even though other states may also be part of the watercourse in question. On the marine side the GEF is funding activities in 23 of the world's 66 Large Marine Ecosystems, and is engaging in a number of projects on the Areas Beyond National Jurisdiction (ABNJ). The GEF and its partners are calling for countries to step-up action on improved governance and sustainable management of national and transboundary aquifers. To date, the GEF has financed work in more than eight transboundary aquifers.

Freshwater conventions

- 45. The entering into force of the United Nations Watercourses Convention in August 2014, as well as the decision of the Parties to the UN Economic Commission for Europe (UNECE) Water Convention to enable accession on non-UNECE member states to the Convention, provide historic opportunities to foster multi-state cooperation. Therefore the GEF Secretariat has been working with both conventions during the last year:
 - (a) Informal meetings with UNECE Water Convention. The GEF Secretariat met multiple times during the last year with the UNECE Water Convention Secretariat in the context of technical workshops and in planning the upcoming Meeting of the Parties to be held on November 17-19, 2016 in Budapest. The GEF provides funding for transboundary water management globally and, inter alia, in the UNECE region to enable these countries to meet the obligations under the UNECE Water Convention. UNECE and GEF have also supported capacity building and exchange of lessons learned among countries via IW-Learn.
 - (b) The Informal gathering of the 1997 UN Watercourses Convention. The 1997 United Nations Convention on the Law of Non-navigational Uses of International Watercourses (1997 UN Watercourses Convention) has entered into force on August 17, 2014. GEF actively participated in the first unofficial meeting of the Parties to the Convention, which was hosted by UNESCO on September 15-16, 2015 in its headquarters. The meeting discussed how to coordinate and harmonize the implementation of the Convention.

Improving water governance on national and transboundary levels

46. GEF has been invited to join the OECD Water Governance Initiative as a core member of the working group three on basin governance. The OECD Water Governance Initiative is an

international multi-stakeholder network of around 100 delegates from public, private and non-profit sectors that meets twice per year in a policy forum to share on-going reforms, projects, lessons and good practices in support of better governance in the water sector. One key output of its work in the last year included the OECD principles on Water Governance. These principles were developed using a multi-stakeholder and bottom up approach within the OECD Water Governance Initiative (WGI). They were endorsed by 65 public, private and non-profit organizations involved in the OECD WGI at the seventh World Water Forum held in April 2015 in Korea through the Daegu Declaration.

Seventeenth annual large marine ecosystem meeting

47. The GEF Secretariat will participate in the seventeenth Annual Large Marine Ecosystem Workshop September 28 – October 2, 2015 in Paris, France. This annual meeting, hosted by UNESCO International Oceanographic Commission, represents a unique opportunity for the GEF-funded Large Marine Ecosystem (LME) projects around the world to share experiences and lessons learned among themselves and with the global institutions engaged.

Seventh World Water Forum

48. The GEF Secretariat participated in the seventh World Water Forum, hosted by the Republic of Korea in Daegu and Gyeongju. The World Water Forum is the world's largest meeting on freshwater. Every three years since 1997, the World Water Council has been held at the World Water Forum on or around World Water Day (March 22). The World Water Forum consists of three processes: the political process, the thematic process and the regional process. For this forum, officials, legislators and local and regional authorities from more than 150 nations participated, along with more than 40.000 visitors, representing private sector, governments, industry, IGOs, NGOs, academia and students. The GEF CEO opened a number of sessions, including the thematic track, where she pointed out the importance of the wet ecosystems, including wetlands and groundwater systems, in relation to drinking water, food, cities, energy and industrial uses and how its sustainable use will be essential to achieve SDGs on water, food security, and urban development.

Our Ocean Conferences

49. In June 2014, the GEF participated in the first Our Oceans Conference held in Washington, DC and is planning to continue to participate in the second conference to be held in Valparaiso, Chile. The conferences bring together political leaders from around the world to commit to addressing the challenges facing oceans with emphasis on unsustainable fisheries, marine pollution and ocean acidification. Combined, the two conferences gather more than 400 leaders from government, academia and civil society committed to protecting the oceans. Participants attending the first Our Oceans Conference included the U.S. Secretary of State and Prince Albert of Monaco. At the event the CEO announced the GEF-6 \$460 million commitment to international waters.

Collaboration with UN Law of the Sea

- 50. GEF furthered its strong collaboration with UN Division for Ocean Affairs and the Law of the Sea UNDOALOS. For example:
 - (a) UNDOALOS is a partner of the Coordination and Capacity Building project of the GEF ABNJ program. The UNDOALOS Director briefed all partners on the development of an international, legally binding instrument under UNCLOS on the conservation and sustainable use of marine biological diversity of ABNJ during the GEF project's workshop on linking global and regional levels in the management of ABNJ in February 2015 at the FAO headquarters.
 - (b) GEF participated in the eleventh round of informal consultations of Parties to the UN Fish Stocks Agreement in March 2015 at the UN headquarters. The Agreement has a considerable impact on the practice of States and RFMOs by enshrining concepts such as the precautionary and ecosystem approaches and provides the impetus for international efforts, including the GEF ABNJ program.
 - (c) GEF participated in the Sustainable Development panel of the sixteenth meeting of the UN Open-ended Informal Consultative Process on Oceans and the Law of the Sea on April 6-10, 2015 and made a presentation on the overall GEF marine portfolio and its integration of the environmental and socio-economic aspects.

Twenty-fifth World Water Week

51. In 2015, the World Water Week on Water for Development attracted 3,300 participants from 125 countries, representing governments, academia, civil society, international organizations, the private sector and others. The participants assembled in Stockholm to scope out solutions to the world's most urgent water and development challenges. GEF actively participated together with a range of partners in convening and presenting experiences in several panels and sessions on transboundary waters and on water and climate change. The conference offers a unique opportunity to engage in technical and political discussions for the GEF Secretariat. The climate change agenda and the reality that countries have to manage within was not only highlighted at the opening ceremony by heads of states, but also reiterated in the closing ceremony of the twenty-fifth World Water Week, where participants of the closing panel made a call to climate negotiators to ensure that water is thoroughly integrated in the global 2015 climate agreement.

RELATIONS WITH OTHER INTERNATIONAL INSTITUTIONS

Climate Summit and Post-2015 Framework

52. The GEF Secretariat continues its engagement with the post-2015 development agenda process in the realm of UN fora and events, such as the UN Climate Summit and the UN General Assembly held in September 2015 in New York, USA, and various events and negotiating

meetings relating to the SDGs. The GEF Secretariat participated in the UN High-Level Event on Climate Change held by the President of the UN General Assembly on June 29, 2015, to provide impetus on the way to Paris and to share GEF's lessons learned.

- 53. The GEF Secretariat participated in the Third Financing for Development Conference held in Addis Ababa in July 2015. The GEF engagement included: the CEO participation in the Multi-Stakeholder Dialogue Roundtable on Global Partnerships, which centered on the importance of global partnership for finding solutions to economic, social, and environmental challenges; organization of a GEF side event on Financing for Development: Food Security and Sustainable Cities; and bilateral discussion with key stakeholders on GEF programming. The conference adopted the Addis Ababa Action Agenda (AAAA) featuring: a global framework for financing development post-2015; action areas; and data, monitoring and follow-up. The AAAA acknowledged GEF's role in mainstreaming environmental concerns into development efforts.
- 54. In regards to the SDGs, the GEF Secretariat has been participating actively in the discussions of several relevant goals to the work of the GEF and also for MEAs for which the GEF serves as financial mechanism. There is close alignment of multiple SDGs with the GEF focal areas and many of the targets pertaining to the SDGs are similar or aligned to those being tracked as part of the GEF-6 strategy and MEA targets. In September 2015, the GEF CEO is expected to participate an interactive dialogue at the UN Sustainable Development Summit by speaking on 'Protecting our Planet and Combatting Climate Change'. The GEF Secretariat continues to work with relevant institutions and countries to explore synergies in addressing SDGs and GEF programming. In particular, the GEF Secretariat is proactively engaging in discussions on indicators, reporting and national implementation to find ways to align GEF activities and systems with the broader development agenda.

