



EVALUATION OF THE GEF FOCAL AREA STRATEGIES

TECHNICAL PAPER 8:

COLLECTION OF COP GUIDANCE TO THE GEF FOR THE FOUR CONVENTIONS THE GEF SERVES AS A FINANCIAL MECHANISM (UNEDITED)

(Prepared by the GEF Evaluation Office)

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I. CONVENTION ON BIOLOGICAL DIVERSITY (CBD)

1. Classification of CBD COP guidance in main themes

- Themes follow the classifications used in the *Review of the Guidance to the Financial Mechanism*¹.

Theme	Brief description
I. OVERALL	
General	Overarching guidance; role of the financial mechanism
Policy and Strategy	General policy principles: cooperation, national priorities, etc
Eligibility Criteria	Countries' eligibility to receive funding (developing countries)
II. PROGRAMME PRIORITIES	
Biodiversity planning	National strategies, regional/global initiatives
Identification, monitoring, indicators and assessments	IMIA of biodiversity components (plants, animals, etc)
Taxonomy	Identification and classification of species
Protected areas	Establishment and management of protected areas
Species conservation	Conservation/Sustainable use of endemic species
Invasive alien species	Mitigate threat of alien species to ecosystems
Article 8(j) and related provisions	Involvement of local and indigenous people in BD conservation
Sustainable use	Implementation of the Addis Ababa Principles and Guidelines
Engagement of business	Engaging business community in implementation of CBD
Incentive measures	Implementation of social, economic, legal incentive measures

¹ The Review of the Guidance to the Financial Mechanism was requested by COP IX (Decision IX/31 C, paragraph 1) and prepared by the COP Secretariat with the objective to identify obsolete, repetitive and overlapping guidance, and prepare an updated compilation of the existing guidance to the financial mechanism. The Review was submitted as a working document to the Ad Hoc Open ended Working Group on Review of Implementation. The proposed list of obsolete, repetitive and overlapping guidance and the updated compilation of guidance was approved by COP X (Decision X/24).

For the Analysis of CBD COP guidance to the GEF, the Review provides two particularly useful elements:

1. A definitive list of COP decisions relating to the financial mechanism, which provides the basis for the comprehensive collection of COP guidance to the GEF presented in section 3 below ("Comprehensive collection of CBD COP guidance to the GEF"; Note: guidance identified as obsolete or repetitive by the Review is marked in red in the comprehensive list);
2. A classification of COP guidance to the financial mechanism into main themes that can be used for mapping clusters of guidance to GEF strategies as well as the quantitative analysis of COP guidance.

Research and training	Academic capacity (e.g. sampling and detection of LMOs)
Education and public awareness	Understanding of the importance, requirements for BD conservation
Access and benefit-sharing	Access to and benefit-sharing of genetic resources
Technology cooperation/transfer	Capacity and enabling environment for BD relevant technologies
Technical and scientific cooperation and clearing-house mechanism	clearing-house mechanism to promote and facilitate technical and scientific cooperation
Biosafety	Cartagena Protocol: Protect BD from potential risks of LMOs
National reports	Assist dev. country Parties in preparation of national reports to CBD
Ecosystem approach	Promote integrated natural resource management
Agricultural biological diversity	Assessment, mainstreaming, capacity, awareness for agricultural BD
Forest biodiversity	Maintenance of ecological processes in forest ecosystems
Biological diversity of inland water ecosystems	Protection of life forms that depend on inland water habitat
Marine and coastal biodiversity	Include mangrove forests; coral reefs; sea grass beds; seamounts etc
Island biological diversity	Support program of work on island biodiversity
Biological diversity of dry and sub-humid lands	Support program of work on BD of dry and sub-humid lands
Mountain ecosystems	Support program of work on mountain ecosystems
Climate change and biodiversity	Achieve biodiversity co-benefits in climate change activities
Development activities	Integration of BD into poverty eradication and development processes
Sustainability	Promote the sustainability of project benefits
South-South cooperation	South-South cooperation and joint development of new technologies
III. ACTIONS TO IMPROVE EFFECTIVENESS	
Cofinancing	Promoting catalytic role of GEF in mobilizing funding from other sources
Innovative financing mechanisms and resource mobilization	creative financing modalities to leverage increased funds from the private sector and non-traditional sources of funding
Incremental costs	Apply incremental cost principle more flexible, pragmatic, transparent
Resource allocation	Avoid negative effect of RAF to Parties' access to funding
Geographical consideration	Focus: SIDS, LDCs and countries with economies in transition
Gender	Develop capacity particularly of women in affected communities
Processing and delivery systems	Effectiveness, efficiency of project cycle, resource disbursement etc

Review and evaluation	Review and evaluate project success towards CBD goals
Reporting	Provision of information from GEF to COP

2. Quantitative summary of CBD COP guidance by main themes

- One “item” of guidance is defined as a distinguishable piece of information within a COP decision, usually a paragraph or sub-paragraph.

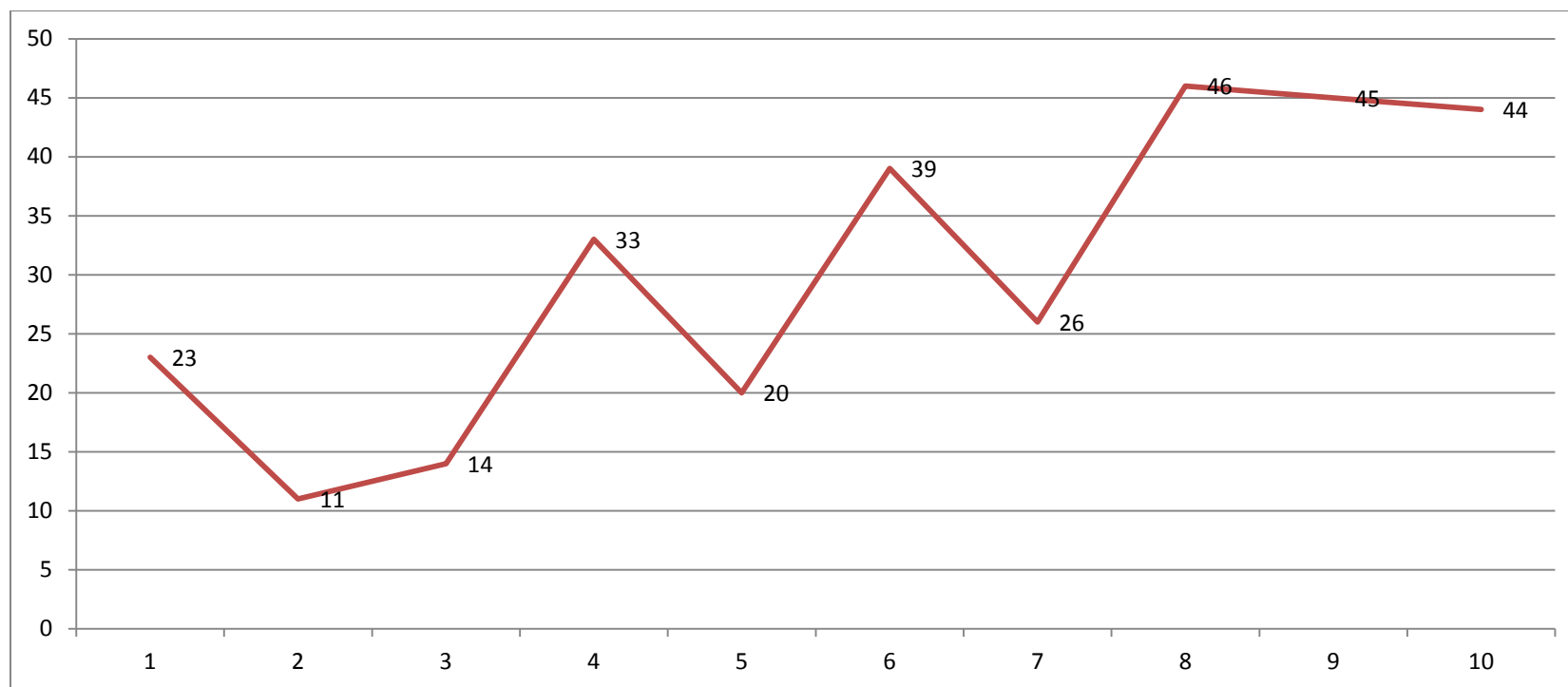
A) Amount of guidance per COP per themes

<i>Theme</i>	<i>COP-1</i>	<i>COP-2</i>	<i>COP-3</i>	<i>COP-4</i>	<i>COP-5</i>	<i>COP-6</i>	<i>COP-7</i>	<i>COP-8</i>	<i>COP-9</i>	<i>COP-10</i>	<i>TOTAL</i>
I. OVERALL											
General	3	1						1	1	3	9
Policy and Strategy	4			4		1	1			1	11
Eligibility Criteria	1						1				2
Programme priorities general	1								1		2
II. PROGRAMME PRIORITIES											
Biodiversity planning	2			1		1	1	3	1	6	15
Identification, monitoring, indicators and assessments	2		2		1		1	1		2	9
Taxonomy				2	1	1	1	5		2	12
Protected areas							1	5	4	2	12
Species conservation	1					2				2	5
Invasive alien species				2	2	1	1	2	3		11
Article 8(j) and related provisions	1		1		1	1		1	1	2	8
Sustainable use							1				1
Engagement of business									2		2
Incentive measures	1		1	2	1	1					6
Research and training			1						2		3
Education and public awareness			1		1	1	1	2			6
Access and benefit-sharing			2	2	1	2	1			1	9

Technology cooperation/transfer	1						1		2	2	7
Technical/scientific cooperation and clearing-house mechanism	1	2	2	3	1	1			3	2	15
Biosafety			1		1	1	3	3	1	1	11
National reports		2		2	1	2	1	3	1	2	14
Ecosystem approach					1		1		3		5
Agricultural biological diversity			1		2	4					7
Forest biodiversity				4	1	1					6
Biological diversity of inland water ecosystems				3	1	2					6
Marine and coastal biodiversity	1	1			1	2	1			3	9
Island biological diversity								2			2
Biological diversity of dry and sub-humid lands	1				1						2
Mountain ecosystems	1										1
Climate change and biodiversity							1		2	4	7
Development activities	1						1			2	4
Sustainability	1								1		2
South-South cooperation										2	2
III. ACTIONS TO IMPROVE EFFECTIVENESS											
Cofinancing				1	1	1			1		4
Innovative financing mechanisms and resource mobilization						2		2	2	2	8
Incremental costs				1							1
Resource allocation								3	2		5
Geographical consideration						1		4	1		5
Gender									1	1	2
Processing and delivery systems		4	1	2	1	8	4	3	2	2	27
Review and evaluation			1	4		1	2	5	3		16

Reporting		1				2	1	1	5		10
TOTAL	23	11	14	33	20	39	26	46	45	44	301

B) Overall amount of guidance per COP



C) Chronology: First COP mentioning of different program priorities

	COP-1	COP-2	COP-3	COP-4	COP-5	COP-6	COP-7	COP-8	COP-9	COP-10
PROGRAM PRIORITIES										
Biodiversity planning	X									

Identification, monitoring, indicators and assessments	X									
Species conservation	X									
Article 8(j) and related provisions	X									
Incentive measures	X									
Technology cooperation and transfer	X									
Technical and scientific cooperation and clearing-house mechanism	X									
Marine and coastal biodiversity	X									
Biological diversity of dry and sub-humid lands	X									
Mountain ecosystems	X									
Development activities	X									
Sustainability	X									
National reports		X								
Research and training			X							
Education and public awareness			X							
Access and benefit-sharing			X							
Biosafety			X							
Agricultural biological diversity			X							
Taxonomy				X						
Invasive alien species				X						
Forest biodiversity				X						
Biological diversity of inland water ecosystems				X						
Ecosystem approach					X					
Protected areas							X			
Sustainable use							X			
Climate change and biodiversity							X			
Island biological diversity								X		
Engagement of business									X	
South-South cooperation										X

3. Comprehensive collection of CBD COP guidance to the GEF

- Includes all GEF related COP guidance (COP1-10) based on list of relevant decisions provided by the *Review of the Guidance to the Financial Mechanism*;
- Themes are assigned following the classifications used in the *Review of the Guidance to the Financial Mechanism*;
- Guidance identified as obsolete or repetitive by the *Review of the Guidance to the Financial Mechanism* is **marked in red**, but, since the consolidation of guidance only happened in 2010, all guidance is included in the quantitative overview in section 2 above (“Quantitative summary of CBD COP guidance by main themes”);
- For guidance that is relevant to the GEF, but does not address the GEF itself (e.g. guidance to GEF agencies on implementation of GEF projects) are **in parenthesis**; these are not counted as *COP guidance to the GEF* and therefore not included in the quantitative overview in section 2 above (“Quantitative summary of CBD COP guidance by main themes”).

COP DECISION	Theme
COP-1: Nassau, Bahamas, 28 November – 9 December 1994	
Decision I/2: <i>Financial resources and mechanism</i>	
Decision I/2, Paragraph 1: “Decides to adopt the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources contained in annex I to this decision, and the list of developed country Parties and other Parties which voluntarily assume the obligations of developed country Parties contained in annex II to this decision”	General
Decision I/2, Paragraph 2: “Decides also that the restructured Global Environment Facility (GEF) shall continue to serve as the institutional structure to operate the financial mechanism under the Convention on an interim basis, in accordance with Article 39 of the Convention”	General

Decision I/2, Paragraph 3: “Decides to instruct the restructured Global Environment Facility to take prompt measures to support programmes, projects and activities consistent with the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources contained in annex I to this decision”	General
Decision I/2, Annex I/I: “I. Policy and Strategy Financial resources should be allocated to projects that fulfil the eligibility criteria and are endorsed and promoted by the Parties concerned. Projects should contribute to the extent possible to build cooperation at the sub-regional, regional and international levels in the implementation of the Convention. Projects should promote utilization of local and regional expertise. The institutional structure should over time assist all eligible countries to fulfil their obligations under the Convention. Policy and strategy may be revised, as necessary, by the Conference of the Parties.”	Policy and Strategy
Decision I/2, Annex I/II: “II. Eligibility Criteria Only developing countries that are Parties to the Convention are eligible to receive funding upon the entry into force of the Convention for them. In accordance with the provisions of the Convention, projects that seek to meet the objectives of conservation of biological diversity and sustainable use of its components are eligible for financial support from the institutional structure.”	Eligibility criteria
Decision I/2, Annex I/III paragraph 1: “The conservation of biological diversity and sustainable use of its components is one of the key elements in achieving sustainable development and therefore contribute to combating poverty.”	Policy and Strategy
Decision I/2, Annex I/III paragraph 2: “All the actions contemplated in the Convention will have to be carried out at the national and international level, as appropriate. However, for the purpose of giving direction to the interim structure operating the financial mechanism, a list of programme priorities is given in paragraph 4 below. The list may be revised by the Conference of the Parties, as necessary.”	Programme priorities

Decision I/2, Annex I/III paragraph 3: “Programme priorities should promote utilization of regional and local expertise and be flexible to accommodate national priorities and regional needs within the aims of the Convention.”	Policy and Strategy
Decision I/2, Annex I/III paragraph 4(a)-(m): “The programme priorities are as follows: (a) [p]rojects and programmes that have national priority status and that fulfill the obligations of the Convention;	Policy and Strategy
(b) development of integrated national strategies, plans or programmes for the conservation of biological diversity and sustainable use of its components in accordance with article 6 of the Convention;	BD planning
(c) Strengthening conservation, management and sustainable use of ecosystems and habitats identified by national Governments in accordance with article 7 of the Convention;	Identification, Monitoring, Indicators
(d) Identification and monitoring of wild and domesticated biodiversity components, in particular those under threat, and implementation of measures for their conservation and sustainable use;	Identification, Monitoring, Indicators
(e) Capacity-building, including human resources development and institutional development and/or strengthening, to facilitate the preparation and/or implementation of national strategies, plans for priority programmes and activities for conservation of biological diversity and sustainable use of its components;	BD planning
(f) In accordance with Article 16 of the Convention, and to meet the objectives of conservation of biological diversity and sustainable use of its components, projects which promote access to, transfer of and cooperation for joint development of technology;	Technology cooperation and transfer
(g) Projects that promote the sustainability of project benefits; that offer a potential contribution to experience in the conservation of biological diversity and sustainable use of its components which may have application elsewhere; and that encourage scientific excellence;	Sustainability

(h) Activities that provide access to other international, national and/or private sector funds and scientific and technical cooperation; (i) Innovative measures, including in the field of economic incentives, aiming at conservation of biological diversity and/or sustainable use of its components, including those which assist developing countries to address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated, in accordance with article 11 of the Convention” (j) Projects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components; (k) Projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat. Also, projects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas; (l) Projects that promote the conservation and/or sustainable use of endemic species; (m) Projects aimed at the conservation of biological diversity and sustainable use of its components which integrate social dimensions including those related to poverty.	Clearing-House mechanism Incentive measures Article 8(J) Marine and coastal BD Dry/Sub-humid lands & Mountain ecosystems Species conservation Development activities
COP-2: Jakarta, Indonesia, 6 - 17 November 1995	
Decision II/3: <i>Clearing-House Mechanism</i> Decision II/3, paragraph 9: “Requests the Global Environment Facility to explore the modalities of providing support through the financial mechanism to developing country Parties for capacity-building in relation to the operation of the clearing-house mechanism”	Clearing-House mechanism

Decision II/6: *Financial resources and mechanism*

Decision II/6, paragraph 1:

“Decides that the restructured Global Environment Facility shall continue to serve as the institutional structure to operate the financial mechanism under the Convention on an interim basis, in accordance with Article 39 of the Convention, until a decision will be taken on which institutional structure is to be designated in accordance with Article 21 of the Convention. The Conference of the Parties shall endeavour to make such a decision at its third meeting;”

Decision II/6, paragraph 2:

“Decides to undertake the first review of the effectiveness of the financial mechanism at its fourth meeting in 1997 and a review every three years. The first review will be carried out within the basic approach described in document UNEP/CBD/COP/2/9;”

Decision II/6, paragraph 5:

“Requests the interim institutional structure operating the financial mechanism to facilitate urgent implementation of Article 6 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner”

Decision II/6, paragraph 6:

“Requests the interim institutional structure to incorporate fully, on an ongoing basis, guidance from the Conference of the Parties into the further development of the Operational Strategy and programmes to ensure that the objectives of the Convention are addressed. The Conference of the Parties requests the Global Environment Facility to take the following comments into account when preparing the report to be submitted to the third meeting of the Conference of the Parties: (a) Detailed information should be provided on the conformity of the approved work programmes with the guidance of the Conference of the Parties; (b) A list of projects submitted by eligible country Parties and information on their status should be included”

General

(Review and
evaluation)

Processing and
delivery systems

Reporting

Decision II/6, paragraph 8:

“Requests participation of a representative of the Subsidiary Body on Scientific, Technical and Technological Advice of the Convention and of the Scientific and Technical Advisory Panel of the Global Environment Facility in respective meetings of the Subsidiary Body on Scientific, Technical and Technological Advice and the Scientific and Technical Advisory Panel on a reciprocal basis, as provided for in the modus operandi of the Subsidiary Body on Scientific, Technical and Technological Advice and in the terms of reference of the Scientific and Technical Advisory Panel”

Processing and
delivery systems

Decision II/6, paragraph 10:

“Recommends, for more effective implementation of its policies, strategies and programme priorities, that the Global Environment Facility explore the possibility of promoting diverse forms of public involvement and more effective collaboration between all tiers of government and civil society, including the feasibility of a programme of grants for medium-sized projects.”

Processing and
delivery systems

Decision II/6, paragraph 11:

“Requests the interim institutional structure to implement the relevant provisions of the following decisions: II/3 on clearing-house mechanism, II/7 on consideration of Articles 6 and 8 of the Convention, II/8 on preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention, and II/17 on form and intervals of national reports by Parties”

Clearing-House
mechanism

National reports

Decision II/7: *Considerations of Article 6 and 8 of the convention***Decision II/7, paragraph 6:**

“Emphasizes the importance of capacity-building as well as the availability of adequate financial resources to assist Parties in the implementation of Articles 6 and 8 of the Convention, and in this context requests the interim financial mechanism under the Convention to facilitate urgent implementation of Articles 6 and 8 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner”

Processing and
delivery systems

Decision II/10: <i>Conservation and sustainable use of marine and coastal biological diversity</i> Decision II/10, paragraph 11: “Decides to forward this decision and annexes to the Global Environment Facility, other funding agencies and other relevant international bodies, to be taken into account in considering activities related to the conservation and sustainable use of marine and coastal biological diversity” Decision II/17: <i>Conservation and sustainable use of marine and coastal biological diversity</i> Decision II/17, paragraph 12: “Urges the financial mechanism under the Convention to make available financial resources to developing country Parties to assist in the preparation of their national reports”	Marine and coastal BD National reports
COP-3: Buenos Aires, Argentina, 4 - 15 November 1996	
Decision III/4: <i>Clearing-house mechanism to promote and facilitate technical and scientific cooperation</i> Decision III/4, paragraph 2: “Requests the Global Environment Facility to support the activities referred to in paragraphs (d) and (e) above as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase” <i>[“(d) The need for capacity-building for the purposes of the clearinghouse mechanism in developing countries, including training on information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet;</i> <i>(e) The advantages of country-driven pilot projects focused on priority areas identified by the Conference of Parties which would enable developing countries to begin to implement the main features of the pilot phase of the clearing-house mechanism”]</i> Decision III/5: <i>Additional guidance to the financial mechanism</i>	Clearing-House mechanism

Decision III/5, paragraph 1:

“Urges the Implementing Agencies of the Global Environment Facility to enhance cooperation to increase efforts to improve the processing and delivery systems of the Global Environment Facility”

Decision III/5, paragraph 2 (a)-(d):

“In this regard, the Global Environment Facility shall provide financial resources to developing countries for country-driven activities and programmes, consistent with national priorities and objectives, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries:

(a) For capacity-building in biosafety, including for the implementation by developing countries of the UNEP International Technical Guidelines on Safety in Biotechnology;

(b) For capacity-building, including taxonomy, to enable developing countries to develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States (Note: The Conference of the Parties endorsed recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice, concerning capacity-building for taxonomy);

c) For supporting, as a priority, efforts for the conservation and sustainable use of biological diversity important to **agriculture**, in accordance with decision 3/11;

d) For supporting the following activities as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase, to which critical components the Global Environment Facility shall give effect by implementing its revised operational criteria for enabling activities in relation to the clearing-house mechanism as quickly as possible:

(i) capacity-building for the purpose of the clearing-house mechanism, including training in information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet;

(ii) country-driven pilot projects, focused on priority areas identified by the Conference of the Parties which would enable developing countries to begin to implement the main features of the pilot-phase of the clearing-house mechanism;

(GEF agencies guidance)

Biosafety →
Cartagena
Protocol

Identification,
Monitoring,
Indicators

Agricultural BD

Clearing-House
mechanism

Decision III/5, paragraph 3: “Reconfirms the importance of the Global Environment Facility’s support for incentive measures, guidance for which was contained in annex I to decision I/2, paragraph 4, taking note of decision III/18”	Incentive measures
Decision III/5, paragraph 4: “Urges the Global Environment Facility, along with Governments, regional economic integration organizations, and competent international, regional and national organizations, to support human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidances on access to genetic resources, including scientific, technical, business, legal and management skills and capacities”	Access and benefit-sharing
Decision III/5, paragraph 5: “Requests the Global Environment Facility to examine the support of capacity building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation”	Review and evaluation
Decision III/5, paragraph 6 (a): “Requests the Global Environment Facility, in preparing projects..., to include in such projects... project components addressing: [t]argeted research which contributes to conservation of biological diversity and the sustainable use of its components including research for reversing current trends of biodiversity loss and species extinction”	Research and training
Decision III/5, paragraph 6 (b): “Requests the Global Environment Facility, in preparing projects..., to include in such projects... project components addressing ... [p]romotion of the understanding of the importance of, and measures required for, the conservation and sustainable use of biological diversity”	Education and public awareness
Decision III/9: <i>Implementation of Articles 6 and 8 of the Convention</i>	
Decision III/9, paragraph 4: “Requests the interim financial mechanism under the Convention to make available to developing country Parties resources to enable them to facilitate urgent implementation of paragraphs 2 and 3 above”	Processing and delivery systems

Decision III/10: *Identification, monitoring and assessment*

Decision III/10, paragraph 10:

“Requests the institutional structure of the interim financial mechanism of the Convention to provide financial resources to developing countries in order to address the need for capacity-building, including taxonomy, to enable them to develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States.”

Decision III/11: *Conservation and sustainable use of agricultural biological diversity*

Decision III/11, paragraph 21:

“Draws the attention of Parties to Article 20.1 of the Convention, in the context of providing, in accordance with their capabilities, financial support and incentives for the conservation and sustainable use of biological diversity important to agriculture in accordance with national plans, priorities and programmes”

Decision III/14: *Implementation of Article 8 (j)*

Decision III/14, paragraph 5:

“Requests the interim financial mechanism to examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation”

Decision III/15: *Access to genetic resources*

Decision III/15, paragraph 3:

“Urges Governments, regional economic integration organizations, the interim financial mechanism, and competent international, regional and national organizations to support and implement human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidelines on access, including scientific, technical, business, legal and management skills and capacities”

Identification
Monitoring,
Indicators

(Agricultural
BD)

Article 8 (j)

Access and
benefit-sharing

COP-4: Bratislava, Slovakia, 4 - 15 May 1998	
Decision IV/1: Report and recommendations of the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, and instructions by the Conference of the Parties to the Subsidiary Body on Scientific, Technical and Technological Advice Decision IV/1, C, paragraph 3: “Invites Parties to develop country-driven projects at national, regional, subregional and international levels to address the issue of alien species and requests the financial mechanism to provide adequate and timely support for those projects” Decision IV/1, D, paragraph 9: “Stresses the urgent need for adequate financial resources to implement a Global Taxonomy Initiative and requests the institutional structure of the financial mechanism of the Convention to provide financial resources, particularly to assist in implementing, through country-driven activities within the context of the operational programmes of the Global Environment Facility, the Suggestions for Action annexed to the present decision.” Decision IV/2: Review of the operations of the clearing-house mechanism Decision IV/2, paragraph 9 (a)-(d): “Requests the Global Environmental Facility: (a) To be a catalyst in the development and implementation of the clearing-house mechanism, so as to assist it to fulfill its role in promoting and facilitating the implementation of the Convention, in a participatory manner and fully incorporating available modern information and communication tools. (b) To support capacity-building activities and country-driven pilot projects focused on priority areas, as critical components in the implementation of the clearing-house mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase;	Invasive alien species Taxonomy Clearing-House mechanism

(c) To provide by all possible means, as appropriate, increased support for country-driven projects to establish and strengthen biodiversity information systems such as, inter alia, training, technology and processes related to the collection, organization, maintenance and updating of data and information and its communication to users through the clearing-house mechanism;

(d) To evaluate at the end of the clearing-house mechanism pilot phase the experience of the Global Environment Facility=s support for developing countries= activities, to consider additional efforts to meet the increasing interest in taking part in and having access to the clearing-house mechanism, including in regional networking, and to report to the Executive Secretary prior to the next meeting of the Subsidiary Body on Scientific, Technical and Technological Advice”

Decision IV/4: *Status and trends of the biological diversity of inland water ecosystems and options for conservation and sustainable use*

Decision IV/4, paragraph 6:

“Recognizing that Global Environment Facility projects are country-driven, requests the Financial Mechanism, within the context of implementing national biological diversity strategies and action plans, to provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems.”

Decision IV/4, Annex, paragraph 10:

“Guidance should be provided to the Global Environment Facility regarding the importance of projects concerning inland water biological diversity. The GEF should be encouraged to consider the importance of inland water biological diversity in its other focal areas and should provide necessary funding for inland water biological diversity projects.”

Decision IV/7: *Forest biological diversity*

Decision IV/7, paragraph 5:

“Urges Parties and countries and international financial institutions, including the Global Environment Facility, to give high priority to the allocation of resources to activities that advance the objectives of the Convention in respect of forest biological diversity”

Inland water
ecosystems

Inland water
ecosystems

Forest BD

Decision IV/7, paragraph 6:

“Calls upon the Global Environment Facility (GEF) to provide financial support, in accordance with Article 7 of the Convention, for activities and capacity-building for the implementation of the work programme for forest biological diversity and the use of the clearing-house mechanism, particularly for activities to halt and mitigate deforestation effects, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat”

Forest BD

Decision IV/7, paragraph 8:

“Requests the financial mechanism of the Convention to consider the operational objectives of the programme of work as a guidance for funding in the field of forest biological diversity and strongly encourages the Global Environment Facility to assist in the implementation of the programme of work at the national, regional and subregional level”

Forest BD

Decision IV/8: Access and benefit-sharing**Decision IV/8, paragraph 4:**

“Requests the financial mechanism to give special emphasis to the following programme priorities to fund initiatives by eligible Parties: (a) Stock-taking activities, such as, for example, assessments of current legislative, administrative, and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus building among its different stakeholders; and, for those developing country Parties that have identified arrangements for benefit-sharing as a national priority; (b) Formulation of access and benefit sharing mechanisms at the national, subregional and regional level including monitoring and incentive measures; (c) Capacity-building for measures on access to genetic resources and sharing of benefits, including capacity-building for economic valuation of genetic resources; (d) Within biodiversity projects, other specific benefit sharing initiatives, such as support for entrepreneurial developments by local and indigenous communities, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components”

Access and
benefit-sharing

Decision IV/10: Measures for implementing the Convention on Biological Diversity

Decision IV/10, A, paragraph 3:

“Requests the financial mechanism to provide to eligible Parties adequate and timely support for the design and approaches relevant to the implementation of incentive measures including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives”

Incentive
measures

Decision IV/11: Review of the effectiveness of the financial mechanism

Decision IV/11, paragraph 1:

“Determines to further improve the effectiveness of the financial mechanism”

(Review and
evaluation)

Decision IV/11, paragraph 2:

“Requests the Council of the Global Environment Facility to take the action identified in the annex to the present decision with a view to improving the effectiveness of the financial mechanism, and further requests the Global Environment Facility to report thereon to the Conference of the Parties at its fifth meeting”

Review and
evaluation

Decision IV/11, paragraph 4:

“Requests the Executive Secretary to advise the Parties on matters relating to recommendations for further guidance to the financial mechanism with respect to: (a) The relationship of any draft guidance to previous guidance; and (b) Any possible effects of that draft guidance on the implementation of previous guidance from the Conference of the Parties.”

(Review and
evaluation)

Decision IV/11, Annex. Paragraph 1:

The Council of the GEF should improve the effectiveness of the financial mechanism by:

(a) Further streamlining its project cycle with a view to making project preparation simpler, more transparent and more country-driven;

Processing and
delivery systems

(b) Further simplifying and expediting procedures for approval and implementation, including disbursement, for GEF-funded projects;	Processing and delivery systems
(c) Developing policies and procedures that fully comply with the guidance from the Conference of the Parties in a straightforward and timely manner;	Policy and Strategy
(d) Increasing support to priority actions identified in national plans and strategies of developing countries;	BD planning
(e) Applying in a more flexible, pragmatic and transparent manner the incremental cost principle;	Incremental cost
(f) Promoting genuine country ownership through greater involvement of participant countries in GEF-funded activities;	Policy and Strategy
(g) Increasing its flexibility to respond to the thematic longer-term programme of work of the Convention on Biological Diversity, in accordance with the guidance of the Conference of the Parties;	Policy and Strategy
(h) Promoting the catalytic role of the Global Environment Facility in mobilizing funding from other sources for GEF-funded activities;	Cofinancing
(i) Including in its monitoring and evaluation activities the assessment of the compliance under its operational programmes with the policy, strategy, program priorities and eligibility criteria established by the Conference of the Parties;	Review and evaluation
(j) Promoting efforts to ensure that the implementing agencies fully comply with the policy, strategy, programme priorities and eligibility criteria of the Conference of the Parties in their support for country-driven activities funded by the Global Environment Facility; and	Policy and Strategy
(k) Undertaking efforts to improve the efficiency, effectiveness and transparency of the process of cooperation and coordination between the implementing agencies with a view to improving the processing and delivery systems of the Global Environment Facility, and to avoid duplication and parallel processes.	Processing and delivery systems
Decision IV/13: Additional guidance to the financial mechanism	

“The Global Environment Facility should...

Decision IV/13, paragraph 1:

“Provide adequate and timely support for country-driven projects at national, regional and subregional levels addressing the issue of alien species in accordance with decision IV/1 C”

Decision IV/13, paragraph 2:

“The Global Environment Facility should... [p]rovide financial resources for country-driven activities within the context of its operation programmes to participate in the **Global Taxonomy Initiative** which take into account as appropriate, elements of the Suggestions for Action contained in the annex to decision IV/1 D”

Decision IV/13, paragraph 3:

“The Global Environment Facility should... [w]ithin the context of implementing national biological diversity strategies and action plans, provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems in accordance with decision IV/4”

Decision IV/13, paragraph 4:

“The Global Environment Facility should... [i]n accordance with decision IV/7 and with Article 7 of the Convention and also within the context of implementing national biological diversity strategies and plans, provide adequate and timely financial support to Parties for projects and capacity-building activities for implementing the programme of work of forest biological diversity at the national, regional and subregional levels and the use of the clearing-house mechanism to include activities that contribute to halting and addressing **deforestation**, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on **forest species**, other important components of **forest biological diversity** and ecosystems under threat”

Invasive alien
species

Taxonomy

Inland water
ecosystems

Forest BD

Decision IV/13, paragraph 5:

“The Global Environment Facility should... [i]n accordance with decision IV/2:

(a) Support capacity building activities and country driven pilot projects focused on priority areas, as critical components in the implementation of the clearing-house mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase;

(b) Provide, as appropriate, increased support, in the framework of country driven projects to promote the objectives of the Convention, to establish and strengthen biodiversity information systems such as, inter alia, training, technology and processes related to the collection, organization, maintenance and updating of data and information and its communication to users through the clearing-house mechanism;

(c) Evaluate at the end of the clearing-house mechanism pilot phase the experience of the Global Environment Facility’s support for developing countries’ activities, to consider additional efforts to meet the increasing interest in taking part in and having access to the clearing-house mechanism, including in regional networking, and to report to the Conference of the Parties prior to the next meeting of the Subsidiary Body on Scientific, Technical and Technological Advice”

Decision IV/13, paragraph 6:

“The Global Environment Facility should... [c]ontinue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports, in accordance with decision IV/14”

Decision IV/13, paragraph 7:

“The Global Environment Facility should... [p]rovide adequate and timely support for the design and approaches relevant to the implementation of incentive measures, including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives, in accordance with decision IV/10”

Clearing-house
mechanism

Clearing-House
mechanism

Review and
evaluation

National Reports

Incentive
measures

Decision IV/13, paragraph 8: “In accordance with decision IV/8, provide support for: (a) Stock-taking activities, such as, for example, assessments of current legislative, administrative and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus-building among its different stakeholders; (b) Formulation of access and benefit-sharing mechanisms at the national, subregional and regional levels, including monitoring, assessment, and incentive measures; (c) Capacity-building on measures on access to genetic resources and sharing of benefits, including capacity-building on economic valuation of genetic resources; (d) Within biodiversity projects, other specific benefit-sharing initiatives such as support for entrepreneurial developments by local and indigenous communities, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components.”	Access and benefit-sharing
Decision IV/14: National reports by Parties Decision IV/14, paragraph 8: “Requests the Global Environment Facility, as the operating entity of the financial mechanism, to continue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports.”	National Reports
COP-5: Nairobi, Kenya, 15 - 26 May 2000	
Decision V/8: Alien species that threaten ecosystems, habitats or species Decision V/8, paragraph 17: “Invites the Global Environment Facility, Parties, Governments and funding organizations to provide adequate and timely support to enable the Global Invasive Species Programme to fulfil the tasks outlined in the present decision.”	Invasive alien species

Decision V/9: *Global Taxonomy Initiative: implementation and further advance of the Suggestions for Action*

Decision V/9, paragraph 6:

“Urges eligible Parties and consortia of eligible Parties to seek resources for the above priority actions through the financial mechanism, and requests the financial mechanism to continue promoting awareness of the Global Taxonomy Initiative in its outreach activities, such as the Capacity Development Initiative and the Country Dialogue Workshops, and to investigate ways both within and outside its operational programme structure to facilitate capacity-building in taxonomy, and the implementation of the short-term activities referred to in the annex to the present decision.”