Green Climate Fund

- 55. The GEF has been engaging with the GCF and other funds under the Convention to collaborate to further articulate and build on the complementarity of their respective policies and programs, in line with COP 20 guidance and as recommended in the fifth review of the Financial Mechanism. As the GCF was in the process of accrediting Agencies and had not approved financing for projects during this reporting period, collaboration and information exchange focused on several foundational and policy elements:
 - Dialogue and engagement: The GEF CEO and Chairperson and the GCF Executive Director held several dialogues and bilateral discussions throughout the reporting period, building a positive collaborative relationship. Secretariat personnel at the technical and managerial levels are in constant communication on a wide range of topics, from mitigation and adaptation strategies, status of resource allocation and modalities, private sector engagement, financial instrument experience and policies, templates, co-financing policy, project cycle, and Agency relations, among others. The Secretariat staff members also attend as observers in respective GEF Council and GCF Board meetings.

- (b) Accreditation: One of the key milestones for the GCF to enable project financing is the Agency accreditation. To help inform the GCF process, the GEF Secretariat provided detailed information and updates on GEF safeguard policies and Agency compliance.
- (c) Gender: The GEF and GCF Secretariats are collaborating closely on the development of their respective gender policy and action plans. The GEF gender focal point has discussed and shared GEF's gender experiences and policy foundation in workshops organized by the GCF. The May 2015 workshop, held at the GEF premises with the Adaptation Fund engagement to discuss genderresponsive indicators for the GCF, provided an opportunity to share GEF's gender core indicators. This also builds on close collaboration between the GEF and the Climate Investment Funds (CIF).
- 56. As the GCF becomes ready to make financing decisions, each fund may play different, complementary roles that could produce higher impacts and leverage more resources if combined strategically. In this regard, GEF's experiences with other climate funds may be useful to help articulate and enhance complementarity between the operating entities of the Financial Mechanism. Collaboration with the CIF, Adaptation Fund, private sector entities, and others has highlighted different areas of engagement where the GEF can provide added value based on its unique role, strengths, and experience supporting programs and projects for over two decades, including:
 - (a) Transforming policy and regulatory environments to support governments to put in place the policies, regulations and institutions that can catalyze partners to invest in low-emission, climate-resilient technologies;
 - (b) Demonstrating innovative approaches aimed at supporting the validation of technologies and management practices, with a view to unlock the market for low-emission, climate-resilient technologies or enable partners to conduct largescale replication;
 - (c) Strengthening institutional capacity and decision-making processes to improve information, participation, and accountability in public and private decisions that enable partners to design and implement programs and policies for reduced emissions and climate resiliency;
 - (d) Building multi-stakeholder alliances to develop, harmonize, and implement sustainable practices, facilitating partners to scale multi-country commitments; and
 - (e) De-risking partner investments and providing incremental financing for lowemission, climate-resilient investments, enabling private sector investment to flourish.

57. The GEF stands ready to continue to engage with the GCF to articulate the complementarity, responding to COP guidance, and to help countries meet their mitigation and adaptation needs in a coordinated way.

Adaptation Fund Board

- 58. The Adaptation Fund Board (the Board) held its twenty-fifth meeting on 9–10 April, 2015 in Bonn, Germany. During this meeting, the Board accredited as a National Implementing Entity (NIE):
 - (a) The Fundación NATURA (Decision B.25/3);
 - (b) The Micronesia Conservation Trust (MCT), subject to two conditions (Decision B.25/4).
- 59. In addition, the Board approved the following three projects:
 - (a) A project in India, to be implemented by National Bank for Agriculture and Rural Development (NABARD), with a total value of US\$ 1,790,500 (Decision B.25/10);
 - (b) A project in Jordan, to be implemented by Ministry of Planning and International Cooperation (MOPIC), with a total value of US\$ 9,226,000 (Decision B.25/12);
 - (c) A project in Morocco, to be implemented by Agence pour le Développement Agricole (ADA), with a total value of US\$ 9,970,000 (Decision B.25/13).

Intersessional Decision on Accreditation

60. After considering the consensus recommendations of Accreditation Panel (the Panel), the Board decided intersessionally to accredit the Environment Division of the Ministry of Health and the Environment of Antigua and Barbuda as its 20th National Implementing Entity (NIE) (Decision B.25–26/9), as well as the United Nations Human Settlements Programme (UN-Habitat) as the Fund's 12th Multilateral Implementing Entity (MIE) (Decision B.25–26/10).

Intersessional Decision on Re-accreditation

61. The Board decided intersessionally to re-accredit as multilateral implementing entities (MIEs) the Asian Development Bank (ADB) and the United Nations Environment Programme (UNEP) (Decision B.25–26/11).

Resources

62. The Board has approved 48 projects and programs for funding by September 15, 2015 amounting to \$318 million in total. As of September 15, 2015 funds available to support funding decisions were \$129.95 million.

UN Forum on Forests

- 63. The GEF Secretariat joined delegates from over 125 Member States, including 30 forest Ministers and Vice Ministers for the 11th session of the UN Forum on Forests (UNFF11) convened in New York, from May 4 to 15, 2015.
- 64. Highlights of GEF activities during UNFF11 include the following:
- 65. Participation in the High Level Dialogue: "Transformative Partnerships for Forests, beyond 2015," the Multi-Stakeholder Dialogue and in Working Groups I and II on the Ministerial Declaration and the Draft Resolution on the International Arrangement on Forests beyond 2015 respectively.
- 66. Participation in contact groups and other sessions to brief Member States and to respond to questions on GEF activities and its support to Member States in relation to the International Arrangement on Forests.
- 67. Active engagement throughout the session as a partner organization of the Collaborative Partnership on Forests (CPF).
- 68. Organization and participation in: GEF side event on Strengthened Support for SFM Delivering Multiple Benefits; the FAO side event on National Forest Funds; the CBD Secretariat side event on Strengthened Support for SFM Delivering Multiple Benefits and the IUCN side event on the Bonn Challenge to restore forest landscapes.
- 69. Key issues of relevance to the GEF that were discussed at UNFF11 include (i) extension of the timeline of the IAF to 2030 the component parts of which are UNFF and its Member States, the UNFF Secretariat, the CPF, the UNFF Global Forest Financing Facilitation Network (GFFFN) and the UNFF Trust Fund; (ii) strengthening of the overall IAF, in particular with regard to implementation and financing, and coherence and consistency with the post 2015 development agenda; (iii) upgrading the UNFF Facilitative Process to the UNFF GFFFN, to promote design of national forest financing strategies and serve as a clearinghouse on existing, new and emerging financing opportunities; (iv) reorientation of the core functions of the CPF to support the work of the Forum and its member countries; and (v) strengthening collaboration between the Forum and relevant forest-related international, regional and sub-regional entities, Major Groups and CPF. Subsequent dialogue between GEF Secretariat and UNFF Secretariat has commenced on follow-up actions to UNFF11.
- 70. The decisions taken by the Forum of relevance to the GEF are presented in Annex 1 to this document, including GEF's responses to the material items.

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 Decisions Adopted by CBD COP 12

COP Decision	GEF's Response
B. Fourth review of the effectiveness of the financial mechanism	
Invites the Global Environment Facility to take the following action in order to further improve the effectiveness of the financial mechanism: (a) Enhance its catalytic role in mobilizing new and additional financial resources while not compromising project goals; (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;¹ (c) Coordinate with the Secretariat of the Convention on Biological Diversity on how to better measure progress in achieving the Aichi Biodiversity	 (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. (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. (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 by initiatives supported by the Global Environment Facility, taking into account the agreed GEF-6 portfolio-level indicators;	Targets and explore how this could be improved.
(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;	(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.
(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	(e) GEF will meet this request for the upcoming COP.

¹ See http://www.gefieo.org/ops/ops-5.

COP Decision		GEF's Response
information provided in	the report;	
Encourages 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.
report to the thirteenth in the Parties, how it plans		GEF will comply with this request for COP XIII.
GEF-6 biodiversity focal a importance of the Cartag	of programmes 5 and 8 in the area strategy, reflecting the gena and the Nagoya Protocols, oritize projects accordingly;	Noted.
C. Cartag	ena Protocol on Biosafety	
Taking note of decision BS-VII/5, invites the financial mechanism to implement the following guidance ² considered and adjusted by the Conference of the Parties for consistency with Article 21 of the Convention: (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:		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. 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.
repo Proto	paration of the third national orts under the Cartagena ocol on Biosafety, in accordance paragraph 2 (g) of decision BS-;	
yet d	paration, by Parties that have not done so, of their first national orts under the Cartagena	

 $^{^2}$ 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
		Protocol on Biosafety, in accordance with decision BS-V/14;	
(b) To support the following activities of eligible Parties within Programme 5 on Implementing the Cartagena Protocol on Biosafety under the Biodiversity Focal Area:		nin Programme 5 on Implementing the	
	(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;	
(c)	То	consider mechanisms for:	
	(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;	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
	(iii)	Increasing the level of utilization of Global Environment Facility funding for biosafety;	countries under Program 5.
and report to the Conference of the Parties at its thirteenth meeting;			
 (d) To promptly address the need for capacity-building for the use of the Biosafety Clearing-House of all eligible Parties not yet supported; 		or the use of the Biosafety	
(e) To support Parties in the collection of national data and conducting consultations on the third national reports;			

COP Decision	GEF's Response
(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; (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 XI/5 of the Conference of the Parties);	
D. Nagoya Protocol on access and benefit sharing Taking note of decision NP-1/6, invites the financial mechanism to implement the following guidance ³ considered by the Conference of the Parties:	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.
Policy and strategy	
Takes note 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;	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.
Programme priorities	
Requests the Global Environment Facility:	
(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;	
(b) To make financial resources available with a view to assisting eligible Parties in preparing their national reports;	
(c) To support activities related to implementing the awareness-raising strategy for early action on Article 21 of the Protocol;	
Sixth replenishment of the Global Environment	

³ 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
Facility (GEF 6) Requests 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;	GEF will duly consider any multi-focal area projects that incorporate access and benefit-sharing related activities.
E. Other guidance to the financial mechanism	
Customary sustainable use Invites 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;	GEF will provide funds for said activities when incorporated into and necessary for achieving objectives of projects aligned with the GEF-6 biodiversity strategy.
Marine and coastal biological diversity	
Recalling paragraph 20 of decision X/29 and taking into account paragraph 7 of Article 20 of the Convention, as appropriate, invites 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;	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. 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.
Biodiversity and tourism development	
Invites 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;	GEF-6 biodiversity program nine on biodiversity mainstreaming provides the window for countries to mainstream biodiversity considerations into tourism operations impacting globally significant biodiversity.

Table 2: GEF's Response to Guidance Contained in Decisions Adopted by UNFCCC COP 20 and conclusions by SBI 41 and 42

COP Decision/SBI Conclusion

GEF's Response

Decision 1/CP.20, Ad Hoc Working Group on the Durban Platform for Enhanced Action at its second session (ADP 2.7)

http://unfccc.int/resource/docs/2014/cop20/eng/10a01.pdf

Decision 1/CP.20, paragraph 15:

Reiterated 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.

The GEF has made resources available for countries to prepare their intended nationally determined contributions (INDCs), 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 (NCs) and Biennial Update Reports (BURs) to provide technical assistance to countries to prepare their INDCs.

As of September 2015, the GEF has approved projects supporting the following 46 countries in preparing their INDCs: Afghanistan, Antigua and Barbuda, Azerbaijan, Benin, Botswana, Burundi, Cambodia, Chad, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Dominica, Eritrea, Fiji, Guinea-Bissau, Iraq, Kyrgyzstan, Lao PDR, Lesotho, Maldives, Mauritania, Mongolia, Mozambique, Myanmar, Namibia, Nauru, Niger, Nigeria, Papua New Guinea, Republic of Moldova, Rwanda, Sao Tome and Principe, Senegal, South Africa, Sri Lanka, Swaziland, Tanzania, Thailand, Timor Leste, Trinidad and Tobago, Tunisia, Turkmenistan, Uzbekistan, Yemen, Zambia and Zimbabwe.

Decision 4/CP.20, COP 20 Agenda Item 7: Report of the Adaptation Committee

http://unfccc.int/resource/docs/2014/cop20/eng/10a02.pdf

Decision 4/CP.20, paragraph 4:

Requested 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].

With regard to generating interest in, demand for and leadership of the National Adaptation Plan (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 LDCF and the SCCF towards the NAP process. Similar contributions were made at the 26th meeting of the LEG; the LEG side event at COP 20; the Adaptation Committee (AC) workshop on the means of implementation for enhancing adaptation action; the second and third NAP Expos; and the AC-LEG workshop on experiences, good practices, lessons learned, gaps and needs on the process to formulate and implement NAPs.

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

COP Decision/SBI Conclusion	GEF's Response
	NAP process in developing countries. The GEF Secretariat 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.
	Finally, with regard to learning, monitoring and evaluation, the GEF Programming Strategy on Adaptation to Climate Change (document GEF/LDCF.SCCF.16/03) ⁴ and the associated, updated results-based management framework for adaptation to climate change (document GEF/LDCF.SCCF.17/05) ⁵ are closely aligned with the recommendations of the AC, including, for instance, by taking into account relevant country circumstances and needs, assigning different roles to national-level assessments vis-à-vis subnational or project-based assessments of adaptive capacity, and by supporting a positive learning environment. LDCF and SCCF-financed projects and programs also ensure that resources are allocated to effective monitoring and evaluation systems as part of the projects and programs. The FY 2014 Annual Monitoring Review of the LDCF and
	the SCCF (document GEF/LDCF.SCCF.18/04) ⁶ describes portfolio-level outcomes and lessons that are highly relevant to the NAP process.

Decision 8/CP.20, 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/resource/docs/2014/cop20/eng/10a02.pdf

Decision 8/CP.20, paragraph 5:

Encouraged 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.

The GEF Council, at its 47th meeting in October 2014, approved an updated Project Cancellation Policy 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'.

At its 48th meeting in June 2015, the GEF Council approved additional measures to improve the project cycle (document GEF/C.48/04)⁷ by expediting the preparation of the stock of delayed projects. In particular, the Council approved a one-time cancellation by June 30, 2016 of overdue (i) full-sized projects (FSPs) whose Project Identification Forms (PIFs) were approved prior to the October 2014 Council meeting; and (ii) medium-sized projects (MSPs) whose PIFs were approved prior to the June 2015 Council meeting. In addition, the Council approved an amendment to the Project Cancellation Policy previously approved in the October 2014 Council meeting to include provisions for cancellation of overdue

 $^{^{4}\,\}underline{\text{http://www.thegef.org/publications/gef-programming-strategy-adaptation-climate-change-least-developed-countries-fund}$

⁵ http://www.thegef.org/council-meeting-documents/updated-results-based-management-framework-adaptation-climate-change-under

⁶ https://www.thegef.org/council-meeting-documents/annual-monitoring-review-ldcfsccf-fy-2014

⁷ http://www.thegef.org/council-meeting-documents/annual-monitoring-review-ldcfsccf-fy-2014