Decision V/11: *Additional financial resources*

Decision V/11, paragraph 2:

“Invites the Global Environment Facility to assist the Executive Secretary, in collaboration with the relevant international organizations and institutions, to convene a workshop on financing for biodiversity with a view to sharing knowledge and experience among funding institutions, and to explore the potential of the Global Environment Facility to act as a funding catalyst”

Decision V/12: *Second review of the financial mechanism*

Decision V/12: *Second review of the financial mechanism [...]*

Decision V/13: *Further guidance to the financial mechanism*

Decision V/13, paragraph 1:

“Welcomes the decision of the Council of the Global Environment Facility requesting its secretariat, in consultation with the Implementing Agencies and the Secretariat of the Convention on Biological Diversity, to develop an initial strategy for assisting countries to prepare for the entry into force of the Cartagena Protocol on Biosafety”

Taxonomy

Cofinancing

(Review of
financial
mechanism)

Biosafety →
*Cartagena
Protocol*

Decision V/13, paragraph 2(a)-(n):

“The Global Environment Facility, as the institutional structure operating the financial mechanism, should provide support:

(a) For projects utilizing the **ecosystem approach**, without prejudice to differing national needs and priorities which may require the application of approaches such as single species conservation programmes, in accordance with decision V/6;

(b) As a priority, for projects which:

(i) Implement the Convention’s programme of work on agricultural biodiversity, in accordance with decision V/5, through the timely finalization and implementation of its operational programme on agricultural biodiversity, and through the development and implementation of other relevant operational programmes;

(ii) Implement the Convention’s programme of work on biodiversity of dry and sub-humid lands, in accordance with decision V/23, through the development, review and implementation of its operational programmes, in particular, the operational programme on arid and semi-arid ecosystems;

(iii) Assist in the implementation of the programme of work on forest biodiversity at the national, subregional and regional levels, and consider the operational objectives of the aforementioned programme of work as guidance for funding, in accordance with decision V/4;

(c) For projects which assist with the development and implementation of the International Initiative for the Conservation and Sustainable Use of Pollinators in Agriculture, in accordance with decision V/5;

(d) For capacity-building at the national, subregional and regional level to address the issue of coral bleaching within the context of implementation of the programme of work on marine and coastal biological diversity, in accordance with decision V/3;

(e) For the consultative processes referred to in paragraph 6 of decision V/19, which are aimed at assisting with the preparation of second national reports, taking into account the fact that the Conference of the Parties may develop guidelines for subsequent national reports;

Ecosystem approach

Agricultural BD

Dry/Sub-humid lands

Forest BD

Agricultural BD

Marine and coastal BD

National Reports

(f) For participation in the clearing-house mechanism of the Convention, in accordance with decision V/14;	Clearing-House mechanism
(g) For projects that will address the issue of access and benefit sharing, in accordance with decision V/26;	Access and benefit sharing
(h) For projects that incorporate incentive measures that promote the development and implementation of social, economic and legal incentive measures for the conservation and sustainable use of biological diversity, in accordance with decision V/15;	Incentive measures
(i) For the implementation of the priority activities identified in the programme of work on Article 8(j) and related provisions, in accordance with decision V/16;	Article 8(J)
(j) To strengthen capabilities to develop monitoring programmes and suitable indicators for biological diversity, in accordance with decision V/7;	Identification Monitoring, Indicators
(k) To continue promoting awareness of the Global Taxonomy Initiative in the relevant activities of the Global Environment Facility, such as the Country Dialogue Workshops, and to facilitate capacity-building in taxonomy, including in its Capacity Development Initiative;	Processing and delivery systems
(l) For capacity development for education, public awareness and communication in biological diversity at the national and regional levels, in accordance with decision V/17;	Education and public awareness
(m) For activities to implement the Global Invasive Species Programme, in accordance with decision V/8;	Invasive alien species
(n) For the implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland waters, and capacity building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity and for information gathering and dissemination among riparian communities.”	Inland water ecosystems

COP-6: The Hague, Netherlands, 7 - 19 April 2002	
Decision VI/2: <i>Biological diversity of inland waters</i> Decision VI/2, paragraph 6: “Urges the Global Environment Facility, other funding institutions, and development agencies to provide financial support for implementation of the programme of work on the biological diversity of inland water ecosystems as well as the River Basin Initiative.” Decision VI/3: <i>Marine and coastal biological diversity</i> Decision VI/3, paragraph 5: “Recognizes the need for support through the financial mechanism to developing country Parties, in particular the least developed and small island developing States among them, for country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery.” Decision VI/5: <i>Agricultural biological diversity</i> Decision VI/5, paragraph 12: “Invites Parties, other Governments, the financial mechanism and funding organizations to provide adequate and timely support to the implementation of the Plan of Action, especially by developing country Parties and Parties with economies in transition, and in particular least developed countries and small island developing States”	Inland water ecosystems Marine and coastal BD Agricultural BD

Decision VI/5, paragraph 16: “Invites Parties, other Governments, the financial mechanism and funding organizations to provide adequate and timely support to enable countries, especially developing country Parties and Parties with economies in transition, and in particular least developed countries and small island developing States, to participate fully in the preparatory process for the first Report on the State of World’s Animal Genetic Resources, and implement follow-up actions identified through the process that will contribute to conservation sustainable use, access and benefit-sharing of animal genetic resources for food and agriculture”	Agricultural BD
Decision VI/9: <i>Global Strategy for Plan Conservation</i> Decision VI/9, paragraph 7: “Invites Parties, other Governments, the financial mechanism, and funding organizations to provide adequate and timely support to the implementation of the strategy, especially by developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition”	Species conservation
Decision VI/10: <i>Article 8(j) and related provisions</i> Decision VI/10, paragraph 29: “Also requests funding agencies, in particular the Global Environment Facility, to provide information on activities and processes, including information on the criteria for eligibility and access to project funding, and make such information easily accessible to Parties, Governments and indigenous and local communities (for example, through electronic, print/broadcast, popular publications, and other means)”	Reporting
Decision VI/10, paragraph 30: “Invites the Global Environment Facility to give special consideration in funding to projects that clearly contain elements of participation of indigenous and local communities, where appropriate, and to continue to apply the Global Environment Facility’s policy on public involvement to support the full and effective participation of indigenous and local communities” Decision VI/16: <i>Additional financial resources</i>	Processing and delivery systems

Decision VI/16, paragraph 4: “Welcomes the strong support for a substantial third replenishment of the Global Environment Facility, expressed by both developing and developed countries at the sixth meeting of the Conference of the Parties to the Convention on Biological Diversity”	(Replenishment)
Decision VI/16, paragraph 5: “Urges donor countries to substantially replenish the Global Environment Facility to levels higher than the current for supporting developing countries, in particular the least developed and the small island developing States, and countries with economies in transition, to implement the Convention on Biological Diversity”	(Replenishment)
Decision VI/16, paragraph 9: “Requests the Global Environment Facility to explore opportunities to further develop, enhance and strengthen its catalytic role in identifying and promoting co-financing resources, and, also, to take definitive actions to explore and examine innovative and creative financing modalities to leverage increased funds from the private sector and non-traditional sources of funding”	Cofinancing
Decision VI/17: <i>Financial mechanism under the Convention</i>	
Decision VI/17, paragraph 1: “Notes the strong support expressed by developing countries, in particular the least developed and the small island developing States amongst them, and countries with economies in transition, as well as developed countries, for assistance from the Global Environment Facility in the implementation of the Convention”	(Geographic consideration)
Decision VI/17, paragraph 2: “Noting the importance of the Small Grants Programme of the Global Environment Facility, welcomes its continued expansion to other developing countries, in particular the least developed countries and the small island developing States”	(Geographic consideration)
Decision VI/17, paragraph 3: “Noting the efforts of the Global Environment Facility in providing financial resources to Parties with economies in transition for biodiversity-related projects, welcomes the continuation of these Efforts”	(Eligibility criteria)

Decision VI/17, paragraph 4: “Reiterates the call to the Global Environment Facility for improving and further streamlining its processes for increased flexibility and improving access to resources from the Global Environment Facility, taking into consideration the findings included in the Second Overall Performance Study of the Global Environment Facility and the second review of the effectiveness of the financial mechanism”	Processing and delivery systems
Decision VI/17, paragraph 5: “Requests the Global Environment Facility to consider the benefits to Parties, particularly small island developing States, of an appropriate balance between national and regional projects in the implementation of decisions of the Conference of the Parties”	Geographical consideration
Decision VI/17, paragraph 6: “Requests the Global Environment Facility, in consultation with the Executive Secretary and other multilateral and bilateral organizations, to explore funding modalities for facilitating the preparation of future national reports and thematic reports from Parties, taking into account the comments made by Parties on their experience in accessing relevant funds during the sixth meeting of the Conference of the Parties as well as the recommendations included in the second Overall Performance Study of the GEF and the second review of the effectiveness of the financial mechanism”	Innovative financing and resource mobilization
Decision VI/17, paragraph 7: “Requests the Global Environment Facility, in consultation with the Executive Secretary of the Convention, to initiate a dialogue to more effectively implement the guidance to the financial mechanism, drawing from the experiences and lessons learned from projects and programmes funded by the Global Environment Facility, and explore opportunities for streamlining the guidance”	Processing and delivery systems
Decision VI/17, paragraph 8: “Requests the Global Environment Facility, in its plan of action to respond to the Second Overall Performance Study, to take into consideration the recommendations of the second review of the effectiveness of the financial mechanism, and to report to the Conference of the Parties on how it has done so”	Processing and delivery systems

Decision VI/17, paragraph 9:

“Requests the Executive Secretary and the Global Environment Facility to explore possible synergies between the review processes of the Convention and the Global Environment Facility, and make suggestions on the arrangements for the third review of the effectiveness of the financial mechanism”

Decision VI/17, paragraph 10 (a)-(o):

The Global Environment Facility as the institutional structure operating the financial mechanism should provide financial resources:

(a) As a priority, for the elaboration, development, and revision as necessary, of national biodiversity strategies and action plans, and for activities which assist their implementation consistent with guidance to the Global Environment Facility from the Conference of the Parties;

(b) For national capacity-building in biosafety, in particular for enabling effective participation in the Biosafety Clearing-House and in the implementation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety proposed by the Intergovernmental Committee on Cartagena Protocol at its second meeting, and for other needs identified in the recommendations of the Intergovernmental Committee at its second meeting for assisting developing countries to prepare for the entry into force of the Protocol;

(c) For country-driven projects focusing on the identified national priorities, as well as regional and international actions that assist the implementation of the expanded work programme considering conservation of biological diversity, sustainable use of its components and fair and equitable sharing of the benefits from genetic resources in a balanced way, underscoring the importance of ensuring long-term conservation, sustainable use, and benefit-sharing of native forests;

(d) For country-driven capacity-building activities by developing country Parties, in particular, least developed countries and small island developing States among them, for the implementation of **the Global Strategy for Plant Conservation**;

(e) For country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery;

Review and
evaluation

BD planning

Biosafety →
*Cartagena
Protocol*

Clearing-House
mechanism

Forest BD

Species
conservation

Marine and
coastal BD

(f) For national and regional taxonomic capacity-building, as a basis for implementing the programme of work for the Global Taxonomy Initiative, with particular attention to funding country-driven pilot projects identified under the Global Taxonomy Initiative, taking into consideration the special needs of least developed countries and small island developing States;	Taxonomy
(g) For projects that assist with the implementation of the Plan of Action for the International Initiative for the Conservation and Sustainable Use of Pollinators by developing country Parties, in particular, least developed countries and small island developing States;	Agricultural BD
(h) To build capacity of developing country Parties, in particular least developed countries and small island developing States, to participate effectively in the preparatory process for the first Report on the State of World's Animal Genetic Resources;	Agricultural BD
(i) For projects that assist with the implementation of the programme of work on biological diversity of inland water ecosystems;	Inland water ecosystems
(j) For projects that assist with the implementation of the programme of work on incentive measures, taking into consideration the specific circumstances of countries, in particular, least developed countries and small island developing States;	Incentive measures
(k) As a priority, for projects that assist with the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans called for in paragraph 6 of decision V/8, in particular those strategies and actions related to geographically and evolutionarily isolated ecosystems, paying particular attention to the needs of least developed countries and small island developing States, including needs related to capacity-building;	Invasive alien species
(l) In a timely manner, to eligible Parties for the preparation of national reports;	National Reports
(m) For projects that assist with the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing in support of the implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization;	Access and benefit-sharing
(n) For the enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and subnational levels, and for building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge;	Article 8(J)

(o) For capacity development and country-driven projects prioritized in the Global Initiative on Communication, Education and Public Awareness;

Decision VI/17, paragraph 11:

“Requests the Global Environment Facility to report on the implementation of the present decision to the Conference of the Parties at its seventh meeting.”

Decision VI/19: *Communication, education and public awareness*

Decision VI/19, paragraph 5:

“Invites the Global Environment Facility to include expertise relating to communication, education and public awareness when evaluating projects for funding approval and to strengthen its involvement in and support of the national implementation of the Global Initiative”

Decision VI/23: *Alien species that threaten ecosystems, habitats or species*

Decision VI/23, paragraph 19:

“Endorses the international cooperative initiative on invasive alien species on islands, developed by the Government of the New Zealand, the Invasive Species Specialist Group, and the Global Invasive Species Programme, and calls on the Global Environment Facility, Parties, Governments and relevant organizations to support and participate in these initiatives”

Decision VI/23, paragraph 22:

“Also welcomes the “I3N” (Inter-American Biodiversity Information Network (IABIN) Invasives Information Network) initiative on invasive alien species, and calls on the Global Environment Facility, Parties, Governments and relevant organizations to support and participate in these initiatives”

Decision VI/24:

Decision VI/24, B, I, paragraph 7:

“Invites the financial mechanism and other relevant intergovernmental organizations to participate in the Workshop and to support the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing”

Decision VI/25:

Education and
public awareness

Reporting

Processing and
delivery systems

Processing and
delivery systems

Processing and
delivery systems

Access and
benefit-sharing

Decision VI/25, paragraph 5: “Requests the Global Environment Facility, as the institutional structure operating the financial mechanism, to continue to provide, in a timely manner, support to eligible countries for the preparation of national reports”	National reports
Decision VI/25, paragraph 9: “Takes note of the difficulty experienced by some developing countries and countries with economies in transition in accessing funding for preparing their second national reports, and requests the Secretariat of the Convention and the Global Environmental Facility to explore innovative funding modalities for facilitating the preparation of future national reports and thematic reports”	Innovative financing and resource mobilization
Decision VI/27: Operations of the Convention	
Decision VI/27, paragraph 8: “Transmits to the Council of the Global Environment Facility its view that a strategic approach to capacity-building for the global environment at the national level is urgently needed and that promoting cross-convention synergies, national policy integration, national institutional development and cooperation among stakeholders in capacity-building activities is a priority in order to promote efficiency and quality, and notes the contribution of the preliminary results of the Capacity Development Initiative”	Policy and Strategy
Decision VI/27, paragraph 10: “Welcomes the contribution to the implementation of national biodiversity strategies and action plans provided by the Biodiversity Planning Support Programme established by the United Nations Environment Programme and the United Nations Development Programme with core financial support from the Global Environment Facility and requests the agencies and partners involved to consider how regional support for biodiversity planning and capacity-building can be enhanced through core financial support by the Implementing Agencies”	Processing and delivery systems

COP-7: Kuala Lumpur, Malaysia, 9 - 20 February 2004	
Decision VII/8: <i>Monitoring and indicators: designing national-level monitoring programmes and indicators</i> Decision VII/8, paragraph 12: “Acknowledges that the project funded by the Global Environment Facility on biodiversity indicators in national use, might illustrate how each step proposed in the guidelines for indicator development contained in this document could be carried out in practice and thereby provides lessons on the practical development of biodiversity indicators” Decision VII/9: <i>Global Taxonomy Initiative</i> Decision VII/9, paragraph 6: “Requests Parties to report on the status of implementation of the programme of work for the Global Taxonomy Initiative and further invites national and international, taxonomic institutions, funding organisations, financial agencies, and the financial mechanism of the Convention to contribute information on their relevant activities to the review of the Global Taxonomy Initiative for consideration by the Conference of the Parties at its eighth meeting” Decision VII/20: <i>Further guidance to the financial mechanism</i> Decision VII/20, paragraph 1: “Decides that the report from the Council of the Global Environment Facility to the Conference of the Parties should be made available three months prior to an ordinary meeting of the Conference of the Parties as well as with updates as appropriate, and in accordance with rules 28 and 54 of the Rules of Procedure for meetings of the Conference of the Parties, the Executive Secretary should make it available in all six United Nations languages”	(Identification, Monitoring, Indicators) Review and evaluation Reporting

Decision VII/20, paragraph 2:

“Decides to provide the following additional guidance to the Global Environment Facility in the provision of financial resources, in accordance with Article 20 and Article 21, paragraph 1 of the Convention and in conformity with decisions I/2, II/6, III/5, IV/13, V/13 and VI/17 of the Conference of the Parties. In this regard, the Global Environment Facility shall provide financial resources to developing country Parties, taking into account the special needs of the least developed countries and the small island developing States amongst them, for country-driven activities and programmes, consistent with national priorities and objectives and in accordance with the mandate of the Global Environment Facility, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries, and taking fully into consideration all relevant decisions from the Conference of the Parties”

Decision VII/20, paragraph 3:

“Invites the Global Environment Facility, other funding institutions, and development agencies to provide financial support for the implementation of the elaborated programme of work on marine and coastal biodiversity”

Decision VII/20, paragraph 4:

“Recognizes that the development and use of indicators, particularly in the development phase, requires a financial and technical commitment from Parties, and therefore requests the financial mechanism and encourages bilateral and multilateral funding agencies to assist developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition through the provision of financial assistance and training, as required and as appropriate, to develop and implement effective biodiversity indicators”

Decision VII/20, paragraph 5:

“Invites the Global Environment Facility, in accordance with its mandate, and other funding institutions and development agencies to provide financial support for the implementation of the **ecosystem approach**, in accordance with decision VII/11”

Processing and
delivery systems

Marine and
coastal BD

Identification,
Monitoring,
Indicators

Ecosystem
Approach

Decision VII/20, paragraph 6:

“Requests the financial mechanism, in accordance with its mandate, and invites other sources to provide financial support to developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition, where appropriate, for:

(a) Country-driven activities, including pilot projects, aimed at projects related to ecosystem conservation, restoration of degraded lands and marine environments and overall ecosystem integrity that take into account impacts of climate change;

[...]

Decision VII/20, paragraph 7:

“Invites Parties, other Governments, regional and international organizations to take full account of the importance of taxonomic capacities in achieving the goals of the Convention, to support taxonomic activities to attain the 2010 target, and to provide all necessary support to national, and where appropriate regional , taxonomic centres of research and expertise; and urges the Parties, other Governments and the Global Environment Facility, in accordance with its mandate, and other relevant funding organizations to provide adequate and timely support to developing countries to assist in the implementation of the Global Taxonomy Initiative, and for integrating taxonomic capacity-building activities into thematic and cross-cutting programmes, including supporting activities and projects, such as, where appropriate, stand-alone capacity-building projects”

Decision VII/20, paragraph 8:

“Invites Parties and Governments, in collaboration with the Global Environment Facility and other relevant organizations, including the private sector, to develop and transfer technologies and provide financial support to assist in the implementation of the Addis Ababa Principles and Guidelines at the national level to ensure that the use of biological diversity is sustainable”

Climate change
and BD

Taxonomy

Sustainable use

Decision VII/20, paragraph 9

“Invites the Global Environment Facility, in accordance with its mandate, other funding institutions and development agencies to provide financial support to developing countries, in particular the least developed countries and small island developing States among them, and countries with economies in transition, to assist in the improved prevention, rapid response and management measures to address threats of alien invasive species”

Invasive alien
species

Decision VII/20, paragraph 10:

“Requests the Global Environment Facility, respecting national targets and priorities, to support the implementation of the programme of work, and in particular to: (a) In collaboration with other donors, encourage increased support to address the long-term financial sustainability of protected areas, including through different mechanisms and instruments, to help achieve the target of securing, by 2008, sufficient resources to meet the costs to effectively implement and manage national and regional systems of protected areas; (b) Further develop its portfolio on protected areas towards comprehensive, representative and effectively managed protected area systems addressing system wide needs; and (c) Support country driven early action by continuing to streamline its procedures and the provision of fast disbursing resources through expedited means”

Protected Areas

Decision VII/20, paragraph 11:

“Invites the Global Environment Facility, in accordance with its mandate, to provide adequate and timely support to developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition, as appropriate for the implementation of activities to achieve and monitor progress towards the goals and targets identified in the framework for evaluation of progress towards implementation of the Strategic Plan of the Convention, in accordance with decision VII/30”

BD planning

Decision VII/20, paragraph 12:

“Based on needs and priorities identified by developing country Parties and countries with economies in transition, the GEF, in accordance with its mandate and in collaboration with other interested funding agencies, shall, as appropriate, provide adequate and timely financial support for the implementation of the programme of work on technology transfer and technological and scientific cooperation, consistent with Articles 16 to 20, and in particular for:

- (a) Building policy, legal, judicial and administrative capacity;
- (b) Facilitating access to relevant proprietary technologies;
- (c) Providing other financial and non-financial incentives for the diffusion of relevant technologies;
- (d) Building capacities of, and empowering, indigenous and local communities and all relevant stakeholders with respect to access to and use of relevant technologies;
- (e) Improving the capacity of national research institutions in developing countries and countries with economies in transition for the development of technologies, as well as for adaptation, diffusion and the further development of imported technologies consistent with their transfer agreement and international law including through fellowships and international exchange programmes;
- (f) Supporting the development and operation of regional or international initiatives to assist technology transfer and cooperation as well as scientific and technical cooperation, including those initiatives designed to facilitate South-South cooperation and South-South joint development of new technologies”

Decision VII/20, paragraph 13:

“Urges Parties, Governments, international financial institutions, donors, and relevant intergovernmental organizations, as a contribution towards the Millennium Development Goals, to implement development activities in ways that are consistent with, and do not compromise, the achievement of the objectives of the Convention on Biological Diversity and the 2010 target, including by improving environmental policies in relevant development agencies and sectors such as through integrating concerns relating to biodiversity and the Millennium Development Goals more directly into environmental impact assessments, strategic environmental assessments and other such tools, including at the national level through the national strategies for sustainable development and the poverty reduction strategies and programmes, and invites the GEF to support capacity-building activities in developing countries for this purpose”

Technology
cooperation and
transfer

Development
activities

Decision VII/20, paragraphs 14: “Encourages Parties, Governments, relevant bilateral, regional and multilateral organizations, and the GEF to collaborate to strengthen the various capacities of Parties, particularly developing country Parties and countries with economies in transition, to prepare their future national and thematic reports;	Processing and delivery systems
Decision VII/20, paragraphs 15: “Further encourages Parties, Governments, relevant bilateral, regional and multilateral organizations, and the Global Environment Facility, to analyse the progress of Parties, particularly developing country Parties and countries with economies in transition, in implementing the Convention, in relation to those areas identified as a priority by those countries, in order to inter alia assist them in the preparation of their future national reports”	Review and evaluation
Decision VII/20, paragraphs 16: “Requests the Global Environment Facility to explore ways to expedite and simplify its procedures for allocating funds to the eligible countries to prepare their national reports to fulfill their reporting obligations under the Convention”	Processing and delivery systems
Decision VII/20, paragraphs 17: “Invites the GEF to provide the necessary financial support to facilitate the preparation of the third national reports by the Parties”	National Reports
Decision VII/20, paragraph 18: “Invites the Global Environment Facility, in accordance with its mandate, and other donor organizations to provide funding to developing countries, particularly the least developed and small island developing States among them, and countries with economies in transition for the implementation of their national CEPA programmes and activities”	Education and public awareness

Decision VII/20, paragraph 19:

“Reiterates its guidance to the Global Environment Facility, as the institutional structure operating the financial mechanism of the Convention, to provide financial resources for country-driven projects based on national priorities that assist with the implementation of the Action Plan in support of the implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising out of their Utilization, and further requests the Global Environment Facility, in accordance with its mandate, to support capacity-building regarding the transfer of technologies which enables providers to fully appreciate and actively participate in benefit-sharing arrangements at the stage of granting access permits”

Decision VII/20, paragraphs 20-26:

Confirming that the arrangements between the Conference of the Parties and the Council of the Global Environment Facility provided for in the Memorandum of Understanding adopted by the Conference of the Parties at its third meeting will apply, mutatis mutandis, for purposes of the **Cartagena Protocol**,

20. Decides to provide the following guidance to the Global Environment Facility to be implemented in a timely manner;

21. Decides also upon the following **eligibility criteria** for funding by the Global Environment Facility:

(a) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Protocol, are eligible for funding by the Global Environment Facility in accordance with its mandate;

(b) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, shall also be eligible for funding by the Global Environment Facility for the development of national biosafety frameworks and the development of national biosafety clearing-houses and other necessary institutional capabilities to enable a non-Party to become a Party. Evidence of such political commitment shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Protocol on completion of the activities to be funded;

Access and
benefit sharing

Eligibility
criteria

22. Stresses that the provision of financial resources by the Global Environment Facility shall be for country-driven activities and programmes consistent with their national priorities and objectives ;	Policy and Strategy
23. Invites developed country Parties, Governments, the Global Environment Facility, other donor agencies and relevant organizations to provide financial support and other assistance to developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, to develop and implement capacity-building activities , including organization of national, regional and inter-regional capacity building workshops and preparatory meetings;	Biosafety → <i>Cartagena Protocol</i>
24. Invites the Global Environment Facility to extend support for demonstration projects on implementation of the national biosafety frameworks to other eligible countries;	Biosafety → <i>Cartagena Protocol</i>
25. Urges the Global Environment Facility to ensure a rapid implementation of its initial strategy for assisting countries to prepare for the ratification and implementation of the Protocol, and to support capacity-building for the establishment of national components of the Biosafety Clearing-House in a flexible manner, and to provide additional support for the development and/or strengthening of existing national and regional centres for training; regulatory institutions; risk assessment and risk management; infrastructure for the detection, testing, identification and long-term monitoring of living modified organisms; legal advice; decision-making; handling of socio-economic considerations; awareness-raising and technology transfer for biosafety;	Processing and delivery system

26. Notes that the role of the Global Environment Facility, in accordance with its mandate, in the Action Plan for Building Capacities for the Effective Implementation of the Protocol, adopted by the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety at its first meeting, includes: (a) Providing funding and other assistance to build necessary legislative and administrative frameworks, and for training in risk assessment and risk management; (b) Deciding on further areas for financial support for capacity-building in accordance with the identified priority needs of developing countries and countries with economies in transition, responses to the questionnaires, the outcomes of inter-sessional workshops, and its previous pilot project on biosafety; (c) Implementing the GEF Strategy to Assist Countries to Ratify and Implement the Cartagena Protocol on Biosafety; (d) Facilitating the provision of technical support; and (e) Facilitating the use of existing and developing regional networks.	Biosafety → <i>Cartagena Protocol</i>
COP-8: Curitiba, Brazil, 20 - 31 March 2006	
Decision VIII/1: <i>Island Biodiversity</i> Decision VIII/1, paragraph 4: “Requests the Global Environment Facility and its implementing agencies to recognize the programme of work on island biodiversity and its relevance to developing countries, and in particular least developed countries and small island developing States, and to provide support for its implementation” Decision VIII/1, paragraph 5: “Requests the Global Environment Facility to further simplify their procedures so as to take into account the special circumstances of small island developing States in implementing the programme of work on island biodiversity”	Island BD Processing and delivery systems

Decision VIII/1, paragraph 6:

“Invites the international community to actively address, during the fourth replenishment of the Global Environment Facility, the financial requirements for the implementation of the programme of work on island biodiversity”

**Decision VIII/3: *Global Taxonomy Initiative* –
*in-depth review of the implementation of the programme of work for the Global Taxonomy Initiative***

Decision VIII/3, paragraph 12:

“Requests the Global Environment Facility to continue to support the implementation of the planned activities contained in the programme of work on the Global Taxonomy Initiative, including taxonomic needs assessments, projects with a taxonomic focus or clearly identified taxonomic components, and regional activities on taxonomic capacity development and access to technology”

Decision VIII/3, paragraph 13:

“Further requests the Global Environment Facility to provide financial resources to developing countries, in particular the small island developing States among them, and countries with economies in transition, for projects which help to establish and operationalize their national focal points for the Global Taxonomy Initiative, as well as financial resources to support capacity-building activities such as, inter alia, taxonomic training related to specific taxa and information technologies”

Decision VIII/3, paragraph 14:

“Requests the secretariats of the Convention and the Global Environment Facility to conduct a joint analysis of funded GTI-related projects and relevant project information contained in national reports, including analysis of the resources directed specifically to capacity-building, with a view to extracting best practices and sharing information and experience in promoting financial support for the Initiative”

Decision VIII/6: *Global Initiative on Communication, Education and Public Awareness*

(Replenishment)

Taxonomy

Taxonomy

Review and
evaluation

Decision VIII/6, paragraph 3:

“Urges the Global Environment Facility and other bilateral and multilateral institutions to make available the necessary financial resources especially for developing countries, particularly the least developed and small island developing States amongst them, and countries with economies in transition, to implement the identified CEPA priority activities at national and regional levels in support of biodiversity strategies and action plans and any other information, education, and communication awareness strategies”

Education and
public awareness

Decision VIII/8: *Implementation of the Convention and its Strategic Plan*

Decision VIII/8, paragraph 7:

“Invites the Global Environment Facility to provide information on its contribution and experience regarding the implementation of goals 2 and 3 of the Strategic Plan”

BD planning

Decision VIII/9: *Implications of the findings of the Millennium Ecosystem Assessment*

Decision VIII/9, paragraph 8:

“Invites the Global Environment Facility, in coordination with the Executive Secretary, to identify gaps and needs in relation to existing financial resources, until 2010, to meet the unprecedented additional efforts needed to significantly reduce the rate of biodiversity loss and maintain the provision of ecosystem goods and services”

Innovative
financing and
resource
mobilization

Decision VIII/9, paragraph 23:

“Encourages Parties and other Governments to conduct national and other sub-global assessments making use of the conceptual framework and methodologies of the Millennium Ecosystem Assessment, as appropriate, and invites the Global Environment Facility and bilateral and multilateral funding organizations, as appropriate, to provide funding for these assessments”

Review and
evaluation

Decision VIII/13: *Review of implementation of Article 20 (Financial resources) and Article 21 (Financial mechanism)*

Decision VIII/9, paragraph 1:

“Urges donor Parties and Governments to contribute to the Global Environment Facility to achieve a timely and substantial fourth replenishment with a view to ensuring adequate and predictable resources necessary for advancing the various programmes of work of the Convention”

(Replenishment)

Decision VIII/9, paragraph 3:

“Decides to conduct an in-depth review of the availability of financial resources, including through the financial mechanism, at its ninth meeting.”

(Review of
financial
resources)

Decision VIII/9, paragraph 11:

“Decides to conduct an in-depth review of the availability of financial resources, including through the financial mechanism, at its ninth meeting.”

(Evaluation of
the financial
mechanism)

Decision VIII/14: *National reporting and the next Global Biodiversity Outlook*

Decision VIII/14, paragraph 7:

“Invites the Global Environment Facility and other bilateral and multilateral financial instruments as appropriate, to provide financial support to eligible Parties for the preparation of their fourth national reports, in a timely fashion and preferably no later than 1 January 2007”

National reports

Decision VIII/14, paragraph 8:

“Further invites the Global Environment Facility to explore and establish easier and expeditious mechanisms for the provision of funds to eligible countries for preparing their future national reports”

National reports

Decision VIII/18: *Guidance to the financial mechanism*

Decision VIII/18, paragraph 2 (a)-(b):

“Requests the Global Environment Facility, as the institutional structure to operate the financial mechanism of the Convention, to include in its regular report to the Conference of the Parties information on:

(a) The initial application of the Resource Allocation Framework to resources allocated in the fourth replenishment of the Global Environment Facility that is operational from July 2006, focusing on the biodiversity focal area;

(b) How the Resource Allocation Framework is likely to affect funding available to developing countries and countries with economies in transition for the implementation of their commitments under the Convention”

Decision VIII/18, paragraph 3:

“Urges the Global Environment Facility to further simplify and streamline its procedures, in consideration of the special conditions within developing country Parties, in particular the least developed countries and the small island developing States as referred to in paragraphs 5 and 6 of Article 20 as well as those conditions within Parties with economies in transition”

Decision VIII/18, paragraph 4:

“Urges the Global Environment Facility to develop responses to the capacity and access challenges faced by the small island developing States, the least developed countries and the less developed countries with economies in transition, as identified in the third Overall Performance Study of the Global Environment Facility”

Decision VIII/18, paragraph 5:

Invites the third Assembly of the Global Environment Facility to include in its high-level political discussions the opportunities and challenges of the GEF in its role as financial mechanism for the Convention;

Decision VIII/18, paragraph 6:

“Requests the Executive Secretary, in consultation with the Parties, to explore opportunities for streamlining the guidance provided to the Global Environment Facility taking into account the framework for goals and targets in decision VII/30 as well as indicators for assessing progress toward the achievement of the 2010 target and to present the results to the Conference of the Parties through the Ad Hoc Open-ended Working Group on Review of the Implementation of the Convention”

Reporting

Geographical
considerations

Geographical
considerations

General

(Guidance
review)

Decision VIII/18, paragraph 7: “Requests the Global Environment Facility to consult with the Executive Secretary in relevant review processes undertaken by the Global Environment Facility that affect the financial mechanism of the Convention”	Review and evaluation
Decision VIII/18, paragraph 9: “Requests the Global Environment Facility to provide an assurance that the introduction of the Resource Allocation Framework will not in any way jeopardize eligible Parties’ access to funding for biosafety-related activities including regional activities where appropriate”	Resource allocation
Decision VIII/18, paragraph 10: “Requests the Global Environment Facility to base their allocation of resources to support the implementation of the Protocol on country needs and priorities, and as a priority to support the establishment of a base level of capacity in all eligible developing country Parties, in particular the least developed and the small island developing States, and Parties with economies in transition”	Resource allocation
Decision VIII/18, paragraph 11: “Urges the Global Environment Facility to support in-country, regional and subregional stock-taking studies to enable: (a) The better planning and customizing of future assistance to the respective needs of eligible countries, given the fact that a “one-size-fits-all” approach to biosafety has been demonstrated to be inappropriate; (b) The identification of clear and realistic targets; (c) The identification and provision of technical and adequately experienced expertise for the implementation of national biosafety frameworks; (d) The development of effective coordination which facilitates the support, ownership and involvement of all relevant national ministries and authorities, to ensure synergy and continuity;	Biosafety → <i>Cartagena Protocol</i>

Decision VIII/18, paragraph 12 (a)-(i):

“Requests the Global Environment Facility to support:

- (a) The provision of longer-term support for building, consolidating and enhancing sustainable human resource capacity in risk assessment and risk management, and also in developing detection techniques for identifying living modified organisms;
- (b) Awareness-raising, public participation and information sharing, including through the Biosafety Clearing-House;
- (c) Coordination and harmonization of national biosafety frameworks at regional and subregional levels, where appropriate;
- (d) Sustainable national participation in the Biosafety Clearing-House, including capacity-building, to take into account the need for Parties to be able to provide summary information in the common formats for reporting information (particularly keywords for categorizing records) in an official language of the United Nations to enable registration of such information with the Central Portal;
- (e) Transfer and joint development of technology in risk assessment, risk management, monitoring and detection of living modified organisms;
- (f) Development and implementation of national biosafety frameworks;
- (g) Development of technical, financial, and human capacity including postgraduate education, biosafety-related laboratories and relevant equipment;
- (h) Implementation of the revised Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety;
- (i) Facilitation of the consultative information-gathering process leading to the preparation of national reports under the Protocol for those developing country Parties, in particular the least developed and small island developing States, and Parties with economies in transition, which lack sufficient capacity in this regard”

Biosafety →
*Cartagena
Protocol*

Decision VIII/18, paragraph 13: “Invites the Global Environment Facility, developed country Parties and Governments, as well as relevant organizations to take into account the revised Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety and increase their financial and technical support to developing countries and countries with economies in transition for its implementation”	Biosafety → <i>Cartagena Protocol</i>
Decision VIII/18, paragraph 14: “Requests the Global Environment Facility and its Implementing Agencies to recognize the programme of work on island biodiversity and its relevance to developing countries, and in particular least developed countries and small island developing States, and to provide support for its implementation”	Island BD
Decision VIII/18, paragraph 15: “Requests the Global Environment Facility to further simplify their procedures so as to take into account the special circumstances of small island developing States in implementing the programme of work on island biodiversity”	Processing and delivery systems
Decision VIII/18, paragraph 16: “Invites the Global Environment Facility, in coordination with the Executive Secretary, to identify gaps and needs in relation to existing financial resources, until 2010, to meet the unprecedented additional efforts needed to significantly reduce the rate of biodiversity loss and maintain the provision of ecosystem goods and services”	Innovative financing and resource mobilization
Decision VIII/18, paragraph 17: “Encourages Parties and other Governments to conduct national and other sub-global assessments making use of the conceptual framework and methodologies of the Millennium Ecosystem Assessment, as appropriate, and invites the Global Environment Facility and bilateral and multilateral funding organizations, as appropriate, to provide funding for these assessments”	Identification, Monitoring, Indicators
Decision VIII/18, paragraph 18: “Invites the Global Environment Facility to provide information on its contribution and experience regarding the implementation of goals 2 and 3 of the Strategic Plan”	BD Planning

Decision VIII/18, paragraph 19: “Invites the Global Environment Facility and bilateral and multilateral funding organizations to provide funding for the review and update of national biodiversity strategies and action plans”	BD Planning
Decision VIII/18, paragraph 20: “Invites the Global Environmental Facility to provide financial support to developing countries and countries with economies in transition for the implementation of the programme of work”	Geographic consideration
Decision VIII/18, paragraph 21: “Urges the Global Environment Facility and other bilateral and multilateral institutions to make available the necessary financial resources especially for developing countries, particularly the least developed and small island developing States, and countries with economies in transition, to implement the identified communication, Education and Public Awareness priority activities at national and regional levels in support of biodiversity strategies and action plans and any other information, education, and communication awareness strategies”	Education and public awareness
Decision VIII/18, paragraph 22: “Invites the Global Environment Facility and other bilateral and multilateral financial instruments as appropriate, to provide financial support to eligible Parties for the preparation of their fourth national reports, in a timely fashion and preferably no later than 1 January 2007”	National reports
Decision VIII/18, paragraph 23 “Further invites the Global Environment Facility to explore and establish easier and expeditious mechanisms for the provision of funds to eligible countries for preparing their future national reports”	Processing and delivery systems
Decision VIII/18, paragraph 24: “Requests the Global Environment Facility to continue to support the implementation of the planned activities contained in the programme of work on the Global Taxonomy Initiative, including taxonomic needs assessments, projects with a taxonomic focus or clearly identified taxonomic components, and regional activities on taxonomic capacity development and access to technology”	Taxonomy

Decision VIII/18, paragraph 25: “Requests the Global Environment Facility to provide financial resources to developing countries, in particular the small island developing States, and countries with economies in transition, for projects which help to establish and operationalize their national focal points for the Global Taxonomy Initiative, as well as financial resources to support capacity-building activities such as, inter alia, taxonomic training related to specific taxa and information technologies”	Taxonomy
Decision VIII/18, paragraph 26: “Requests the secretariats of the Convention and the Global Environment Facility to conduct a joint analysis of funded projects related to the Global Taxonomy Initiative and relevant project information contained in national reports, including analysis of the resources directed specifically to capacity-building, with a view to extracting best practices and sharing information and experience in promoting financial support for the Initiative”	Taxonomy
Decision VIII/18, paragraph 27: ”Notes the need for the provision of additional funding by the financial mechanism of the Convention to support capacity-building for developing countries, in particular the least developed and small island developing States, and countries with economies in transition, to prevent or minimize the risks of the dispersal and establishment of invasive alien species at the national, subregional, or regional levels”	Invasive alien species
Decision VIII/18, paragraph 28: “Invites the United Nations Development Programme, the World Bank, the United Nations Environment Programme and other Implementing Agencies of the Global Environment Facility, along with other relevant organizations, to help facilitate and financially support the protected-area financing roundtables referred to in paragraph 18 (a) of decision VIII/24, on protected areas, in accordance with their mandates”	(GEF agencies guidance)
Decision VIII/18, paragraph 29: “Invites the Global Environment Facility: (a) To support early action activities of the programme of work, taking into account the identified national needs at a scale to sufficiently support developing countries, particularly the least developed and small island developing States, and countries with economies in transition; (b) To support national and regional systems of protected areas taking into account the targets and timetables in the programme of work;	Protected areas
	Protected areas

(c) To maintain the proportion of funding for protected areas in the biodiversity envelop of the business plan of the fourth phase of the Global Environment Facility, taking into account the goals and targets in the programme of work and the niche of the Global Environment Facility in providing system-wide protected-areas support;	Protected areas
(d) To review and revise, as appropriate, its protected areas' policies in relation to indigenous and local communities; and	Review and evaluation
(e) To support community conserved areas, ensuring the immediate, full and effective participation of indigenous peoples and local communities in the development of relevant activities.	Protected areas
Decision VIII/18, paragraph 30: “Invites the Implementing Agencies of the Global Environment Facility to treat requests for access to funding for the projects mentioned in 29 (a) and (b) above in an expeditious manner.”	(GEF agencies guidance)
Decision VIII/24: <i>Protected areas</i>	
Decision VIII/24, paragraph 20: “Invites the United Nations Development Programme, the World Bank, the United Nations Environment Programme and other Implementing Agencies of the Global Environment Facility, along with other relevant organizations, to help facilitate and financially support the protected-area financing roundtables referred to in paragraph 18 (a) above in accordance with their mandates”	(GEF agencies guidance)
Decision VIII/24, paragraph 22: “Invites the Global Environment Facility:	
(a) To support early-action activities of the programme of work, taking into account the identified national needs at a scale to sufficiently support developing countries, particularly the least developed and small island developing States, and countries with economies in transition;	Geographic consideration
(b) To support national and regional systems of protected areas taking into account the targets and timetables in the programme of work;	Protected areas
(c) To maintain the proportion of funding for protected areas in the biodiversity envelope of the Global Environment Facility in the GEF-4 business plan, taking into account the goals and targets in the programme of work and the Facility's niche in providing system-wide protected-areas support;	Resource allocation
(d) To review and revise, as appropriate, its protected areas' policies in relation to indigenous and local communities; and	Review and evaluation

(e) To support community conserved areas, ensuring the immediate, full and effective participation of indigenous peoples and local communities in the development of relevant activities” Decision VIII/24, paragraph 24 (a): “Urges donor countries: (a) To support a strong fourth replenishment for the Global Environment Facility, taking into account the goals and targets in the programme of work and the need for new and additional funding to support this work in developing countries, particularly the least developed and small island developing States among them, as well as countries with economies in transition” Decision VIII/27: <i>Alien species that threaten ecosystems, habitats or species</i> Decision VIII/27, paragraph 6: “Notes the need for the provision of additional funding by the financial mechanism of the Convention to support capacity-building for developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, to prevent or minimize the risks of the dispersal and establishment of invasive alien species at the national, subregional, or regional levels”	Article 8 (j) (Replenishment) Invasive alien species
COP-9: Bonn, Germany, 19 - 30 May 2008	
Decision IX/4: <i>Preparation of the third edition of the Global Biodiversity Outlook</i> Decision IX/4, paragraph 3: “Requests the Global Environment Facility and invites Parties, other Governments and relevant organizations, to support developing countries, in particular the least developed countries and small island developing states, as well as countries with economies in transition, to implement national strategies and programmes on invasive alien species, noting also countries that are centres of origin”	Invasive alien species

Decision IX/4, paragraph 30:

“Reiterates its invitation to the Global Environment Facility, Parties, other Governments and funding organizations to provide adequate and timely financial support to enable the Global Invasive Species Programme to fulfil the tasks outlined in many of its decisions.”