COP Decision/SBI Conclusion	GEF's Response
	medium-sized projects that are approved after June 2015 Council, as set out in Annex II to that decision.
Decision 8/CP.20, paragraph 6: Also encouraged 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.	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 presented the fiscal year 2014 Annual Monitoring Report (AMR) II to the GEF Council at its meeting on June 2-4, 2015, and has made it publically available on its website (document GEF/C.48/03) ⁸ . Furthermore, the GEF Secretariat is committed to increase the overall transparency and openness of its operations and has made available, on the GEF website ⁹ information on the conflict-resolution services provided by the GEF and newly developed Guidelines to Implement the GEF's Policy on Public Involvement (document GEF/C.47/Inf.06) ¹⁰ .
	The GEF Secretariat has undertaken focused efforts to communicate and explain the content of the GEF's revised Cofinancing 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) ¹¹ on its dedicated webpage for Policies and Guidelines ¹² . The Secretariat conducted training on the Co-Financing Policy at all meetings under the GEF's Country Support Program, including at the 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 GEF Agencies, and accredited GEF Project Agencies. The GEF Secretariat also trains newly accredited GEF Project Agencies on this Policy. Co-financing as defined in this Policy is voluntary, as elucidated in the Policy stating 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."
Decision 8/CP.20, paragraph 8: Requested the Global Environment Facility to ensure that gender mainstreaming is implemented both within its portfolio and	The GEF Gender Equality Action Plan (document GEF/C.47/09) ¹³ 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 and will positively

⁸ http://www.thegef.org/council-meeting-documents/annual-monitoring-review-fy-2014-part-ii

⁹ http://www.thegef.org/about/organization/conflict-resolution-commissioner

¹⁰ https://www.thegef.org/council-meeting-documents/guidelines-implementation-public-involvement-policy

¹¹ https://www.thegef.org/documents/co-financing-policy

¹² https://www.thegef.org/documents/policies

¹³ http://www.thegef.org/publications/gender-equality-action-plan

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within its structure.	reinforce gender equality throughout project and program design and implementation. 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.	
Decision 8/CP.20, paragraph 10: Encouraged the Global Environment Facility to improve the communication of its cofinancing policy so that it is better understood, and appropriately applied by	The GEF Secretariat has undertaken focused efforts to communicate and explain the content of the GEF's revised Cofinancing 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) ¹⁴ on its dedicated webpage for Policies and Guidelines ¹⁵ .	
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.	The Secretariat conducted training on the Co-Financing Policy at all meetings under the GEF's Country Support Program, including at the 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 GEF Agencies, and accredited GEF Project Agencies. The GEF Secretariat also trains newly accredited GEF Project Agencies on this Policy.	
	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 reviewing project and program submissions. Co-financing as defined in this Policy is voluntary, as elucidated in the Policy stating 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."	
Decision 8/CP.20, paragraph 11: Also encouraged 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	The GEF Accreditation Pilot was completed in May 2015. Among 16 entities that applied, eight applicants were found by the independent GEF Accreditation Panel to be in compliance with the GEF's minimum fiduciary standards and environmental and social safeguards, including gender mainstreaming. They were approved for accreditation to become GEF Project Agencies.	
accreditation of project agencies, particularly in the least developed countries, small island developing States and African States.	These eight agencies comprised the following three national entities:	
	(i) The Development Bank of Southern Africa (DBSA);	
	(ii) Fundo Brasiliero para a Biodiversidade (FUNBIO);	
	(iii) Foreign Economic Cooperation Office of China (FECO);	

https://www.thegef.org/documents/co-financing-policy
 https://www.thegef.org/documents/policies

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	as well as two regional entities:	
	(iv)	West African Development Bank (BOAD);
	(v)	Development Bank of Latin America (CAF);
	and three in	nternational civil society organizations (CSOs):
	(vi)	World Wildlife Fund (WWF-US);
	(vii)	Conservation International (CI); and
	(viii)	International Union for Conservation of Nature (IUCN).
	pilot, allowing fully accred	creditation process was designed and implemented as a ing the GEF to assess the resources and time needed to lit new agencies and to determine how new agencies ce the GEF's impact.
	may enhance the GEF's impact. The Independent Evaluation Office (IEO) of the GEF recently conducted a process evaluation of the accreditation pilot, highlighting lessons learned from the pilot's design and implementation (document GEF/ME/C.48/Inf.03) ¹⁶ . Overall, the evaluation found that the implementation of the GEF accreditation process was satisfactory, that it has been designed and implemented transparently and that the GEF Project Agencies that have gone through the accreditation process have gained from the process through improvements in their systems, standards and institutional capacity. The evaluation also noted that sufficient arrangements were in place to ensure that the GEF Accreditation Panel is functionally and behaviorally independent, adding to the credibility of the process. The evaluation also found that the Secretariat was very prompt in responding to questions and in clarifying areas of uncertainty for both the applicants and the Accreditation Panel throughout implementation; and that easy availability of forms and relevant documents and timely reporting of progress to the Council has made the process more transparent. In addition, the evaluation found that implementation of the accreditation process has been slower than expected primarily because of the high level of accreditation standards and design issues that became apparent during implementation.	
		cretariat's Management Response to the findings of the ion are available on the GEF website (document 48/03) ¹⁷ .
	As recogniz	ed by the evaluation, the Secretariat has been giving

https://www.thegef.org/council-meeting-documents/evaluation-accreditation-process-expansion-gef-partnership
https://www.thegef.org/council-meeting-documents/management-response-semi-annual-evaluation-report

COP Decision/SBI Conclusion	GEF's Response
	considerable attention to onboarding of the Project Agencies through training and upstream consultations on development of project proposals. Three such training events have already been undertaken with very positive feedback from participants. These measures are likely to help the GEF Project Agencies in being efficient and effective in developing and implementing GEF projects.
Decision 8/CP.20, paragraph 12:	The GEF is exploring ways to further simplify its procedures and
Requested 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.	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 has supported various types of enabling activities, including NCs, BURs, and National Adaptation Programs of Action (NAPAs). They fulfill essential communication requirements to the UNFCCC, and provide information to enable policy and decision-making.
	Since its inception, the GEF has funded 315 NCs and BURs with \$378.2 million in funding from the GEF Trust Fund (GEFTF).
	During the reporting period, the GEF financed, through the GEFTF, 12 enabling activities in the amount of \$22.8 million. In particular, the GEF has financed umbrella projects that cover many countries and play a significant role in providing support for NCs. Error! eference source not found. lists projects and programs for CCM and enabling activities approved under the GEFTF during the reporting period.
Decision 8/CP.20, paragraph 15:	The GEF has, in this document containing the annual report to the
Also requested 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.	COP, provided information on the steps taken to implement the guidance.
Decision 9/CP.20, COP 20 Agenda Item 12(e):	Fifth review of the Financial Mechanism
http://unfccc.int/resource/docs/2014/cop20/eng/10a02.pdf	
Decision 9/CP.20, paragraph 3:	The GEF, as an operating entity of the Financial Mechanism,
Acknowledged 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;	incorporates the recommendations made by the Standing Committee on Finance (SCF) in its fifth review of the Financial Mechanism. To that effect, the GEF is engaging with the Green Climate Fund (GCF) and the funds under the Convention to collaborate with the view to taking advantage of the complementarity of their respective policies and program.
Decision 9/CP.20, paragraph 4: Encouraged the operating entities of the Financial Mechanism to address, as	In the reporting period, the GCF has been in the process of accrediting Agencies and was yet to approve financing for projects. Therefore, collaboration and information exchange during the

COP Decision/SBI Conclusion

appropriate, these recommendations in their future work, particularly with regard to the complementarity between the operating entities of the Financial Mechanism.

GEF's Response

reporting year focused on several foundational and policy elements:

- Dialogue and engagement: The GEF CEO and Chairperson and the GCF Executive Director held several dialogues and bilateral discussions throughout the reporting period, building a positive collaborative relationship. Secretariat personnel at the technical and managerial levels are in constant communication on a wide range of topics, from mitigation and adaptation strategies, status of resource allocation and modalities, private sector engagement, financial instrument experience and policies, templates, co-financing policy, project cycle, and Agency relations, among others. The Secretariat staff members also attend as observers in respective GEF Council and GCF Board meetings.
- Accreditation: One of the key milestones for the GCF to enable project financing was the Agency accreditation. To help inform the GCF process, the GEF Secretariat provided detailed information and updates on GEF safeguard policies and Agency compliance.
- 3. Gender: The GEF and GCF Secretariats are closely collaborating on the development of their respective gender policy and action plans. The GEF gender focal point has discussed and shared GEF's gender experiences and policy foundation in workshops organized by the GCF. The May 2015 workshop, held at the GEF premises with the Adaptation Fund engagement to discuss gender-responsive indicators for the GCF, provided an opportunity to share GEF's gender core indicators. This also builds on close collaboration between the GEF and the Climate Investment Fund (CIF).

The GEF stands ready to continue to engage with the GCF to articulate the complementarity, responding to COP guidance, and to help countries meet their mitigation and adaptation needs in a coordinated way.

Decision 10/CP.20, COP 20 Agenda Item 12(f): Further guidance to the Least Developed Countries Fund http://unfccc.int/resource/docs/2014/cop20/eng/10a02.pdf

Decision 10/CP.20, paragraph 7:

Invited 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 remaining activities contained in the least developed countries work programme.

The LDCF-financed FSP 'Building capacity for LDCs to participate effectively in intergovernmental climate change processes' (\$4.5 million) was launched in March 2015. The project will focus on the elements of the LDC work program on (i) "strengthening 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) "providing 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

COP Decision/SBI Conclusion	GEF's Response
	implementation, as specified below.
	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 121 FSPs and MSPs that had, as at April 16, 2015, been endorsed or approved by the GEF CEO, 78 are providing training to more than 590,000 people on various aspects of climate change in 41 LDCs. Total LDCF funding approvals associated with these 78 projects amount to \$433.6 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 four per cent of total funding approvals were associated with "strengthened awareness and ownership of adaptation and climate risk reduction processes".
	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.
	The GEF, through the LDCF, provides considerable support 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 \$98.4 million, has been directed towards enhancing such services as a priority. Altogether hydro-meteorological and climate information services are supported through 63 projects in 37 LDCs, with total associated funding approvals amounting to \$326.6 million.
Decision 10/CP.20, paragraph 8: Requested 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	Please refer to response above on the GEF Accreditation Pilot, including the accreditation of national GEF Project Agencies.

COP Decision/SBI Conclusion	GEF's Response	
Facility national project agencies.		
Decision 10/CP.20, paragraph 9: Invited 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	Please refer to Part III, Section 3b of this report.	
Parties determining, at its twenty-first session, appropriate further guidance to be provided to the Global Environment Facility.		
Decision 10/CP.20, paragraph 10: Requested 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.	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 NAPAs.	
Decision 21/CP.20, COP 20 Agenda Item 3 (b): Report of the Subsidiary Body for Implementation http://unfccc.int/resource/docs/2014/cop20/eng/10a03.pdf		
Decision 21/CP.20, paragraph 3: Urged 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,	The GEF has commenced funding operations under its sixth replenishment cycle since July 2014. The GEF has provided considerable financial, technological, technical and capacity-building support in response to decision 1/CP.16. During the reporting period, the GEFTF portfolio supported 91 climate change mitigation stand-alone and multi-focal area (MFA) projects with various capacity-building components per definition by the UNFCCC, in the form of technical assistance and investments, as described in detail in this report (see for instance Part III, sections 2, 4 and 5). The GEF is committed to continuing to provide support for eligible countries to build their capacities to meet the challenges	

COP Decision/SBI Conclusion	GEF's Response
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.	of climate change. Eligible countries include non-annex I countries as well as some annex I countries that are GEF eligible. Turkey, for instance, has a STAR allocation of \$15.7 million for climate change activities under the GEF's sixth replenishment cycle, which can be used to implement national strategies, actions and climate change plans, and to develop their low-emission development strategies or plans in accordance with decision 1/CP.16 (see Annex I).
Subsidiary Body for Implementation (SBI 41)	
	included in Annex I to the Convention – Provision of financial and
technical support	
http://unfccc.int/resource/docs/2014/sbi/eng/	
Paragraph 2: Invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approvals of funding and disbursement of funds. Also invited 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).	The GEF continues to provide full-cost funding for NCs, and all requests to support NCs have been met by the GEF. The GEF has set-aside resources, separate from the country resource allocations (STAR), so that each country can access up to \$500,000 for NCs. 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 NCs, BURs, and INDCs. Information on an approximate date of completion of the draft NCs and an approximate date of submission to the secretariat of the NCs is contained in Annex 8 of this report; and will be updated and submitted to Parties as an addendum to this report in due course.
Paragraph 3: Further invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, 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 has reported to SBI 42 on the requested information, as contained in document FCCC/SBI/2015/INF.7 on 'Information provided by the Global Environment Facility on its activities relating to the preparation of biennial update reports'. 18

Paragraph 6:

The GEF Secretariat has reported to SBI 42 on 'Information provided by the Global Environment Facility on its activities relating to the

¹⁸ http://unfccc.int/resource/docs/2015/sbi/eng/inf07.pdf

COP Decision/SBI Conclusion	GEF's Response	
Encouraged GEF agencies to continue to facilitate the preparation and submission of project proposals by non-Annex I Parties for the preparation of their BURs.	preparation of biennial update reports', as contained in document FCCC/SBI/2015/INF.7. ¹⁹	
Paragraph 7: Invited 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.	There are currently four options for non-Annex I countries to access GEF resources for NCs and BUR: (i) Parties can work with a GEF agency of their choice; (ii) Parties can be part of a UNEP umbrella project for NCs; (iii) Parties can access resources up to \$500,000 via direct access from the GEF Secretariat (not from the country's STAR allocation); and (iv) those Parties that wish to do FSPs and require additional resources, can use their STAR allocation. In GEF-6, the GEF continues to provide resources for NCs and BURs.	
Subsidiary Body for Implementation (SBI 41)		
Agenda Item 7: Matters relating to the least developed countries		
http://unfccc.int/resource/docs/2014/sbi/eng/l24.pdf		
Paragraph 7:	The GEF continues to simplify and expedite access to the LDCF. At	

Invited the Global Environment Facility to continue to explore ways of simplifying access to the LDCF.

The GEF continues to simplify and expedite access to the LDCF. At its 48th meeting in June 2015, the GEF Council took further steps to expedite the preparation of GEF projects, including projects financed through the LDCF. As at June 30, 2015, 174 LDCF projects with associated funding commitments amounting to \$643.1 million had been fully developed and approved or endorsed by the GEF CEO. These projects – representing 69 per cent of total LDCF funding approvals – were closed, under implementation or ready to enter implementation.

At its 48th meeting, the GEF Council also noted that four additional agencies had received approval from the Accreditation Panel to progress to the final stage of the process to become accredited as GEF Project Agencies. For further information on the Accreditation Pilot, please also refer to response above.

Subsidiary Body for Implementation (SBI 41)

Agenda Item 12(b): Poznan strategic programme on technology transfer

http://unfccc.int/resource/docs/2014/sbi/eng/l32.pdf

¹⁹ http://unfccc.int/resource/docs/2015/sbi/eng/inf07.pdf

COP Decision/SBI Conclusion	GEF's Response
Paragraph 2: Noted 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. It also noted 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 invited the GEF to report on this collaboration as part of its future progress reports.	The GEF Secretariat has reported 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, as contained in document FCCC/SBI/2015/INF.4. ²⁰ 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 its review. To foster collaboration and the sharing of lessons learned, the GEF Secretariat is further working to hold a side event at the 11 th TEC meeting to be held in September 2015 in Bonn, Germany, on 'Poznan Strategic and Long-term Programs on Technology Transfer Dialogue: Seven Years of Experiences and Lessons Learned'.

Agenda Item 4(b): Provision of financial and technical support

http://unfccc.int/resource/docs/2015/sbi/eng/l08.pdf

Paragraph 2:

Invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approval and disbursement of funds, and an approximate date of submission of BURs to the secretariat, for consideration at SBI 43 (November-December 2015).

The GEF Secretariat will report to SBI 43 on the requested information.