Decision IX/7: *Ecosystem Approach*

Decision IX/7, paragraph 7:

“Invites the Global Environment Facility, in accordance with its mandate, and other funding institutions and development agencies to provide financial support for the implementation of the ecosystem approach by developing countries, particularly the least developed and small island developing States, and countries with economies in transition, and encourages bilateral and multilateral donor agencies to apply the ecosystem approach in providing aid assistance.”

Decision IX/8: *Review of implementation of goals 2 and 3 of the Strategic Plan*

Decision IX/8, paragraph 9:

“Invites the Global Environment Facility, and urges Governments and other donors to provide adequate funding to developing countries, in particular the least developed countries and small island developing States, as well as countries with economies in transition, for the implementation and revision of national, and where appropriate, regional biodiversity strategies”

Decision IX/10: *Preparation of the third edition of the Global Biodiversity Outlook*

Decision IX/10, paragraph 4:

“Requests the Global Environment Facility and invites Parties, other Governments and donors, to make timely financial contributions for the preparation and production of the third edition of the Global Biodiversity Outlook and ancillary products. These funds should be provided as early as possible so that the Global Biodiversity Outlook can be finalized in advance of the tenth meeting of the Conference of the Parties, in all United Nations languages, and with a draft available for review at the fourteenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice”

Invasive alien
species

Ecosystem
approach

Ecosystem
approach

Reporting

Decision IX/11: *Review of implementation of Articles 20 and 21*

Decision IX/11, A, paragraph 3:

“Urges the Global Environment Facility to continue to mobilize co-financing and other modes of financing for its projects related to implementation of the Convention, and requests the Global Environment Facility to continue to leverage financial resources to support the Convention’s objectives”

Decision IX/11, A, paragraph 7:

“Urges Parties, the Global Environment Facility, and relevant organizations to include gender, indigenous peoples and local communities perspectives in the financing of biodiversity and its associated ecosystem services”

Decision IX/11, B, paragraph 4:

“Invites Parties to come forward with new and innovative financing mechanisms in support of the strategy for resource mobilization in accordance with Article 20 of the Convention, requests the Executive Secretary to support diffusion of such initiatives and requests the Global Environment Facility to support diffusion, and facilitate replication and scaling-up, of such initiatives that have proved to be successful”

Decision IX/11, Annex, paragraph 13:

“The Global Environment Facility, in collaboration with the Executive Secretary, is invited to consider how it can contribute to the implementation of the strategy for resource mobilization, and report back to the Conference of the Parties through the third meeting of the Working Group on Review of Implementation of the Convention, including consideration of a plan to address the strategy for resource mobilization, in consultation with the GEF implementing agencies”

Decision IX/13: *Article 8(j) and related provisions*

Decision IX/13, D, paragraph 3:

“Invites the financial mechanism of the Convention and other possible donors to provide funding for the development of national action plans for the retention of traditional knowledge relevant to the conservation and sustainable use of biological diversity”

Cofinancing

Gender

Innovative
financing and
resource
mobilization

Innovative
financing and
resource
mobilization

Article 8(J)

Decision IX/14: *Technology transfer and cooperation*

Decision IX/14, paragraph 17:

“Requests the Global Environment Facility to:

- (a) Provide support to developing country Parties in the preparation of national assessments of technology needs for implementation of the Convention;
- (b) Continue to support ongoing national programmes for the conservation and sustainable use of biodiversity through improved access to and transfer of technology and innovation;
- (c) Consider possibilities to provide funding under enabling activities for the provision of capacity-building, where needed, on, inter alia:
 - (i) Technologies for conservation and sustainable use;
 - (ii) Governance and regulatory frameworks associated with access and transfer of technology and innovation.

Decision IX/16: *Biodiversity and climate change*

Decision IX/16, B, paragraph 4:

“Requests the Executive Secretary to explore, inter alia, with the Global Environment Facility, ways and means to achieve biodiversity co-benefits and benefits for combating desertification/land degradation in climate-change activities, including through capacity-building, with a view to presenting a specific proposal to the Conference of the Parties at its tenth meeting”

Decision IX/18: *Protected Areas*

Decision IX/18, B, paragraph 1:

“Urges Parties, in particular developed country Parties, and invites other Governments and international financial institutions including the Global Environment Facility, the regional development banks and other multilateral financial institutions to provide the adequate, predictable and timely financial support, to developing country Parties, in particular the least developed countries and small island developing states as well as countries with economies in transition to enable the full implementation of the programme of work on protected areas”

Technology transfer and cooperation

(Reporting)

Protected areas

Decision IX/18, B, paragraph 4 (e): “Support a strong next replenishment for the Global Environment Facility, taking into account the goals and targets of the programme of work and the need for new and additional funding to support this work in developing countries, particularly the least developed and small island developing States among them, as well as countries with economies in transition”	(Replenishment)
Decision IX/18, B, paragraph 8: “Welcomes the UNDP/GEF project —Supporting Country Action on the CBD programme of work on protected areas^l and notes the limited access by countries in Africa region”	(Geographic consideration)
Decision IX/18, B, paragraph 9: “Invites the Global Environment Facility to: (a) Continue to provide, and facilitate easier access to financial resources for protected areas in the biodiversity focal area of the Global Environment Facility including projects such as the UNDP/GEF project —Supporting Country Action on the CBD programme of work on protected areas^l, so as to extend support to developing countries, small island developing States, least developed countries, and countries with economies in transition, taking into account the goals and targets set in the programme of work; (b) To consider support for proposals that demonstrate the role-protected areas play in addressing climate change; (c) To ensure that protected areas remain a priority of the Global Environment Facility for the foreseeable future.”	Processing and delivery systems BD and climate change Protected areas
Decision IX/26: <i>Promoting business engagement</i>	
Decision IX/26, paragraph 4: “Requests the Global Environment Facility, and invites Parties, other Governments, and relevant organizations to support capacity-building in developing countries, in particular the least developed and the small island developing States among them, and Parties with economies in transition, for engaging the business community in the implementation of the Convention”	Engagement of business

Decision IX/30: *Scientific and technical cooperation and the clearing-house mechanism*

Decision IX/30, paragraph 5:

“Urges the Global Environment Facility and other donors to continue to provide funding to developing country Parties, in particular the least developed countries and small island developing States, and countries with economies in transition, for the establishment and maintenance of their clearing-house mechanisms”

Clearing-House
mechanism

Decision IX/31: *Financial mechanism*

Decision IX/31, A, paragraph 1:

“Notes the reform measures introduced by the GEF to improve the efficiency, effectiveness and responsiveness of the financial mechanism”

(Processing and
delivery
systems)

Decision IX/31, A, paragraph 2:

“Decides to continue to explore ways and means to improve the effectiveness of providing guidance to the financial mechanism, including the four-year framework for programme priorities related to utilization of GEF resources for biodiversity, coinciding with replenishments of the Trust Fund of the GEF”

(General)

Decision IX/31, A, paragraph 3:

“Requests the Council of the GEF to take the following actions in order to improve the effectiveness of the financial mechanism:

(a) Improve results-based reporting on the total contribution of the GEF to achieving the objectives of the Convention, including the Facility's contribution to incremental-cost financing and leveraging co-financing

Reporting

(b) Report on implementation of the four-year framework for programme priorities related to utilization of GEF resources for biodiversity to the tenth meeting of the Conference of the Parties;

Reporting

(c) Enhance the role of the GEF in providing and leveraging resources for activities to achieve the Convention's objectives;

Resource
allocation

(d) Address capacity constraints in developing countries Parties, especially Small Island developing States and least developed countries, as well as countries with economies in transition with regard to the implementation of

Geographical
consideration

the Resource Allocation Framework;	
(e) Improve the project information system, including through data sets and web-based data tools, to increase the accessibility of project information and allow for better tracking against the guidance from the Conference of the Parties;	Reporting
(f) Promote exchange of experience and lessons learned in addressing sustainability of funded projects on biological diversity;	Sustainability
(g) Elaborate and transmit to the Conference of the Parties, well-summarized evaluation products and full evaluation reports relevant to biological diversity and to the guidance provided by the Conference of the Parties;	Review and evaluation
(h) Include in its regular report findings, conclusions and recommendations of all relevant evaluations of the GEF Evaluation Office”	Review and evaluation
Decision IX/31, A, paragraph 4: “Encourages the Executive Secretary, the Chief Executive Officer of the Global Environment Facility and the Director of the GEF Evaluation Office to continue to strengthen intersecretariat cooperation”	Review and evaluation
Decision IX/31, B, paragraph 1: “Encourages the Executive Secretary to maintain and strengthen the dialogue with the Chief Executive Officer of the Global Environment Facility with a view to enhancing the implementation of the guidance adopted by the Conference of the Parties during the fourth replenishment period of the Facility and onwards”	(General)
Decision IX/31, B, paragraph 2: “Encourages collaboration at national level between national focal points for the Convention, for related environmental agreements and for the Global Environment Facility, including through the projects supported by the Facility, and invites the Global Environment Facility to continue to promote such collaboration, including through regional and national workshops for the focal points”	General
Decision IX/31, B, paragraph 3: “Suggests the four-year framework of programme priorities, as annexed to the present decision, for consideration during the fifth replenishment of the Global Environment Facility Trust Fund, as related to utilization of Global Environment Facility resources for biodiversity for the period from 2010 to 2014”	(General)

Decision IX/31, B, paragraph 4:

“Acknowledges the GEF-4 strategy for biodiversity is a useful starting point for GEF-5 and requests GEF, for the fifth replenishment period, to build on the GEF-4 strategy based on the four-year framework of programme priorities in the annex to the present decision”

(General)

Decision IX/31, C, paragraph 1:

“Requests the Executive Secretary to identify obsolete, repetitive and overlapping guidance, and prepare an **updated compilation of the existing guidance to the financial mechanism**, which should incorporate all decisions related to the financial mechanism, as a working document three months prior to the third meeting of the Ad Hoc Open-ended Working Group on Review of Implementation”

(Guidance
Review)

Decision IX/31, C, paragraph 3:

“Decides, at its tenth meeting, to: (a) Consider the recommendations of the Working Group on Review of Implementation at its third meeting; (b) Consider requests for new guidance in light of the recommendations of the Working Group on Review of Implementation at its third meeting on streamlined guidance”

(Guidance
Review)

Decision IX/31, C, paragraph 4:

“Decides to provide the following additional guidance to the GEF in the provision of financial resources, in accordance with Article 20 and Article 21, paragraph 1 of the Convention and in conformity with decisions I/2, II/6, III/5, IV/13, V/13, VI/17, VII/20 and VIII/18 of the COP. In this regard, the GEF should provide financial resources to developing country Parties, taking into account the special needs of the least developed countries and the small island developing States amongst them, for country-driven activities and programmes, consistent with national priorities and objectives and in accordance with the mandate of the GEF, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries, and taking fully into consideration all relevant decisions from the COP”

Programme
priorities

Decision IX/31, C, paragraph 5:

“Requests the GEF, within its mandate, to consider the following guidance, submitted in its entirety in decision IV/5, paragraph 4, of the fourth meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety, noting that subparagraph (f) should be considered in the context of the programme priorities in the annex to decision IX/31 B, and to report back to the COP at its tenth meeting:

(a) Requests the GEF Evaluation Office to assess the impact of the Resource Allocation Framework on the implementation of the Protocol, and propose measures that can minimize potential resource limitations that may affect the implementation of the Protocol including measures that facilitate consideration of regional and subregional projects developed by the countries of the region;

(b) Urges the GEF to make financial resources available with a view to enable eligible Parties to prepare their national report;

(c) Urges the GEF to extend the UNEP-GEF Biosafety Clearing-House project, in its current form as a global project with a view to ensuring sustainability of national Biosafety Clearing-House nodes and providing more capacity-building support, with special attention to targeted stakeholders (e.g., customs departments and phytosanitary inspectors), and to provide additional funding for these activities from sources other than the Resource Allocation Framework (RAF) taking into consideration the global nature of the project;

(d) Invites the GEF, at the request of developing countries Governments, to provide financial and other support to enable universities and relevant institutions to develop and/or expand existing biosafety academic programmes and provide scholarships to students from developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition;

(e) Requests the GEF, to cooperate with and support developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, in their efforts to build their capacities in the area of sampling and detection of living modified organisms, including the setting up of laboratory facilities and training of local regulatory and scientific personnel;

Resource
allocation

National reports

Clearing-House
mechanism

Research and
training

Research and
training

(f) Requests the GEF to consider the following programme funding priority needs for biosafety during the period of its fifth replenishment (2010-2014), where appropriate, using the issue-specific approach and providing longer-term support for building, consolidating and enhancing sustainable human resource capacity: (i) Implementation of legal and administrative systems for notification procedures; (ii) Risk assessment and risk management; (iii) Implementation of enforcement measures including detection of living modified organisms; (iv) Implementation of liability and redress measures.”	Biosafety → <i>Cartagena Protocol</i>
Decision IX/31, C, paragraph 6: “Requests the Global Environment Facility to assist with the preparation of the Global Biodiversity Outlook, and invites Parties, other Governments and donors, to make timely financial contributions for the preparation and production of the third edition of the Global Biodiversity Outlook and ancillary products. These funds should be provided as early as possible so that the Global Biodiversity Outlook can be finalized in advance of the tenth meeting of the Conference of the Parties, in all United Nations languages, and with a draft available for review at the fourteenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice”	Reporting
Decision IX/31, C, paragraph 7: “Requests the Global Environment Facility to: (a) Provide support to developing country Parties in the preparation of national assessments of technology needs for implementation of the Convention; (b) Continue to support ongoing national programmes for the conservation and sustainable use of biodiversity through improved access to and transfer of technology and innovation; (c) Consider possibilities to provide funding under enabling activities for the provision of capacity-building, where needed, on, inter alia: (i) Technologies for conservation and sustainable use; (ii) Governance and regulatory frameworks associated with access and transfer of technology and innovation”	Technology cooperation and transfer
Decision IX/31, C, paragraph 8: “Urges the Global Environment Facility and other donors to continue to provide funding to developing country Parties, in particular the least developed countries and small island developing States among them, and countries with economies in transition, for the establishment and updating of their clearing-house mechanisms”	Clearing-House mechanism

Decision IX/31, C, paragraph 9: “Requests the Global Environment Facility, and urges Governments and other donors to provide funding to developing countries, in particular the least developed countries and small island developing States among them, as well as countries with economies in transition, for the revision and implementation, through projects, of national, and where appropriate, regional biodiversity strategies”	BD planning
Decision IX/31, C, paragraph 10: “Invites the Global Environment Facility, in accordance with its mandate, and other funding institutions and development agencies to provide financial support for the implementation of the ecosystem approach by developing countries, particularly the least developed and small island developing States, and countries with economies in transition, and encourages bilateral and multilateral donor agencies to apply the ecosystem approach in providing aid assistance”	Ecosystem Approach
Decision IX/31, C, paragraph 11: “Requests the GEF, and invites Parties, other Governments, and relevant organizations to support capacity-building in developing countries, in particular the least developed and the small island developing States and Parties with economies in transition, for engaging the business community in the implementation of the Convention”	Engagement of business
Decision IX/31, C, paragraph 12: “Reiterates its invitation to the Global Environment Facility, Parties, other Governments and funding organizations to provide adequate and timely financial support to enable the Global Invasive Species Programme to fulfill the tasks outlined in many of its decisions”	Invasive alien species
Decision IX/31, C, paragraph 13: “Urges Parties, in particular developed country Parties, and invites other Governments and international financial institutions including the Global Environment Facility, the regional development banks and other multilateral financial institutions to provide the adequate, predictable and timely financial support, to developing country Parties, in particular the least developed countries and small island developing states as well as countries with economies in transition, to enable the full implementation of the programme of work on protected areas”	Protected Areas

Decision IX/31, C, paragraph 14: “Invites the Global Environment Facility to: (a) Continue to provide, and facilitate easier access to financial resources for protected areas in its biodiversity focal area including projects such as the UNDP/GEF project "Supporting Country Action on the CBD programme of work on protected areas", so as to extend support to developing countries, in particular the small island developing States and least developed countries among them, and countries with economies in transition, taking into account the goals and targets set in the programme of work; (b) To consider support for proposals that demonstrate the role-protected areas play in addressing climate change. (c) To ensure that protected areas remain a priority of the Global Environment Facility for the foreseeable future”	Processing and delivery systems Climate change and BD Protected areas
COP-10: Nagoya, Japan, 18 - 29 October 2010	
Decision X/1: Access to genetic resources and the fair and equitable sharing of benefits arising from their utilization Decision X/1, Annex I - NAGOYA PROTOCOL, Article 25, paragraph 2: “The financial mechanism of the Convention shall be the financial mechanism for this Protocol.” Decision X/1, Annex I - NAGOYA PROTOCOL, Article 25, paragraph 5: “The guidance to the financial mechanism of the Convention in relevant decisions of the Conference of the Parties, including those agreed before the adoption of this Protocol, shall apply, mutatis mutandis, to the provisions of this Article.”	General General

Decision X/2: *The Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets*

Decision X/2, paragraph 9:

“Recalling its “Four-year framework of programme priorities related to utilization of GEF resources for biodiversity for the period from 2010 to 2014” proposed in decision IX/31 and noting that objective 5 of the GEF-5 Biodiversity Focal Area Strategy is to “Integrate CBD obligations into national planning processes through enabling activities”, requests the Global Environment Facility to provide support to eligible Parties in a expeditious manner, for revising their national biodiversity strategies and action plans in line with the Strategic Plan for Biodiversity 2011-2020”

BD planning

Decision X/2, paragraph 11:

“Requests the Global Environment Facility, to provide adequate, timely and predictable financial support to eligible countries to enable the implementation of the Strategic Plan for Biodiversity 2011-2020”

BD planning

Decision X/3: *Strategy for resource mobilization in support of the achievement of the Convention’s three objectives*

Decision X/3, paragraph 4:

“Requests the Global Environment Facility to provide timely and adequate financial support for updating national biodiversity strategies and action plans, which may include the development of country-specific resource mobilization strategies”

Innovative
financing and
resource
mobilization

Decision X/5: *Strategy for resource mobilization in support of the achievement of the Convention’s three objectives*

Decision X/5, paragraph 4:

“Requests the Global Environment Facility to provide adequate and timely financial support for the updating of national biodiversity strategies and action plans and related enabling activities, and requests the Global Environment Facility and its implementing agencies to ensure that procedures are in place to ensure an expeditious disbursement of funds”

BD planning

Decision X/6: *Integration of biodiversity into poverty eradication and development*

Decision X/6, paragraph 10:

“In accordance with Article 20 of the Convention, invites developed country Parties, other Governments and donors, and the financial mechanism to provide financial and technical support to developing countries, in particular the least developed countries and small island developing States, as well as countries with economies in transition, to further develop approaches on the integration of biodiversity into poverty eradication and development processes”

Decision X/7: *Examination of the outcome-oriented goals and targets and associated indicators and consideration of their possible adjustment for the period beyond 2010*

Decision X/7, paragraph 7:

“Requests the Global Environment Facility to provide support to respond to the capacity needs of eligible Parties in developing national targets and monitoring frameworks and to enable the Biodiversity Indicators Partnership to pursue the further development of global headline indicators”

Decision X/10: *National reporting*

Decision X/10, paragraph 5:

“Requests the Global Environment Facility to provide adequate and timely financial support for the preparation of the fifth and future national reports, and further requests the Global Environment Facility and its implementing agencies to ensure that procedures are in place to ensure an early and expeditious disbursement of funds”

Decision X/15: *Scientific and technical cooperation and the clearing-house mechanism*

Decision X/15, paragraph 4:

“Requests that the Executive Secretary and the Global Environment Facility cooperate to facilitate access to funding for the clearing-house mechanism as a key component to support the implementation of the Strategic Plan for Biodiversity 2011-2020, as well as the implementation of national biodiversity strategies and action plans”

Development
activities

Identification,
Monitoring,
Indicators

National reports

Clearing-House
mechanism

Decision X/16: *Technology transfer and cooperation*

Decision X/16, paragraph 3 (c):

“Invites funding institutions, including the Global Environment Facility, to provide financial support to the preparation of such technology needs assessments”

Technology transfer and cooperation

Decision X/17: *Consolidated update of the Global Strategy for Plant Conservation 2011-2020*

Decision X/17, paragraph 5:

“Invites Parties, other Governments, the financial mechanism, and funding organizations to provide adequate, timely and sustainable support to the implementation of the Strategy, especially by developing country Parties, in particular the least developed countries and small island developing States, as well as Parties with economies in transition”

Species conservation

Decision X/23: *Multi-Year Plan of Action for South-South Cooperation on Biodiversity for Development*

Decision X/23, paragraph 7:

“Invites the Global Environment Facility (GEF) to consider establishing a South-South biodiversity cooperation trust fund for the implementation of the Strategic Plan for Biodiversity 2011-2020 based on voluntary contributions”

South-South cooperation

Decision X/24: *Review of guidance to the financial mechanism*

Decision X/24, paragraph 4:

“Decides that guidance to the financial mechanism, for a specific replenishment period, consists of a consolidated list of programme priorities that defines what to be financed, and an outcome-oriented framework, taking into account the Strategic Plan for Biodiversity 2011-2020, including its Aichi Biodiversity Targets and associated indicators”

(Review of guidance)

ANNEX: CONSOLIDATED GUIDANCE TO THE FINANCIAL MECHANISM OF THE CONVENTION

Decision X/25: Additional guidance to the financial mechanism

Decision X/25, paragraph 1:

“Decides to provide the following additional guidance to the Global Environment Facility in the provision of financial resources, in accordance with Article 20 and Article 21, paragraph 1 of the Convention and in conformity with the previous decisions of the Conference of the Parties, as consolidated in decision X/24. In this regard, the Global Environment Facility should provide financial resources to developing country Parties, in particular least developed countries, small island developing States, and countries that are most environmentally vulnerable, as well as Parties with economies in transition, for country-driven activities and programmes, consistent with national priorities and objectives and in accordance with the mandate of the Global Environment Facility, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries, and taking fully into consideration of the consolidated guidance to the financial mechanism and other relevant decisions from the Conference of the Parties”

Decision X/25, paragraph 2:

“Requests the Global Environment Facility to provide adequate and timely financial support for the updating of national biodiversity strategies and action plans and related enabling activities, and requests the Global Environment Facility and its implementing agencies to ensure that procedures are in place to ensure an expeditious disbursement of funds”

Decision X/25, paragraph 3:

“Recalling its “Four-year framework of programme priorities related to utilization of GEF resources for biodiversity for the period from 2010 to 2014” proposed in decision IX/31 and noting that objective 5 of the GEF-5 Biodiversity Focal Area Strategy is to “Integrate CBD obligations into national planning processes through enabling activities”, requests the Global Environment Facility to provide support to eligible Parties in a expeditious manner, for revising their national biodiversity strategies and action plans in line with the Strategic Plan for Biodiversity 2011-2020”

General

BD planning

BD planning

Decision X/25, paragraph 4: “Urges Parties, in particular developed country Parties, and invites other Governments and international financial institutions, the Global Environment Facility, regional development banks, and other multilateral financial institutions to provide adequate, predictable and timely financial support to eligible country Parties to enable the full implementation of the Strategic Plan for Biodiversity 2011-2020, and reiterate that the extent to which developing country Parties will effectively implement their commitments under this Convention will depend on the effective implementation by developed country Parties”	BD planning
Decision X/25, paragraph 5: “In accordance with Article 20 of the Convention, invites developed country Parties, other Governments and donors, and the financial mechanism to provide financial and technical support to eligible countries to further develop approaches on the integration of biodiversity into poverty eradication and development processes”	Development activities
Decision X/25, paragraph 6: “Requests the Global Environment Facility to provide timely and adequate financial support to updating national biodiversity strategies and action plans, which may include the development of country-specific resource mobilization strategies”	Innovative financing and resource mobilization
Decision X/25, paragraph 7: “Further recognizing that taxonomic capacity is crucial for the implementation of all relevant articles and work programmes of the Convention and that the taxonomic capacity to inventory and monitor biodiversity, including the use of new technologies, such as DNA barcoding and other relevant information technology is not adequate in many parts of the world, requests the Global Environment Facility (GEF) and invites Parties, other Governments, and other international and funding organizations to continue to provide funding for GTI proposals”	Taxonomy
Decision X/25, paragraph 8: “Requests the Global Environment Facility to provide support to respond to the capacity needs of eligible Parties in developing national targets and monitoring frameworks in the context of updating their national biodiversity strategies and action plans”	Identification, Monitoring, Indicators

Decision X/25, paragraph 9: “Invites Parties, other Governments, and funding organizations to provide adequate, timely and sustainable support to the implementation of the Global Strategy for Plant Conservation, especially by eligible countries; and invites the financial mechanism to consider strengthening the Global Strategy for Plant Conservation in its country-driven activities”	Species conservation
Decision X/25, paragraph 10: “Recalling paragraph 1 of its decision IX/18 B, further urges Parties, in particular developed country Parties, and invites other Governments and international financial institutions including the Global Environment Facility, the regional development banks, and other multilateral financial institutions to provide the adequate, predictable and timely financial support, to eligible countries to enable the full implementation of the programme of work on protected areas”	Protected areas
Decision X/25, paragraph 11: “Urges the Global Environment Facility and its Implementing Agencies to streamline their delivery for expeditious and proportionate disbursement and to align the projects to national action plans for the programme of work on protected areas for appropriate, focused, sufficient and harmonious interventions of projects”	Processing and delivery system
Decision X/25, paragraph 12: “Invites the Global Environment Facility, international funding institutions and development agencies and relevant non-governmental organizations, where requested, and in accordance with their mandates and responsibilities, to consider providing assistance to indigenous and local communities, particularly women, to raise their awareness and to build capacity and understanding of the elements of the code of ethical conduct”	Article 8 (j)
Decision X/25, paragraph 13: “Invites the Global Environment Facility to provide financial support to Parties to assist with the early ratification of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity and its implementation”	Access and benefit-sharing

Decision X/25, paragraph 14: “Recalling the importance, as underlined in the preamble to decision VIII/12, of developing specific approaches to technology transfer and technological and scientific cooperation to address the prioritized needs of countries based on the priorities in national biodiversity strategies and action plans and to link technology needs assessments to those priorities, while avoiding non-specific, global approaches to this issue, invites funding institutions, including the Global Environment Facility, to provide financial support to the preparation of such technology needs assessments”	Technology transfer and cooperation
Decision X/25, paragraph 15: “Requests that the Executive Secretary and the Global Environment Facility cooperate to facilitate access to funding for the clearing-house mechanism as a key component to support the implementation of the Strategic Plan for Biodiversity 2011-2020, as well as the implementation of national biodiversity strategies and action plans”	Clearing-House mechanism
Decision X/25, paragraph 16: “Invites the Global Environment Facility (GEF) to consider establishing a South-South biodiversity cooperation trust fund for the implementation of the Strategic Plan for Biodiversity 2011-2020 based on voluntary contributions”	South-South cooperation
Decision X/25, paragraph 17: “Requests the Global Environment Facility to provide adequate and timely financial support for the preparation of the fifth and future national reports, and further requests the Global Environment Facility and its implementing agencies to ensure that procedures are in place to ensure an early and expeditious disbursement of funds”	National reports
Decision X/25, paragraph 18/19: 18. “Invites the Global Environment Facility and other donors and funding agencies, as appropriate, to consider extending support for capacity-building to eligible countries, in order to implement decision X/29, and in particular, with respect to the invitation in paragraph 38 of decision X/29”	Marine and coastal BD

19. “Invites the Global Environment Facility and other donors and funding agencies as appropriate to extend support for capacity-building to eligible countries, in order to identify ecologically or biologically significant and/or vulnerable marine areas in need of protection, as called for in paragraph 18 of decision IX/20 and develop appropriate protection measures in these areas, within the context of paragraphs 36 and 37 of decision X/29”

Decision X/25, paragraph 20:

“Urges the Global Environment Facility to:

- (a) Continue to implement all previous guidance to the financial mechanism with respect to biosafety;
- (b) Consider, in the context of the replenishment process for GEF-6, supporting the implementation of the Protocol within the System for Transparent Allocation of Resources (STAR) by defining specific quotas for biosafety for each country, on the basis of the second national reports on the implementation of the Protocol;
- (c) Make available, in a timely manner, financial resources to eligible Parties to facilitate the preparation of their second national reports under the Cartagena Protocol on Biosafety;
- (d) Expand its support for capacity-building for effective participation in the Biosafety Clearing-House to all eligible Parties to the Protocol and to submit a report for consideration of the sixth meeting of the Parties to the Protocol;
- (e) Ensure the inclusion of biosafety-related elements in the terms of reference for national capacity self-assessments (NCSAs) and other capacity assessment initiatives carried out with GEF funding;
- (f) Ensure that identification requirements of paragraph 2 (a) of Article 18 and related decisions are taken into account in activities carried out with GEF funding;
- (g) Ensure that the programme of work on public awareness, education and participation concerning the safe transfer, handling and use of living modified organisms is taken into account in activities carried out with GEF funding;
- (h) Make funds available to eligible Parties in a facilitated manner and to monitor, as appropriate, the expeditious accessibility to those funds”

Biosafety →
Cartagena
Protocol

Decision X/25, paragraph 21:

“Invites the Global Environment Facility to consult with the Executive Secretary on ways and means to better inform its Implementing Agencies about decisions made by the Conference of the Parties on biodiversity and climate change, especially those related to enhancing cooperation between the Rio conventions, in order to facilitate the Parties efforts pursuant to such decisions”

Climate change
and BD

Decision X/25, paragraph 22:

“Requests the Executive Secretary, subject to the availability of financial resources to:

(a) In collaboration with the Global Environment Facility, identify indicators to measure and facilitate reporting on the achievement of social, cultural and economic benefits for biodiversity, climate change and combating desertification/land degradation;

(b) In collaboration with the Global Environment Facility and its Implementing Agencies, develop tools to evaluate and reduce the negative impacts of climate change mitigation and adaptation activities on biodiversity based on, inter alia, existing frameworks to analyse the potential environmental and cross-sectoral impacts of projects and the environmental safeguard policies in place within the Global Environment Facility Implementing Agencies.

Climate change
and BD

Decision X/26: *The financial mechanism: assessment of the amount of funds needed for the implementation of the Convention for the sixth replenishment period of the Global Environment Facility Trust Fund*

Decision X/26, paragraph 5:

“Decides to transmit to the Global Environment Facility the assessment of the amount of funds, as determined by the eleventh meeting of the Conference of the Parties, that are necessary to assist developing countries and countries with economies in transition, in accordance with the guidance provided by the Conference of the Parties, in fulfilling their commitments under the Convention over the sixth GEF replenishment cycle, for consideration by the Global Environment Facility, so that the Facility will in its regular report to the Conference of Parties indicate how it has responded during the replenishment cycle to the previous assessment by the Conference of the Parties.”

Policy and
Strategy

Decision X/29: *Marine and coastal biodiversity*

Decision X/29, paragraph 20:

“Invites the Global Environment Facility and other donors and funding agencies, as appropriate, to consider extending 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 implement the present decision, and in particular:

- (a) With respect to the invitation in paragraph 38 of this decision;
- (b) To facilitate the participation in targeted research schemes called for in paragraphs 10 and 48 of the present decision, and including those promoted by the International Seabed Authority; and
- (c) To support initiatives identified in paragraphs 74 and 76 of the present decision.”

Decision X/29, paragraph 38:

“Invites the Global Environment Facility and other donors and funding agencies, as appropriate, 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 identify ecologically or biologically significant and/or vulnerable marine areas in need of protection, as called for in paragraph 18 of decision IX/20 and develop appropriate protection measures in these areas, within the context of paragraphs 36 and 37”

Decision X/31: *Protected areas*

Decision X/31, B, paragraph 9:

“Recalling paragraph 1 of its decision IX/18 B, further urges Parties, in particular developed country Parties, and invites other Governments and international financial institutions including the Global Environment Facility, the regional development banks, and other multilateral financial institutions to provide the adequate, predictable and timely financial support, to developing country Parties, in particular the least developed countries and small island developing States, as well as countries with economies in transition, to enable the full implementation of the programme of work on protected areas”

Marine and
coastal BD

Marine and
coastal BD

Protected areas

Decision X/31, B, paragraph 13:

“Urges the Global Environment Facility and its Implementing Agencies to streamline their delivery for expeditious and proportionate disbursement and to align the projects to national action plans for the programme of work on protected areas for appropriate, focused, sufficient and harmonious interventions and continuity of projects”

Decision X/33: *Biodiversity and climate change***Decision X/33, paragraph 6:**

“Invites the Global Environment Facility to consult with the Executive Secretary on ways and means to better inform its Implementing Agencies about decisions made by the Conference of the Parties on biodiversity and climate change, especially those related to enhancing cooperation between the Rio conventions, in order to facilitate the Parties efforts pursuant to such decisions”

Decision X/33, paragraph 16 (c)-(d):

“(c) In collaboration with the Global Environment Facility, to identify indicators to measure and facilitate reporting on the achievement of social, cultural and economic benefits for biodiversity, climate change and combating desertification/land degradation;

(d) In collaboration with the Global Environment Facility and the its Implementing Agencies, to develop tools to evaluate and reduce the negative impacts of climate change mitigation and adaptation activities on biodiversity based on, inter alia, existing frameworks to analyse the potential environmental and cross-sectoral impacts of projects and the environmental safeguard policies in place within the Implementing Agencies of the Global Environment Facility”

Decision X/39: *Global Taxonomy Initiative***Decision X/39, paragraph 13:**

“Further recognizing that taxonomic capacity is crucial for the implementation of all relevant articles and work programmes of the Convention and that the taxonomic capacity to inventory and monitor biodiversity, including the use of new technologies, such as DNA barcoding and other relevant information technology is not adequate in many parts of the world, invites the Global Environment Facility, Parties, other Governments, and other international and funding organizations to put higher priority for funding to GTI proposals”

Processing and
delivery system

Climate change
and BD

Climate change
and BD

Taxonomy

Decision X/42: *The Tkarihwaie:ri Code of Ethical Conduct to Ensure Respect for the Cultural and Intellectual Heritage of Indigenous and Local Communities*

Decision X/42, paragraph 6:

“Invites the Global Environment Facility, international funding institutions and development agencies and relevant non-governmental organizations, where requested, and in accordance with their mandates and responsibilities, to consider providing assistance to indigenous and local communities, particularly women, to raise their awareness and to build capacity and understanding of the elements of the code of ethical conduct.”

Gender

Article 8 (j)

II. UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE (UNFCCC)

1. Classification of UNFCCC COP guidance in main themes

Theme	Brief description
I. OVERALL	
General	Overarching guidance; role of the financial mechanism; overall strategy
<i>LDCF general</i>	Overarching guidance for LDCF
<i>SCCF general</i>	Overarching guidance for SCCF
<i>AF general</i>	Overarching guidance for AF
Funding principles	General principles for funding decisions: country drivenness, compatibility with national agenda etc.
<i>LDCF – Funding principles</i>	LDCF principles for funding decisions
<i>SCCF – Funding principles</i>	SCCF principles for funding decisions
Eligibility Criteria	Countries' eligibility to receive funding (developing countries)
II. AREAS OF ENGAGEMENT	
Funding priorities (general)	Guidance referring to general funding priorities or larger set of priorities
<i>Research and systematic observation</i>	Items linked to Article 5 of the convention; incl. scientific information, monitoring infrastructure etc.
<i>Education, training and public awareness</i>	Items linked to Article 6 of the convention; includes New Delhi Work Program (CP.8)
<i>National communications</i>	Items linked to Article 12 of the convention; refers to support of the preparation and formulation of NCs
<i>National communications follow-up</i>	Guidance on GEF support to follow-up activities/projects based directly on the National Communications
<i>National programs & planning</i>	Guidance on GEF support to formulation and implementation of national CC programs and policy planning
<i>Capacity Development</i>	Guidance on the support of endogenous capacity development including institutional capacity
<i>Technology transfer and TNAs</i>	Provisions for GEF support for TT activities; Technology Needs Assessment formulation and follow-up

<i>Response measure impacts</i>	Guidance referring to the impact of CCM measures on fossil fuel dependent economies
<i>Carbon capture and storage</i>	Specific guidance on CCS
<i>LULUCF</i>	Specific guidance on LULUCF
<i>Energy efficiency</i>	Specific guidance on energy efficiency
<i>Biennial update report</i>	GEF support to the Biennial update report
<i>Technology Mechanism</i>	GEF's role and responsibilities regarding the Technology Mechanism
<i>Green Climate Fund</i>	GEF's role and responsibilities regarding the Green Climate Fund
CCA funding priorities (general)	Overarching and/or summarizing guidance on CCA priorities
<i>CCA - Preparation activities (stage II)</i>	Guidance on preparation activities for CCA implementation incl. pilots/demonstrations
<i>CCA - Disaster management</i>	General guidance on supporting disaster management (also see SCCF below)
LDCF – Funding priorities (general)	Overarching and/or summarizing guidance on LDCF priorities
<i>LDCF - National Adaptation Programs of Action (NAPAs)</i>	Guidance on LDCF support for formulation and preparation of NAPAs
<i>LDCF – LDC work program</i>	Guidance on LDCF support for the implementation of the LDC work program
<i>LDCF - National Adaptation Plans (NAPs)</i>	Guidance on LDCF support for formulation and preparation of NAPs
SCCF – Funding priorities (general)	Overarching and/or summarizing guidance on SCCF priorities
<i>SCCF - Adaptation overall (SCCF-A)</i>	Guidance on SCCF funding window A - Adaptation
<i>SCCF - Health</i>	Specific guidance on CCA and health
<i>SCCF – Disaster management</i>	Specific guidance on CCA and disaster management
<i>SCCF - Technology transfer (SCCF-B)</i>	Guidance on SCCF funding window B – Technology transfer
<i>SCCF - Sectors (SCCF-C)</i>	Guidance on SCCF funding window C – Sector specific activities
<i>SCCF - Diversification (SCCF-D)</i>	Guidance on SCCF funding window D – Diversification in fossil fuel dependent countries
III. OPERATIONAL ISSUES	
Reporting	Provisions and guidelines on GEF reporting to the COP incl. priority topics for reporting, procedures, etc
<i>LDCF reporting</i>	Provisions and guidelines on LDCF reporting to the COP
<i>SCCF reporting</i>	Provisions and guidelines on SCCF reporting to the COP
Resource mobilization	GEF's role in mobilizing resources from COP parties
Resource allocation	Guidance on resource allocation framework (RAF)

Resource approval and disbursement	Effectiveness, efficiency of project cycle, resource disbursement etc
<i>SCCF Resource approval and disbursement</i>	SCCF project cycle etc.
<i>LDCF Resource approval and disbursement</i>	LDCF project cycle etc.
Implementation of COP guidance	Pointers on implementation of COP guidance by the GEF
Incremental costs	Apply incremental cost principle more flexible, pragmatic, transparent
Geographical consideration	Specific guidance on support to specific country groups (SIDS, LDCs)
Knowledge management	Guidance on use of lessons learned for future funding strategies
Dialogue with COP secretariat	Guidance on communication and cooperation with COP secretariat
Dialogue with GEF agencies	Guidance on communication and cooperation with GEF agencies
Dialogue with countries	Guidance on communication and cooperation with COP parties, especially recipient countries

2. Quantitative summary of UNFCCC COP guidance

- One “item” of guidance is defined as a distinguishable piece of information within a COP decision, usually a paragraph or sub-paragraph.