Subsidiary Body for Implementation (SBI 42)

Agenda Item 8: Poznan strategic programme on technology transfer

http://unfccc.int/resource/docs/2015/sbi/eng/l07.pdf

²⁰ http://unfccc.int/resource/docs/2015/sbi/eng/inf04.pdf

COP Decision/SBI Conclusion GEF's Response This COP report provides detailed information on GEF's ongoing Paragraph 2: collaboration with the CTCN, especially at the level of project Welcomed the collaboration between the financing. Climate Technology Centre and Network (CTCN) and the regional technology transfer The GEF Secretariat, through various outreach channels such as and finance centres supported by the GEF Extended Constituency Workshops (ECWs), National Dialogues and under the Poznan strategic programme [and] communications with Agencies, informs on support opportunities invited the GEF to provide more detailed related to TNAs. information on its ongoing collaboration with The GEF-6 Strategy sets forth that SIDS and LDCs are eligible for the CTCN in its future progress reports. CCM funding for TNAs, in addition to their STAR allocation under Paragraph 3: the GEFTF. *Invited* the GEF to provide financial support The GEF has supported, and will continue to support, all GEFto Parties not included in Annex I to the eligible countries to develop NCs and BURs, which include TNA Convention that have not yet conducted support activities. their technology needs assessments (TNAs) under the Poznan strategic programme so

Subsidiary Body for Implementation (SBI 42)

that they may do so, in accordance with

decision 11/CP.17, paragraph 2.

Agenda Item 10: Article 6 of the Convention

http://unfccc.int/resource/docs/2015/sbi/eng/l11.pdf

Paragraph 6:

Invited Parties, admitted observer organizations and other stakeholders to submit to the secretariat, by 19 February 2016, information on the steps they have taken to implement the Doha work programme, such as efforts to consider the linkages between Article 6 activities, implementation of policies and measures to mitigate and adapt to climate change, and on emerging gaps and needs, as well as recommendations on further steps for improving the effective implementation of the Doha work programme.

The GEF has taken significant steps toward implementing the Doha work programme, including by providing financial resources to Parties not included in Annex I to the Convention, in particular African countries, LDCs and SIDS, in accordance with decisions 11/CP.1, 6/CP.7, 4/CP.9, 7/CP.10, 3/CP.12, 7/CP.13, 3/CP.16 and 11/CP.17. The GEF will submit, by February 2016, detailed information on these steps to the UNFCCC Secretariat.

In the last two years, at least \$38 million have been provided by the GEF in support of the Doha work programme towards education, training and public awareness.

Table 3: GEF's Response to Guidance Contained in Decisions Adopted by UNCCD COP 11

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 LDFA.
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;	Update: The GEF and UNCCD Secretariat have produced a Joint Brochure "Transforming Land Management Globally - Q&A About Land In The 6 th GEF Replenishment Phase (GEF-6)" that aims to help countries to better assess options for programming GEF resources under the LDFA, and in relation to other focal areas. The Guide Book includes details on the GEF project cycle and operational policies. http://www.unccd.int/Lists/SiteDocumentLibrary/Publications/2015 GEF ENG.pdf
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 GEF-6 allocation includes provision for Enabling Activity financing to eligible countries. <i>Update: The GEF and UNCCD Secretariats are consulting on the plan and procedures for enabling activity financing during GEF-6. The priorities will take into account COP decisions and will be 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 enables 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). Promotion of the engagement of the private sector is also aligned with the GEF 2020 medium-term strategy.
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.
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;	The GEF Secretariat has published a Guide Book and "Primer" on Sustainable Land Management Financing for the Sixth GEF Replenishment Phase (GEF-6). Update: This is now being widely distributed as electronic and print copies, and also used for presentations and briefings at various events of the Convention. http://www.thegef.org/publications/sustainable-land-management-financing-gef-primer-sixth-
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;	gef-replenishment-phase-gef-6 The GEF is also continuing to organize its Extended Constituency Workshops (ECWs) as a means of strengthening capacity and increasing knowledge on policies and procedures. The ECWs for GEF-6 are ongoing, and efforts are made by the GEF Secretariat to mobilize representation by all UNCCD National Focal Points.
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;	Update: With official communication dated March 18, 2015, the GEF Secretariat proposed to the UNCCD Secretariat GEF-6 arrangements for support to eligible Country Parties on Enabling Activities during GEF-6. GEF Secretariat also suggested to start immediately with financing of Enabling Activities in order to harmonize the disbursement with UNCCD deadlines. With official communication dated July 8, 2015, the UNCCD Secretariat welcomed the proposed arrangements. Based on this mutual agreement,

	consultations with Parties are expected to conclude soon and include COP12 guidance.
Invites the Global Environment Facility to continue raising awareness of UNCCD issues, including through its communication strategy;	The GEF Secretariat continued to regularly share on its website and through publications stories, best practices and lessons from projects addressing land degradation. In addition, a special issue of the GEF Secretariat's flagship newsletter "Greenline" was dedicated to SLM. 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.
Requests the Executive Secretary, in consultation with the Chief Executive Officer of the Global Environment Facility, to prepare draft amendments to the existing Memorandum of Understanding between the UNCCD and the Global Environment Facility and to report on the proposed draft amendments to the Conference of the Parties at its twelfth session on this matter.	The MOU has been revised and updated as a draft to take into account decisions of the COP. The draft MOU has been reviewed and cleared by both the GEF and UNCCD Secretariats for presentation to the COP.

Table 4: GEF's Response to Guidance Contained in Decisions Adopted by Intergovernmental Negotiating Committee on the Minamata Convention (INC)

INC Guidance

Request 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:

Eligibility criteria

- (a) Parties to the Convention;
- (b) Signatories to the Convention in undertaking activities, particularly enabling activities, to facilitate early implementation and ratification of the Convention;
- (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.

GEF's Response

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.

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:

- 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

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:

- 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

INC Guidance	GEF's Response
INC Guidance	Other activities with Minamata Convention Secretariat responding to this guidance: 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
	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.
	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.
	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 GEF to Guidance Contained in Decisions Adopted by 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.

CO P	Decisio n	Paragrap h	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.	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. Update for COP 7: The GEF used the information transmitted by the Parties, on the needs assessment, the 3 rd review of the financial mechanism and the consolidated guidance, to develop the GEF 6 programming strategies for chemicals and waste.
		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	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

		of GEF.	report. These reports can be retrieved at https://www.thegef.org/documents?f[0]=field document type%3A1311 , or www. pops.int (under each COP).
SC-1/9 Annex	1	(a) Country eligibility: To be eligible to receive funding from the financial mechanism a country must be: (i) A developing country or country with an economy in transition; and (ii) A Party to the Convention. 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. 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; (b) Eligible activities: 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.	In response to this Guidance the GEF's eligibility policy for POPs incorporates the criteria for funding enabling activities. For LDC and SIDs the GEF uses a flexible approach to consideration of funding needs and co-financing ratio All activities that have been funded are all eligible. Update for COP 7: In developing the GEF 6 strategy, a set aside program for LDCS and SIDs has been included in the Chemicals and Waste Strategy that take 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.
SC-1/9 Annex	2	Policy and strategy Timely, adequate and sustainable financial resources on a grant or concessional basis should be allocated to	This Guidance is reflected in the strategies of the GEF.

	meet the agreed full incremental costs of implementing eligible activities: (a) That are country-driven and are endorsed by the Parties concerned; (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 socioeconomic development, poverty reduction and activities consistent with existing national	
	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 Ann	 Programme priorities Priority should be given to the funding of activities that enable eligible Parties to fulfil their obligations under the Convention, in particular with: (a) Development, review and updating, as	The GEF has responded to this guidance as follows: (a) All requests for development, review and updating of NIPs have been funded.

- 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 capacitybuilding, including human resource development and institutional development and/or strengthening; including those from centres for regional and sub-regional capacitybuilding and technology assistance, e.g.:
 - (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;
- (e) Activities that promote and provide access to technical assistance through appropriate arrangements, including those from centres for regional and sub-regional capacitybuilding 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,

- (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 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.
- (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.

		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.	 (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	In accordance with paragraph 7 (d) of article 13, the 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.	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.
SC-1/9 Annex	5	Updating the guidance 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	No Action required from the GEF.

on a regular basis and update and prioritize it as	
necessary. ²¹ Such reviews will coincide with the	
schedule of reviews for the effectiveness of the	
financial mechanism.	

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.

Consolidated additional guidance to the financial mechanism

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

DDT

СОР	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 such capacity as well as measures to strengthen relevant public health systems.	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.
	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 GEF has supported the implementation of the business plan through the funding of projects from countries.

			the business plan.	
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 ²² 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 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.	The GEF continues to support the global search and implementation of alternatives to DDT. In the reporting 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.

PCB

СОР	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.

See decision SC-4/2.

Endosulfan

СОР	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

СОР	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 "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/documents/gef-5-focal-areas-strategy under Chemicals.
COP-5	SC-5/23	6	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.	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. Additional projects addressing open burning are expected to

	be submitted for funding during the next reporting period.

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

СОР	Decision	Paragraph	Text	GEF Response
COP-6	SC-6/9	4	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;	Noted. The GEF will collaborate with the Secretariat of the Convention.

Article 7 - Implementation plans

Preparation and updating of national implementation plans

СОР	Decision	Paragraph	Text	GEF Response
COP-1	SC-1/12	9	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.	The GEF Council, at its 16 th 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.

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.

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 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.

COP 7 Update:

During the reporting period an additional 43 National Implementation Plans were funded by the GEF.

COP-4	SC-4/28	1	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	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.
			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	in the GEF-5 replenishment.
			implementation plans and to comply with the requirements of the Stockholm Convention.	

Funding of priorities listed in national implementation plans

СОР	Decision	Paragraph	Text	GEF Response
COP-3	SC-3/16	11	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.	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.
	SC-3/16	12	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 agreements and further strengthen the links between environment and development	In GEF-4 projects that supported POPs and mercury management and elimination in the health care sector were funded. In GEF-5, the GEF encourages projects that exploit synergies within the Chemicals focal area and with other focal areas such as climate change and international waters in order to maximize global environmental benefits.
			objectives.	The GEF has projects on the ground for co-reduction of CO ₂ , POPs and mercury, and is exploring the possible way of operationalizing POPs/ODS co-destruction to realize POPs/GHG emission reduction.

Article 8 - Information exchange

Listing of new chemicals

СОР	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.	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.
				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.

Article 9 - Information exchange

Clearing-house mechanism

СОР	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 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-	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 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

	house mechanism nodes as described in the note by	strategy.
	the Secretariat on the possible role of the clearing-	
	house mechanism at the national and regional levels. ²³	

Article 12 - Technical assistance

Technical assistance and technology transfer

СОР	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

СОР	Decision	Paragraph	Text	GEF Response
COP-3	SC-3/16	10	Requests 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	Regional centers are participating in GEF projects through implementing agencies. COP 7 Update:

UNEP/POPS/COP.4/20.

			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.	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	The GEF 6 Chemicals and Waste Strategy specifically addressed the regional centres as follows:
			aimed at supporting parties in implementing their obligations under the Convention;	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;	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

Needs Assessment

СОР	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 (a)	The Global Environment Facility, which, as the 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.	The GEF provided such information to evaluators.
	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	Invites 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

	СОР	Decision	Paragraph	Text	GEF Response
С	OP-3	SC-3/16	1	Reaffirms its decisions SC-1/9 and SC-2/11.	
С	OP-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 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.	Country-driven activities within the GEF's mandate can be 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.	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. 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.
				COP 7 Update:

	The GEF continues to apply this guidance along with others
	in the approval of projects for funding.

Article 14 - Interim financial arrangements

General additional guidance to the Global Environment Facility

СОР	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.	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 https://www.thegef.org/documents?f[0]=field document type%3A131
				COP 7 update: The 5 th GEF Assembly adopted a revised policy on cofinancing which can be retrieved at https://www.thegef.org/documents/co-financing-policy
	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 nongovernmental organizations, including the private sector.	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.

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.	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 a its meeting in December 2006 requested the GEF Secretariat to prepare new operational guidelines that respond, amongst other things, to the need to simplify the demonstration of project baseline, incremental costs, and
			demonstration of project baseline, incremental costs, and co-funding. 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. The GEF, in the original policy covering incremental costs ²⁴ 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

²⁴ "Incremental Costs", GEF/C.7/Inf.5, 1996 - http://www.thegef.org/council/council7/c7inf5.htm

the baseline and the alternative course of action (the "project", or program) constitutes the incremental costs.

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 formulaic²⁵ exercise. The word "agreed" conveys that the determination 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".)

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 service²⁶". 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.

²⁵ 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.

²⁶ Ahuja D., The incremental cost of climate change mitigation projects, GEF Working Paper #9, 1993

			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. **Dydate to information provided at COP 3** 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 revised Operational Guidelines for the Application of the Incremental Cost Principle** 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.
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 COP requested the GEF to report on the development of the Resource Allocation Framework. With the successful

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.

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.

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."

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 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.

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.
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.	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. 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 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
			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

				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.
COP-3	SC-3/16	3	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.	No action required from the GEF.
	SC-3/16	8	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.	No action required from the GEF.
	SC-3/16	9	Welcomes the co-financing analysis of the Global Environment Facility in its report to the Conference of 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.	No action required from the GEF. COP 7 Update: The 5 th GEF Assembly revised the co-financing policy of the GEF. The policy can be retrieved at https://www.thegef.org/documents/co-financing-policy
COP-4	SC-4/27	3	Requests the Global Environment Facility to ensure	Noted

			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.	COP 7 Update: There has been no change to the system for transparent allocation of resources STAR (which has replaced RAF) in regard to POPS.
	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.	No action required from the GEF. COP 7 Update: 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.
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.	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.
COP-6	SC-6/20	2	Requests the entities entrusted with the financial mechanism of the Convention, taking into account the 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	During the reporting period 12 requests were received and funded for review and updating of National Implementation Plans and 2 requests for National Implementation Plans were received and funded. These "initial NIPs" covered all current substances listed in the Stockholm Convention.

		obligations under the Convention and to review and update, as appropriate, those implementation plans on a periodic basis;	
SC-6/20	3	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: (a) Elimination of the use of polychlorinated biphenyls in equipment by 2025; (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; (c) Elimination or restriction of the production and use of newly listed persistent organic pollutants;	The GEF 6 Chemicals and Waste Strategy, Program 4 adopts the guidance provided as follows: In accordance with Convention Guidance, the programme will take into account the specific deadlines set forth in the Convention, including the following areas: (a) Elimination of the use of polychlorinated biphenyls in equipment by 2025 (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 (c) Elimination or restriction of the production and use of newly listed persistent organic pollutants
		 (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; (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 	 (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 (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
		use of DDT and when locally safe, effective and affordable alternatives are not available to the party in question;	when locally safe, effective and affordable alternatives are not available to the party in question (f) Use of best available techniques for new sources in the

	(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;	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 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: (a) Elimination of stockpiles, and were applicable production of DDT, obsolete pesticides and new POPs (Article 6) (b) Management and phase out POPs (c) Environmentally sound management of POPs-containing wastes in accordance with the Basel Convention and its relevant technical guidelines (d) Reduction of emissions of unintentional POPs (UPOPs) (Article 5) (e) Introduction of alternatives to DDT for vector control including approaches to improve their safe and rational use for public health (f) Introduction of non-chemical alternatives (g) Integrated pesticide management including in the context of food security (h) Application of green industry, or sound chemicals management along the supply chain (i) Design of products and processes that minimize the use and generation of hazardous substances and waste
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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	Requests the Global Environment Facility:	
		 (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; (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; 	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 (SGP) the GEF 6 Small Grants Programming document has the following provisions for chemicals and waste:
		(c) To take into account the changing needs of developing country parties and parties with economies in transition when updating their national	Local to Global Chemicals Management Coalition
		implementation plans to include newly listed persistent organic pollutants;	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
		(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;	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
		(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;	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. b. Projects that come from countries that have not previously received funding to implement their national implementation plans are afforded priority. 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. 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. 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.
SC-6/20	8	Requests the Global Environment Facility to include, in its regular reports to the Conference of the Parties, as	A complete response to all guidance received by the GEF referred to paragraph 7(a) of decision 6/20 is contained in

set forth in paragraph 9 (a) of the memorandum of understanding between the Conference of the Parties	Annex 2 of this report.
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.	