A) Amount of guidance per COP per themes

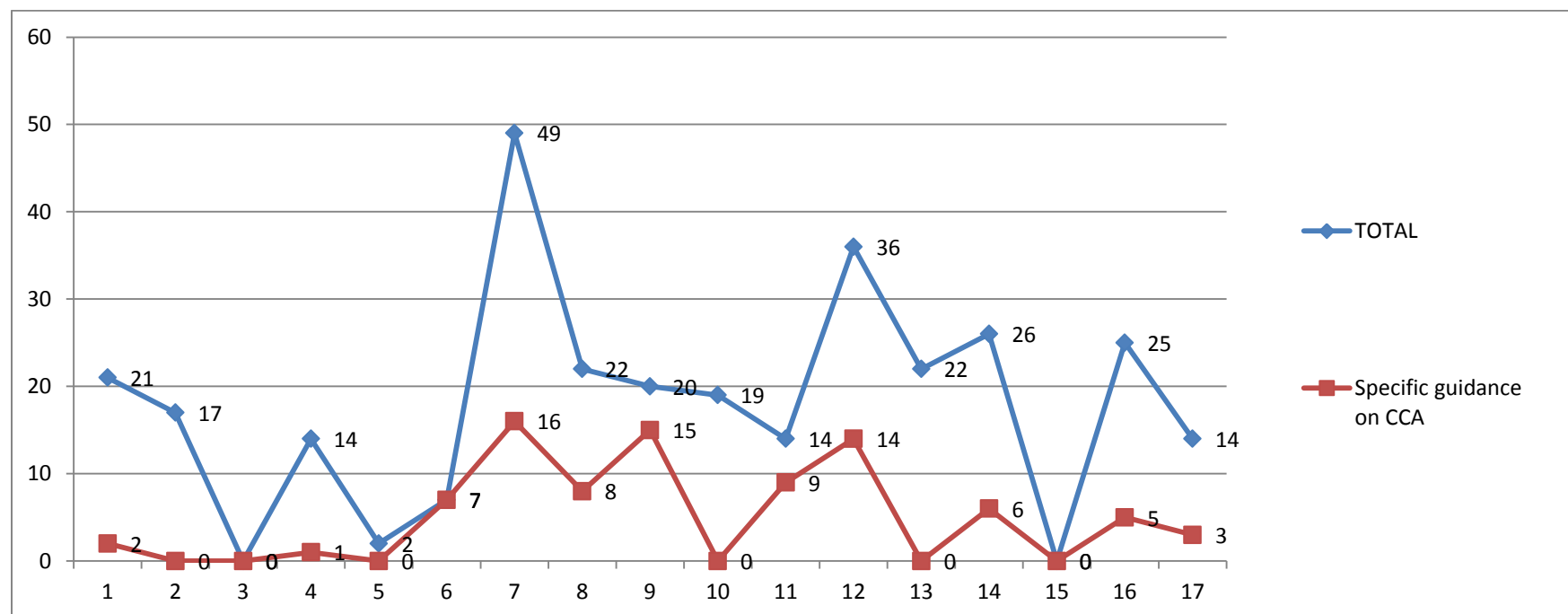
<i>Theme</i>	<i>CO P-1</i>	<i>CO P-2</i>	<i>CO P-3</i>	<i>CO P-4</i>	<i>CO P-5</i>	<i>COP -6</i>	<i>CO P-7</i>	<i>CO P-8</i>	<i>CO P-9</i>	<i>CO P-10</i>	<i>CO P-11</i>	<i>COP -12</i>	<i>CO P-13</i>	<i>CO P-14</i>	<i>CO P-15</i>	<i>CO P-16</i>	<i>COP -17</i>	<i>TOTAL</i>
I. OVERALL																		
General	1	3		1								1						6
<i>LDCF general</i>						1	1											2
<i>SCCF general</i>						2	1											3
<i>AF general</i>							1											1
Funding principles (general)	7	3					3	1					1			2		17
CCA funding principles	1			1														2
<i>LDCF – Funding principles</i>								4	1		7							12

<i>SCCF – Funding principles</i>								2			1						3
Eligibility Criteria	1																1
II. FUNDING PRIORITIES																	
Funding priorities (general)	1												1		1	1	4
<i>Research and systematic observation</i>				1			7		1	1							10
<i>Education, training and public awareness</i>	2			1			5	2	1	3		1	2			2	19
<i>National communications</i>		3		2	2		1	1	1	2	1	2	5	4		4	28
<i>National communications follow-up</i>							1				1		1	2		1	6
<i>National programs & planning</i>	3			1			2								1	1	8
<i>Capacity Development</i>	1	1		1			3	1	1	6		3		1		1	19
<i>Technology transfer and TNAs</i>				1			1	1				3	5	3			14
<i>Response measure impacts</i>										2							2
<i>Carbon Capture and Storage</i>											1						1
<i>LULUCF</i>												1					1
<i>Energy efficiency</i>												1					1
<i>Biennial update report</i>																3	3
<i>Technology Mechanism</i>																2	2
<i>Green Climate Fund</i>																1	1
CCA funding priorities (general)	1					2						1				1	5

<i>CCA preparation activities (stage II)</i>							3											3
<i>CCA disaster preparedness</i>							3											3
<i>LDCF – Funding priorities (general)</i>						1	2				1					1		5
<i>LDCF - National Adaptation Programs of Action (NAPAs)</i>								3	1					2		2		8
<i>LDCF - LDC work program</i>													1					1
<i>LDCF - National Adaptation Plans (NAPs)</i>																	3	3
<i>SCCF – Funding priorities (general)</i>						1	2											3
<i>SCCF - Adaptation overall (SCCF-A)</i>									2									2
<i>SCCF - Health</i>							1		1									2
<i>SCCF - Disaster management</i>							2		2									4
<i>SCCF - Technology transfer (SCCF-B)</i>									2									2
<i>SCCF - Sectors (SCCF-C)</i>												5						5
<i>SCCF - Diversification (SCCF-D)</i>												5						5
III. OPERATIONAL ISSUES																		
Reporting & provision of additional information	1	4		1			3	4	1	4	2	3	3	3		2	2	33
<i>LDCF reporting</i>								1	1		1			1		1		5
<i>SCCF reporting</i>									1			1						2

Resource mobilization	1	1								1		1	1	1				6
<i>SCCF Resource mobilization</i>									1			1						2
<i>LDCF Resource mobilization</i>														1				1
Resource allocation												1		1		1		3
Resource approval and disbursement		1		3			5	2				1				4		16
<i>SCCF Resource approval and disbursement</i>										1								1
<i>LDCF Resource approval and disbursement</i>														1				1
Implementation of COP guidance								1				1				1		3
Incremental costs	1							1					1					3
Geographical consideration												2		1				3
Knowledge management													1			1		2
Dialogue with COP secretariat		1																1
Dialogue with GEF agencies				1			2						1	3				7
Dialogue with countries												1	1					2
TOTAL	21	17	0	14	2	7	49	22	20	19	14	36	22	26	0	25	14	308
Specific CCA guidance	2	0	0	1	0	7	16	8	15	0	9	14	0	6	0	5	3	86

B) Overall amount of guidance per COP



C) Chronology: First COP mentioning of different funding priorities

Theme	CO P-1	CO P-2	CO P-3	CO P-4	CO P-5	CO P-6	CO P-7	CO P-8	CO P-9	CO P-10	CO P-11	CO P-12	CO P-13	CO P-14	CO P-15	CO P-16	CO P-17
Education, training and	X																
National programs &	X																
Capacity Development	X																
CCA funding priorities	X																
National communications		X															
Research and observation				X													
Technology transfer and				X													

LDCF – Funding priorities (general)						X											
SCCF – Funding priorities (general)						X											
National communications follow-up							X										
CCA preparation activities (stage II)							X										
CCA disaster preparedness							X										
SCCF - Health							X										
SCCF - Disaster							X										
LDCF - NAPAs								X									
SCCF - Adaptation overall (SCCF-A)									X								
SCCF - Technology transfer (SCCF-B)									X								
Response measure impacts										X							
Carbon Capture and Storage											X						
SCCF - Sectors (SCCF-C)												X					
SCCF - Diversification (SCCF-D)												X					
LULUCF												X					
Energy efficiency												X					
LDCF - LDC work														X			
Biennial update report																	X
Technology Mechanism																	X
Green Climate Fund																	X
LDCF - NAPs																	X

3. Comprehensive collection of UNFCCC COP guidance to the GEF

NOTE: Guidance that is relevant to the GEF, but does not address the GEF itself (e.g. guidance to GEF agencies on implementation of GEF projects) are **in parenthesis**; these are not counted as *COP guidance to the GEF* and therefore not included in the quantitative overview in section 2 above (“Quantitative summary of UNFCCC COP guidance”).

COP DECISION	Theme
COP-1: Berlin, Germany, 28 March – 7 April 1995	21 items
Decision 5/CP.1: Activities implemented jointly under the pilot phase Decision 5/CP.1, paragraph 1 (e): “Decides [...]: (e) That the financing of activities implemented jointly shall be additional to the financial obligations of Parties included in Annex II to the Convention within the framework of the financial mechanism as well as to current official development assistance (ODA) flows;” Decision 6/CP.1: The subsidiary bodies established by the Convention Annex I: Functions to be carried out by the Subsidiary Body for Scientific and Technological Advice under the guidance of the Conference of the Parties and drawing upon existing competent international bodies Decision 6/CP.1, Annex I, A, paragraph 3 (b): “(b) Provide advice on the latest, and future, technologies mentioned above, their effects, their relative feasibility in different circumstances and their relevance to programme priorities of the financial mechanism, taking into account relevant advice to the Conference of the Parties from the Subsidiary Body for Implementation;”	(Financial resources) (SBSTA functions)

Decision 6/CP.1, Annex I, A, paragraph 5 (b):

“(b) Seek information and provide advice on methodological questions in support of the guidance to be provided by the Conference of the Parties to the financial mechanism, and guidelines in the application of the concept of "agreed full incremental cost"

(SBSTA functions)

Decision 6/CP.1, Annex I, B, paragraph 3 (a):

“(a) Advise the Conference of the Parties on the policies, eligibility criteria and programme priorities related to the financial mechanism, as well as on transfer of technology in the light of the reviews and assessments carried out under Article 10.2(a), taking into account relevant advice from the SBSTA and, if so requested by the Conference of the Parties:

(SBSTA functions)

(i) Review the financial mechanism and advise on appropriate measures;

(ii) Consider reports from the operating entity or entities of the financial mechanism on activities related to climate change;

(iii) Make recommendations related to the arrangements for the operational linkages between the Conference of the Parties and the operating entity or entities”

Decision 6/CP.1, Annex II, B, paragraph 2:

“Consider the report from the operating entity or entities of the financial mechanism; and make recommendations thereon to the Conference of the Parties;”

(SBSTA functions)

Decision 6/CP.1, Annex II, B, paragraph 3:

“Further elaborate policies, programme priorities and eligibility criteria for the financial mechanism and provide assistance to the Conference of the Parties.”

(SBSTA functions)

Decision 9/CP.1: Maintenance of the interim arrangements referred to in Article 21, paragraph 3, of the Convention

Decision 9/CP.1, paragraph 1:

“Decides that the restructured GEF shall continue, on an interim basis, to be the international entity entrusted with the operation of the financial mechanism referred to in Article 11 of the Convention;”

General

Decision 9/CP.1, paragraph 2:

“Decides, in accordance with Article 11.4 of the Convention, to review the financial mechanism within four years and take appropriate measures, including a determination of the definitive status of the GEF in the context of the Convention.”

(Review)

Decision 10/CP.1: Arrangements between the Conference of the Parties and the operating entity or entities of the financial mechanism

Decision 10/CP.1, paragraph 1:

“Takes note of the elements for inclusion in arrangements between the Conference of the Parties and an operating entity or entities of the financial mechanism presented in the note by the interim secretariat, contained in document A/AC.237/87, including comments made on relevant paragraphs at the eleventh session of the Committee;”

(General)

Decision 10/CP.1, paragraph 2:

“Requests the secretariat, in consultation with the secretariat of the Global Environment Facility and bearing in mind comments made at the eleventh session of the Intergovernmental Negotiating Committee, to prepare draft arrangements for consideration by the Subsidiary Body for Implementation at its first session and adoption by the Conference of the Parties at its second session.”

(General)

Decision 11/CP.1: Initial guidance on policies, programme priorities and eligibility criteria to the operating entity or entities of the financial mechanism

Decision 11/CP.1, paragraph 1:

“Decides to adopt the following initial guidance on policies, programme priorities and eligibility criteria to the operating entity or entities of the financial mechanism:

(a) Regarding activities undertaken under Article 11 of the Convention,
Within the framework of the financial mechanism:

- (i) The operating entity or entities should, in all funding decisions related to the financial mechanism, take into account Article 4.1, 4.7, 4.8, 4.9 and 4.10 of the Convention. In particular, in order to take full account of the specific needs and special situations of the least developed countries, funds allocated to their projects/programmes should be on a grant basis;
- (ii) Projects funded through the financial mechanism should be country-driven and in conformity with, and supportive of, the national development priorities of each country;
- (iii) The operating entity or entities should ensure that, with reference to activities involving transfer of technology, such technology is environmentally sound and adapted to suit local conditions;
- (iv) As far as possible, due consideration should be given to the following aspects concerning activities undertaken under the financial mechanism. Activities should be:
- supportive of the national development priorities which contribute to a comprehensive national response to climate change;
 - consistent with and supportive of the relevant provisions of internationally agreed programmes of action for sustainable development in line with the Rio Declaration and Agenda 21 and UNCED-related agreements;
- (v) The operating entity or entities of the financial mechanism should strive to leverage other funds in support of the activities of developing country Parties to address climate change;
- (vi) In mobilizing funds, the operating entity or entities should provide all relevant information to developed country Parties and other Parties included in Annex II to the Convention, to assist them to take into full account the need for adequacy and predictability in the flow of funds. The entity or entities entrusted with the operation of the financial mechanism should take full account of the arrangements agreed with the Conference of the Parties, which, inter alia, shall include determination in a predictable and identifiable manner of the amount of funding necessary and available for the implementation of the Convention, as provided for in Article 11.3(d) of the Convention.

Funding principles

Funding principles

Funding principles

Funding principles

Funding principles

Resource mobilization

(b) Regarding programme priorities,

(i) Priority should be given to the funding of agreed full costs (or agreed full incremental costs, as appropriate) incurred by developing country Parties in complying with their obligations under Article 12.1 and other relevant commitments under the Convention.

In the initial period, emphasis should be placed on enabling activities undertaken by developing country Parties, such as planning and endogenous capacity-building, including institutional strengthening, training, research and education, that will facilitate implementation, in accordance with the Convention, of effective response measures;

(ii) In this context, activities aimed at strengthening research and technological capabilities for the implementation of the Convention in developing country Parties should be supported through international and intergovernmental efforts. Such support would include networking and the training of experts and, as appropriate, institutional development;

(iii) Emphasis should also be placed on improving national public awareness and education on climate change and response measures;

(iv) The operating entity or entities should finance the formulation by developing country Parties of nationally determined programmes to address climate change issues which are in accordance with national development priorities. To facilitate the formulation of these programmes, it should finance capacity-building and all other activities related to the formulation, management and regular updating of these programmes, which should, as far as possible, be comprehensive;

(v) The operating entity or entities should, in accordance with the policies, programme priorities and eligibility criteria as established by the Conference of the Parties, be available to assist, if so requested, in the implementation of the national programmes adopted by developing country Parties;

(vi) In the implementation of these national programmes, the operating entity or entities should support agreed activities to mitigate climate change, as referred to in the Convention, in particular in Article 4.1, consistent with Article 4.3.

Funding principles

Capacity development

**Education, training
and public awareness**

**Education, training
and public awareness**

**National programs &
planning**

**National programs &
planning**

**National programs &
planning**

(c) Regarding eligibility criteria, eligibility criteria shall apply to countries and to activities and shall be applied in accordance with Article 11.1, 11.2 and 11.3;

(i) Regarding eligibility of countries, only countries that are Parties to the Convention would be eligible to receive funding upon entry into force of the Convention. In this context, only developing country Parties would be eligible to receive funding through the financial mechanism, in accordance with Article 4.3;

(ii) Regarding eligibility of activities,

- Those activities related to obligations under Article 12.1 to communicate information for which the "agreed full costs" are to be met are eligible for funding;

- Measures covered by Article 4.1 are eligible for funding through the financial mechanism in accordance with Article 4.3. Such measures should be agreed between the developing country Party and the international entity or entities referred to in Article 11.1, in accordance with Article 4.3;

- In addition to the above, such measures would be eligible for financial support under Article 11.5.

(d) Regarding adaptation, the following policies, programme priorities and eligibility criteria should apply:

(i) Adaptation to the adverse effects of climate change, as defined by the Convention, will require short, medium and long term strategies which should be cost effective, take into account important socio-economic implications, and should be implemented on a stage-by-stage basis in developing countries that are Parties to the Convention. In the short term, the following stage is envisaged:

- Stage I: Planning, which includes studies of possible impacts of climate change, to identify particularly vulnerable countries or regions and policy options for adaptation and appropriate capacity-building;

(ii) In the medium and long term, the following stages are envisaged for the particularly vulnerable countries or regions identified in Stage I:

- Stage II: Measures, including further capacity-building, which may be taken to prepare for adaptation, as envisaged by Article 4.1(e);

- Stage III: Measures to facilitate adequate adaptation, including insurance, and other adaptation measures as envisaged by Article 4.1(b) and 4.4;

(iii) Based on the outputs of the Stage I studies, as well as other relevant scientific and technical studies, such as those of the Intergovernmental Panel on Climate Change (IPCC), and any emerging evidence of the adverse effects of climate change, the Conference of the Parties may decide that it has become necessary to implement the measures and activities envisaged in Stages II and III, consistent with the relevant conclusions of the Committee and with the provisions of the Convention;

Eligibility criteria

Funding priorities (general)

CCA funding priorities (general)

(iv) Funding for the implementation of such adaptation measures and activities would be provided as follows:

- For Stage I, the Conference of the Parties at its first session, shall entrust to the Global Environment Facility (GEF), the interim operating entity of the financial mechanism, the task of meeting the agreed full costs of the activities required by Article 12.1 of the Convention. This would include meeting the agreed full costs of relevant adaptation activities undertaken in the context of the formulation of national communications; such activities may include studies of the possible impacts of climate change, identification of options for implementing the adaptation provisions (especially the obligations contained in Article 4.1(b) and 4.1(e) of the Convention), and relevant capacity-building;
- If it is decided in accordance with paragraph (iii) above, that it has become necessary to implement the measures envisaged in Stages II and III, the Parties included in Annex II to the Convention will provide funding to implement the adaptation measures envisaged in these stages in accordance with their commitments contained in Article 4.3 and 4.4 of the Convention;
- In its review of the financial mechanism of the Convention under Article 11.4, the Conference of the Parties, taking into account studies conducted and options for adaptation identified during Stage I, any emerging evidence of the adverse effects of climate change, as well as the relevant conclusions reached by the Committee and its own decisions on this issue, must decide on the channel or channels, under Article 11 of the Convention, to be used for the funding referred to in the preceding subparagraph, to implement the adaptation measures envisaged in Stages II and III.

(e) Regarding agreed full incremental costs,

The various issues of incremental costs are complex and difficult and further discussion on the subject is therefore needed. The application of the concept of agreed full incremental costs should be flexible, pragmatic and on a case-by-case basis. Guidelines in this regard will be developed by the Conference of the Parties at a later stage on the basis of experience.

CCA funding principles

Incremental costs

Decision 11/CP.1, paragraph 2:

“Also decides to take note of the following conclusions of the Intergovernmental Negotiating Committee for a Framework Convention on Climate Change:

(a) Outside the framework of the financial mechanism,

Consistency should be sought and maintained between activities (including those related to funding) relevant to climate change undertaken outside the framework of the financial mechanism and the policies, programme priorities and eligibility criteria for activities as relevant, established by the Conference of the Parties. Towards this end and in the context of Article 11.5 of the Convention, the secretariat should collect information from multilateral and regional financial institutions on activities undertaken in implementation of Article 4.1 and Article 12 of the Convention; this should not introduce new forms of conditionalities.

(b) On transfer of technology, the Committee took note of document A/AC.237/88 prepared by the interim secretariat. The Committee recognized the importance of this subject under the relevant articles of the Convention and concluded that discussions should continue at the Conference of the Parties and its subsidiary bodies with a view to identifying ways and means of operationalizing the transfer of technology under Article 4.5 of the Convention.

(c) The Committee took note of document A/AC.237/Misc.40, an approach paper by the Group of 77 and China on the format of communication of information by Parties not included in Annex I to the Convention.”

Decision 12/CP.1: Report of the Global Environment Facility to the Conference of the Parties on the development of an operational strategy and on initial activities in the field of climate change

Decision 12/CP.1, paragraph 1:

“Welcomes the decision of the GEF Council to follow a "two-track" programming approach in 1995: while work is undertaken by the GEF secretariat to develop a long-term comprehensive operational strategy, supported by analytical work and consultations, and allowing for the guidance from the Conference of the Parties (track one), some project activities are to be undertaken to allow a smooth transition between the operations of the pilot phase and the restructured GEF (track two);”

(Funding principles)

(General)

Decision 12/CP.1, paragraph 2: “Decides to adopt a mixed strategy wherein projects will be selected with a double set of programme priorities as described in paragraph 9(c) of the report, that is, if they met either one of the long-term programme priorities or one of the short-term programme priorities;” Decision 12/CP.1, paragraph 3: “Takes note of the report on initial activities;” Decision 12/CP.1, paragraph 4: “Invites the GEF in future reports to take fully into account relevant aspects of the modalities for the functioning of operational linkages between the Conference of the Parties and the operating entity or entities of the financial mechanism.”	Funding principles (Reporting) Reporting
COP-2: Geneva, Switzerland, 8 - 19 July 1996	17 items
Decision 9/CP.2: Communications from Parties included in Annex I to the Convention: guidelines, schedule and process for consideration Decision 9/CP.2, paragraph 13 (d): “There is a need to address the concern expressed by some Parties that Parties included in Annex II to the Convention (Annex II Parties) are falling short of their commitments related to the transfer of technology and the provision of financial resources, keeping in mind that other Parties noted that some Annex II Parties are providing bilateral contributions and that all Annex II Parties contribute to the Global Environment Facility, and noting that these Parties are requested to enhance the reporting on these commitments through applying the revised guidelines contained in the annex to this decision.”	(National Communications)

Decision 9/CP.2, Annex, paragraph 44:

“When communicating information on the provision of financial resources, Annex II Parties shall distinguish between financial contributions to the interim operating entity of the financial mechanism, to regional and other multilateral institutions and programmes, and financial resources provided through bilateral channels to other Parties. These Parties should complete tables 9a, 9b, 10a and 10b contained in appendix III below.”

Decision 10/CP.2: Communications from Parties not included in Annex I to the Convention: guidelines, facilitation and process for consideration

Decision 10/CP.2, paragraph 1 (b):

“Requests the Convention secretariat: [...]

(b) To make available to the Subsidiary Body for Implementation, at each of its sessions, details of the financial support made available to Parties not included in Annex I to the Convention (non-Annex I Parties) from the interim operating entity of the financial mechanism for the preparation of their initial communications, including projects in this regard proposed by each Party, the funding decision and the date and amount of funds made available to the Party;”

Decision 10/CP.2, Annex, paragraph 2 (c):

“The guidelines for the preparation of initial communications by Parties not included in Annex I to the Convention (non-Annex I Parties) have five principal objectives, taking into account Article 4.7:
[...]

(c) To serve as policy guidance to the interim operating entity of the financial mechanism for the timely provision of financial support needed by the developing country Parties to meet the agreed full costs in complying with their obligations under Article 12.1, as referred to in decision 11/CP.2;”

Decision 10/CP.2, Annex, paragraph 13:

“Non-Annex I Parties are thus encouraged to formulate cost-effective national, and where appropriate regional, programmes aiming at the improvement of the quality of local emission factors and appropriate data gathering, and to submit requests for financial and technical assistance to the interim operating entity of the financial mechanism of the Convention in addition to their request for support for the preparation of their initial communications.”

(National
Communications)

(National
Communications)

(National
Communications)

(National
Communications)

Decision 11/CP.2: Guidance to the Global Environment Facility

Decision 11/CP.2, paragraph 1:

“Decides to adopt the following guidance to the Global Environment Facility, as the interim operating entity of the financial mechanism of the Convention. In this regard, the Global Environment Facility should:

- (a) In the initial period, implement strategies on enabling activities in accordance with decision 11/CP.1 which facilitate endogenous capacity-building, including data collection and archiving, consistent with the policy guidance, programme priorities and eligibility criteria provided to it by the Conference of the Parties;
 - (b) In providing the financial resources needed by developing country Parties to meet the agreed full incremental costs of implementing measures covered by Article 4.1 of the Convention in accordance with Article 4.3, take steps to facilitate this provision of financial resources, including the enhancement of transparency and the flexible and pragmatic application of its concept of incremental costs on a case-by-case basis;
 - (c) Together with its implementing agencies, expedite the approval and the disbursement of financial resources to meet the agreed full costs incurred by the developing country Parties in complying with their obligations under Article 12.1 of the Convention, in accordance with Article 4.3, and in particular for the initial and subsequent preparation of national communications of non-Annex I Parties.
- In this regard, the guidelines and format adopted by the Conference of the Parties at its second session on the preparation of initial national communications by non-Annex I Parties contained in decision 10/CP.2 shall form the basis for the funding of communications from non-Annex I Parties under Article 12.1 of the Convention;
- (d) Consider country-specific needs and other approaches which may be used for several countries with similar needs, upon request, and take into account that the preparation of national communications is a continuing process;
 - (e) When funding the agreed full costs for the preparation of national communications from non-Annex I Parties, finance the agreed full incremental costs of projects related to other commitments contained in the Convention only upon request of the Party concerned;

Capacity development

Funding principles

**Resource approval
and disbursement**

**National
communications**

**National
communications**

Funding principles

“Invites developing country Parties that are interested in receiving assistance for enabling activities, in particular for the preparation of national communications in accordance with Article 12 of the Convention, to avail themselves of the financial resources being made available from the financial mechanism for such purposes;”

“Requests the Global Environment Facility, as the interim operating entity of the financial mechanism, to report to the Conference of the Parties at its third session on the implementation of this guidance, including on experience gained in the application of the concept of agreed full incremental costs;”

“Requests the Subsidiary Body for Implementation at its fifth session to undertake the review process referred to in decision 9/CP.1 and to report on the outcome to the Conference of the Parties at its third session.”

“Purpose of arrangements:

The purpose of this Memorandum is to give effect to the respective roles and responsibilities of the COP, the supreme body of the Convention, and the GEF, the international entity entrusted with the operation of the financial mechanism and to provide for the required interaction between them under Article 11 of the Convention and paragraphs 26 and 27 of the Instrument.”

“Determination and communication of guidance from the COP:

The COP will, pursuant to Article 11.1, decide on policies, programme priorities and eligibility criteria related to the Convention for the financial mechanism which shall function under the guidance of and be accountable to the COP.”

“The COP will, after each of its sessions, communicate to the Council of the GEF any policy guidance approved by the COP concerning the financial mechanism.”

(General)

Decision 12/CP.2, Annex, paragraph 4:

“Conformity with COP guidance:

The Council will ensure the effective operation of the GEF as a source of funding activities for the purposes of the Convention in conformity with the guidance of the COP.

It will report regularly to the COP on its activities related to the Convention and on the conformity of those activities with the guidance received from the COP.”

Decision 12/CP.2, Annex, paragraph 5:

“Reconsideration of funding decisions:

The funding decisions for specific projects should be agreed between the developing country Party concerned and the GEF in conformity with policy guidance from the COP. The Council of the GEF is responsible for approving the GEF work programmes. If any Party considers that a decision of the Council regarding a specific project in a proposed work programme does not comply with the policies, programme priorities and eligibility criteria established by the COP in the context of the Convention, the COP should analyse the observations presented to it by the Party and take decisions on the basis of compliance with such policies, programme priorities and eligibility criteria. In the event that the COP considers that this specific project decision does not comply with the policies, programme priorities and eligibility criteria established by the COP, it may ask the Council of the GEF for further clarification on the specific project decision and in due time may ask for a reconsideration of that decision.”

Decision 12/CP.2, Annex, paragraph 6:

“Reports from the GEF to the COP:

Annual reports of the GEF will be made available to the COP through its secretariat. Other official public documentation of the GEF will also be made available to the COP through its secretariat. In order to meet the requirement of its accountability to the COP, the Annual Report of the GEF will cover all GEF-financed activities carried out in implementing the Convention, whether such activities are carried out by the GEF Implementing Agencies, the GEF Secretariat or by executing agencies implementing GEF-financed projects. To this end, the Council of the GEF will require all such bodies, with respect to GEF-financed activities, to comply with GEF policy on disclosure of information.”

General

Reporting

Funding principles

Reporting

Decision 12/CP.2, Annex, paragraph 7:

“In its reporting on GEF-financed activities under the financial mechanism, the GEF should include specific information on how it has applied the guidance and decisions of the COP in its work related to the Convention. This report should be of a substantive nature and incorporate the programme of GEF activities in the areas covered by the Convention and an analysis of how the GEF, in its operations related to the Convention, has implemented the policies, programme priorities and eligibility criteria established by the COP. In particular, a synthesis of the different projects under implementation and a listing of the projects approved by the Council in the climate change focal area as well as a financial report with an indication of the financial resources required for those projects should be included. The Council should also report on its monitoring and evaluation activities concerning projects in the climate change focal area.”

Decision 12/CP.2, Annex, paragraph 8:

“The Council of the GEF may seek guidance from the COP on any matter it considers relevant to the operation of the financial mechanism of the Convention.”

Decision 12/CP.2, Annex, paragraph 9:

“Determination of funding necessary and available:

In accordance with Article 11.3(d) of the Convention, which calls for arrangements to determine in a predictable and identifiable manner the amount of funding necessary and available for the implementation of the Convention and the conditions under which that amount shall be periodically reviewed, the COP and the Council shall jointly determine the aggregate GEF funding requirements for the purpose of the Convention. Procedures to facilitate such a joint determination will be developed by the COP and the Council and annexed to this Memorandum.”

Decision 12/CP.2, Annex, paragraph 10:

“Cooperation between secretariats:

The secretariats of the Convention and of the GEF shall cooperate and exchange on a regular basis views and experiences necessary to facilitate the effectiveness of the financial mechanism in assisting Parties to implement the Convention.”

Reporting

(General)

Resource mobilization

**Dialogue with COP
Secretariat**

Decision 12/CP.2, Annex, paragraph 11:

“Representation in meetings of governing bodies:

The participation of representatives of the Council of the GEF in meetings of the COP and of its subsidiary bodies will be governed by the rules of procedure of the COP. Likewise, the participation of representatives of the Convention in meetings of the Council of the GEF will be determined in accordance with the rules of procedure of the Council of the GEF. In formulating and applying its rules, each organization will make every effort to accord the other organization reciprocal representation privileges.”

Decision 12/CP.2, Annex, paragraph 12:

“Review and evaluation of the financial mechanism:

The COP will periodically review and evaluate the effectiveness of all modalities established in accordance with Article 11.3. Such evaluations will be taken into account by the COP in its decision, pursuant to Article 11.4, on arrangements for the financial mechanism.”

Decision 12/CP.2, Annex, paragraph 13:

“Modification of the Memorandum of Understanding:

This Memorandum of Understanding may only be modified in writing by agreement between the COP and the Council of the GEF.”

Decision 12/CP.2, Annex, paragraph 14:

“Entry into effect:

This Memorandum of Understanding shall come into force upon its approval by the COP of the Convention and the Council of the GEF.”

Decision 12/CP.2, Annex, paragraph 15:

“Termination: This Memorandum of Understanding may be terminated by either Party giving six months notice in writing to the other.”

General

(Review)

(Administrative/Legal)

(Administrative/Legal)

(Administrative/Legal)

Decision 13/CP.2: Memorandum of Understanding between the Conference of the Parties and the Council of the Global Environment Facility: annex on the determination of funding necessary and available for the implementation of the Convention Decision 13/CP.2, paragraph 1: “Decides to refer the text of the annex on the determination of funding necessary and available for the implementation of the Convention adopted by the Council of the Global Environment Facility and the draft annex submitted by the Group of 77 and China (FCCC/SBI/1996/L.4) for consideration by the Subsidiary Body for Implementation at its next session;” Decision 13/CP.2, paragraph 2: “Invites Parties to submit any additional comments on the matter to the Convention secretariat by 30 September 1996;” Decision 13/CP.2, paragraph 3: “Requests the Subsidiary Body for Implementation to report to the Conference of the Parties on the outcome of this matter.”	(Administrative/Legal) (Administrative/Legal) (Administrative/Legal)
COP-3: Kyoto, Japan, 1 - 11 December 1997	0 items
Decision 9/CP.3: Development and transfer of technologies Decision 9/CP.3, paragraph 2 (b): “To consult with the Global Environment Facility and other relevant international organizations, and solicit information on their capabilities and abilities to support the work of (an) international technology information centre(s), as well as national and regional centres, and to enhance support for national and regional centres, and to report to the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation on its findings;”	(Technology transfer)

Decision 11/CP.3: Review of the financial mechanism Decision 11/CP.3, paragraphs 1-4: “The Conference of the Parties 1. Takes note of the review process undertaken by the Subsidiary Body for Implementation in accordance with decision 11/CP.2; 2. Decides to continue the review process through the Subsidiary Body for Implementation, in accordance with the criteria established in the guidelines adopted by the Subsidiary Body for Implementation at its fifth session;1 3. Reaffirms its decision 9/CP.1; 4. Requests the secretariat to report to the Subsidiary Body for Implementation in accordance with paragraph 2 above.”	(Review)
Decision 12/CP.3: Annex to the Memorandum of Understanding on the determination of funding necessary and available for the implementation of the Convention Decision 12/CP.3, paragraphs 1-2: “The Conference of the Parties 1. Takes note of the approval by the Council of the Global Environment Facility of the annex to the Memorandum of Understanding between the Conference of the Parties and the Council of the Global Environment Facility; 2. Decides to approve the annex to the Memorandum of Understanding, thereby bringing it into force.”	(Administrative/Legal)
COP-4: Buenos Aires, Argentina, 2 - 14 November 1998	14 items
Decision 2/CP.4: Additional guidance to the operating entity of the financial mechanism Decision 2/CP.4, paragraph 1 a-g: “Decides that, in accordance with Articles 4.3, 4.5 and 11.1 of the Convention, the GEF should provide funding to developing country Parties to:	

(a) Implement adaptation response measures under Article 4.1 of the Convention for adaptation activities envisaged in decision 11/CP.1, paragraph 1(d)(ii) (Stage II activities) in particularly vulnerable countries and regions identified in Stage I activities, and especially in countries vulnerable to climate-related natural disasters, taking into account their preparatory adaptation planning frameworks in priority sectors, the completion of Stage I activities, and in the context of their national communications;”	CCA funding principles
(b) Enable them, in light of their social and economic conditions and taking into account state-of-the-art environmentally sound technologies, to identify and submit to the Conference of the Parties their prioritized technology needs, especially as concerns key technologies needed in particular sectors of their national economies conducive to addressing climate change and minimizing its adverse effects;	Technology transfer and TNAs
(c) Build capacity for participation in systematic observational networks to reduce scientific uncertainties relating to the causes, effects, magnitude and timing of climate change, in accordance with Article 5 of the Convention;	Research and systematic observation
(d) Meet the agreed full costs of preparing initial and subsequent national communications, in accordance with Articles 4.3 and 12.5 of the Convention and decision 11/CP.2, paragraph 1(d), by maintaining and enhancing relevant national capacity, so as to prepare the initial and second national communications which will take into account experiences, including gaps and problems identified in previous national communications, and guidelines established by the Conference of the Parties. Guidance on subsequent national communications will be provided by the Conference of the Parties;	National Communications
(e) Assist them with studies leading to the preparation of national programmes to address climate change, compatible with national plans for sustainable development, in accordance with Article 4.1(b) of the Convention and paragraph 13 of the annex to decision 10/CP.2;	National programs & planning
(f) Assist in developing, strengthening and/or improving national activities for public awareness and education on climate change and response measures, in full accordance with Article 6 of the Convention and decision 11/CP.1, paragraph 1(b)(iii), and taking into account, where appropriate, relevant GEF operational programmes;	Education, training and public awareness

- (g) Support capacity-building for:
- (i) The assessment of technology needs to fulfil the commitments of developing countries under the Convention, the identification of sources and suppliers of these technologies, and the determination of modalities for the acquisition and absorption thereof;
 - (ii) Country-driven activities and projects to enable Parties not included in Annex I to the Convention (non-Annex I Parties) to design, evaluate and manage these projects;
 - (iii) Strengthening the capacity of non-Annex I Parties to host projects, including from project formulation and development to their implementation;
 - (iv) Facilitating national/regional access to the information provided by international centres and networks, and for working with those centres for the dissemination of information, information services, and transfer of environmentally sound technologies and know-how in support of the Convention;”

Decision 2/CP.4, paragraph 2:

“Requests the GEF to continue to provide, and developing country Parties to avail themselves of, funding to translate, reproduce, disseminate and make available their initial national communications electronically;”

Decision 2/CP.4, paragraph 3 a-c:

“Encourages the GEF to:

(a) Further streamline its project cycle with a view to making project preparation simpler, less prescriptive, more transparent and country-driven;

(b) Further simplify and expedite its procedures for the approval and implementation of GEF-funded projects, including disbursements for such projects;

(c) Make the process for the determination of incremental costs more transparent, and its application more pragmatic;”

Decision 2/CP.4, paragraph 4:

“Requests the GEF to ensure that its implementing/executing agencies are made aware of Convention provisions and decisions adopted by the Conference of the Parties in the performance of their GEF obligations and are encouraged, as a first priority, whenever possible, to use national experts/consultants in all aspects of project development and implementation;”

**Capacity
Development**

**National
Communications**

**Resource approval
and disbursement**

**Resource approval
and disbursement**

**Resource approval
and disbursement**

**Dialogue with GEF
agencies**

Decision 2/CP.4, paragraph 5:

“Further requests the GEF to include in its report to the Conference of the Parties the specific steps it has undertaken to implement the provisions of this decision.”

Decision 3/CP.4: Review of the financial mechanism

Decision 3/CP.4, paragraph 1:

“Decides that the restructured Global Environment Facility shall be an entity entrusted with the operation of the financial mechanism referred to in Article 11 of the United Nations Framework Convention on Climate Change;”

Decision 3/CP.4, paragraph 2:

“Decides also, in accordance with Article 11.4 of the Convention, to review the financial mechanism every four years, on the basis of the guidelines as contained in the annex to this decision or as they may subsequently be amended, and to take appropriate measures.”