Replenishment of the Global Environment Facility Trust Fund

СОР	Decision	Daragraph	Tout	CEE Despense
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 ²⁷ 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.

UNEP/POPS/COP.4/27.

COP-5	SC-5/25	2	Requests the Secretariat to compile information	GEF is cooperating with the Secretariat of the Convention
			relevant to the third review of the financial	and independent evaluators to provide all necessary
			mechanism and submit it to the Conference of the	information to facilitate the review of the financial
			Parties for consideration at its sixth meeting.	mechanism.

Article 16 - Effectiveness evaluation

СОР	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.	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. 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.
	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	No action required from the GEF.

			monitoring activities to enable long-term evaluation of the Convention in accordance with the provisions of its Article 13 on the financial mechanism.	
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. ²⁸	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	

UNEP/POPS/COP.4/33.

			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 framework set out in the annex to the note by the Secretariat on effectiveness evaluation. ²⁹	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 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.	The GEF approved a project implemented by UNEP to develop methodologies to include the new POPs in the GMP. Another project was also approved for UNIDO to develop the methodologies to assess the new POPs in projects and to develop inventories. 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.
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	Noted. The GEF provided inputs into the report.

UNEP/POPS/COP.5/31.

seventh meeting;	

Table 6: GEF's Response to Decisions within the draft resolution submitted to the Economic and Social Council by the Chair of the UN Forum on Forests at its eleventh session

UNFF Decision	GEF Response
IV. Catalysing financing for implementation	
13. Decides, in order to strengthen and make the facilitative process more effective:	
(c) That it should promote the design of national forest financing strategies to mobilize resources for sustainable forest management, including existing national initiatives, within the framework of national forest programmes or their equivalent, to facilitate access to existing and emerging financing mechanisms, including the Global Environment Facility and the Green Climate Fund, consistent with their mandates, in order to implement sustainable forest management;	The GEF welcomes the strengthening of the facilitative process through the Global Forest Financing Facilitation Network and has opened dialogue with the UNFF Secretariat to explore ways the GEF and the GFFFN can cooperate. GEF will continue to enhance its catalytic role in mobilizing resources for forests including the strategic use of multi-focal area investments to leverage resources from other partners.
14. Also decides, with the aim of strengthening the facilitative process, to:	
(a) Request the secretariat, in consultation with the members of the Forum and the Collaborative Partnership on Forests, to make recommendations on ways to further increase the effectiveness and efficiency of the operation of the strengthened facilitative process and submit them for consideration by the Forum at its session in 2018;	The GEF is in a unique position within CPF with its role as financial mechanism for three CPF members (UNFCCC, UNCBD and UNCCD) and has four other CPF members as IAs (UNDP, UNEP, FAO, WB). The GEF Partnership is therefore already a strong element of the CPF. GEF will work with new and existing platforms where GEF has comparative advantage to strengthen CPF.
(b) Welcome the report of the secretariat of the Global Environment Facility to the Forum on the mobilization of financial resources through the sustainable forest	The GEF welcomes the opportunity to provide information on the programming of resources for sustainable forest management as GEF-6 is

UNFF Decision	GEF Response
management/REDD-plus incentive programme under the fifth replenishment of the Facility, and invite the secretariat of the Facility to periodically provide information on the mobilization of financial resources and funds that are dedicated to sustainable forest management;	implemented. GEF and the UNFF Secretariat have opened dialogue on how this information can be best communicated to the Forum.
(d) Encourage eligible member States, taking into account the cross-sectoral nature of sustainable forest management, to make full use of the existing potential of the sustainable forest management strategy under the sixth replenishment of the Global Environment Facility to harness synergies across the focal areas of the Facility in order to further reinforce the importance of sustainable forest management for integrating environmental and developmental aspirations;	The GEF-6 SFM Strategy includes a range of opportunities for forest related programming by countries. The GEF-6 Sustainable Forest Management Strategy – Strengthened Support for Forests guide booklet has been published as a "primer" on SFM financing and gives a description of the SFM Strategy and procedures for accessing resources. This is now being widely distributed in electronic and printed versions, and also used for presentations and briefings at forest-related events. The GEF will also continue to seek ways to enhance its Country Support Program as a means of strengthening capacity and increasing knowledge on policies and procedures.
(e) Invite the Council of the Global Environment Facility to request the secretariat of the Facility to discuss with the secretariat of the Forum arrangements to facilitate collaboration between the Facility and the Forum to support eligible countries in gaining access to funding for sustainable forest management; (f) Request the secretariat of the Forum to engage in	The GEF welcomes this invitation and will continue to strengthen cooperation with the UNFF Secretariat. The first explicit indicator of this cooperation has been an exploratory meeting (August 2015) to examine options for facilitating increased awareness of the GEF and options for accessing SFM-related support.
(f) Request the secretariat of the Forum to engage in discussions with the secretariat of the Facility in order to facilitate collaboration between the Facility and the Forum to support eligible countries in gaining access to funding for sustainable forest management, and to	

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UNFF Decision	GEF Response
report to the Forum on this issue;	
15. Invites the Global Environment Facility to consider:	
(a) Options for establishing a new focal area on forests during the next replenishment of the Facility and continuing to seek to improve existing forest finance modalities;	The strategic directions for GEF-6 include a very broad range of opportunities for programming forest related interventions by countries, including options for integration across focal areas (FA), promoted through the SFM Strategy and the SFM incentive funding envelop. At the moment the Strategy offers a means through which the allocations for the existing FAs of BD, LD and CC can be used to incentivize programming on forests which are highlighted as important by the 3 Conventions. The establishment of a FA for SFM would be counter to the overall integration objectives of the GEF and the objective of securing multi-benefits from forests. It would also detract from integrated approaches to serving the objectives of the 3 Rio Conventions and the IAF. The range of programming modalities offered by the current multi-focal SFM Strategy and incentive mechanism is currently seen as an appropriate means of providing significant and flexible opportunities for forest financing.

UNFF Decision	GEF Response
(b) Designating among its staff a liaison to serve as a link between the Forum and the Facility, in order facilitate access to funding for sustainable forest management;	The GEF has an existing staff position of Sustainable Forest Management Coordinator which already liaises with UNFFSEC and has assumed this liaison role.
VII. Collaborative Partnership on Forests	
20. Decides that the core functions of the Collaborative Partnership on Forests are to: (a) Support the work of the Forum and its member countries; (b) Provide scientific and technical advice to the Forum, including on emerging issues; (c) Enhance coherence as well as policy and programme cooperation and coordination at all levels among its member organizations, including through joint programming and the submission of coordinated proposals to their respective governing bodies, consistent with their mandates;	The GEF is an active partner in CPF and welcomes the Forum's provision for a Strategic Plan for the period 2017-2030 to enhance coherence and focus the work of the IAF. The GEF will work with other CPF partners to develop a work plan identifying priority actions within the Strategic Plan for CPF members to address.
(d) Promote the implementation of the non-legally binding instrument on all types of forests, including the achievement of its global objectives on forests, and the contribution of forests to the post-2015 development agenda;	
23. Invites the governing bodies of member organizations of the Partnership to include in their work programmes dedicated funding to support Partnership activities, as well as budgeted activities	

UNFF Decision	GEF Response
supporting the Forum's priorities as outlined in the strategic plan referred to in section XI of the present resolution, consistent with their mandates;	
24. Calls upon member States, as well as other members of the governing bodies of member organizations of the Collaborative Partnership on Forests, to support the work of the Partnership, including by considering dedicated funding for Partnership activities consistent with the respective mandates of Partnership members as an essential strategy for improving cooperation, synergies and coherence on forest issues at all levels;	