SEE ALSO: Decision 3/CP.4, Annex - GUIDELINES FOR THE REVIEW OF THE FINANCIAL MECHANISM

Decision 11/CP.4:

National communications from Parties included in Annex I to the Convention

Decision 11/CP.4, paragraph 11:

“Notes that Annex II Parties are providing bilateral contributions and all Annex II Parties contribute to the Global Environment Facility, and that there is a need to address the concern expressed by some Parties that Annex II Parties are falling short of their commitments related to the transfer of technology and the provision of financial resources;”

Decision 12/CP.4:

Initial national communications from Parties not included in Annex I to the Convention

Decision 12/CP.4, paragraph 1 d:

“To ensure that issues and concerns identified by non-Annex I Parties in their initial communications are brought to the attention of the Global Environment Facility (GEF) and, through it, as appropriate, its implementing agencies when undertaking the comprehensive review of enabling activities projects;”

Reporting

General

(Review)

(Financial resources)

(Review)

Decision 8/CP.5, paragraph 2: “Decides further that the frequency of submission of national communications by non-Annex I Parties shall be determined at its seventh session; for this purpose, adequate information from the operating entity of the financial mechanism on the effective availability of financial resources to non-Annex I Parties and the timing of disbursement of these resources to developing countries for the preparation of initial national communications will be necessary to determine the timetable for non-Annex I Party submissions, in accordance with Article 4.3 of the Convention;” Decision 19/CP.5: Cooperation with the Intergovernmental Panel on Climate Change Decision 19/CP.5, paragraph 4: “Invites the Subsidiary Body for Implementation to consider, at its twelfth session, the issue of support to the Intergovernmental Panel on Climate Change, in the context of recommending additional guidance to the Global Environment Facility.”	National communications (IPCC cooperation)
COP-6 (I): The Hague, Netherlands, 13 - 25 November 2000	0 items
III. OTHER ACTION TAKEN BY THE CONFERENCE OF THE PARTIES AT THE FIRST PART OF ITS SIXTH SESSION A. Action in relation to the Global Environment Facility: “1. At its 9th plenary meeting, on 25 November 2000, the Conference of the Parties, in endorsing the conclusions of the SBI,4 under agenda item 4 (c), took note of the report of the Global Environment Facility (GEF) to the Conference of the Parties (FCCC/CP/2000/3). The report included information on how the GEF had applied the guidance and decisions of the Conference of the Parties in accordance with the memorandum of understanding between the Conference of the Parties and the GEF Council.	(Review)

2. The Conference also took note of the report of the GEF on the review of its climate change enabling activities (FCCC/CP/2000/3/Add.1). The conclusions of the SBI noted that the GEF, in its reports to the COP at its fourth and fifth sessions had indicated that, in 1999, it would undertake an evaluation of enabling activities in the climate change area. Some Parties, however, had noted that the Conference of the Parties had sole responsibility for reviewing those activities and that only a limited number of enabling activity projects were considered in the review. 3. Some Parties had noted the need for greater clarity in the guidance the Conference of the Parties provided to the operating entity of the financial mechanism to support enabling activities. They had urged the GEF to develop a more strategic and long-term approach to funding of enabling activities, and stressed that the approval process for enabling activity projects should be shortened and streamlined. In addition, a few Parties had urged the GEF to encourage greater collaboration amongst its implementing agencies.”	
COP-6 (II): Bonn, Germany, 16 - 27 July 2001	7 items
Decision 5/CP.6: The Bonn Agreements on the implementation of the Buenos Aires Plan of Action Decision 5/CP.6, Annex, I. FUNDING UNDER THE CONVENTION, paragraph 2: “Notes that, by its decisions -/CP.6, and -/CP.6, funding has been provided for the implementation of capacity-building activities in Parties not included in Annex I and that additional guidance has been given to the Global Environment Facility to that effect.” Decision 5/CP.6, Annex, I. FUNDING UNDER THE CONVENTION, paragraph 3 a-c: “The Conference of the Parties agrees 3. That: (a) There is a need for funding, including funding that is new and additional to contributions that are allocated to the Global Environment Facility climate change focal area and to multilateral and bilateral funding, for the implementation of the Convention; (b) Predictable and adequate levels of funding shall be made available to Parties not included in Annex I;	(Capacity development) (Financial resources) (Financial resources)

(c) In order to meet the commitments under Articles 4.1, 4.3, 4.4, 4.5, 4.8 and 4.9, Parties included in Annex II to the Convention and other Annex I Parties that are in a position to do so should provide funding for developing country Parties, through the following channels:

- (i) Increased Global Environment Facility replenishment;
(ii) The special climate change fund to be established under this decision;
(iii) Bilateral and multilateral channels.”

Decision 5/CP.6, Annex, I. FUNDING UNDER THE CONVENTION - Special climate change fund, paragraph 1-3:

“The Conference of the Parties agrees:

1. That a special climate change fund shall be established to finance activities, programmes and measures related to climate change, that are complementary to those funded by the resources allocated to the Global Environment Facility climate change focal area and by bilateral and multilateral funding, in the following areas:

- (a) Adaptation;
- (b) Technology transfer;
- (c) Energy, transport, industry, agriculture, forestry and waste management; and
- (d) Activities to assist developing country Parties referred to under Article 4, paragraph 8 (h), in diversifying their economies.

2. That the Parties included in Annex II and other Parties included in Annex I that are in a position to do so shall be invited to contribute to the fund, which shall be operated by an entity which operates the financial mechanism, under the guidance of the Conference of the Parties;

“The Conference of the Parties agrees:

2. To invite the entity referred to in paragraph 1 above to make the necessary arrangements for this purpose;

3. To provide guidance to the entity referred to in paragraph 1 above on the modalities for operating this fund, including expedited access.” Decision 5/CP.6, Annex, IV. IMPLEMENTATION OF ARTICLE 4.8 AND 4.9 OF THE CONVENTION - 1. Adverse effects of climate change, paragraph 1: “The Conference of the Parties agrees: 1. That the implementation of the identified activities shall be supported through the Global Environment Facility (in accordance with decision -/CP.6), the special climate change fund (in accordance with decision -/CP.6), and other bilateral and multilateral sources;” Decision 5/CP.6, Annex, IV. IMPLEMENTATION OF ARTICLE 4.8 AND 4.9 OF THE CONVENTION - 2. Impact of the implementation of response measures, paragraph 1: “The Conference of the Parties agrees: 1. That the implementation of the identified activities shall be supported through the Global Environment Facility (in accordance with decision -/CP.6), the special climate change fund (in accordance with decision -/CP.6), and other bilateral and multilateral sources;”	CCA funding priorities (general) CCA funding priorities (general)
COP-7: Marrakesh, Morocco, 29 October - 10 November 2001	49 items
Decision 2/CP.7: Capacity building in developing countries (non-Annex I Parties) Decision 2/CP.7, paragraph 5: “Requests the Global Environment Facility, as an operating entity of the financial mechanism, to report on its progress in support of the implementation of this framework in its reports to the Conference of the Parties;”	Reporting

Decision 2/CP.7, paragraph 6:

“Urges the operating entity of the financial mechanism to adopt a streamlined and expedited approach in financing activities within this framework;”

Decision 2/CP.7, paragraph 9:

“Requests the secretariat, in accordance with this framework for capacity building, and consistent with Article 8 of the Convention, to undertake the following tasks:

(a) To cooperate with the operating entity of the financial mechanism, its implementing agencies and other entities for capacity building, to facilitate the implementation of this framework;”

Decision 2/CP.7, Annex, D. Implementation, *Financing and operation*, paragraph 21:

“Financial and technical resources should be made available, through an operating entity of the financial mechanism and, as appropriate, through multilateral and bilateral agencies and the private sector, to assist developing countries, in particular the least developed countries and small island developing States among them, in the implementation of this framework.”

Decision 2/CP.7, Annex, D. Implementation, *Financing and operation*, paragraph 22:

“In response to this framework, the operating entity of the financial mechanism should elaborate a country-driven strategy for its capacity-building activities.”

Decision 2/CP.7, Annex, D. Implementation, *Review of progress*, paragraph 32:

“The Global Environment Facility, as an operating entity of the financial mechanism, is requested to report on its progress in support of the implementation of this framework in its reports to the Conference of the Parties.”

**Decision 3/CP.7:
Capacity building in countries with economies in transition**

**Resource approval
and disbursement**

(Capacity
development)

(Financial resources)

Funding principles

Reporting

Decision 3/CP.7, Annex, C. Objective and scope of capacity building, paragraph 21:

“In order to maximize available resources for capacity building and to facilitate exchange and cooperation among EIT Parties, multilateral and bilateral agencies in consultation with EIT Parties should assist, as appropriate, the efforts of EIT Parties themselves to identify, develop and implement national, regional, subregional and sectoral activities that meet the capacity-building needs of EIT Parties. The results of the current and next phase of the Capacity Development Initiative of the Global Environment Facility (GEF) could provide valuable inputs for these activities.”

Decision 4/CP.7:

Development and transfer of technologies (decisions 4/CP.4 and 9/CP.5)

Decision 4/CP.7, paragraph 3:

“Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support for the implementation of the annexed framework through its climate change focal area and the special climate change fund established under decision 7/CP.7;”

Decision 5/CP.7: Implementation of Article 4, paragraphs 8 and 9, of the Convention (decision 3/CP.3 and Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol)

Decision 5/CP.7, I. ADVERSE EFFECTS OF CLIMATE CHANGE, paragraph 7 a-b:

“Decides that the implementation of the following activities shall be supported through the Global Environment Facility (in accordance with decision 6/CP.7) and other bilateral and multilateral sources:

(a) Information and methodologies:

(i) Improving data collection and information gathering, as well as their analysis, interpretation and dissemination to end-users;

(ii) Integrating climate change considerations into sustainable development planning;

(Capacity development)

Capacity development

Research and systematic observation

National programs & planning

(iii) Providing training in specialized fields relevant to adaptation such as climate and hydroclimate studies, geographical information systems, environmental impact assessment, modelling, integrated coastal zone management, soil and water conservation and soil restoration;	Education, training and public awareness
(iv) Strengthening existing and, where needed, establishing national and regional systematic observation and monitoring networks (sea-level rise, climate and hydrological monitoring stations, fire hazards, land degradation, floods, cyclones and droughts);	Research and systematic observation
(v) Strengthening existing and, where needed, establishing national and regional centres and institutions for the provision of research, training, education and scientific and technical support in specialized fields relevant to climate change, utilizing information technology as much as possible;	Education, training and public awareness
(vi) Strengthening existing and, where needed, establishing national and regional research programmes on climate variability and climate change, oriented towards improving knowledge of the climate system at the regional level, and creating national and regional scientific capability;	Research and systematic observation
(vii) Supporting education and training in, and public awareness of, climate change related issues, for example through workshops and information dissemination;	Education, training and public awareness
(b) Vulnerability and adaptation:	Capacity development
(i) Supporting enabling activities for vulnerability and adaptation assessment;	
(ii) Enhancing technical training for integrated climate change impact and vulnerability and adaptation assessments across all relevant sectors, and environmental management related to climate change;	Education, training and public awareness
(iii) Enhancing capacity, including institutional capacity, to integrate adaptation into sustainable development programmes;	National programs & planning
(iv) Promoting the transfer of adaptation technologies;	Technology transfer and TNAs

(v) Establishing pilot or demonstration projects to show how adaptation planning and assessment can be practically translated into projects that will provide real benefits, and may be integrated into national policy and sustainable development planning, on the basis of information provided in the national communications from non-Annex I Parties and/or other relevant sources, and of the staged approach endorsed by the Conference of the Parties in its decision 11/CP.1;	CCA preparation activities (stage II)
(vi) Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;	Disaster management
(vii) Strengthening existing and, where needed, establishing early warning systems for extreme weather events in an integrated and interdisciplinary manner to assist developing country Parties, in particular those most vulnerable to climate change;”	Research and systematic observation
Decision 5/CP.7, I. ADVERSE EFFECTS OF CLIMATE CHANGE, paragraph 8 a-d: “Decides that the implementation of the following activities shall be supported through the special climate change fund (in accordance with decision 7/CP.7) and/or the adaptation fund (in accordance with decision 10/CP.7), and other bilateral and multilateral sources:	
(a) Starting to implement adaptation activities promptly where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountainous ecosystems, and integrated coastal zone management;	SCCF/AF funding priorities
(b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early-warning systems, and in this context improving disease control and prevention;	SCCF/AF - Health
(c) Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;	SCCF/AF – Disaster management
(d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;	SCCF/AF – Disaster management

Decision 5/CP.7, II. IMPLEMENTATION OF ARTICLE 4, PARAGRAPH 9, OF THE CONVENTION, paragraph 12:

“Decides that a least developed countries fund shall be established (in accordance with decision 7/CP.7), to be operated by an entity entrusted with the operation of the financial mechanism, under the guidance of the Conference of the Parties, to support the work programme for the least developed countries. This work programme shall include, inter alia, the preparation and implementation of national adaptation programmes of action;”

Decision 5/CP.7, III. IMPACT OF THE IMPLEMENTATION OF RESPONSE MEASURES, paragraph 19:

“Decides that the implementation of the activities included in paragraphs 25 to 32 below shall be supported through the Global Environment Facility (in accordance with decision 6/CP.7), the special climate change fund (in accordance with decision 7/CP.7), and other bilateral and multilateral sources”

Decision 6/CP.7

Additional guidance to an operating entity of the financial mechanism

Decision 6/CP.7, paragraph 1 a-k:

“Decides that, in accordance with Articles 4.3, 4.5 and 11.1 of the Convention, the GEF, as an operating entity of the financial mechanism, should provide financial resources to developing country Parties, in particular the least developed and the small island developing States among them, for the following activities, including those identified in paragraph 7 of decision 5/CP.7:

(a) Strengthening, in particularly vulnerable countries and regions identified in stage I activities and especially countries vulnerable to climate-related natural disasters, the implementation of country-driven stage II adaptation activities, pursuant to decision 2/CP.4, paragraph 1 (a), that build upon work done at the national level, either in the context of national communications or of in-depth national studies, including national adaptation programmes of action (NAPAs);

(b) Establishing pilot or demonstration projects to show how adaptation planning and assessment can be practically translated into projects that will provide real benefits, and may be integrated into national policy and sustainable development planning, on the basis of information provided in the national communications, or of in-depth national studies, including NAPAs, and of the staged approach endorsed by the Conference of the Parties in its decision 11/CP.1;

LDCF funding priorities

Funding priorities (general)

CCA preparation activities (stage II)

CCA preparation activities (stage II)

(c) Supporting the continuation of the “country-team” approach, which enhances the collection, management, archiving, analysis, interpretation and dissemination of data on climate change issues and increases national commitment to the implementation of the objective of the Convention;	Funding principles
(d) Enhancing the capacity of their subregional and/or regional information networks to enable such networks to serve as repositories of climate change related information on vulnerability and adaptation assessments and geographic information systems;	Research and systematic observation
(e) Improving climate change related data collection (for example, local emission and regional factors) and information-gathering, as well as the analysis, interpretation and dissemination of these data to national policy makers and other end-users;	Research and systematic observation
(f) Strengthening and, where necessary, establishing: (i) National, subregional or regional databases on climate change; (ii) Subregional and/or regional climate change related institutions and “centres of excellence”, to enable these institutions and centres to provide a supportive framework, which would include information retrieval and technical support;	Research and systematic observation
(g) Developing and implementing, as appropriate, prioritized projects identified in their national communications;	National communication follow-up
(h) Undertaking more in-depth public awareness and education activities and community involvement and participation in climate change issues;	Education, training and public awareness
(i) Building the capacity, including, where appropriate, institutional capacity, for preventive measures, planning, preparedness for disasters related to climate change, including in particular, contingency planning for droughts and floods in areas prone to extreme weather events;	Disaster preparedness
(j) Strengthening existing and, where needed, establishing early warning systems for extreme weather events in an integrated and interdisciplinary manner to assist developing country Parties, in particular those most vulnerable to climate change;	Disaster preparedness

(k) Supporting the continuation of GEF-related programmes which assist Parties that are at various stages of preparing and/or completing their initial national communications;

Decision 6/CP.7, paragraph 2 a-e:

“Invites the GEF:

(a) To continue its efforts to minimize the time between the approval of project concepts, the development and approval of the related projects, and the disbursement of funds by its implementing/executing agencies to the recipient countries of those projects;

(b) Further to streamline its project cycle with a view to making project preparations simpler, more transparent and country-driven. In this regard, the project cycles of its implementing/executing agencies should be coordinated with the GEF project cycle;

(c) To urge its implementing/executing agencies to be more responsive to requests for GEF assistance from developing country Parties for climate change related project activities aimed at implementing the guidance of the Conference of the Parties;

(d) Further to encourage the use of national and regional experts and/or consultants to enhance project development and implementation; in this regard, it should make its list of national and regional experts and/or consultants publicly available;

(e) To give consideration to measures to increase opportunities available to developing country Parties for accessing GEF funds for climate change activities aimed at implementing the guidance of the Conference of the Parties, including a review of the adequacy of the number of implementing/executing agencies available to deliver GEF programmes and projects;

Decision 6/CP.7, paragraph 3:

“Urges the GEF to adopt a streamlined and expedited approach to financing activities within the framework for capacity-building in developing countries (non-Annex I Parties) contained in decision 2/CP.7;”

Decision 6/CP.7, paragraph 4:

“Requests the GEF to include in its report to the Conference of the Parties at its eighth session the specific steps it has taken to implement the provisions of this decision and to include information on its implementation of the framework for capacity-building in developing countries (non-Annex I Parties) contained in decision 2/CP.7;”

**National
communications**

**Resource approval
and disbursement**

**Resource approval
and disbursement**

**Dialogue with GEF
agencies**

**Dialogue with GEF
agencies**

**Resource approval
and disbursement**

**Resource approval
and disbursement**

Reporting

Decision 6/CP.7, paragraph 5:

“Requests the GEF, as an operating entity of the financial mechanism, to provide financial support to implement the capacity-building framework annexed to decision 2/CP.7 and further to support, enhance and implement its capacity-building activities in accordance with this framework.”

Decision 7/CP.7: Funding under the Convention

Decision 7/CP.7, paragraph 1 a-f:

“Decides that:

- (a) There is a need for funding, including funding that is new and additional to contributions which are allocated to the climate change focal area of the Global Environment Facility and to multilateral and bilateral funding, for the implementation of the Convention;
- (b) Predictable and adequate levels of funding shall be made available to Parties not included in Annex I;
- (c) In order to meet the commitments under Articles 4.1, 4.3, 4.4, 4.5, 4.8 and 4.9, Parties included in Annex II, and other Parties included in Annex I that are in a position to do so, should provide funding for developing country Parties, through the following channels:
 - (i) Increased Global Environment Facility replenishment;
 - (ii) The special climate change fund to be established under this decision;
 - (iii) The least developed countries fund to be established under this decision;
 - (iv) Bilateral and multilateral sources;
- (d) Appropriate modalities for burden sharing among the Parties included in Annex II need to be developed;
- (e) Parties included in Annex II shall report on their financial contributions on an annual basis;
- (f) The Conference of the Parties shall review the reports referred to in subparagraph (e) above on an annual basis;”

Capacity development

(Financial resources)

(Financial resources)

(Financial resources)

(Financial resources)

(Financial resources)

(Financial resources)

Decision 7/CP.7, paragraph 2: “Decides also that a special climate change fund shall be established to finance activities, programmes and measures, relating to climate change, that are complementary to those funded by the resources allocated to the climate change focal area of Global Environment Facility and by bilateral and multilateral funding, in the following areas: (a) Adaptation, in accordance with paragraph 8 of decision 5/CP.7; (b) Transfer of technologies, in accordance with decision 4/CP.7; (c) Energy, transport, industry, agriculture, forestry and waste management; (d) Activities to assist developing country Parties referred to under Article 4, paragraph 8(h), in diversifying their economies, in accordance with decision 5/CP.7;”	SCCF funding priorities
Decision 7/CP.7, paragraph 3: “Decides further that Parties included in Annex II, and other Parties included in Annex I that are in a position to do so, shall be invited to contribute to the fund, which shall be operated by an entity entrusted with the operation of the financial mechanism, under the guidance of the Conference of the Parties;”	(Financial resources)
Decision 7/CP.7, paragraph 4: “Invites the entity referred to in paragraph 3 above to make the necessary arrangements for this purpose and report thereon to the Conference of the Parties at its eighth session for appropriate action;”	SCCF general
Decision 7/CP.7, paragraph 5: “Decides to provide guidance to the entity referred to in paragraph 3 above on the modalities for operating this fund, including expedited access;”	(CCA – General)
Decision 7/CP.7, paragraph 6: “Decides also that a least developed countries fund shall be established, which shall be operated by an entity entrusted with the operation of the financial mechanism, under the guidance of the Conference of the Parties, to support a work programme for the least developed countries. This work programme shall include, inter alia, national adaptation programmes of action in accordance with Section II, “Implementation of Article 4, paragraph 9, of the Convention”, of decision 5/CP.7;”	LDCF funding priorities
Decision 7/CP.7, paragraph 7: “Invites the entity referred to in paragraph 6 above to make the necessary arrangements for this purpose and report thereon to the Conference of the Parties at its eighth session for appropriate action;”	LDCF general

Decision 7/CP.7, paragraph 8: “Decides to provide guidance to the entity referred to in paragraph 6 above on the modalities for operating this fund, including expedited access;” Decision 7/CP.7, paragraph 9: “Welcomes the intention expressed by Canada to contribute C\$10 million, to enable the prompt start of this fund.”	(LDCF general) (Administrative/Legal)
Decision 10/CP.7: Funding under the Kyoto Protocol Decision 10/CP.7, paragraph 4: “Decides also that the adaptation fund shall be operated and managed by an entity entrusted with the operation of the financial mechanism of the Convention, under the guidance of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, with guidance to be provided by the Conference of the Parties in the period prior to entry into force of the Kyoto Protocol;”	
COP-8: New Delhi, India, 23 October - 1 November 2002	22 items
Decision 5/CP.8: Review of the financial mechanism Decision 5/CP.8, paragraph 1: “Requests the Global Environment Facility to report to the Conference of the Parties at its ninth session on progress in the implementation of its plan of action developed in response to the recommendations of the Second Overall Performance Study of the Global Environment Facility, and also on how it has taken into consideration the recommendations of the second review of the effectiveness of the financial mechanism by the Conference of the Parties;”	Reporting

Decision 5/CP.8, paragraph 2:

“Requests the Global Environment Facility secretariat, in consultation with the Convention secretariat, to initiate a dialogue in order to implement more effectively the guidance provided by the Conference of the Parties to the Global Environment Facility as an entity operating the financial mechanism, drawing upon the experience gained and lessons learned from the projects and programmes funded by the Global Environment Facility, and to explore opportunities for streamlining guidance, and to report on the outcome of this dialogue in its report to the Conference of the Parties at its tenth session;”

Decision 5/CP.8, paragraph 3:

“Requests the Convention secretariat, in consultation with the secretariat of the Global Environment Facility, to prepare for consideration by the Subsidiary Body for Implementation at its twentieth session a report on the implementation of decisions 12/CP.2 and 12/CP.3 in accordance with Article 11 on the determination of funding necessary and available for the implementation of the Convention;”

Decision 5/CP.8, paragraph 4 a-d:

“Invites the Global Environment Facility:

(a) To review, in cooperation with the implementing and executing agencies as well as national focal points, its project cycle, with a view to making it simpler and more efficient, taking into account the lessons learned and the findings of the Global Environment Facility Monitoring and Evaluation Unit;

(b) To continue its efforts to increase the administrative efficiency and cost-effectiveness of its operations in line with the recommendations of the Second Overall Performance Study of the Global Environment Facility and the Beijing Declaration;

(c) To continue to make the concept of agreed incremental costs and global benefits more understandable, recognizing that the process for determining incremental costs should be transparent, flexible and pragmatic, consistent with the Beijing Declaration;

(d) To strengthen efforts to promote consistency of Global Environment Facility activities with national priorities and to integrate them into national planning frameworks, such as national sustainable development strategies and poverty reduction strategies;

**Implementation of
COP guidance****Reporting****Resource approval
and disbursement****Resource approval
and disbursement****Incremental costs****Funding principles**

Decision 5/CP.8, paragraph 5:

“Requests the Subsidiary Body for Implementation to initiate the third review of the financial mechanism at its twenty-first session in accordance with the criteria contained in the guidelines annexed to decision 3/CP.4, or as they may be subsequently amended, and to take appropriate measures and report on the outcome to the Conference of the Parties at its twelfth session.”

Decision 6/CP.8: Additional guidance to an operating entity of the financial mechanism

Decision 6/CP.8, paragraph 1 a-e:

“Decides that the Global Environment Facility, as an operating entity of the financial mechanism, should: (a) On matters relating to national communications:

(i) Provide financial resources at an appropriate level to cover the requirements of the guidelines annexed to decision 17/CP.8, in an expedited manner, by an operating entity of the financial mechanism of the Convention, on an agreed full cost basis for the preparation of national communications, as well as capacity-building activities relating to the preparation of national communications pursuant to decision 2/CP.7, and in particular paragraphs 1 (c), 3, 4 and 5 of decision 6/CP.7;

(ii) Continue to provide funding to Parties that have initiated the process of preparing second national communications and received funding under the expedited procedures or on an agreed full cost basis prior to the approval of the guidelines annexed to decision 17/CP.8;

(b) On matters relating to capacity-building: further the prompt implementation of decision 2/CP.7, taking into account paragraphs 3, 4 and 5 of decision 6/CP.7, and also take into account decisions 2/CP.7, 3/CP.7 and 6/CP.7 when developing its “Elements of strategic collaboration and a framework for Global Environment Facility action for capacity-building on the global environment” to be presented to the Council of the Global Environment Facility in May 2003;

(c) On matters relating to transfer of technologies: provide financial resources to non-Annex I Parties, in particular the least developed country Parties and the small island developing States among them, in accordance with decision 4/CP.7, through its climate change focal area and the Special Climate Change Fund established under decision 7/CP.7, for the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, contained in the annex to decision 4/CP.7;

(Review)

**National
communications**

Capacity development

**Technology transfer
and TNAs**

(d) On matters relating to Article 6: provide financial resources to non-Annex I Parties, in particular the least developed country Parties and the small island developing States among them, in accordance with decisions 11/CP.1 and 6/CP.7, to support the implementation of the work programme on Article 6 of the Convention contained in the annex to decision 11/CP.8;

(e) On matters relating to the report of the Global Environment Facility to the Conference of the Parties: include in its report to the Conference of the Parties detailed information in accordance with the conclusions of the Subsidiary Body for Implementation, at its seventeenth session, on the report of the Global Environment Facility;”

Decision 6/CP.8, paragraph 2:

“Requests the Global Environment Facility to include in its report to the Conference of the Parties at its ninth session information on the specific steps undertaken to implement the provisions of this decision.”

Decision 7/CP.8: Initial guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund

Decision 7/CP.8, paragraph 1 a-d:

“Decides that, for the operation of the Special Climate Change Fund, the Global Environment Facility, as an entity entrusted with the operation of the financial mechanism of the Convention, should:

(a) Promote complementarity of funding between the Special Climate Change Fund and other funds with which the operating entity is entrusted;

(b) Ensure financial separation of the Special Climate Change Fund from other funds with which the operating entity is entrusted;

(c) Ensure transparency in the operation of the Special Climate Change Fund;

(d) Adopt streamlined procedures for the operation of the Special Climate Change Fund while ensuring sound financial management;”

**Education, training
and public awareness**

Reporting

Reporting

**SCCF funding
principles**

**SCCF funding
principles**

**SCCF funding
principles**

**SCCF funding
principles**

Decision 7/CP.8, paragraph 2 a-b:

“Decides to further define the prioritized activities, programmes and measures to be funded out of the Special Climate Change Fund in areas enumerated in paragraph 2 of decision 7/CP.7 by undertaking the activities described below:

(a) Initiating a process now with a view to providing further guidance to the Global Environment Facility, this process to consist of:

(i) Requesting Parties to submit to the secretariat, by 15 February 2003, views on activities, programmes and measures referred to in paragraph 2 of decision 7/CP.7;

(ii) Requesting the Expert Group on Technology Transfer and the Least Developed Countries Expert Group to submit to the secretariat, as soon as possible, views, relevant to their mandates, on activities, programmes and measures referred to in paragraph 2 of decision 7/CP.7;

(iii) Requesting the secretariat to prepare for consideration by the Subsidiary Body for Implementation, at its eighteenth session, a report summarizing and analysing the above-mentioned submissions;

(b) Upon completion of such a process, a decision at its ninth session will provide guidance to the Global Environment Facility in order for the Global Environment Facility to operationalize the fund without delay thereafter.”

Decision 8/CP.8: Guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Least Developed Countries Fund**Decision 8/CP.8, paragraph 1:**

“Decides to adopt the following additional guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Least Developed Countries Fund established under decisions 5/CP.7 and 7/CP.7;”

Decision 8/CP.8, paragraph 2:

“Requests the Global Environment Facility, including its implementing agencies, to ensure the speedy release and disbursement of funds and timely assistance for the preparation of national adaptation programmes of action;”

(SCCF funding priorities)

LDCF - NAPAs

Decision 8/CP.8, paragraph 3:

“Requests the entity in its capacity referred to in paragraph 1 above to support, where sufficient voluntary funding has not been provided from bilateral sources, the organization, under the guidance of the Least Developed Countries Expert Group, of four regional workshops in 2003 (one in Africa for francophone least developed countries, one in Africa for anglophone least developed countries, one in Asia, and one in a small island developing State) to advise least developed countries in order to advance the process for preparing national adaptation programmes of action in these regions;”

Decision 8/CP.8, paragraph 4:

“Requests the entity referred to in paragraph 1 above to undertake the necessary arrangements for the implementation of the above-mentioned guidance, and to include in its report to the Conference of the Parties at its ninth session the specific steps it has undertaken to implement this guidance;”

Decision 8/CP.8, paragraph 5:

“Encourages Annex II Parties, and Parties included in Annex I that are in a position to do so, to address the needs of least developed countries with regard to training in negotiating skills and language through bilateral and other sources of funding;”

Decision 8/CP.8, paragraph 6:

“Invites all Parties, and the Least Developed Countries Expert Group, and the Global Environment Facility and its implementing and executing agencies, to submit to the secretariat, by 15 April 2003, views on strategies for implementing national adaptation programmes of action and ways and means to address the various elements of the least developed countries work programme, in order to meet the urgent and immediate adaptation needs of least developed countries, for consideration by Parties at the eighteenth session of the Subsidiary Body for Implementation;”

Decision 11/CP.8: New Delhi work programme on Article 6 of the Convention**Decision 11/CP.8, paragraph 5:**

“Encourages Parties to make full use of the existing opportunities provided by the Global Environment Facility, as an entity operating the financial mechanism of the Convention, in particular in accordance with decision 6/CP.7, paragraph 1 (h) 2 and decisions 2/CP.7 and 3/CP.7, or in the context of national communications, as well as the opportunities provided by other multilateral and bilateral sources of funding;”

LDCF - NAPAs**LDCF reporting**

(Financial resources)

LDCF - NAPAs(Education, training
and public awareness)

Decision 8/CP.8, paragraph 6: “Requests the Global Environment Facility to provide financial resources to Parties not included in Annex I of the Convention (non-Annex I Parties), in particular the least developed countries and small island developing States among them, in accordance with decisions 11/CP.1 and 6/CP.7, to support the implementation of the work programme;” Decision 12/CP.8: Relationship between efforts to protect the stratospheric ozone layer and efforts to safeguard the global climate system: issues relating to hydrofluorocarbons and perfluorocarbons Decision 12/CP.8, paragraph 7: “Invites Parties to consider project funding in addition to funding by the Multilateral Fund under the Montreal Protocol, in particular through the Global Environment Facility and the clean development mechanism;”	Education, training and public awareness (Financial resources)
COP-9: Milan, Italy, 1 - 12 December 2003	20 items
Decision 3/CP.9: Report of the Global Environment Facility to the Conference of the Parties Decision 3/CP.9, paragraph 1 a-b: “Requests the Global Environment Facility to include, in its report to the tenth session of the Conference of the Parties: (a) Information on the implementation of the strategic approach to enhancing capacity-building in response to decisions 2/CP.7 and 3/CP.7; (b) Information on its support for the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention.”	Reporting

Decision 4/CP.9: Additional guidance to an operating entity of the financial mechanism

Decision 4/CP.9, paragraph 1 a-c:

“Decides that the Global Environment Facility, as an operating entity of the financial mechanism, should:

(a) On matters relating to national communications:

- (i) Closely monitor the performance of the global project to support the preparation of national communications, including its effectiveness and efficiency, and continue to ensure that implementation of this project is consistent with the guidance provided by the Conference of the Parties;
- (ii) Provide finance in a timely manner for the preparation of national communications by Parties not included in Annex I to the Convention (non-Annex I Parties) whose project activities are not covered by the global project;

(b) On matters relating to capacity-building:

- (i) Continue to provide financial support to non-Annex I Parties, in accordance with decision 6/CP.7, for the implementation of the capacity-building framework annexed to decision 2/CP.7;
- (ii) Take into account, in its work relating to the development of capacity-building performance indicators for the climate change focal area, the capacity-building framework annexed to decision 2/CP.7, and undertake this work in consultation with the Convention secretariat;
- (iii) Provide financial support to countries with economies in transition, within its mandate, for the implementation of the capacity-building framework annexed to decision 3/CP.7;

(c) On matters relating to transfer of technology, continue to support enabling activities relating to technology needs assessments;”

Decision 4/CP.9, paragraph 2 a-c:

“Requests the Global Environment Facility:

(a) To continue its support for education, training and public awareness activities relating to climate change;

(b) To operationalize the new strategic priority in the climate change focal area (Piloting an operational approach to adaptation) as soon as possible;

(c) To include in its report to the Conference of the Parties at its tenth session information on specific steps undertaken to implement this decision;

**National
communications**

Capacity development

**Education, training
and public awareness**

Decision 4/CP.9, paragraph 3:

“Invites the Global Environment Facility to give appropriate consideration to addressing the priority needs identified by non-Annex I Parties in their regional action plans relating to global observing systems for climate, noting the existence of other bilateral and multilateral agencies and mechanisms that support global climate observing systems.”

Decision 5/CP.9: Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund

Decision 5/CP.9, paragraph 1 a-d:

“Decides that:

(a) The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources;

(b) Activities to be funded should be country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies;

(c) Adaptation activities to address the adverse impacts of climate change shall have top priority for funding;

(d) Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the Special Climate Change Fund;”

Decision 5/CP.9, paragraph 2 a-d:

“Decides also that the implementation of adaptation activities shall be supported through the Special Climate Change Fund, taking into account national communications or national adaptation programmes of action, and other relevant information provided by the applicant Party, and include:

(a) Implementation of adaptation activities where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development,

**Research and
systematic
observation**

**SCCF funding
principles**

**SCCF funding
principles**

**SCCF – Adaptation
overall**

**SCCF – Technology
transfer**

**SCCF – Adaptation
overall**

fragile ecosystems, including mountain ecosystems, and integrated coastal zone management;”

(b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early warning systems, and in this context improving disease control and prevention;

(c) Supporting capacity-building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;

(d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;

Decision 5/CP.9, paragraph 3:

“Decides further that resources from the Special Climate Change Fund shall be used to fund technology transfer activities, programmes and measures that are complementary to those currently funded by the Global Environment Facility taking into account national communications or any other relevant documents in accordance with decision 4/CP.7 and its annex containing the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, in the following priority areas:

(a) Implementation of the results of technology needs assessments;

(b) Technology information;

(c) Capacity-building for technology transfer;

(d) Enabling environments;”

Decision 5/CP.9, paragraph 4:

“Decides further that activities under paragraph 2 (c) and (d) in decision 7/CP.7 are also to be funded by the Special Climate Change Fund and to this effect invites Parties to submit to the secretariat, by 15 September 2004, further views on activities, programmes and measures in these areas for further consideration by the Subsidiary Body for Implementation, at its twenty-first session, in order for the Conference of the Parties to take a decision on this matter at its tenth session;”

SCCF - Health

**SCCF – Disaster
management**

**SCCF – Disaster
management**

**SCCF – Technology
transfer**

(SCCF – Funding
priorities)

Decision 5/CP.9, paragraph 5:

“Requests the entity entrusted with the operation of the fund to arrange expedited access to the Special Climate Change Fund in keeping with current practices of the Global Environment Facility, taking into account the need for adequate resources to implement eligible activities, programmes and measures;”

Decision 5/CP.9, paragraph 6:

“Invites the entity entrusted with the operation of the Special Climate Change Fund to make the necessary arrangements to mobilize resources to make the fund operational without delay;”

Decision 5/CP.9, paragraph 7:

“Requests the entity referred to in paragraph 5 above to include in its report to the Conference of the Parties, at its tenth session, the specific steps it has undertaken to implement this decision.”

Decision 6/CP.9: Further guidance for the operation of the Least Developed Countries Fund

Decision 6/CP.9, paragraph 1:

“Decides to adopt the further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Least Developed Countries Fund, as set out in paragraphs 2 and 3 below;”

Decision 6/CP.9, paragraph 2:

“Requests the entity to support the implementation of national adaptation programmes of action as soon as possible after their completion;”

**SCCF – Resource
approval and
disbursement**

**SCCF – Resource
mobilization**

SCCF reporting

LDCF - NAPAs

Decision 6/CP.9, paragraph 3:

“Requests the entity to take into account, inter alia, the following elements when developing operational guidelines for funding of the implementation of national adaptation programmes of action:

- (a) Ensuring a country-driven approach, in line with national priorities, which ensures cost-effectiveness and complementarity with other funding sources;
- (b) Equitable access by least developed country Parties to funding for the implementation of national adaptation programmes of action;
- (c) Criteria for supporting activities on an agreed full-cost basis, taking account of the level of funds available;
- (d) Guidelines for expedited support;
- (e) Urgency and immediacy of adapting to the adverse effects of climate change;
- (f) Prioritization of activities;”

Decision 6/CP.9, paragraph 4:

“Requests Parties to make completed national adaptation programmes of action available to the Global Environment Facility and to the secretariat for further dissemination to the Parties;”

Decision 6/CP.9, paragraph 5:

“Requests the entity to include in its report to the Conference of the Parties information on the specific steps it has undertaken to implement this decision as well as the preparation of national adaptation programmes of action;”

Decision 6/CP.9, paragraph 6:

“Decides to assess progress in the implementation of this decision and consider the adoption of further guidance at its tenth session.”

Decision 9/CP.9: Capacity-building

Decision 9/CP.9, paragraph 6:

“Requests the secretariat to prepare a compilation and synthesis report on capacity-building activities in countries with economies in transition, based on information included in their national communications, if available, and on information provided by the Global Environment Facility and other relevant organizations, for consideration by the Subsidiary Body for Implementation at its twentieth session.”

LDCF funding principles

(LDCF – NAPAs)

LDCF reporting

(Capacity development)

COP-10: Buenos Aires, Argentina, 6 - 18 December 2004	19 items
Decision 1/CP.10: Buenos Aires programme of work on adaptation and response measures Decision 1/CP.10, I. Adverse effects of climate change, paragraph 1: “Invites developing country Parties to make use of the strategic priorities on adaptation and capacity-building funded by the Global Environment Facility, in response to existing guidance from the Conference of the Parties, and of the funding recently pledged to the Special Climate Change Fund;” Decision 1/CP.10, paragraph 3: “Urges Parties included in Annex II to the Convention (Annex II Parties) to contribute to the Special Climate Change Fund and other multilateral and bilateral sources, to support, as a top priority, adaptation activities to address the adverse impacts of climate change;” Decision 1/CP.10, paragraph 6: “Requests the Global Environment Facility to report to the Conference of the Parties at its eleventh session (November–December 2005) and subsequent sessions on how the above-mentioned activities have been supported, and the barriers, obstacles and opportunities presented, through: (a) The strategic priority “Piloting an Operational Approach to Adaptation” (b) The small grants programme (c) Efforts to address adaptation in the climate change focal area and to mainstream it into other focal areas of the Global Environment Facility (d) The Least Developed Countries Fund and efforts to finance the preparation of national adaptation programmes of action (e) The Special Climate Change Fund;” Decision 1/CP.10, paragraph 7: “Requests the Global Environment Facility to expand support for the elaboration of adaptation strategies as part of the national communication process in non-Annex I Parties;”	(SPA) (SCCF – Financial resources) Reporting National communications

Decision 1/CP.10, II. Impact of the implementation of response measures, paragraph 15:

“Recalls paragraph 19 of decision 5/CP.7 that mandated support for the implementation of activities included in paragraphs 22–29 through the Global Environment Facility (in accordance with decision 6/CP.7), the Special Climate Change Fund (in accordance with decision 7/CP.7), and other bilateral and multilateral sources;”

Decision 1/CP.10, paragraph 21:

“Invites the Global Environment Facility and other bilateral and multilateral sources to provide feedback to the Conference of the Parties, at its twelfth session (November 2006), on activities undertaken in response to decision 5/CP.7, paragraphs 22–29 (in accordance with decisions 6/CP.7 and 7/CP.7), with a view to the Conference of the Parties adopting a decision on further action at its thirteenth session;”

Decision 2/CP.10: Capacity-building for developing countries (non-Annex I Parties)

Decision 2/CP.10, paragraph 1 (e):

“Financial and technical resources should be made available, through an operating entity of the financial mechanism and, as appropriate, through multilateral and bilateral agencies and the private sector, to assist developing countries, in particular least developed countries and small island developing States among them, in the implementation of this framework”

Decision 2/CP.10, paragraph 3:

“Requests the Global Environment Facility, as an operating entity of the financial mechanism, to take into account the key factors identified in paragraph 1 of this decision in the context of the projects of the operating entity of the financial mechanism, when supporting capacity-building activities in developing countries in accordance with decisions 2/CP.7 and 4/CP.9 and as defined in the Strategic Approach to Enhance Capacity-Building;”

Decision 2/CP.10, paragraph 6:

“Requests the Global Environment Facility to include in its report to the Conference of Parties, at its eleventh session (November–December 2005), information on how it is responding to this decision;”

(General)

**Response measure
impacts**

Capacity development

Capacity development

Reporting

Decision 2/CP.10, paragraph 7:

“Decides to initiate a second comprehensive review of the implementation of the capacity-building framework in developing countries, based on paragraph 8 of this decision and information provided by Parties, the Global Environment Facility and its implementing agencies, and bilateral, multilateral and other international organizations, at the twenty-eighth session of the Subsidiary Body for Implementation (June 2008) with a view to completing it at the fifteenth session of the Conference of the Parties (November–December 2009);”

Decision 2/CP.10, paragraph 9 a, c-e:

“Requests the secretariat:

(a) To continue to cooperate with the operating entity of the financial mechanism of the Convention, its implementing agencies, and bilateral and other multilateral and international organizations to facilitate the implementation of the capacity-building framework;

[...]

(c) To prepare a synthesis report on the steps to be taken to monitor regularly capacity-building activities pursuant to decision 2/CP.7 based on views from Parties as indicated in paragraph 8 and taking into account the work of the Global Environment Facility on capacity-building performance indicators for the climate change focal area consistent with decision 4/CP.9 and make this report available to the Subsidiary Body for Implementation at its twenty-fourth session;

(d) To prepare reports, based on inputs from Parties, the Global Environment Facility and its implementing agencies, as well as from other relevant organizations and institutions, for consideration by the Subsidiary Body for Implementation at its thirty-first session (November–December 2009), to allow the Conference of Parties to complete its second comprehensive review of the capacity-building framework;

(e) To disseminate, in cooperation with the Global Environment Facility and its implementing agencies, an information document on best practices, lessons learned in capacity-building projects and programmes, and to facilitate its publication through the UNFCCC web site.”

(Review)

(Capacity
development)

(Capacity
development)

(Capacity
development)

(Capacity
development)

Decision 3/CP.10: Capacity-building for countries with economies in transition

Decision 3/CP.10, paragraph 2:

“Invites the Global Environment Facility within its mandate, Parties included in Annex II to the Convention (Annex II Parties), and multilateral, bilateral and other international organizations that are in a position to do so, to provide financial support for capacity-building activities in Parties with economies in transition, as outlined in decision 3/CP.7;”

Decision 3/CP.10, paragraph 3:

“Invites the Global Environment Facility within its mandate and its implementing agencies, Annex II Parties and multilateral, bilateral and other international organizations to provide information regarding opportunities for technical and financial support for capacity-building activities in Parties with economies in transition;”

Decision 3/CP.10, paragraph 7:

“Decides to review the status of implementation of decision 3/CP.7 at the twenty-seventh session of the Subsidiary Body for Implementation (November 2007) in preparation for the first commitment period of the Kyoto Protocol, making use of information provided by Parties with economies in transition and Annex II Parties in their national communications and other relevant documents and information to be provided by the Global Environment Facility and its implementing agencies, and bilateral, multilateral and other international agencies;”

Decision 3/CP.10, paragraph 9:

“Invites the Global Environment Facility and its implementing agencies, and bilateral, multilateral and other international organizations, to provide information for the review of decision 3/CP.7 as indicated in paragraphs 7 and 8 above.”

Decision 7/CP.10: Status of, and ways to enhance, implementation of the New Delhi work programme on Article 6 of the Convention

Decision 7/CP.10, paragraph 3:

“Urges the Global Environment Facility to continue its work in improving the access to, and visibility of, opportunities for funding Article 6 activities and in providing information on Article 6 activities in its reports to the Conference of the Parties;”

Capacity development

Capacity development

(Review)

Capacity development

**Education, training
and public awareness**

Decision 7/CP.10, paragraph 4:

“Invites Parties not included in Annex I to the Convention and Parties with economies in transition to emphasize the Article 6 components within the regular projects they submit to the Global Environment Facility for funding;”

Decision 8/CP.10: Additional guidance to an operating entity of the financial mechanism**Decision 8/CP.10, paragraph 1:**

“Requests the Global Environment Facility, as an operating entity of the financial mechanism, to take into account, on matters relating to capacity-building, the key factors identified in paragraph 1 of decision 2/CP.10 in the context of projects of the operating entity of the financial mechanism, when supporting capacity-building activities in developing countries in accordance with decisions 2/CP.7 and 4/CP.9 and as defined in the Strategic Approach to Enhance Capacity-Building;”

Decision 8/CP.10, paragraph 2:

“Urges the Global Environment Facility, on matters relating to Article 6 of the Convention, to continue its work in improving access to, and visibility of, opportunities for funding Article 6 activities;”

Decision 8/CP.10, paragraph 3 a-e:

“Requests the Global Environment Facility to report to the Conference of the Parties at its eleventh session (November–December 2005) and at subsequent sessions on how activities identified in paragraph 6 of decision 1/CP.10 have been supported, and the barriers, obstacles and opportunities presented, through:

- (a) The strategic priority “Piloting an Operational Approach to Adaptation”
- (b) The small grants programme
- (c) Efforts to address adaptation in the climate change focal area and to mainstream it into other focal areas of the Global Environment Facility
- (d) The Least Developed Countries Fund and efforts to finance the preparation of national adaptation programmes of action
- (e) The Special Climate Change Fund;”

Decision 8/CP.10, paragraph 4:

“Requests the Global Environment Facility, as an operating entity of the financial mechanism, to make available further financial and technical resources to implement the actions identified in paragraph 7 of decision 5/CP.7;”

(Education, training
and public awareness)

Capacity development

**Education, training
and public awareness**

Reporting

**Research and
systematic
observation**

**Education, training
and public awareness
National
communications**

Reporting

**Response measure
impact**

(GEF replenishment)

Decision 8/CP.10, paragraph 5:

“Requests the Global Environment Facility to expand support for the elaboration of adaptation strategies as part of the national communication process in Parties not included in Annex I to the Convention;”

Decision 8/CP.10, paragraph 6:

“Requests the Global Environment Facility to include in its report to the Conference of the Parties at its eleventh session information on specific steps undertaken to implement this decision;”

Decision 8/CP.10, paragraph 7:

“Invites the Global Environment Facility to provide feedback to the Conference of the Parties, at its twelfth session (November 2006), on activities undertaken in response to decision 5/CP.7, paragraphs 22–29 (in accordance with decisions 6/CP.7 and 7/CP.7), with a view to the Conference of the Parties adopting a decision on further action at its thirteenth session (November 2007).”

Decision 9/CP.10: Assessment of funding to assist developing countries in fulfilling their commitments under the Convention

Decision 9/CP.10, paragraph 1:

“Decides that the report on the assessment of funding necessary to assist developing countries in fulfilling their commitments under the Convention shall constitute an input of the Conference of the Parties to the fourth replenishment negotiations of the Global Environment Facility Trust Fund;”

Decision 9/CP.10, paragraph 2: “Urges the Council of the Global Environment Facility to ensure that adequate funding is available to enable developing countries to meet their commitments under the Convention, taking into account Article 4, paragraph 7, as well as Article 11, paragraph 5, of the Convention which provides that developed country Parties may also provide through bilateral, regional and other multilateral channels financial resources relating to the implementation of the Convention by developing country Parties;”	Resource mobilization
COP-11: Montreal, Canada, 28 November - 10 December 2005	14 items
Decision 3/CP.11: Further guidance for the operation of the Least Developed Countries Fund Decision 3/CP.11, paragraph 1 a-c: “Decides that the operation of the Least Developed Countries Fund should be consistent with the following principles: (a) A country-driven approach, supporting the implementation of urgent and immediate activities identified in national adaptation programmes of action, as a way of enhancing adaptive capacity (b) Supporting the implementation of activities identified in national adaptation programmes of action, and of other elements of the least developed countries work programme identified in decision 5/CP.7, in order to promote the integration of adaptation measures in national development and poverty reduction strategies, plans or policies, with a view to increasing resilience to the adverse effects of climate change (c) Supporting a learning-by-doing approach;”	LDCF funding principles LDCF funding priorities LDCF funding principles

Decision 3/CP.11, paragraph 2: “Decides that full-cost funding shall be provided by the Least Developed Countries Fund to meet the additional costs² of activities to adapt to the adverse effects of climate change as identified and prioritized in the national adaptation programmes of action;”	LDCF funding principles
Decision 3/CP.11, paragraph 3: “Requests the Global Environment Facility to develop a co-financing scale for supporting activities identified in national adaptation programmes of action, taking into account the circumstances of least developed countries;”	LDCF funding principles
Decision 3/CP.11, paragraph 4: “Decides that activities, identified in national adaptation programmes of action, that are not supported through full-cost funding as described in paragraph 2 above, will be co-financed through the scale referred to in paragraph 3 above;”	LDCF funding principles
Decision 3/CP.11, paragraph 5: “Requests the Global Environment Facility to develop flexible modalities that ensure balanced access to resources given the level of funds available, in accordance with decision 6/CP.9;”	LDCF funding principles
Decision 3/CP.11, paragraph 6: “Invites Parties included in Annex II to the Convention to continue contributing to the Least Developed Countries Fund for the implementation of national adaptation programmes of action;”	(Financial resources)
Decision 3/CP.11, paragraph 7: “Decides that, given the unique circumstances of the Least Developed Countries Fund, the operation of the fund shall not set a precedent for other funding arrangements under the Convention;”	(LDCF – General)
Decision 3/CP.11, paragraph 8: “Requests the Subsidiary Body for Implementation to review, at its twenty-sixth session (May 2007), the experiences gained from the implementation of national adaptation programmes of action, including those in accessing funds from the Least Developed Countries Fund;	(NAPA review)
Decision 3/CP.11, paragraph 9: “Requests the Global Environment Facility to ensure the separation of the administration and activities of the Trust Fund of the Global Environment Facility and the Least Developed Countries Fund;”	LDCF funding principles

Decision 3/CP.11, paragraph 10:

“Requests the Global Environment Facility to include, in its reports to the Conference of the Parties, information on the specific steps it has taken to implement this decision, for consideration by the Conference of the Parties at subsequent sessions;”

Decision 3/CP.11, paragraph 11:

“Decides to assess progress in the implementation of this decision and consider the adoption of further guidance, as appropriate, at its fourteenth session (December 2008).”

Decision 5/CP.11: Additional guidance to an operating entity of the financial mechanism

Decision 5/CP.11, paragraph 1 a-b:

“Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to include in its regular report to the Conference of the Parties information on:

(a) The initial application of the Resource Allocation Framework to resources allocated in the fourth replenishment of the Global Environment Facility that is operational from July 2006, focusing on the climate change focal area;

(b) How the Resource Allocation Framework is likely to affect funding available to developing countries for the implementation of their commitments under the Convention;”

Decision 5/CP.11, paragraph 2:

“Requests the Global Environment Facility, in accordance with Article 12, paragraph 4, of the Convention, and decision 11/CP.1, to assist, if so requested, Parties not included in Annex I to the Convention in formulating and developing project proposals identified in their national communications, when Parties are formulating their national programmes to address climate change issues;”

Decision 5/CP.11, paragraph 3:

“Requests the Global Environment Facility to consider whether supporting carbon capture and storage technologies, in particular related capacity-building activities, would be consistent with its strategies and objectives, and if so, how they could be incorporated within its operational programmes;”

LDCF reporting

Reporting

**National
communications
follow-up**

**Carbon capture and
storage**

[illegible]

(c) Climate-friendly agricultural technologies and practices, including traditional agricultural methods;

(d) Afforestation, reforestation and use of marginal land;

(e) Solid and liquid waste management for the recovery of methane;

Decision 1/CP.12, paragraph 2 a-e:

“Decides that the Special Climate Change Fund shall be used to finance activities, programmes and measures relating to climate change in the areas set out in decision 7/CP.7, paragraph 2 (d), that are complementary to those funded by the resources allocated to the climate change focal area of the Global Environment Facility and by other bilateral and multilateral funding initially in the following areas:

(a) Capacity-building at the national level in the areas of:

(i) Economic diversification;

(ii) Energy efficiency in countries whose economies are highly dependent on consumption of fossil fuels and associated energy-intensive products;

(b) Support through technical assistance the creation of favourable conditions for investment in sectors where such investment could contribute to economic diversification;

(c) Support through technical assistance the diffusion and transfer of less-greenhouse-gas-emitting advanced fossil-fuel technologies;

(d) Support through technical assistance innovative national advanced fuel technologies;

(e) Support through technical assistance the promotion of investments in less-greenhouse-gas-emitting, environmentally sound energy sources, including natural gas, according to the national circumstances of Parties;”

Decision 1/CP.12, paragraph 3:

“Decides to assess, at its fifteenth session, the status of implementation of paragraph 2 above, with a view to considering further guidance on how the fund shall support concrete implementation projects in accordance with paragraphs 22–29 of decision 5/CP.7;”

**SCCF - Sectors
(SCCF-C)**

**SCCF - Sectors
(SCCF-C)**

**SCCF - Sectors
(SCCF-C)**

**SCCF -
Diversification
(SCCF-D)**

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Diversification
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Diversification
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**SCCF -
Diversification
(SCCF-D)**

**SCCF -
Diversification
(SCCF-D)**

(SCCF review)

Decision 1/CP.12, paragraph 4:

“Decides that the operational principles and criteria of the Special Climate Change Fund and the manner in which they are carried out in the operation of the Special Climate Change Fund will apply only to Global Environment Facility activities financed under the Special Climate Change Fund;”

Decision 1/CP.12, paragraph 5:

“Requests the entity entrusted with the operation of the Special Climate Change Fund to continue to adhere strictly to the decisions of the Conference of the Parties in the operationalization of the Special Climate Change Fund;”

Decision 1/CP.12, paragraph 6:

“Requests the entity entrusted with the operation of the Special Climate Change Fund to continue its efforts to mobilize resources, in addition to those already pledged, to support the funding of eligible project activities under the Special Climate Change Fund;”

Decision 1/CP.12, paragraph 7:

“Requests the entity referred to in paragraph 6 above to include in its report to the Conference of the Parties, at its thirteenth session, the specific steps it has undertaken to implement this decision.”

Decision 2/CP.12: Review of the financial mechanism

Decision 2/CP.12, paragraph 1 a-d:

“Requests the Global Environment Facility:

- (a) To give due priority to adaptation activities in accordance with the guidance provided by the Conference of the Parties;
- (b) To strengthen work on awareness-raising on Global Environment Facility programmes and procedures in order to assist developing countries to access Global Environment Facility funds;
- (c) To explore options for undertaking land use and land-use change projects within the climate change focal area of the Global Environment Facility, in light of past experience;
- (d) To continue its promotion of energy efficiency projects;”

SCCF funding principles

Implementation of COP guidance

SCCF – Resource mobilization

SCCF - Reporting

CCA funding priorities (general)

Dialogue with countries

LULUCF

Energy efficiency

Decision 2/CP.12, paragraph 2:

“Further requests the Global Environment Facility to recognize and respond to the challenges faced by small island developing States and least developed countries in accessing Global Environment Facility funding highlighted in the third overall performance study of the Global Environment Facility;”

Decision 2/CP.12, paragraph 3 a-g:

“Requests the Global Environment Facility to report to the Conference of the Parties at its thirteenth session on:

- (a) Its response to the recommendations of the third overall performance study of the Global Environment Facility;
- (b) How it has taken into consideration the recommendations of the third review of the financial mechanism;
- (c) Its response to the findings of the report on project cycle management by the Global Environment Facility Evaluation Office;
- (d) Efforts to engage the private sector in providing resources to address climate change;
- (e) Steps taken to strengthen work on awareness-raising on Global Environment Facility programmes and procedures in order to assist developing countries to access Global Environment Facility funds;
- (f) How it has recognized and responded to the challenges faced by least developed countries and small island developing States, as referred to in paragraph 2 above;
- (g) Steps taken to assist developing countries to formulate project proposals;”

Decision 2/CP.12, paragraph 4:

“Invites the Global Environment Facility, in light of the third overall performance study of the Global Environment Facility, to review the overall strategic coherence of, and revise, as necessary, its climate change focal area operational programmes in the light of findings and recommendations of the third overall performance study of the Global Environment Facility;”

Decision 2/CP.12, paragraph 5:

“Requests the Subsidiary Body for Implementation to initiate the fourth review of the financial mechanism at its twenty-seventh session in accordance with the criteria contained in the guidelines annexed to decision 3/CP.4, or as they may be subsequently amended, and to take appropriate measures and report on the outcome to the Conference of the Parties no later than at its sixteenth session;”

**Geographic
considerations**

Reporting

General

(Review)

Decision 2/CP.12, paragraph 6 a-b:

“Decides that the fourth review of the financial mechanism should assess and review:

(a) The Global Environment Facility funding for mitigation;

(b) The Global Environment Facility response to the adaptation needs of developing countries in accordance with guidance by the Conference of the Parties;”

Decision 2/CP.12, paragraph 7:

“Invites Parties that are donors to the fourth replenishment of the Global Environment Facility to provide timely contributions to help ensure adequate and predictable resources necessary to advance the implementation of the Convention;”

Decision 2/CP.12, paragraph 8 a-b:

“Requests the secretariat, in order to start the fourth review process in 2007, to prepare for consideration and appropriate action by the Subsidiary Body for Implementation at its twenty-seventh session:

(a) A technical paper reviewing the experience of international funds and multilateral financial institutions and other sources of funding that is relevant to address current and future investment and financial needs of developing countries for the purposes of meeting their commitments under the Convention;

(b) A report, in collaboration with the Global Environment Facility Secretariat, on the assessment of the funding necessary to assist developing countries, in accordance with the guidance provided by the Conference of the Parties, in meeting their commitments under the Convention over the next Global Environment Facility replenishment cycle, taking into account paragraph 1 (a)–(d) of the Annex to the memorandum of understanding between the Conference of the Parties and the Global Environment Facility Council (decision 12/CP.3).

Decision 3/CP.12: Additional guidance to the Global Environment Facility

(Review)

(Financial resources)

(Review)

Decision 3/CP.12, paragraph 1 a-e:

“Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention:
(a) To further simplify its procedures and improve the efficiency of the process through which developing country Parties receive funding for projects for the implementation of their commitments under Article 4, paragraph 1, of the Convention;

(b) To explore options to address concerns of developing country Parties on requirements for leveraging additional funds for projects;

(c) To give a detailed report on the resources available to each developing country Party in the initial implementation of the resource allocation framework, including a list of activities funded with these resources during this initial period in the climate change focal area;

(d) To continue to provide financial support for the implementation of the technology transfer contained in the annex to decision 4/CP.7, including new sub-themes,¹ through its climate change focal area and the Special Climate Change Fund established under decision 7/CP.7;

(e) To provide financing to Parties not included in Annex I to the Convention that received the top-up fund but did not conduct their technology needs assessments, to enable these Parties to conduct their technology needs assessments as part of their second national communications, and to provide these funds to Parties not included in Annex I to the Convention that have conducted their technology needs assessments but need to update them, also as part of their second national communications, in addition to the amount approved for the preparation of their second national communications;”

Decision 3/CP.12, paragraph 2 a-d:

“Invites the Global Environment Facility, as an operating entity of the financial mechanism of the Convention:
(a) To further simplify its procedures and improve the efficiency of the process by which Parties not included in Annex I to the Convention receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations;

**Resource approval
and disbursement**

Resource mobilization

Resource allocation

**Technology transfer
and TNAs**

**Technology transfer
and TNAs**

**National
communications**

(b) To provide updated information on the operational procedures for the expedited financing of national communications from Parties not included in Annex I to the Convention, for consideration by the Subsidiary Body for Implementation at its twenty-sixth session;

(c) When providing support for technology needs assessments, in accordance with decisions 4/CP.9 and 5/CP.9, to take into account actions to address barriers and constraints as well as the creation of enabling environments and capacity gaps, identified by the Parties not included in Annex I to the Convention and as contained in document FCCC/SBSTA/2006/INF.1;

(d) To produce simple guidelines on how to enhance activities relating to Article 6 in project proposals when applying for Global Environment Facility funding;”

Decision 3/CP.12, paragraph 3:

“Urges the Global Environment Facility to provide further funding, in a more timely manner, to the developing country Parties, in particular the least developed countries and small island developing States, to allow these countries to implement activities relating to Article 6 and the New Delhi work programme;”

Decision 3/CP.12, paragraph 4:

“Requests the Global Environment Facility to include, in its regular report to the Conference of the Parties, information on the specific steps it has taken to implement guidance contained in paragraphs 1 and 2 above;”

Decision 3/CP.12, paragraph 5:

“Invites Parties to submit to the secretariat, by 17 August 2007, their views and recommendations on the funding available to them in the climate change focal area, for compilation by the secretariat for consideration and appropriate action at the Conference of the Parties at its thirteenth session and for transmission through the secretariat to the Council of the Global Environment Facility.”

Decision 4/CP.12: Capacity-building under the Convention

**National
communications**

**Technology Transfer
and TNAs**

**Education, training
and public awareness**

**Geographic
considerations**

Reporting

(Financial resources)

Decision 4/CP.12, paragraph 1 b/d:

“Decides that the following additional steps will be taken annually to regularly monitor the implementation of the capacity-building framework pursuant to decisions 2/CP.7 and 2/CP.10:

[...]

(b) The Global Environment Facility to provide a report on its progress in support of the implementation of the framework in its reports to the Conference of the Parties;

[...]

(d) Parties to consider the Global Environment Facility report mentioned in subparagraph (b) above and the synthesis report described in subparagraph (c) above as a basis for regular monitoring and as a contribution to the comprehensive review of the capacity-building framework;

Decision 4/CP.12, paragraph 2 a-b:

“Requests the secretariat to organize, before the thirteenth session of the Conference of the Parties, in collaboration with the Global Environment Facility and subject to the availability of resources, an expert workshop:

(a) To exchange views on experiences in monitoring and evaluation of capacity-building by Parties, and where relevant, multilateral, bilateral agencies as well as intergovernmental and non-governmental organizations;

(b) To discuss the work of the Global Environmental Facility with regard to the development of capacity-building performance indicators relevant for monitoring the implementation of the capacity-building framework;”

Decision 4/CP.12, paragraph 5:

“Reiterates its request to the Global Environment Facility, as an operating entity of the financial mechanism, to take into account the key factors for capacity-building as laid out in paragraph 1 of decision 2/CP.10 when supporting capacity-building activities in developing countries;”

Decision 4/CP.12, paragraph 6:

“Reiterates its request to the Global Environment Facility to continue to provide financial resources to support the development of the information sources named in paragraph 1 (c), above, as appropriate, in accordance with decisions 2/CP.7, 6/CP.7, 4/CP.9, 2/CP.10 and 8/CP.10.”

(Capacity development)

Reporting

(Capacity development)

Capacity development

Capacity development

Capacity development

COP-13: Bali, Indonesia, 3 - 15 December 2007	22 items
Decision 3/CP.13: Development and transfer of technologies under the Subsidiary Body for Scientific and Technological Advice Decision 3/CP.13, paragraph 9: “Requests the secretariat to facilitate the implementation of the actions for enhancing the technology transfer framework further elaborated in annex I to this decision, and of the work of the Expert Group on Technology Transfer in cooperation with Parties, the Global Environment Facility and other relevant international organizations, initiatives and intergovernmental processes;” Decision 3/CP.13, paragraph 10: “Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support for the technology transfer framework, and complemented by the set of actions referred to in paragraph 2 above.” Decision 3/CP.13, Annex I, A. Technology needs and needs assessments, paragraph 8 (d): “Most of the actions described in paragraph 7 of the technology transfer framework under the theme of technology needs assessments (TNAs) have been completed as described in paragraphs 16–21 of the main part of document FCCC/SBSTA/2006/INF.4. Based on lessons learned in the implementation of this theme, the following recommendations are made to enhance the implementation of this key theme: [...] (d) To request the Global Environment Facility (GEF) and its implementing agencies, other intergovernmental organizations (IGOs), international financial institutions (IFIs), the Climate Technology Initiative (CTI) and Parties that are in a position to do so to provide capacity-building for non-Annex I Parties to conduct, report and use TNAs; Decision 4/CP.13: Development and transfer of technologies under the SBI	Technology transfer and TNAs Technology transfer and TNAs Technology transfer and TNAs

Decision 4/CP.13, paragraph 3:

“Requests the Global Environment Facility, as an operational entity of the financial mechanism under the Convention, in consultation with interested Parties, international financial institutions, other relevant multilateral institutions and representatives of the private financial community, to elaborate a strategic programme to scale up the level of investment for technology transfer to help developing countries address their needs for environmentally sound technologies, specifically considering how such a strategic programme might be implemented along with its relationship to existing and emerging activities and initiatives regarding technology transfer and to report on its findings to the twenty-eighth session of the Subsidiary Body for Implementation for consideration by Parties;”

Decision 4/CP.13, paragraph 9:

“Requests the secretariat to facilitate the implementation of the technology transfer framework and of the work of the Expert Group on Technology Transfer, in cooperation with Parties, the Global Environment Facility and other relevant international organizations, initiatives and intergovernmental processes;”

Decision 4/CP.13, paragraph 10:

“Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support to developing countries for the implementation of the technology transfer framework, and complemented by the set of actions referred to in paragraph 4 above.”

Decision 6/CP.13: Fourth review of the financial mechanism**Decision 6/CP.13, paragraph 1:**

“Decides to adopt the additional guidelines for the review of the financial mechanism, as contained in the annex to this decision;”

**Technology transfer
and TNAs**(Technology transfer
and TNAs)**Technology transfer
and TNAs**

(Review)

Decision 6/CP.13, paragraph 2 a-d:

“Invites Parties to submit to the secretariat, by 21 March 2008, for consideration by the Subsidiary Body for Implementation at its twenty-eighth session, their views on the following:

(a) The technical paper on the review of the experience of international funds, multilateral financial institutions and other sources of funding relevant to the current and future investment and financial needs of developing countries;

(b) The report prepared by the secretariat, in collaboration with the Global Environment Facility secretariat, on the assessment of the funding necessary to assist developing countries, in accordance with the guidance provided by the Conference of the Parties, in meeting their commitments under the Convention over the next Global Environment Facility replenishment cycle, taking into account paragraph 1 (a)-(d) of the annex to the memorandum of understanding between the Conference of the Parties and the Global Environment Facility Council (decision 12/CP.3);

(c) The report on the analysis of existing and potential investment and financial flows relevant to the development of an effective and appropriate international response to climate change;

(d) Options for scaling up the international financial response to climate change, based on national experiences and on available relevant documents;

Decision 6/CP.13, paragraph 3:

“Requests the secretariat to compile the views submitted by Parties referred to in paragraph 2 above and prepare a synthesis report for consideration by the Subsidiary Body for Implementation at its twenty-eighth session;”

(Review)

(Review)

Decision 6/CP.13, paragraph 4:

“Requests the Subsidiary Body for Implementation to consider the submissions by Parties referred to in paragraph 2 above and recommend a draft decision for adoption by the Conference of the Parties at its fourteenth session on the assessment of the funding necessary to assist developing countries, in accordance with the guidance provided by the Conference of the Parties, in fulfilling their commitments under the Convention over the next Global Environment Facility replenishment cycle, taking into account paragraph 1 (a)–(d) of the annex to the memorandum of understanding between the Conference of the Parties and the Global Environment Facility Council (decision 12/CP.3), for consideration by the Global Environment Facility in its negotiations of the fifth replenishment of the Global Environment Facility;”

(Review)

Decision 6/CP.13, paragraph 5:

“Requests the Subsidiary Body for Implementation to continue consideration of the fourth review of the financial mechanism, on the basis of the guidelines contained in the annex to this decision and in the annex to decision 3/CP.4, with a view to recommending, in accordance with decision 2/CP.12, a draft decision on the review for adoption by the Conference of the Parties no later than at its fifteenth session.”

(Review)

SEE ALSO: ANNEX - Additional guidelines for the review of the financial mechanism

Decision 7/CP.13: Additional guidance to the Global Environment Facility**Decision 7/CP.13, paragraph 1 a-l:**

“Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention:

(a) To continue to take the necessary steps to enhance its country dialogues, including ensuring the clarity, transparency and timeliness in its communications with Parties on changes undertaken in the Global Environment Facility reform agenda;

**Dialogue with
countries**

(b) To inform the implementing/executing agencies of the Global Environment Facility of the relevant Convention provisions and decisions of the Conference of Parties in the performance of their Global Environment Facility obligations, and to encourage them, as a first priority, whenever possible, to use national experts/consultants in all aspects of project development and implementation;

**Dialogue with GEF
agencies**

(c) To continue to simplify and streamline the application of the incremental cost principle, building on its recent reforms and taking into account lessons learned on the constraints in resource mobilization by developing countries;	Incremental costs
(d) To take fully into account lessons learned in the strategic priority “Piloting an Operational Approach to Adaptation”, including the application of incremental cost, to help inform on how the Global Environment Facility could best support climate adaptation activities;	Knowledge management
(e) To continue to improve access to Global Environment Facility funds, as highlighted in the Third Overall Performance Study of the Global Environment Facility, for those countries that are particularly vulnerable to the adverse effects of climate change;	Funding principles
(f) To submit the report of the Global Environment Facility to the Conference of the Parties within a time frame that would allow Parties to the Convention to examine the report carefully prior to the start of the sessions of the Conference of the Parties;	Reporting
(g) To continue to ensure that financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention;	Resource mobilization
(h) To take into consideration the request contained in paragraph 1 (g) above in its planned mid-term review in 2008;	Reporting
(i) To work with its implementing agencies to continue to simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention (non-Annex I Parties) receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations;	National communications
(j) To refine, as appropriate, operational procedures to ensure the timely disbursement of funds to meet the agreed full costs incurred by those non-Annex I Parties that are in the process of preparing their third and, where appropriate, fourth national communications, in the light of paragraph 1 (g)-(i) above;	National communications

(k) To assist, as appropriate, non-Annex I Parties in formulating and developing project proposals identified in their national communications in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2;

(l) To ensure, together with its implementing agencies, that the analysis of project proposals for the financing of second and subsequent national communications is consistent with the guidelines for the preparation of national communications from non-Annex I Parties;”

Decision 7/CP.13, paragraph 2 a/b:

“Invites the Global Environment Facility:

(a) To continue to provide information on funding for projects identified in the national communications of non-Annex I Parties in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved;

(b) To consider the views of, and any concerns expressed by, Parties regarding their current experiences with the Global Environment Facility and its implementing agencies in relation to the provision of financial support for the preparation of national communications from non-Annex I Parties, as contained in documents FCCC/SBI/2007/MISC.13 and Add.1;”

Decision 7/CP.13, paragraph 3:

“Requests the Global Environment Facility to include, in its regular report to the Conference of the Parties, information on the specific steps it has taken to implement the guidance contained in paragraphs 1 and 2 above;”

Decision 7/CP.13, paragraph 4:

“Requests the Global Environment Facility to continue to provide, as appropriate, financial resources to developing country Parties, in particular the least developed countries and small island developing States among them, in accordance with decisions 11/CP.1, 6/CP.7, 4/CP.9 and 7/CP.10, to support the implementation of the New Delhi work programme on Article 6 of the Convention and to regularly report to the Conference of the Parties on the activities it has supported.”

**National
communications
follow-up**

**National
communications**

**National
communications**

**National
communications**

Reporting

**Education, training
and public awareness**

Decision 8/CP.13: Extension of the mandate of the Least Developed Countries Expert Group Decision 8/CP.13, paragraph 4: “Decides further that the Least Developed Countries Expert Group, taking into account the initiation of implementation of the national adaptation programmes of action, may invite, when deemed necessary, the Global Environment Facility and its agencies to its meetings;” Decision 9/CP.13: Amended New Delhi work programme on Article 6 of the Convention Decision 9/CP.13, paragraph 5: “Requests the Global Environment Facility to continue to provide, as appropriate, financial resources to Parties not included in Annex I to the Convention (non-Annex I Parties), in particular the least developed countries and small island developing States among them, in accordance with decisions 11/CP.1, 6/CP.7, 4/CP.9 and 7/CP.10, to support the implementation of the work programme and to regularly report to the Conference of the Parties on the activities it has supported;”	(LDCF – General) Education, training and public awareness
COP-14: Poznan, Poland, 1 - 12 December 2008	26 items
Decision 2/CP.14: Development and transfer of technologies Decision 2/CP.14, paragraph 2 a-d: “Requests the Global Environment Facility: (a) To promptly initiate and expeditiously facilitate the preparation of projects for approval and implementation under the strategic programme referred to in paragraph 1 above in order to help developing countries address their needs for environmentally sound technologies;	Technology transfer and TNAs

(b) To collaborate with its implementing agencies in order to provide technical support to developing countries in preparing or updating, as appropriate, their technology needs assessments using the updated handbook for conducting technology needs assessments for climate change published by the United Nations Development Programme, to be made available in early 2009 in collaboration with the Expert Group on Technology Transfer, the UNFCCC secretariat and the Climate Technology Initiative;	Technology transfer and TNAs
(c) To consider the long-term implementation of the strategic programme, including: addressing the gaps identified in current operations of the Global Environment Facility that relate to investment in the transfer of environmentally sound technologies; leveraging private-sector investment; and promoting innovative project development activities;	Technology transfer and TNAs
(d) To report on the progress made in carrying out the activities referred to in paragraph 2 (a–c) above to the Conference of the Parties at its sixteenth session, in addition to providing interim reports to the Subsidiary Body for Implementation at its thirtieth and thirty-first sessions, with a view to assessing its progress and future direction in order to help inform Parties in their consideration of long-term needs for implementation of the strategic programme;”	Reporting
Decision 3/CP.14: Financial mechanism of the Convention: fourth review of the financial mechanism	
Decision 3/CP.14, paragraph 1: “Decides that the report on the assessment of the funding necessary for the implementation of the Convention³ will be taken into account in the fifth replenishment negotiations of the Global Environment Facility Trust Fund;”	(Review)
Decision 3/CP.14, paragraph 2: “Calls upon developed country Parties and invites other Parties that make financial contributions to the Global Environment Facility to secure a successful fifth replenishment of the Global Environment Facility and to ensure that the findings of the mid-term review of the Resource Allocation Framework are fully taken into account;”	(Financial resources)
Decision 3/CP.14, paragraph 3: “Urges the Council of the Global Environment Facility to help to ensure that adequate and predictable funding is made available for the implementation of commitments under Article 4, paragraph 3, of the Convention;”	Resource mobilization

Decision 3/CP.14, paragraph 4:

“Decides that the fourth review of the financial mechanism shall be conducted on the basis of the guidelines contained in the annex to decision 6/CP.13 and in the annex to decision 3/CP.4;”

Decision 3/CP.14, paragraph 5:

“Requests the Subsidiary Body for Implementation to recommend, in accordance with decision 2/CP.12, a draft decision on the review for adoption by the Conference of the Parties at its fifteenth session.”

Decision 4/CP.14: Additional guidance to the Global Environment Facility**Decision 4/CP.14, paragraph 1 a-f:**

“Requests the Global Environment Facility:

- (a) To fully address issues raised over the implementation of the Resource Allocation Framework;
- (b) To provide information on a regular basis on the composition and objective of the cofinancing for projects funded by the Global Environment Facility;
- (c) To continue to enhance action on mitigation and, as appropriate, adaptation, in developing country Parties, including to promote, facilitate and finance, as appropriate, transfer of, or access to, environmentally sound technologies and know-how;
- (d) To continue to improve access for all developing countries, in particular least developed countries, small island developing States and countries in Africa, to Global Environment Facility resources;
- (e) To continue to encourage its implementing and executing agencies to perform their functions as efficiently and transparently as possible, in accordance with guidance of the Conference of the Parties;
- (f) To ensure, as a top priority, that sufficient financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention, noting and welcoming that a number of Parties not included in the Annex I (non-Annex I Parties) plan to initiate the preparation of their third or fourth national communications by the end of the fourth replenishment of the Global Environment Facility;”

(Review)

(Review)

Resource allocation

Reporting

Funding priorities

Geographic considerations

Dialogue with GEF agencies

National communications

Decision 4/CP.14, paragraph 2:

“Invites the Global Environment Facility to inform its implementing agencies of the guidelines for the preparation of national communications from non Annex I Parties and of relevant provisions of the Convention, in particular its Article 4, paragraph 3, on the provision of new and additional financial resources to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention;”

Decision 4/CP.14, paragraph 3 a-d:

“Reiterates the following requests made by the Conference of the Parties at its thirteenth session to the Global Environment Facility:

(a) To continue to ensure that financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention;

(b) To refine, as appropriate, operational procedures to ensure the timely disbursement of funds to meet the agreed full costs incurred by those non-Annex I Parties that are in the process of preparing their third and, where appropriate, fourth national communications;

(c) To assist, as appropriate, non Annex I Parties in formulating and developing project proposals identified in their national communications in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2;

(d) To work with its implementing agencies to continue to simplify their procedures and improve the effectiveness and efficiency of the process through which non-Annex I Parties receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations;”

Decision 4/CP.14, paragraph 4:

“Also reiterates the invitation made by the Conference of the Parties at its thirteenth session to the Global Environment Facility to continue to provide information on funding for projects that have been identified in the national communications of non Annex I Parties in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved;”

**Dialogue with GEF
agencies**

**National
communications**

**National
communications**

**National
communications
follow-up**

**National
communications**

**National
communications
follow-up**

Decision 4/CP.14, paragraph 5:

“Further reiterates its request to the Global Environment Facility to make continued efforts to provide adequate financial resources to support the implementation of capacity-building activities consistent with decision 2/CP.7;”

Decision 4/CP.14, paragraph 6:

“Further requests the Global Environment Facility to continue to include, in its regular report to the Conference of the Parties, information responsive to guidance of the Conference of the Parties.”

Decision 5/CP.14: Further guidance for the operation of the Least Developed Countries Fund

Decision 5/CP.14, paragraph 1 a-b:

“Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention operating the Least Developed Countries Fund:

(a) To work with its agencies to improve communication with least developed country Parties and to speed up the process through, for instance, establishing a time frame within which least developed country Parties can access funding and other support for the preparation and implementation of projects identified in national adaptation programmes of action;”

(b) To assist, as appropriate, and in collaboration with its agencies and the Least Developed Countries Expert Group, the remaining least developed country Parties that have not submitted their national adaptation programmes of action, in completing and submitting their national adaptation programmes of action as soon as possible;”

Decision 5/CP.14, paragraph 2:

“Also requests the Global Environment Facility, in parallel to supporting the ongoing implementation of the national adaptation programmes of action, to facilitate the implementation of the remaining elements of the least developed countries work programme;”

Decision 5/CP.14, paragraph 3:

“Invites the Global Environment Facility to inform its agencies of relevant provisions of the Convention and decisions of the Conference of the Parties on the operation of the Least Developed Countries Fund, in order to allow the agencies to take these into account in fulfilling their Global Environment Facility obligations;”

Capacity development

Reporting

**LDCF – Resource
approval and
disbursement**

LDCF - NAPAs

**LDCF – LDC work
program**

**Dialogue with GEF
agencies**

Decision 5/CP.14, paragraph 4:

“Invites Parties and relevant organizations to submit to the secretariat, by 17 August 2010, information on the preparation and implementation of national adaptation programmes of action, including on accessing funds from the Least Developed Countries Fund for compilation by the secretariat as a miscellaneous document, for consideration by the Subsidiary Body for Implementation at its thirty-third session;”

(LDCF – NAPAs)

Decision 5/CP.14, paragraph 5:

“Requests the secretariat to prepare a synthesis report on the national adaptation programme of action process including preparation and implementation, taking into account information from the Global Environment Facility and its agencies, the submissions referred to in paragraph 4 above, reports of the Least Developed Countries Expert Group and other relevant sources of information, for consideration by the Subsidiary Body for Implementation at its thirty-third session;”

(LDCF – NAPAs)

Decision 5/CP.14, paragraph 6:

“Invites the Global Environment Facility and its agencies to consider the views of, and any concerns expressed by, Parties regarding their experiences with the Global Environment Facility and its agencies in relation to the provision of financial and technical support for the preparation and implementation of national adaptation programmes of action and related elements of the least developed countries work programme, as contained in documents FCCC/SBI/2007/32, FCCC/SBI/2008/14 and FCCC/SBI/2008/MISC.8;”

LDCF - NAPAs

Decision 5/CP.14, paragraph 7:

“Requests the secretariat to mobilize relevant organizations to assist in making national adaptation programme of action documents and related information materials available in multiple languages, upon request by least developed country Parties;”

(LDCF – NAPAs)

Decision 5/CP.14, paragraph 8:

“Invites the Global Environment Facility to raise awareness of the need for adequate and predictable resources under the Least Developed Countries Fund to allow full implementation of the least developed countries work programme, in particular national adaptation programmes of action;”

LDCF – Resource
mobilization

Decision 5/CP.14, paragraph 9:

“Also invites Parties to continue contributing to the Least Developed Countries Fund for the implementation of all elements of the least developed countries work programme;”

(LDCF – LDC work
program)

Decision 5/CP.14, paragraph 10: “Requests the Subsidiary Body for Implementation to review, at its thirty-third session, the experiences gained from implementing the least developed countries work programme, including those in accessing funds from the Least Developed Countries Fund;” Decision 5/CP.14, paragraph 11: “Also requests the Global Environment Facility to include, in its reports to the Conference of the Parties, information on steps it has taken to implement this decision, for consideration by the Conference of the Parties at subsequent sessions;” Decision 5/CP.14, paragraph 12: “Decides to assess progress made in implementing this decision and to consider the adoption of further guidance, as appropriate, at its sixteenth session.”	(LDCF – LDC work program) LDCF - Reporting
COP-15: Copenhagen, Denmark, 7 - 19 December 2009	0 items
Decision 6/CP.15: Fourth review of the financial mechanism Decision 6/CP.15, paragraph 1: “Requests the Subsidiary Body for Implementation to continue its consideration of the fourth review of the financial mechanism at its thirty-second session on the basis of the draft text contained in the annex to this decision, with a view to recommending a draft decision for adoption by the Conference of the Parties at its sixteenth session;” Decision 6/CP.15, paragraph 2: “Decides to complete the consideration of the fourth review of the financial mechanism at its sixteenth session.” SEE ALSO: Annex - Draft decision -/CP.15 - Fourth review of the financial mechanism → Decision 2/CP.16	(Review) (Review)

Decision 7/CP.15: Additional guidance to the Global Environment Facility Decision 7/CP.15: “Requests the Subsidiary Body for Implementation to continue its consideration of additional guidance to the Global Environment Facility at its thirty-second session, with a view to recommending a draft decision for adoption by the Conference of the Parties at its sixteenth session.”	(General)
COP-16: Cancun, Mexico, 29 November - 10 December 2010	25 items
Decision 2/CP.16: Fourth review of the financial mechanism Decision 2/CP.16, paragraph 1 a-j: “Takes note of the findings of the Fourth Overall Performance Study, which was completed prior to the fifth replenishment, that: (a) The Global Environment Facility support continues to be in line with guidance from the Conference of the Parties; (b) Although developed country donors have provided new and additional funding for global environmental benefits to developing countries, this has been insufficient to cover the increasing agenda of the Global Environment Facility as agreed upon in the conventions; (c) The Global Environment Facility support has been crucial in enabling countries to integrate climate change into their national development agendas; (d) The Global Environment Facility support has assisted developing countries in introducing policies to address climate change and reduce and avoid greenhouse gas emissions; (e) The Resource Allocation Framework has hindered the access of group countries to the Global Environment Facility, particularly in relation to climate change, which may explain some of the discontent of the climate change community with the Global Environment Facility;	(OPS4 findings)

(f) The Global Environment Facility reporting requirements to the conventions have generally been met, yet certain aspects require improvement;

(g) The move of the Global Environment Facility towards country-level programming has increased country ownership to some extent, but that the current modalities for resource allocation require improvement;

(h) There is scope to further simplify and streamline the Global Environment Facility procedures, particularly the project identification phase, and improve timeliness throughout the project cycle;

(i) The Global Environment Facility needs a knowledge management strategy to improve learning and the sharing of best practices;

(j) The Global Environment Facility has played an important role in scaling up resources to address climate change;”

Decision 2/CP.16, paragraph 2:

“Welcomes the successful negotiations of the fifth replenishment of the Global Environment Facility and notes that this is the largest increase in the climate change focal area since the Global Environment Facility was established, noting the increasing mitigation and adaptation needs of developing countries to be taken into account within the context of the Global Environment Facility;”

Decision 2/CP.16, paragraph 3 a-c:

“Decides that the Global Environment Facility has provided and should continue to enhance its support to developing countries in:

(a) Meeting their commitments under the Convention;

(b) Strengthening national capacity-building;

(c) Applying and diffusing technologies, practices and processes for mitigation;”

Decision 2/CP.16, paragraph 4 a-i:

“Requests the Global Environment Facility to continue improving its modalities to increase the responsiveness, effectiveness and efficiency of its support, including:

(a) Being responsive to new guidance from the Conference of the Parties;

(GEF replenishment)

**Funding priorities
(general)**

**Implementation of
COP guidance**

(b) Including in its reporting to the Conference of the Parties a critical assessment of its experience with implementation of projects, as well as its experience with incorporating guidance from the Conference of the Parties into its strategies and programme priorities;

(c) Enhancing modalities which reinforce country ownership and improve the allocation of resources;

(d) Further simplifying and improving its procedures, particularly those for the identification, preparation and approval of activities;

(e) Ensuring that access to resources is expeditious and timely;

(f) Enabling country-level programming, where appropriate;

(g) Ensuring consistency and complementarity with other financing activities;

(h) Promoting private-sector financing and investment to address climate change activities;

(i) Strengthening its knowledge management approach to share best practices;”

Decision 2/CP.16, paragraph 5:

“Decides that the Global Environment Facility should continue to provide and enhance support for the implementation of adaptation activities, including the implementation of national adaptation programmes of action, through the Least Developed Countries Fund and the Special Climate Change Fund;”

Decision 2/CP.16, paragraph 6:

“Requests the Global Environment Facility, in its regular report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraphs 3, 4 and 5 above;”

Reporting

Resource allocation

**Resource approval
and disbursement**

**Resource approval
and disbursement**

**National programs &
planning**

Funding principles

Funding principles

**Knowledge
management**

**CCA funding
priorities (general)**

Reporting

Decision 2/CP.16, paragraph 7:

“Invites Parties to submit to the secretariat annually, no later than 10 weeks prior to the subsequent session of the Conference of the Parties, their views and recommendations in writing on elements to be taken into account in developing guidance to the Global Environment Facility;”

Decision 2/CP.16, paragraph 8:

“Requests the Subsidiary Body for Implementation to initiate the fifth review of the financial mechanism at its thirty-seventh session in accordance with the criteria contained in the guidelines annexed to decisions 3/CP.4 and 6/CP.13, or as these guidelines may be subsequently amended, and to report on the outcome to the Conference of the Parties at its nineteenth session.

Decision 3/CP.16: Additional guidance to the Global Environment Facility

Decision 3/CP.16, paragraph 1:

“Calls on the Global Environment Facility to complete its reforms as early as possible in order to facilitate the successful implementation of the fifth replenishment cycle of the Global Environment Facility;”

Decision 3/CP.16, paragraph 2:

“Requests the Global Environment Facility in the implementation of these reforms to give full information to countries, in particular in relation to the implications of these reforms on the activities conducted by the Global Environment Facility;”

Decision 3/CP.16, paragraph 3:

“Urges the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to increase access to funding for activities related to Article 6 of the Convention;”

Decision 3/CP.16, paragraph 4 a-e:

“Requests the Global Environment Facility:

(Review)

(Review)

**Resource approval
and disbursement**

**Resource approval
and disbursement**

**Education, training
and public awareness**

(a) To continue to provide funds for technical support for the preparation of national communications of Parties not included in Annex I to the Convention (non-Annex I Parties), similar to that provided by the National Communications Support Programme, recognizing that the costs of such technical support are not deducted from the funds provided to non-Annex I Parties for the preparation of their national communications;

(b) To ensure that the expedited process under the operational procedures continues to provide timely disbursement of funds to non-Annex I Parties for the preparation of their national communications;

(c) To work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which non-Annex I Parties receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations, and to avoid gaps between enabling activities of current and subsequent national communications, recognizing that the process of preparation of national communications is a continuous cycle;

(d) To finalize any remaining operational procedures to ensure the timely disbursement of funds for those Parties that decide to access resources for the preparation of their national communications through direct access;

(e) To provide detailed information on funding for projects that have been identified in the national communications of non-Annex I Parties in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved.

Decision 4/CP.16: Assessment of the Special Climate Change Fund

Decision 4/CP.16:

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

**National
communications**

**National
communications**

**National
communications**

**National
communications**

**National
communications
follow-up**

(Review)

Decision 5/CP.16: Further guidance for the operation of the Least Developed Countries Fund

Decision 5/CP.16, paragraph 1:

“Reiterates its request to the Global Environment Facility, as an operating entity of the financial mechanism of the Convention operating the Least Developed Countries Fund, in parallel to supporting the ongoing implementation of national adaptation programmes of action, to facilitate the implementation of the remaining elements of the least developed countries work programme;”

Decision 5/CP.16, paragraph 2:

“Also reiterates its request to the Global Environment Facility to work with its agencies to improve communication with least developed country Parties and to speed up the process by, for instance, establishing a time frame within which least developed country Parties can access funding and other support for the preparation and implementation of projects identified in their national adaptation programmes of action;”

Decision 5/CP.16, paragraph 3:

“Requests the Global Environment Facility to provide funding from the Least Developed Countries Fund to least developed country Parties, upon request, to enable the update of their national adaptation programmes of action with a view to further improving their quality, to facilitate the integration of least developed countries adaptation actions into development planning and to reflect increased adaptation knowledge and changed priorities in the countries;”

Decision 5/CP.16, paragraph 4:

“Invites Parties included in Annex II to the Convention to continue contributing, and other Parties in a position to do so to contribute, to the Least Developed Countries Fund for the implementation of the least developed countries work programme;”

Decision 5/CP.16, paragraph 5:

“Also invites Parties and relevant organizations to submit to the secretariat, by 1 August 2012, information on their experience with the implementation of the least developed countries work programme, including the updating and implementation of national adaptation programmes of action, and in accessing funds from the Least Developed Countries Fund, for compilation by the secretariat into a miscellaneous document for consideration by the Subsidiary Body for Implementation at its thirty-seventh session;”

LDCF funding priorities

LDCF - NAPAs

LDCF - NAPAs

(LDCF – LDC work program)

(LDCF – LDC work program)

Decision 5/CP.16, paragraph 6:

“Requests the secretariat to prepare a synthesis report on the progress made in the implementation of the least developed countries work programme, including the updating and implementation of national adaptation programmes of action, taking into account information from the Global Environment Facility and its agencies, the submissions referred to in paragraph 5 above, reports of the Least Developed Countries Expert Group and other relevant sources of information, for consideration by the Subsidiary Body for Implementation at its thirty-seventh session;”

(LDCF – LDC work program)

Decision 5/CP.16, paragraph 7:

“Also requests the Subsidiary Body for Implementation to review, at its thirty-seventh session, the experiences of the least developed countries with the implementation of the least developed countries work programme, including the updating and implementation of national adaptation programmes of action, and in accessing funds from the Least Developed Countries Fund, on the basis of the submissions referred to in paragraph 5 above and the synthesis report referred to in paragraph 6 above;

(LDCF – LDC work program)

Decision 5/CP.16, paragraph 8:

“Further requests the Global Environment Facility to include, in its reports to the Conference of the Parties, information on specific steps it has taken to implement this decision, for consideration by the Conference of Parties at its subsequent sessions;”

LDCF Reporting

Decision 5/CP.16, paragraph 9:

“Decides to assess progress made in the implementation of this decision and to consider the adoption of further guidance, as appropriate, at its eighteenth session.”

Decision 6/CP.16: Extension of the mandate of the Least Developed Countries Expert Group

Decision 6/CP.16, paragraph 9 (a): “Also decides on the following actions and steps necessary for the Subsidiary Body for Implementation to initiate the review at its forty-second session, with a view to complete the review referred to in paragraph 8 above at its twenty-first session: (a) To request the Least Developed Countries Expert Group to convene a meeting, including Parties, the Global Environment Facility and its agencies, and other relevant organizations, with the assistance of the secretariat, to take stock of its work, before June 2015;”	(LDC Expert Group)
Decision 7/CP.16: Progress in, and ways to enhance, the implementation of the amended New Delhi work programme on Article 6 of the Convention Decision 7/CP.16, paragraph 5: “Urges the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to increase access to funding for Article 6 related activities;”	Education, training and public awareness
COP-17: Durban, South Africa, 28 November - 9 December 2011	14 items
Decision 2/CP.17: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention Decision 2/CP.17 - II. Enhanced action on mitigation - B. Nationally appropriate mitigation actions by developing country Parties - UNFCCC biennial update reporting guidelines for Parties not included in Annex I to the Convention, paragraph 41 c-d: “(c) That the Guidelines should be used as a basis to provide guidance to an operating entity of the financial mechanism for funding the preparation of biennial update reports from non-Annex I Parties and, in the case of the first biennial update report, to the Global Environment Facility; (d) To urge non-Annex I Parties to submit their requests to the Global Environment Facility for support, in a timely manner;”	Biennial update report

Decision 2/CP.17, paragraph 44:

“Urges and requests the Global Environment Facility to make available support to non-Annex I Parties preparing their first biennial update reports as early as possible in 2012 and on the basis of agreed full-cost funding;”

Decision 2/CP.17 - II. Enhanced action on mitigation - B. Nationally appropriate mitigation actions by developing country Parties - Registry, paragraph 48 a-e:

“Further invites developed country Parties, the entity or entities entrusted with the operation of the financial mechanism, including the Global Environment Facility and the Green Climate Fund, multilateral, bilateral and other public donors, and private and nongovernmental organizations that are in position to do so, to submit to the secretariat, as appropriate, the following information on financial, technology and capacity-building support available and/or provided for the preparation and/or implementation of nationally appropriate mitigation actions:

- (a) Whether the support available is for the preparation and/or implementation of nationally appropriate mitigation actions;
- (b) The source of the support, including, where applicable, the name of the developed country Parties in question and the executing entity channelling the support, including contact information;
- (c) The amount and type of support available, and whether it is financial (e.g. grant or facilitated loan), technology and/or capacity-building support;
- (d) The status of delivery;
- (e) The types of action that may be supported and the process for the provision of support;

Decision 2/CP.17, paragraph 53:

“Notes that the financial mechanism may make use of information available in the registry when considering the provision of support for the preparation and implementation of individual nationally appropriate mitigation actions which are seeking support;”

Decision 2/CP.17 - II. Enhanced action on mitigation - C. Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries, paragraph 68:

**Biennial update
report**

Reporting

**National programs &
planning**

“Encourages the operating entities of the financial mechanism of the Convention to provide results-based finance for the actions referred to in decision 1/CP.16, paragraph 73;”

Decision 2/CP.17 - IV. Finance – Standing Committee, paragraph 121 a-f:

“Also decides that the Standing Committee shall assist the Conference of the Parties in exercising its functions with respect to the financial mechanism of the Convention in terms of improving coherence and coordination in the delivery of climate change financing, rationalization of the financial mechanism, mobilization of financial resources, and measurement, reporting and verification of the support provided to developing country Parties through activities, such as the following:

- (a) Organizing a forum for the communication and continued exchange of information among bodies and entities dealing with climate change finance in order to promote linkages and coherence;
- (b) Maintaining linkages with the Subsidiary Body for Implementation and the thematic bodies of the Convention;
- (c) Providing to the Conference of the Parties draft guidance for the operating entities of the financial mechanism of the Convention, with a view to improving the consistency and practicality of such guidance, taking into account the annual reports of the operating entities as well as submissions from Parties;
- (d) Making recommendations on how to improve the coherence, effectiveness and efficiency of the operating entities of the financial mechanism;
- (e) Providing expert input, including through independent reviews and assessments, into the preparation and conduct of the periodic reviews of the financial mechanism by the Conference of the Parties;
- (f) Preparing a biennial assessment, overview of climate finance flows, to include information on the geographical and thematic balance of such flows, drawing on available sources of information, including national communications and biennial reports of both developed and developing country Parties, information provided in the registry, information provided by Parties on assessments of their needs, reports prepared by the operating entities of the financial mechanism, and information available from other entities providing climate change finance;”

**Funding priorities
(general)**

(Standing committee)

Decision 2/CP.17 - V. Technology development and transfer Arrangements to make the Technology Mechanism fully operational in 2012, paragraph 139:

“Decides that the costs associated with the Climate Technology Centre and the mobilization of the services of the Network should be funded from various sources, including the financial mechanism of the Convention, bilateral, multilateral and private sector channels, philanthropic sources as well as financial and in-kind contributions from the host organization and participants in the Network;”

Decision 2/CP.17, paragraph 140:

“Requests the Global Environment Facility to support the operationalization and activities of the Climate Technology Centre and Network without prejudging any selection of the host;”

Decision 2/CP.17 – VI. Capacity-building, paragraph 152:

“Encourages the relevant bodies established under the Convention, including, inter alia, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, the Least Developed Countries Expert Group and the Global Environment Facility as an operating entity of the financial mechanism, to continue to elaborate and carry out work on capacity-building in an integrated manner, as appropriate, within their respective mandates;”

Decision 2/CP.17, paragraph 155:

“Also decides that the financial resources for enhanced action on capacity-building in developing country Parties should be provided by Parties included in Annex II to the Convention and other Parties in a position to do so through the current and any future operating entities of the financial mechanism, as well as through various bilateral, regional and other multilateral channels, as appropriate;”

**Technology
mechanism**

**Technology
mechanism**

Capacity development

(Financial resources)

Decision 2/CP.17 - VIII. Other matters - A. Matters related to Parties included in Annex I to the Convention undergoing the process of transition to a market economy, paragraph 168:

“Invites Annex I Parties that are in a position to do so, through multilateral agencies, including through the Global Environment Facility within its mandate, bilateral agencies and the private sector or through any further arrangements, as appropriate, to make available the capacity- building, financial, technical and technology transfer assistance for Annex I Parties undergoing the process of transition to a market economy in order to assist these Parties in the development and implementation of their national low-carbon development strategies and action plans consistent with their national priorities and with their emission reduction targets;”

Decision 2/CP.17, Annex I - VI. Provision of financial, technological and capacity-building support to developing country Parties - A. Finance, paragraph 17 (a):

“Each Annex II Party shall provide information on the financial support it has provided, committed and/or pledged for the purpose of assisting non-Annex I Parties to mitigate GHG emissions and adapt to the adverse effects of climate change and any economic and social consequences of response measures, and for capacity-building and technology transfer in the areas of mitigation and adaptation, where appropriate. To that end, each Annex II Party shall provide summary information in a textual and tabular format on allocation channels and annual contributions for the previous two calendar or financial years without overlapping with the previous reporting periods, including, as appropriate, the following:

(a) The Global Environment Facility, the Least Developed Countries Fund, the Special Climate Change Fund, the Adaptation Fund, the Green Climate Fund and the Trust Fund for Supplementary Activities;”

Decision 2/CP.17, Annex III - UNFCCC biennial update reporting guidelines for Parties not included in Annex I to the Convention - I. Objectives, paragraph 1 (d):

“(d) To provide policy guidance to an operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of preparing their biennial update reports;”

(Financial resources)

Reporting

**Biennial update
report**

Decision 2/CP.17, Annex III - UNFCCC biennial update reporting guidelines for Parties not included in Annex I to the Convention - V. Finance, technology and capacity-building needs and support received, paragraph 15:

“Non-Annex I Parties should also provide updated information on financial resources, technology transfer, capacity-building and technical support received from the Global Environment Facility, Parties included in Annex II to the Convention and other developed country Parties, the Green Climate Fund and multilateral institutions for activities relating to climate change, including for the preparation of the current biennial update report.”

Decision 2/CP.17, Annex VI - Composition and working modalities of the Standing Committee, paragraph 5:

“The Standing Committee shall develop further modalities for the participation of observers from the operating entities of the financial mechanism of the Convention, from funding entities (multilateral, bilateral and regional) involved in climate finance and from observer organizations from the private sector and civil society admitted to the Convention.”

Decision 3/CP.17: Launching the Green Climate Fund

Decision 3/CP.17, paragraph 3:

“Decides to designate the Green Climate Fund as an operating entity of the financial mechanism of the Convention, in accordance with Article 11 of the Convention, with arrangements to be concluded between the Conference of the Parties and the Fund at the eighteenth session of the Conference of the Parties to ensure that it is accountable to and functions under the guidance of the Conference of the Parties to support projects, programmes, policies and other activities in developing country Parties;”

Decision 3/CP.17, paragraph 18:

“Recognizes the need to facilitate the immediate functioning of the Green Climate Fund and ensure its independence, requests the UNFCCC secretariat jointly with the Global Environment Facility secretariat to take the necessary administrative steps to set up the interim secretariat of the Green Climate Fund as an autonomous unit within the UNFCCC secretariat premises without undue delay after the seventeenth session of the Conference of the Parties so that the interim secretariat can provide technical, administrative and logistical support to the Board until the independent secretariat of the Green Climate Fund is established;”

SEE ALSO: Decision 3/CP.17, Annex, Governing instrument for the Green Climate Fund

(Reporting)

(Standing Committee)

(Green Climate Fund)

Green Climate Fund

Decision 5/CP.17: National adaptation plans

Decision 5/CP.17 - II. A process to enable least developed country Parties to formulate and implement national adaptation plans - C. Financial arrangements for the formulation and implementation of national adaptation plans, paragraph 21:

“Urges developed country Parties to mobilize financial support for the national adaptation plan process for least developed country Parties through bilateral and multilateral channels, including through the Least Developed Countries Fund, in accordance with decision 1/CP.16;”

Decision 5/CP.17, paragraph 22:

“Requests the Global Environment Facility, as an operating entity of the financial mechanism, through the Least Developed Countries Fund, to consider how to enable activities for the preparation of the national adaptation plan process for least developed countries Parties, while maintaining progress for the least developed countries work programme, which includes the national adaptation programmes of action;”

Decision 5/CP.17, paragraph 25:

“Further invites the Global Environment Facility, as an operating entity of the financial mechanism for the operation of the Least Developed Countries Fund, to submit information to the Subsidiary Body for Implementation, through the secretariat, by 13 February 2012, on how they could enable activities undertaken as part of the national adaptation plan process in least developed country Parties, for compilation by the secretariat into a miscellaneous document for consideration by the Subsidiary Body for Implementation at its thirty-sixth session;”

Decision 5/CP.17 - III. An invitation to developing country Parties that are not least developed country Parties to employ the modalities for national adaptation plans, paragraph 31:

“Invites the operating entities of the financial mechanism of the Convention, bilateral and multilateral organizations and other institutions as appropriate, to provide financial and technical support to developing country Parties to plan, prioritize and implement their national adaptation planning measures, consistent with decision 1/CP.16 and relevant provisions of the Convention;”

(Financial resources)

**LDCF – National
adaptation plans
(NAPs)**

**LDCF – National
adaptation plans
(NAPs)**

**LDCF – National
adaptation plans
(NAPs)**

III. STOCKHOLM CONVENTION ON PERSISTENT ORGANIC POLLUTANTS (POPs)

1. Classification of SC COP guidance in main themes

Theme	Brief description
I. OVERALL	
General	Overarching guidance; role of the financial mechanism; overall strategy
Funding principles	General principles for funding decisions: country drivenness, compatibility with national agenda etc.
Eligibility Criteria	Countries' eligibility to receive funding (developing countries)
II. AREAS OF ENGAGEMENT	
Funding priorities (general)	Guidance referring to general funding priorities or larger set of priorities
<i>Capacity for effectiveness evaluation</i>	Guidance on support for capacity for effectiveness evaluation pursuant to Article 16 of the convention
<i>National reporting & National implementation plans</i>	Guidance on support for National Report to the COP & implementation of NIPs
<i>DDT</i>	Guidance on support for reducing DDT use
<i>Scientific and technical capacity</i>	Guidance on support for developing scientific and technical capacity
<i>Regional centers</i>	Guidance on support for the work of regional centers of the Stockholm Convention
<i>BAT/BEP</i>	Guidance on support for best available techniques and best environmental practices
<i>Global Monitoring Report</i>	Invitation to incorporate activities related to the global monitoring plan and capacity-building as priorities for providing GEF support
<i>Sound Management of Chemicals</i>	Request to give special consideration to those activities relevant to the sound management of chemicals identified as priorities in national implementation plans
<i>Clearing-House mechanism</i>	Guidance on support for setting up information sharing through a CHM
<i>Polychlorinated biphenyls elimination network</i>	Guidance on support for Polychlorinated biphenyls elimination network
<i>Newly listed chemicals</i>	Guidance on support for approaches to newly listed chemicals
<i>Elimination of unintentional releases of POPs</i>	Guidance on support for approaches to the elimination of unintentional releases of POPs
<i>Collection of data on indicators</i>	Guidance on support for collection of data on indicators for effectiveness eval. frameworks
<i>Technical assistance and technology transfer</i>	Guidance on support for provision of technical assistance and technology transfer
III. OPERATIONAL ISSUES	
GEF reporting & information provision	Provisions and guidelines on GEF reporting to the COP and provision of additional information
Review of the Financial Mechanism	Guidance on GEF comments/response to the Review of the Financial Mechanism

Resource mobilization	GEF's role in mobilizing resources, e.g. from COP parties
Resource allocation	Guidance on resource allocation including RAF & STAR
Resource approval and disbursement procedures	Effectiveness, efficiency of project cycle, resource disbursement etc
Incremental costs	Apply incremental cost principle more flexible, pragmatic, transparent
Co-financing	Guidance on GEF co-financing regulation
Institutional cooperation	Guidance on communication and cooperation with COP secretariat
Implementation of COP guidance	Guidance on the implementation of COP guidance by the GEF

2. Quantitative summary of SC COP guidance

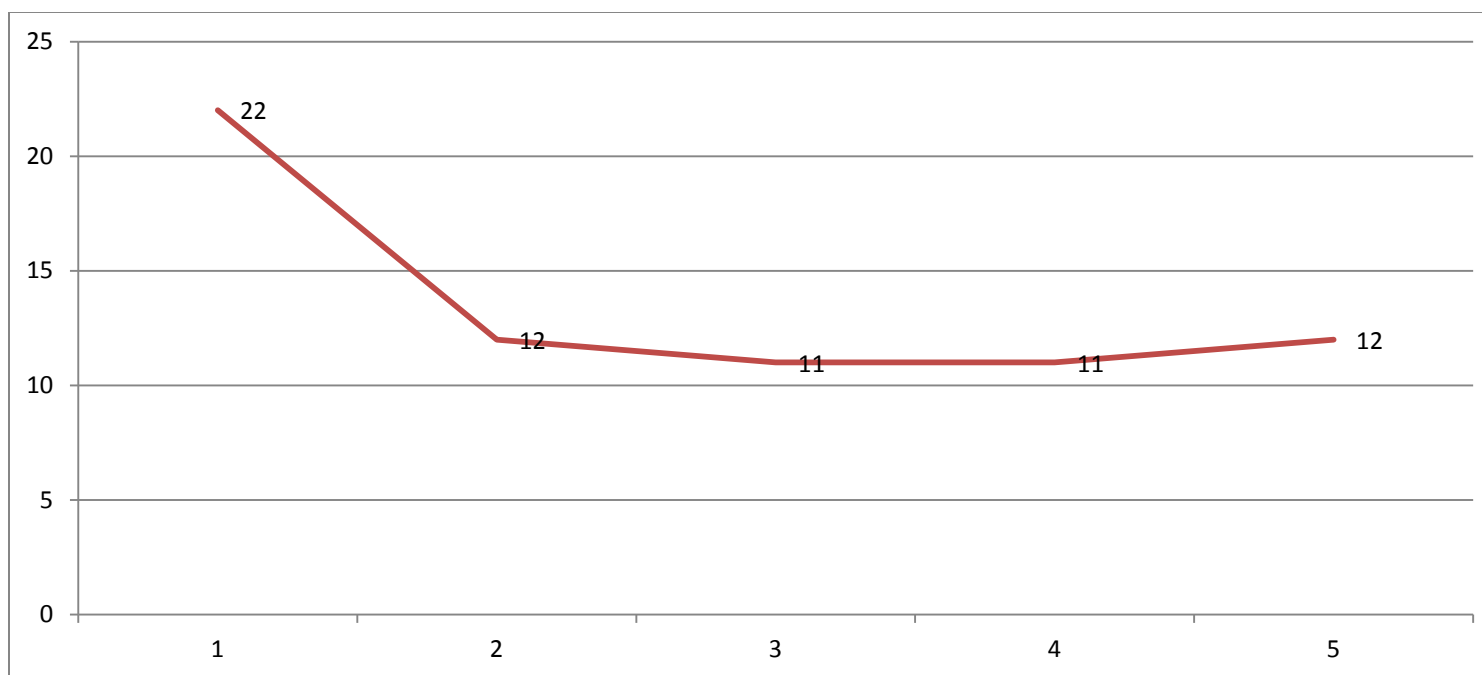
- One “item” of guidance is defined as a distinguishable piece of information within a COP decision (paragraph/sub-paragraph).

A) Amount of guidance per COP per themes

<i>Theme</i>	<i>COP-1</i>	<i>COP-2</i>	<i>COP-3</i>	<i>COP-4</i>	<i>COP-5</i>	<i>TOTAL</i>
I. OVERALL						
General	1			1		2
Funding principles	1					1
Eligibility Criteria	1	1				2
II. FUNDING PRIORITIES						
Funding priorities (general)	1					1
<i>Capacity for effectiveness evaluation</i>		1				1
<i>National reporting & National implementation plans</i>	1		2	2	1	6
<i>DDT</i>	2	1	1	1	1	6
<i>Scientific and technical capacity</i>		1				1
<i>Regional centers</i>			2	1	1	4
<i>BAT/BEP</i>			1			1
<i>Global Monitoring Report</i>			1	2	1	4
<i>Sound Management of Chemicals</i>			1			1
<i>Clearing-House mechanism</i>				1		1
<i>Polychlorinated biphenyls elimination network</i>					1	1

<i>Newly listed chemicals</i>					1	1
<i>Elimination of unintentional releases of POPs</i>					1	1
<i>Collection of data on indicators</i>					1	1
<i>Technical assistance and technology transfer</i>					1	1
III. OPERATIONAL ISSUES						
GEF reporting & information provision	7	2	1		3	13
Review of the Financial Mechanism				1		1
Resource mobilization		1		1		2
Resource allocation		1		1		2
Resource approval and disbursement procedures		1	1			2
Incremental costs		2				2
Co-financing			1			1
Institutional cooperation	4					4
Implementation of COP guidance	4	1				5
TOTAL	22	12	11	11	12	68

B) Overall amount of guidance per COP



C) Chronology: First COP mentioning of different funding priorities

<i>Theme</i>	<i>COP-1</i>	<i>COP-2</i>	<i>COP-3</i>	<i>COP-4</i>	<i>COP-5</i>
General	X				
Funding principles	X				
Eligibility Criteria	X				
Funding priorities (general)	X				
National reporting & National implementation plans	X				
DDT	X				
GEF reporting & information provision	X				
Institutional cooperation	X				
Implementation of COP guidance	X				
Capacity for effectiveness evaluation		X			

Scientific and technical capacity		x			
Resource mobilization		x			
Resource allocation		x			
Resource approval and disbursement procedures		x			
Incremental costs		x			
Regional centers			x		
BAT/BEP			x		
Global Monitoring Report			x		
Sound Management of Chemicals			x		
Co-financing			x		
Clearing-House mechanism				x	
Review of Financial Mechanism				x	
Polychlorinated biphenyls elimination network					x
Newly listed chemicals					x
Elimination of unintentional releases of POPs					x
Collection of data on indicators					x
Technical assistance and technology transfer					x

3. Comprehensive collection of UNFCCC COP guidance to the GEF

NOTE: Guidance that is relevant to the GEF, but does not address the GEF itself (e.g. guidance to GEF agencies on implementation of GEF projects) are **in parenthesis**; these are not counted as *COP guidance to the GEF* and therefore not included in the quantitative overview in section 2 above (“Quantitative summary of SC COP guidance”).

COP DECISION	Theme
COP-1: Punta del Este, Uruguay, 2 – 6 May 2005	22 items
Decision SC-1/9: Guidance to the financial mechanism The Conference of the Parties, [...] Decision SC-1/9, paragraph 1: “Adopts the guidance to the financial mechanism contained in the annex to the present decision;” Decision SC-1/9, paragraph 2: “Requests the Secretariat to transmit the guidance to the financial mechanism contained in the annex to the present decision to the entity or entities entrusted with the operation of the financial mechanism pursuant to paragraph 6 of Article 13 of the Convention;” Decision SC-1/9, paragraph 3: “Further requests the Secretariat to transmit the guidance to the financial mechanism contained in the annex to the present decision to the Global Environment Facility, which is, on an interim basis, the principal entity entrusted with the operations of the financial mechanism in accordance with Article 14 of the Convention;”	(Admin) (Admin) (Admin)

Decision SC-1/9, paragraph 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 ongoing basis guidance from the Conference of the Parties in the further development of their operational programmes to ensure that the objectives of the Convention are addressed;”

Decision SC-1/9, paragraph 5:

“Requests the Global Environment Facility 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 between the Conference of the Parties and the Council of the Global Environment Facility.”

Annex to decision SC-1/9: 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.

Annex to decision SC-1/9, paragraph 1:**“Eligibility**

- (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.”

**Implementation of
COP guidance****GEF reporting &
information provision****Eligibility criteria**

Annex to decision SC-1/9, paragraph 2:

“Policy and strategy

Timely, adequate and sustainable financial resources on a grant or concessional basis should be allocated to meet the agreed full incremental costs of implementing eligible activities:

- (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 promote sustainable national socio-economic development, poverty reduction and activities consistent with existing national sound environmental management programmes geared towards the protection of human health and the environment.”

Annex to decision SC-1/9, paragraph 3:

“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 appropriate, of national implementation plans, pursuant to Article 7 of the Convention;
- (b) Development and implementation of activities identified in national implementation plan as national or regional priorities;
- (c) Reducing the need for specific exemptions by eligible Parties;
- (d) Activities that support or promote capacity-building, including human resource development and institutional development and/or strengthening; including those from centres for regional and subregional capacity-building 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 subregional capacity-building and technology assistance;

Funding principles

**Funding priorities
(general)**

- (f) Assistance with needs assessment and information on available sources on funding;
- (g) Activities that promote transfer of technology adapted to local conditions, to eligible Parties, including best available techniques and best environmental practices;
- (h) Activities that promote education, training, public participation and awareness-raising of stakeholders and the general public;
- (i) Projects that are responsive to priorities identified in the national implementation plans of eligible Parties and take fully into account the relevant guidance of the Conference of the Parties;
- (j) Activities that enhance information exchange and management;
- (k) Development and promotion of alternatives to persistent organic pollutants, including non-chemical alternatives.”

Annex to decision SC-1/9, paragraph 4:

“Determination of funding

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.”

Annex to decision SC-1/9, paragraph 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 on a regular basis and update and prioritize it as necessary. Such reviews will coincide with the schedule of reviews for the effectiveness of the financial mechanism.”

Decision SC-1/10: First review of the financial mechanism

The Conference of the Parties, [...]

Adopts the attached terms of reference for the first review of the financial mechanism of the Convention;

SEE: Annex to decision SC-1/10 Terms of reference for the first review of the financial mechanism

(Resource
mobilization)

(Review)

Decision SC-1/11: Memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility

The Conference of the Parties, [...]

Decision SC-1/11, paragraph 1:

“Adopts the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility, as contained in the annex to the present decision;”

Decision SC-1/11, paragraph 2:

“Requests the Secretariat to transmit the memorandum of understanding to the Council of the Global Environment Facility for its consideration and adoption.”

Annex to decision SC-1/11: Memorandum of understanding between the Conference of the Parties of the Stockholm Convention on Persistent Organic Pollutants and the Council of the Global Environment Facility

Annex to decision SC-1/11, paragraph 1:

“Definitions

For the purpose of the present memorandum of understanding:

- (a) “Assembly” means the Assembly of GEF as defined in the Instrument for the Establishment of the Restructured Global Environment Facility;
- (b) “Conference of the Parties” means Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants;
- (c) “Convention” means the Stockholm Convention on Persistent Organic Pollutants;
- (d) “Council” means the Council of GEF as defined in the Instrument for the Establishment of the Restructured Global Environment Facility;
- (e) “GEF” means the mechanism established by the Instrument for the Establishment of the Restructured Global Environment Facility;
- (f) “GEF Instrument” means the Instrument for the Establishment of the Restructured Global Environment Facility; and
- (g) “Party” means Party to the Stockholm Convention on Persistent Organic Pollutants; and,
- (h) “POPs” means the chemicals covered under the Stockholm Convention on Persistent Organic Pollutants.

(Admin)

(Admin)

(Admin)

Annex to decision SC-1/11, paragraph 2:**“Purpose**

The purpose of the present memorandum of understanding is to make provision for the relationship between the Conference of the Parties and the Council in order to give effect to the provisions of Article 13, paragraphs 6, 7 and 8, and Article 14 of the Convention and paragraphs 6, 26 and 27 of the GEF Instrument.”

Annex to decision SC-1/11, paragraph 3:**“Guidance from the Conference of the Parties**

The Conference of the Parties will provide GEF, as the principal entity entrusted on an interim basis according to Article 14 of the Convention with the operation of the financial mechanism established under Article 13 of the Convention, with appropriate guidance that the Conference of the Parties may adopt, review, update or revise in pursuance of paragraphs 7 and 8 of Article 13 and will subsequently agree with GEF upon any additional arrangements beyond the present memorandum of understanding that may be necessary. The guidance will address, among other things:

- (a) Determination of the policy, strategy and programme priorities, as well as clear and detailed criteria and guidelines regarding eligibility for access to and utilization of financial resources including monitoring and evaluation on a regular basis of such utilization;
- (b) Provision by the Council of regular reports to the Conference of the Parties on adequacy and sustainability of funding for activities relevant to the implementation of the Convention;
- (c) Promotion of multiple-source funding approaches, mechanism and arrangements;
- (d) Modalities for the determination in a predictable and identifiable manner of the amount of funding necessary and available for the implementation of the Convention, keeping in mind that the phasing out of persistent organic pollutants might require sustained funding, and the conditions under which that amount will be periodically reviewed; and
- (e) Modalities for the provision to interested Parties of assistance with needs assessment, information on available sources of funds and on funding patterns in order to facilitate coordination among them;”

(Implementation of
COP guidance)

Annex to decision SC-1/11, paragraph 4:

“Conformity with guidance from the Conference of the Parties

The Council will ensure the effective operation of GEF, as an entity entrusted on an interim basis with the operations of the financial mechanism under the Convention, as a source of funding activities for the purposes of the Convention in conformity with the guidance provided to it by the Conference of the Parties.”

Annex to decision SC-1/11, paragraph 5:

“The Council may raise with the Conference of the Parties any matter arising from the guidance adopted by the Conference of the Parties. In particular, if the Conference of the Parties provides guidance to GEF subsequent to its first meeting, the Council may consult with the Conference of the Parties to update and clarify existing guidance in light of any new or additional guidance that it receives.”

Annex to decision SC-1/11, paragraph 6:

“The funding decisions for specific projects and activities should be agreed between the developing country Party or the Party with economy in transition concerned and GEF in accordance with policy, strategy, programme priorities and eligibility criteria established by the Conference of the Parties. The GEF Council is responsible for approving the GEF work programmes. If a Party considers that a decision of the Council regarding a specific project was not consistent with the policies, programme priorities and/or eligibility criteria established by the Conference of the Parties in the context of the Convention and if after consideration the Conference of the Parties decides the concern of the relevant Party has merit, it will seek clarification from GEF and analyse the observations presented to it by the concerned Party and the response by GEF. In the event that the Conference of the Parties considers that this specific project decision does not comply with the policy, strategy, programme priorities and/or eligibility criteria established by the Conference of the Parties, it may decide to request GEF to propose and implement a course of action to address the concern regarding the project in question.”

Annex to decision SC-1/11, paragraph 7:

“Reporting

In order to meet the requirements of accountability to the Conference of the Parties, the Council will prepare and submit regular reports to the Conference of the Parties at each ordinary meeting of the Conference of the Parties. The report of the Council will be an official document of the meeting of the Conference of the Parties.”

**Implementation of
COP guidance**

(Implementation of
COP guidance)

**Implementation of
COP guidance**

**GEF reporting &
information provision**

Annex to decision SC-1/11, paragraph 8:

“The reports will include specific information on how GEF has applied the guidance determined by the Conference of the Parties, as well as any other decision of the Conference of the Parties communicated to GEF, under Article 13 of the Convention.”

Annex to decision SC-1/11, paragraph 9:

“In particular, the reports will provide the following information:

- (a) Information on how GEF has responded to the guidance provided by the Conference of the Parties including, where appropriate, through its incorporation in the strategies and operational policies of GEF;
- (b) A synthesis of projects approved by the Council during the reporting period in the persistent organic pollutants focal area with an indication of GEF and other resources allocated to such projects and the approval status of each project;
- (c) A listing of projects approved by the Council in the persistent organic pollutants focal area, with an indication of the total financial resources allocated to these projects; and
- (d) In case of any project proposal included in a work programme that is not approved by the Council, the reasons for not being approved.”

Annex to decision SC-1/11, paragraph 10:

“The Council will also report on GEF monitoring and evaluation activities concerning projects in the persistent organic pollutants focal area.”

Annex to decision SC-1/11, paragraph 11:

“The Council will also provide information on other matters concerning the discharge of functions under Article 13, paragraph 6, as may be requested by the Conference of the Parties. If the Council has difficulties in responding to any such request, it will explain its concerns to the Conference of the Parties, and the Conference of the Parties and the Council will find a mutually agreed solution.”

Annex to decision SC-1/11, paragraph 12:

“The Council will include in its report to the Conference of the Parties any views it may have on the guidance decided by the Conference of the Parties.”

Annex to decision SC-1/11, paragraph 13:

“The Conference of the Parties may raise with the Council any matter arising from the reports received.”

**GEF reporting &
information provision**

**GEF reporting &
information provision**

**GEF reporting &
information provision**

**GEF reporting &
information provision**

**GEF reporting &
information provision**

(GEF reporting)

Annex to decision SC-1/11, paragraph 14:

“Monitoring and evaluation

As provided for in Article 13, paragraph 8, of the Convention, the Conference of the Parties will review, on a regular basis, the effectiveness of the financial mechanism established under the Convention, its ability to address the changing needs of developing country Parties and Parties with economies in transition, the criteria and guidance referred to in Article 13, paragraph 7 of the Convention, the level of funding as well as the effectiveness of the performance of GEF as an institutional entity entrusted on an interim basis with the operation of the financial mechanism.”

(Review)

Annex to decision SC-1/11, paragraph 15:

“In preparing its review on the effectiveness of the financial mechanism, the Conference of the Parties will, as appropriate, take into account the reports of the GEF independent monitoring and evaluation unit and the views of GEF. The GEF independent monitoring and evaluation unit will consult, as appropriate, with the Secretariat of the Convention when preparing evaluations of the activities of GEF related to persistent organic pollutants.”

(Review)

Annex to decision SC-1/11, paragraph 16:

“The Conference of the Parties, based on the above-mentioned reviews, will communicate to the Council relevant decisions taken by the Conference of the Parties as a result of such reviews, to improve the performance and effectiveness of the financial mechanism in assisting developing country Parties and Parties with economies in transition to implement the Convention.”

(Review)

Annex to decision SC-1/11, paragraph 17:

“Cooperation between Secretariats

The Secretariat of the Convention and the Secretariat of GEF will communicate and cooperate with each other and consult on a regular basis to facilitate the effectiveness of the financial mechanism in assisting developing country Parties and Parties with economies in transition to implement the Convention.”

**Institutional
cooperation**

Annex to decision SC-1/11, paragraph 18:

“In particular, in accordance with the GEF project cycle the Secretariat of the Convention will be invited to comment on the project proposals related to persistent organic pollutants under consideration for inclusion in a proposed work programme, especially with regard to the consistency of the project proposals with the guidance provided by the Conference of the Parties.”

**Implementation of
COP guidance**

Annex to decision SC-1/11, paragraph 19:

“The Secretariats of the Convention and of GEF will reciprocally consult with each other on draft texts of documents relevant to the Convention and GEF prior to issuing the final texts of such documents.”

Annex to decision SC-1/11, paragraph 20:

“Official documentation of GEF, including information on project activities, will be made available on its web site. Official documentation of the Convention will be made available on its web site.”

Annex to decision SC-1/11, paragraph 21:

“Reciprocal representation

On a reciprocal basis, representatives of GEF will be invited to attend meetings of the Conference of the Parties and representatives of the Convention will be invited to attend meetings of the Council and Assembly.”

Annex to decision SC-1/11, paragraph 22:

“Amendments

The present memorandum of understanding may be amended at any time by written agreement between the Conference of the Parties and the Council.”

Annex to decision SC-1/11, paragraph 23:

“Interpretation

If differences arise in the interpretation of the present memorandum of understanding, the Conference of the Parties and the Council will make every effort to reach a mutually acceptable solution. If necessary the issue may be referred, as appropriate, to the Conference of the Parties and /or the Council of GEF for consideration.”

Annex to decision SC-1/11, paragraph 24:

“Entry into effect

The present memorandum of understanding will come into effect upon approval by the Conference of the Parties and by the Council and will remain in force until such time as the Conference of the Parties decides which institutional structure will be designated in accordance with Article 13 of the Convention.”

**Institutional
cooperation**

**Institutional
cooperation**

**Institutional
cooperation**

(Admin)

(Admin)

(Admin)

Annex to decision SC-1/11, paragraph 25:

“Withdrawal

Either the Conference of the Parties or the Council may terminate the present memorandum of understanding at any time upon written notification to the other. The withdrawal will take effect six months after its notification and shall not affect the validity or duration of activities initiated before such termination.”

Decision SC-1/12: National implementation plans

Decision SC-1/12, paragraph 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.”

Decision SC-1/15: Technical assistance

Decision SC-1/15, paragraph 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;”

Decision SC-1/15, paragraph 2:

“Requests the Secretariat to transmit the guidance on technical assistance to Parties, donors, relevant intergovernmental organizations and the entity or entities participating in the financial mechanism for consideration when developing and implementing their work programmes;”

SEE: Annex to decision SC-1/15 Guidance on technical assistance and transfer of environmentally sound technologies

Decision SC-1/25: DDT

(Admin)

**National reporting &
National
implementation plans**

(Technical assistance)

(Technical assistance)

Decision SC-1/25, paragraph 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;” Decision SC-1/25, paragraph 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;”	DDT DDT
COP-2: Geneva, Switzerland, 1 – 5 May 2006	12 items
Decision SC-2/2: DDT Decision SC-2/2, paragraph 3: “Further notes the Study Group report prepared by the World Health Organization on alternative vector control options⁴ and encourages the Global Environment Facility, bilateral agencies and other financial institutions to continue to support the work being undertaken: (a) To further evaluate the comparative efficacy and environmental and human health safety of alternative insecticides to DDT and other control measures and strategies; (b) To verify the continued efficacy and cost-effectiveness of these alternatives at the national level;” Decision SC-2/10: Financial resources and mechanism	DDT

The Conference of the Parties,

Decision SC-2/10, paragraph 1:

“Welcomes the approval by the Council of the Global Environment Facility of the memorandum of understanding between the Conference of the Parties of the Stockholm Convention and the Council of the Global Environment Facility contained in the annex to decision SC-1/11 and takes note that the memorandum entered into effect on 10 November 2005;”

Decision SC-2/10, paragraph 2:

“Requests the Secretariat, in consultation with the Global Environment Facility, to report to the Conference at its future meetings 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;”

Decision SC-2/10, paragraph 3:

“Welcomes the report on the first review of the financial mechanism and notes its recommendations, the relevant ones of which are included, as appropriate, either in the present decision or in decision SC-2/11 on additional guidance to the financial mechanism;”

Decision SC-2/10, paragraph 4:

“Decides to include all its requests and recommendations to the Global Environment Facility in a single decision on additional guidance to the financial mechanism;”

Decision SC-2/10, paragraph 5:

“Welcomes the achievements of the Global Environment Facility in support of the Convention and notes that the report of the first review of the financial mechanism is in general appreciative of the role of the Global Environment Facility as the principal entity of the financial mechanism of the Convention;”

Decision SC-2/10, paragraph 6:

“Urges donor Parties and invites other Governments to contribute to the Global Environment Facility in order to achieve a timely and successful fourth replenishment and the resources necessary for advancing the implementation of the Convention;”

(Admin)

(Reporting)

(Review)

(Guidance)

(General)

(Resource
mobilization)

Mobilization of resources

Decision SC-2/10, paragraph 7:

“Invites, in accordance with paragraphs 2 and 3 of Article 13 of the Convention, the developed country Parties, other Parties and other sources, including relevant funding institutions, to provide information to the Secretariat on ways in which they can support the Convention;”

(Resource
mobilization)

Decision SC-2/10, paragraph 8:

“Requests the Secretariat to identify other possible sources of funding and/or entities to facilitate the adequacy and sustainability of funding for activities relevant to the implementation of the Convention and to propose arrangements with those entities for consideration by the Conference of the Parties at its third meeting;”

(Resource
mobilization)

Decision SC-2/10, paragraph 9:

“Also requests the Secretariat to prepare a report on the basis of the information to be provided pursuant to paragraphs 7 and 8 above reviewing the availability of financial resources in addition to those provided through the Global Environment Facility and ways and means of mobilizing and channelling those resources in support of the objectives of the Convention, as requested by the Conference of Plenipotentiaries in its resolution 2, for consideration by the Conference of the Parties at its third meeting;”

(Resource
mobilization)

Second review of the financial mechanism

Decision SC-2/10, paragraph 10:

“Further requests the Secretariat to prepare, on the basis of the terms of reference for the first review of the financial mechanism contained in the annex to decision SC-1/10, draft terms of reference for the second review of the financial mechanism, for consideration and possible adoption by the Conference of the Parties at its third meeting;”

(Review)

Decision SC-2/10, paragraph 11:

“Decides to undertake the second review of the financial mechanism at the fourth meeting of the Conference of the Parties, scheduled to take place in 2009, in time to submit recommendations and guidance to the Council of the Global Environment Facility and to invite it to take into account such recommendations and guidance during the Global Environment Facility’s fifth replenishment, in 2009;”

Decision SC-2/10, paragraph 12:

“Also decides that the second review of the financial mechanism should also include:

- (a) An assessment of the Global Environment Facility principles of incremental cost and global environmental benefits as they pertain to activities relating to persistent organic pollutants in order to facilitate fulfilment of obligations under the Convention, along with lessons learned from the evaluation reports on the activities of the Global Environment Facility;
- (b) An assessment of the adequacy, sustainability and predictability of the funding.”

Decision SC-2/11: Additional guidance to the Financial Mechanism

Decision SC-2/11, paragraph 1:

“Requests the Global Environment Facility to continue to work with the Secretariat of the Convention to finalize Operational Programme 14 incorporating the guidance by the Conference of the Parties as soon as possible;”

Decision SC-2/11, paragraph 2:

“Also requests the Global Environment Facility to exercise any necessary flexibility in applying its criteria for access in order to ensure compatibility with the country eligibility criteria established by the Conference of the Parties in decision SC-1/9 in accordance with the specific priorities and needs of eligible countries;”

Decision SC-2/11, paragraph 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;”

(Review)

(Review)

**Implementation of
COP guidance**

Eligibility criteria

**GEF reporting &
information provision**

Decision SC-2/11, paragraph 4:

“Invites the Global Environment Facility to use its network in identifying other sources of finance for persistent organic pollutant activities and to continue to develop operational requirements which facilitate and guide the approach and actions of its implementing agencies and executing agencies to proactively assist in mobilizing other sources of financing for persistent organic pollutants projects from multilateral and bilateral sources and non-governmental organizations, including the private sector;”

Decision SC-2/11, paragraph 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;”

Decision SC-2/11, paragraph 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;”

Decision SC-2/11, paragraph 7:

“Further requests the Global Environment Facility to consider the guidance from the Conference of the Parties on incremental costs;”

Decision SC-2/11, paragraph 8:

“Notes that the Resource Allocation Framework of the Global Environment Facility is not currently applied to the persistent organic pollutants focal area and invites the Global Environment Facility to consult with the Convention Secretariat with regard to its future work on the Resource Allocation Framework as it relates to the Convention without prejudice to any further decision on the application of the Resource Allocation Framework to the persistent organic pollutants focal area and to report on this issue to the Conference of the Parties at its third meeting;”

Decision SC-2/11, paragraph 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;”

Resource mobilization**Incremental cost****Resource approval
and disbursement
procedures****Incremental cost****Resource allocation****Capacity for
effectiveness
evaluation**

Decision SC-2/11, paragraph 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.” Decision SC-2/12: Terms of reference for work on modalities for the needs assessment for Parties that are developing countries or countries with economies in transition to implement the provisions of the Convention over the period 2006–2010 Decision SC-2/12, paragraph 3: “Invites the Parties, other Governments, the principal entity of the financial mechanism, other financial institutions, intergovernmental organizations, non-governmental organizations, including the private sector, and secretariats of other multilateral environmental agreements to provide to the Secretariat by 31 December 2006 the information needed for the work on preliminary assessment of funding needs for developing country Parties and Parties with economies in transition to implement the provisions of the Convention over the period 2006-2010;” SEE: Annex to decision SC-2/12, Terms of reference for work on modalities on the needs assessment for Parties that are developing countries or countries with economies in transition to implement the provisions of the Convention over the Period 2006–2010	Scientific and technical capacity GEF reporting & information provision
COP-3: Dakar, Senegal, 30 April – 4 May 2007	11 items

Decision SC-3/12: Terms of reference for the selection of regional and subregional centres for capacity-building and the transfer of environmentally sound technologies under the Stockholm Convention

Decision SC-3/12, ANNEX, paragraph 5 (f):

“With the aim of ensuring that regional and subregional centres for capacity-building and the transfer of technology are able to address the needs of developing country Parties and Parties with economies in transition in implementing their obligations under the Stockholm Convention, in particular the priorities set out in their national implementation plans, the process for selecting regional and subregional centres will be undertaken as follows:

[...]

(f) In accordance with the eligibility criteria in decision SC-1/9, support from the Global Environment Facility for projects proposed by developing countries or countries with economies in transition in collaboration with nominated Stockholm Convention centres located in developed countries would be limited to activities undertaken within developing countries and countries with economies in transition, with the objective of building institutional capacity in order to facilitate regional/subregional institutional ownership;”

Decision SC-3/13: Implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility

Decision SC-3/13, paragraph 1:

“Welcomes the report of the Global Environment Facility to the Conference of the Parties of the Stockholm Convention at its third meeting¹⁶ and takes note of the information contained therein;”

Decision SC-3/13, paragraph 2:

“Requests the Secretariat, in consultation with 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 fourth meeting.”

Regional Centers

(General)

(GEF reporting)

Decision SC-3/15: Needs assessment

Decision SC-3/15, ANNEX, Revised terms of reference, paragraph 1 (a):

“The objectives of the work to be carried out under the present terms of reference are:

(a) To enable the Conference of the Parties to provide at regular intervals, to the principal entity entrusted with the operations of the financial mechanism referred to in Article 13 of the Convention, and to other entities should they be so entrusted, assessments of the total funding needed by Parties eligible for assistance from the financial mechanism to facilitate their effective implementation of the Convention;”

(Needs assessment)

Decision SC-3/15, ANNEX, Revised terms of reference, paragraph 1 (b):

“To provide the principal entity with a framework and modalities for the determination in a predictable and identifiable manner of the funding necessary and available for the implementation of the Convention by Parties eligible for assistance from the financial mechanism.”

(Needs assessment)

Decision SC-3/15, ANNEX, Revised terms of reference, paragraph 7 (a):

“Relevant supplementary information will be drawn from the Secretariat, Parties, entities of the financial mechanism, other international financial institutions, intergovernmental and non-governmental organizations including the private sector and secretariats of other multilateral environmental agreements, where available, such as:

(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;”

**GEF reporting &
information provision**

Decision SC-3/16: Additional guidance to the financial mechanism

Decision SC-3/16, paragraph 1:

“Reaffirms its decisions SC-1/9 and SC-2/11;”

(General)

Decision SC-3/16, paragraph 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;”	(General)
Decision SC-3/16, paragraph 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;”	(General)
Decision SC-3/16, paragraph 4: “Invites Governments, non-governmental organizations, industry and intergovernmental organizations to participate in the development of the business plan for promoting a global partnership on the development and deployment of alternative products, methods and strategies to DDT for disease vector control and encourages the Global Environment Facility, donors and other funding agencies to provide financial and other resources to support the creation and implementation of the business plan;”	DDT
Decision SC-3/16, paragraph 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;”	BAT/BEP
Decision SC-3/16, paragraph 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;”	Global Monitoring Report
Decision SC-3/16, paragraph 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;”	(Needs assessment)

Decision SC-3/16, paragraph 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;”

Decision SC-3/16, paragraph 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;”

Decision SC-3/16, paragraph 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 countries with economies in transition in accordance with paragraph 31 of the terms of reference for regional and subregional centres contained in the annex to decision SC-2/9 and paragraph 5 (e) of the annex to decision SC-3/12;”

Decision SC-3/16, paragraph 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;”

Decision SC-3/16, paragraph 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 objectives;

**Resource approval
and disbursement
procedures**

Co-financing

Regional centers

**Sound Management
of Chemicals**

**National reporting &
National
implementation plans**

Decision SC-3/16, paragraph 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. Decision SC-3/17: Second review of the financial mechanism Decision SC-3/16, paragraph 1: “Adopts the terms of reference for the second review of the financial mechanism set out in the annex to the present decision;” Decision SC-3/16, paragraph 2: “Requests the Secretariat to compile information relevant to the second review of the financial mechanism and submit it to the Conference of the Parties for consideration at its fourth meeting.” SEE: Annex to decision SC-3/17, Terms of reference for the second review of the financial mechanism	National reporting & National implementation plans (Review) (Review)
COP-4: Geneva, Switzerland, 4 – 8 May 2009	11 items
Decision SC-4/24: Needs assessment Decision SC-4/24, paragraph 2: “Requests the Secretariat to transmit that report to the Global Environment Facility for consideration during the fifth replenishment process of the Global Environment Facility and action as appropriate;	(Needs assessment)

Decision SC-4/24, paragraph 4:

“Requests the Secretariat to prepare a report, on the basis of the information to be provided pursuant to paragraph 3 of the present decision, reviewing the availability of financial resources additional to those provided through the Global Environment Facility and ways and means of mobilizing and channelling those resources in support of the objectives of the Convention, as requested by the Conference of Plenipotentiaries in its resolution 2, for consideration by the Conference of the Parties at its fifth meeting;”

(Resource
mobilization)

**Decision SC-4/25: Effectiveness of the implementation of the memorandum of
understanding between the Conference of the Parties and the Council
of the Global Environment Facility**

Decision SC-4/25, paragraph 1:

“Welcomes the report of the Global Environment Facility to the Conference of the Parties of the Stockholm Convention at its fourth meeting;”

(General)

Decision SC-4/25, paragraph 2:

“Also welcomes the continuing cooperation between the Secretariat of the Stockholm Convention and the secretariat of the Global Environment Facility;”

(Institutional
cooperation)

Decision SC-4/25, paragraph 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 fifth meeting.”

(Memorandum of
Understanding)

Decision SC-4/26: Review of the financial mechanism

Decision SC-4/26, paragraph 1:

“Welcomes the positive report on the second review of the financial mechanism,⁴⁶ noting in particular the significant contribution of the Global Environment Facility of 360 million dollars for persistent organic pollutant projects since the Convention was adopted in 2001;”

(Review)

Decision SC-4/26, paragraph 2:

“Concludes that the methodological framework used in the review is helpful and clear and should be followed in future reviews, the recommendations of which should be prioritized;”

(Review)

Decision SC-4/26, paragraph 3:

“Requests the Secretariat to transmit the report to the Global Environment Facility for its consideration and action as appropriate;”

(Review)

Decision SC-4/26, paragraph 4:

“Invites the Global Environment Facility to provide a response to the report on the second review in its report to the Conference of the Parties at its fifth meeting;”

**Review of the
financial mechanisms**

Decision SC-4/26, paragraph 5:

“Requests the Secretariat to prepare, on the basis of the terms of reference for the second review set out in the annex to decision SC-3/17, draft terms of reference for the third review of the financial mechanism for consideration and possible adoption by the Conference of the Parties at its fifth meeting;”

(Review)

Decision SC-4/26, paragraph 6:

“Decides to undertake the third review of the financial mechanism at the sixth meeting of the Conference of the Parties, scheduled to take place in 2013, in time to submit recommendations to be taken into account during the Global Environment Facility’s sixth replenishment, in 2013, and subsequently during the Facility’s Fifth Assembly, in 2014.”

(Review)

Decision SC-4/27: Guidance to the financial mechanism**Decision SC-4/27, paragraph 1:**

“Reaffirms its decisions SC-1/9, SC-2/11 and SC-3/16;”

General

Decision SC-4/27, paragraph 2:

“Calls on developed countries, in the context of the fifth replenishment of the Global Environment Facility, being aware of the funding needs assessment 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;”

Resource mobilization

Decision SC-4/27, paragraph 3:

“Requests the Global Environment Facility to ensure that the Bureau of the Conference of the Parties and the Convention Secretariat are appropriately informed and consulted in a timely manner on any further developments with regard to the Resource Allocation Framework that involve the persistent organic pollutant focal area;”

Decision SC-4/27, paragraph 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.”

Decision SC-4/28: Additional guidance to the financial mechanism**Decision SC-4/28, paragraph 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 and 14 of the Convention, especially least developed countries and small island developing States, to help them to prepare or update their national implementation plans and to comply with the requirements of the Stockholm Convention;”

Decision SC-4/28, paragraph 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;”

Decision SC-4/28, paragraph 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;”

Resource allocation

(Policy reforms)

**National reporting &
National
implementation plans****Global Monitoring
Report****National reporting &
National
implementation plans**

Decision SC-4/28, paragraph 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 control⁴⁹ and invites developed country Parties, funding agencies and other financial institutions to support the alliance;”

Decision SC-4/28, paragraph 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-house mechanism nodes as described in the note by the Secretariat on the possible role of the clearing-house mechanism at the national and regional levels.”

Decision SC-4/29: Facilitating work with regard to financial resources and mechanisms**Decision SC-4/29:**

“The Conference of the Parties

Requests the Secretariat to seek the views of Parties and explore options for facilitating the work of the Conference of the Parties with regard to financial resources and mechanisms, including the option of a financial mechanism committee, and to prepare a report for consideration by the Conference of the Parties at its fifth meeting.”

Decision SC-4/31: Global monitoring plan for effectiveness evaluation**Decision SC-4/31, paragraph 9:**

“Requests the financial mechanism of the Stockholm Convention and invites other donors to provide sufficient financial support to further step-by-step capacity enhancement, including through strategic partnerships, to sustain the new monitoring initiatives which provided data for the first monitoring report;”

DDT**Clearing-house
mechanism**

(Work on financial
resources and
mechanisms)

**Global Monitoring
Report**

Decision SC-5/22, paragraph 7:

“Decides to undertake the assessment of funding needs every four years starting at 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;”

Decision SC-5/22, paragraph 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;”

Decision SC-5/22, paragraph 14:

“Requests that the needs assessment should include updated information for the period 2010-2014, where available, and that any updated information should be used as input to the third review of the financial mechanism;”

Decision SC-5/22, ANNEX - Terms of reference for the assessment of funding needed by developing-country parties and parties with economies in transition to implement the Convention over the period 2015–2019, paragraph 6 (b):

“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 the assistance needs of eligible parties;”

Decision SC-5/23: Additional guidance to the financial mechanism

Decision SC-5/23, paragraph 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;”

(Needs assessment)

**GEF reporting &
information provision
(Needs assessment)**

(Review)

**GEF reporting &
information provision
(Needs assessment)**

(Guidance to GEF)

Decision SC-5/23, paragraph 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;”

Decision SC-5/23, paragraph 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;”

Decision SC-5/23, paragraph 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;”

Decision SC-5/23, paragraph 5:

“Recognizes that financial and technical support is required to facilitate the replacement of the use of endosulfan in developing countries;”

Decision SC-5/23, paragraph 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;”

Decision SC-5/23, paragraph 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;”

Decision SC-5/23, paragraph 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;”

(Guidance to GEF)

**Polychlorinated
biphenyls elimination
network**

**Newly listed
chemicals**

(Use of endosulfan)

**Elimination of
unintentional releases
of POPs**

Regional centers

**Collection of data on
indicators/
effectiveness
evaluation framework**

Decision SC-5/23, paragraph 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;”

Decision SC-5/23, paragraph 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;”

Decision SC-5/23, paragraph 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;”

Decision SC-5/23, paragraph 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.”

Decision SC-5/24: Effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility

Decision SC-5/24, paragraph 1:

“Takes note of the report of the Secretariat 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;”

Decision SC-5/24, paragraph 2:

“Welcomes the report of the Global Environment Facility to the Conference of the Parties at its fifth meeting;”

**Global Monitoring
Report**

**National reporting &
National
implementation plans**

**Technical assistance
and technology
transfer**

DDT

(Memorandum of
Understanding)

(General)

Decision SC-5/24, paragraph 3: “Recalls that the Council of the Global Environment Facility is to provide regular reports to the Conference of the Parties, including information pursuant to paragraph 9 (d) of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility;”	GEF reporting & information provision
Decision SC-5/24, paragraph 4: “Welcomes the continuing cooperation between the Secretariat of the Stockholm Convention and the Secretariat of the Global Environment Facility;”	(Institutional cooperation)
Decision SC-5/24, paragraph 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.”	(Memorandum of Understanding)
Decision SC-5/25: Review of the financial mechanism	
Decision SC-5/25, paragraph 1: “Adopts the terms of reference for the third review of the financial mechanism set out in the annex to the present decision;”	(Review)
Decision SC-5/25, paragraph 2: “Requests the Secretariat to compile information relevant to the third review of the financial mechanism and submit it to the Conference of the Parties for consideration at its sixth meeting.”	(Review)
SEE: Annex to Decision - Terms of reference for the third review of the financial mechanism	(Review)

IV. UN CONVENTION TO COMBAT DESERTIFICATION (UNCCD)

1. Classification of UNCCD COP guidance in main themes

Theme	Brief description
I. OVERALL	
General	Overarching guidance; role of the financial mechanism; overall strategy
Designation as Focal Area	Guidance on designating LD as a GEF Focal Area
Strategy Alignment/Focal Area Strategy	Guidance relating to the FAS and the FAS alignment with the UNCCD 10 year strategy
II. AREAS OF ENGAGEMENT	
Funding priorities (general)	Guidance referring to general funding priorities or larger set of priorities
<i>Capacity Development</i>	Guidance on the support of capacity development in general, including institutional capacity
<i>National reporting & Action Plans</i>	Guidance on GEF support to National Reports to the COP
<i>Support to GM</i>	Guidance on the support of the UNCCD Global Mechanism
<i>Special initiatives</i>	Guidance on support for initiatives like IYDD, UN Decade for Deserts & the Fight against Desertification, etc
III. OPERATIONAL ISSUES	
GEF reporting	Provisions and guidelines on GEF reporting to the COP
Resource mobilization	GEF's role in mobilizing resources, e.g. from COP parties
Resource allocation	Guidance on resource allocation including RAF & STAR
Resource approval and disbursement procedures	Effectiveness, efficiency of project cycle, resource disbursement etc
Incremental costs	Apply incremental cost principle more flexible, pragmatic, transparent
Institutional cooperation	Guidance on communication and cooperation with COP secretariat
<i>Memorandum of Understanding</i>	Guidance on the GEF-UNCCD MoU

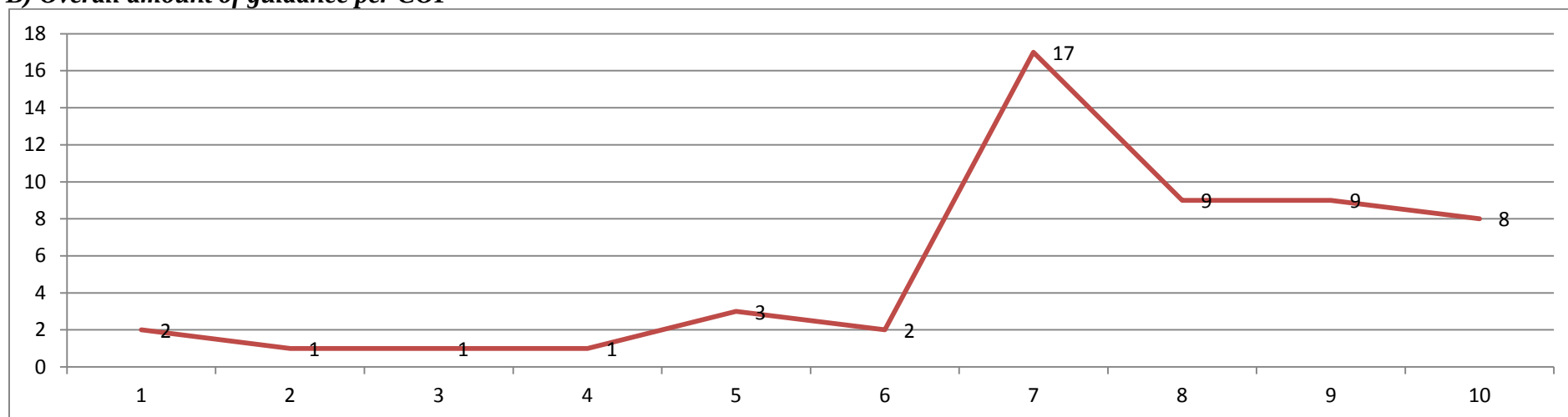
2. Quantitative summary of UNCCD COP guidance

- One “item” of guidance is defined as a distinguishable piece of information within a COP decision, usually a paragraph or sub-paragraph.

A) Amount of guidance per COP per themes

<i>Theme</i>	<i>COP-1</i>	<i>COP-2</i>	<i>COP-3</i>	<i>COP-4</i>	<i>COP-5</i>	<i>COP-6</i>	<i>COP-7</i>	<i>COP-8</i>	<i>COP-9</i>	<i>COP-10</i>	<i>TOTAL</i>
I. OVERALL											
General							1				1
Designation as Focal Area					2						2
Strategy Alignment/Focal Area Strategy							1	2		1	4
II. FUNDING PRIORITIES											
Funding priorities (general)						1		1	1		3
<i>Capacity Development</i>							2			2	4
<i>National reporting & Action Plans</i>							3	1	2	2	8
<i>Support to GM</i>		1									1
<i>Special initiatives</i>							1			1	2
III. OPERATIONAL ISSUES											
GEF reporting	1						2	2	4		9
Resource mobilization	1			1	1			1			4
Resource allocation									1	1	2
Resource approval and disbursement procedures							1	2	1	1	5
Incremental costs							1				1
Institutional cooperation			1			1	3				5
<i>Memorandum of Understanding</i>							2				2
TOTAL	2	1	1	1	3	2	17	9	9	8	53

B) Overall amount of guidance per COP



C) Chronology: First COP mentioning of different funding priorities

Theme	COP-1	COP-2	COP-3	COP-4	COP-5	COP-6	COP-7	COP-8	COP-9	COP-10
GEF reporting	X									
Resource mobilization	X									
Support to GM		X								
Institutional cooperation			X							
Designation as Focal Area					X					
Funding priorities (general)						X				
General							X			
Strategy Alignment/Focal Area Strategy							X			
Capacity Development							X			
National reporting & Action Plans							X			
Special initiatives							X			
Resource approval and disbursement							X			
Incremental costs							X			
Memorandum of Understanding							X			
Resource allocation									X	

3. Comprehensive collection of UNCCD COP guidance to the GEF

NOTE: Guidance that is relevant to the GEF, but does not address the GEF itself (e.g. guidance to GEF agencies on implementation of GEF projects) are **in parenthesis**; these are not counted as *COP guidance to the GEF* and therefore not included in the quantitative overview in section 2 above (“Quantitative summary of UNCCD COP guidance”).

COP DECISION	Theme
COP-1: Rome, Italy, 29 September – 10 October 1997	2 item
Decision 14/COP.1: Relations with the Global Environment Facility The Conference of the Parties, recalling article 20, paragraph 2 (b) of the Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa, Decision 14/COP.1, paragraph 1: “Welcomes the excellent cooperation existing between its secretariat and the secretariat of the Global Environment Facility (GEF), as well as the reciprocal representation in meetings of the Convention and those of the GEF;” Decision 14/COP.1, paragraph 2: “Welcomes further the adoption of the operational strategy of the GEF, as well as the decision taken by the GEF Council at its ninth meeting to take appropriate steps to identify, prepare and implement GEF financed activities to combat land degradation as they relate to biodiversity, climate change and international waters;” Decision 14/COP.1, paragraph 3: “Invites the Council of the GEF to report as appropriate to the Conference of the Parties on matters relating to the issue of land degradation.”	(Institutional cooperation) (Institutional cooperation) GEF reporting

**Decision 23/COP.1: Survey and evaluation of existing networks,
institutions, agencies and bodies**

Decision 23/COP.1, paragraph 4:

“**Requests** Parties, signatories to the Convention and interested organizations including the Global Environment Facility to contribute to the Trust Fund established by United Nations General Assembly resolution 47/188 for the purpose of funding the work contemplated by this decision.”

**Decision 24/COP.1: Organization to house the Global Mechanism
and agreement on its modalities**

ANNEX, Functions of the Global Mechanism, 3. Promoting actions leading to cooperation and coordination:

“(e) Provide information, making use of the COP and other relevant existing forums, that will:
(i) Facilitate discussion of relevant issues in the governing bodies of multilateral financial institutions;
(ii) Inform Parties about the eligibility criteria and projects of international financial instruments and mechanisms, including particularly the Global Environment Facility (GEF), as they relate to implementation of the Convention;”

ANNEX, Functions of the Global Mechanism, 4. Mobilizing and channelling financial resources:

“(d) Undertake actions and/or activities for the mobilization of adequate, timely and predictable financial resources, including new and additional funding from the Global Environment Facility of the agreed incremental costs of those activities concerning desertification that relate to its four focal areas, in conformity with the relevant provisions of the instrument establishing the Global Environment Facility.”

Resource mobilization

(Global Mechanism)

(Global Mechanism)

Decision 25/COP.1: Collaborative institutional arrang. in support of the Global Mechanism ANNEX, COLLABORATIVE INSTITUTIONAL ARRANGEMENTS FOR THE GLOBAL MECHANISM OF THE UNITED NATIONS CONVENTION TO COMBAT DESERTIFICATION 19 SEPTEMBER 1997, III. Support for the Global Mechanism: “7. IFAD, UNDP and the World Bank would establish a “Facilitation Committee” for the GM, to coordinate support from the three institutions, comprised initially of focal points to be designated by each institution. The functions and scope of the work of this committee would be developed by the three institutions in consultation with the institution housing the GM and the Head of the GM. 8. The three institutions will endeavour to ensure that the GEF would develop projects that address desertification, as it relates to GEF focal areas. In this context: (i) the respective focal points for GM matters within the WB and UNDP, as GEF Implementing Agencies, and IFAD would support the GM entity to explore possibilities for new and additional funds from GEF for CCD activities; (ii) co-financing or parallel funding arrangements with GEF funded dryland related activities would be pursued by all three institutions; and (iii) it is strongly recommended that GM be granted observer status with GEF Council.”	(Global Mechanism)
COP-2: Dakar, Senegal, 30 November - 11 December 1998	1 item
Decision 18/COP.2: Global Mechanism Decision 18/COP.2, paragraph 9: “Invites relevant institutions, programmes and bodies of the United Nations system, in particular the United Nations Development Programme, the World Bank, the Food and Agriculture Organization of the United Nations, the Global Environment Facility, the United Nations Environment Programme and the World Food Programme, intergovernmental, regional and subregional organizations and regional development banks, as well as all other interested organizations, including nongovernmental organizations and the private sector, to actively support the activities of the Global Mechanism;”	Support to GM

COP-3: Recife, Brazil, 15 - 26 November 1999	1 items
Decision 2/COP.3: Medium-term strategy of the secretariat Annex, Medium-term strategy of the secretariat, III, C. Cooperation with the secretariats of other sustainable development conventions, paragraph 18: "As stipulated in the relevant provisions of the Convention and decisions of the COP, the secretariat will continue the collaboration initiated with other convention secretariats and international organizations such as the United Nations Development Programme (UNDP), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the United Nations Environment Programme (UNEP) and the Global Environment Facility (GEF). Arrangements have already been made with the secretariats of the Convention on Biological Diversity (CBD) and the Ramsar Convention. Similar arrangements are being finalized with the United Nations Framework Convention on Climate Change (UNFCCC), UNESCO, UNEP and the GEF. The rationale to promote cooperation with these bodies includes the fact that they present a convergence of objectives for achieving sustainable development. In the context of the UNCCD, this cooperation would contribute to a more effective implementation of the action programmes at various levels. Efforts will be made to develop in particular the following: capacity-building, exchange of information, networking, research and development, and the transfer, adaptation and development of technology." Decision 4/COP.3: Programme of work for the Conference of the Parties Decision 4/COP.3, paragraph 1 (d): "Review of available information regarding the financing of Convention implementation by multilateral agencies and institutions, including information on the activities of the Global Environment Facility concerning desertification that relate to its four focal areas, as specified in article 20, paragraph 2(b) of the Convention;" Decision 17/COP.3: Collaboration with other conventions and international bodies	(Institutional cooperation) (Review of information)

Decision 17/COP.3, paragraph 2: “Expresses its appreciation for the ongoing collaborative efforts between the secretariat of the United Nations Convention to Combat Desertification and the Global Environment Facility on land degradation as it relates to the four focal areas of the Global Environment Facility; and in this regard, welcomes the development of the Action Plan for Enhancing Global Environment Facility Support for Land Degradation, to be considered by the Council of the Global Environment Facility in December 1999;” Decision 17/COP.3, paragraph 3: “Invites the two secretariats to further enhance the collaboration between the United Nations Convention to Combat Desertification and the Global Environment Facility and to fully integrate the Global Mechanism in this collaboration;”	(Institutional cooperation) Institutional cooperation
COP-4: Bonn, Germany, 11 - 22 December 2000	1 item
Decision 2/COP.4: Interim report of the Ad Hoc Working Group for the in depth review and analysis of reports submitted to the third and fourth sessions of the Conference of the Parties Annex, Interim report of the Co-Chairmen on the first session of the Ad Hoc Working Group on the review of implementation of the UNCCD, C. TENTATIVE HIGHLIGHTS ON KEY THEMATIC TOPICS, paragraph 2: “The mobilization of financial resources from member countries and international partners remain a core challenge, notably as the process moves from the phase of NAP preparation to the phase of NAP implementation. In that context, a lack of response to push forward the forthcoming phase could demobilize key stakeholders. It must be noted that the challenge for establishing mechanisms for partnership arrangements is also acute at the subregional and regional level. Several interventions thus called for GEF support for UNCCD enabling activities. Coordination of external financial flows was also perceived as a difficult challenge. Affected developing countries were invited to bring forward priority projects or programmes from the NAPs in their regular discussions with developed country Parties.”	(Resource mobilization)

Decision 8/COP.4: Declaration on the commitments to enhance the implementation of the obligations of the Convention

Annex, CONCRETE MEASURES AND MEANS FOR ENHANCING THE IMPLEMENTATION OF THE CONVENTION:

“[...]

INVITE Parties to take action to improve and facilitate further access by affected developing country Parties to Global Environment Facility (GEF) resources for the implementation of the Convention;

WELCOME the decision of the GEF council which "requests the Chief Executive Officer to explore the best options for enhancing the support of the GEF in assisting affected countries, especially those in Africa, to implement the United Nations Convention to combat desertification taking into account the third replenishment";

Decision 9/COP.4: Collaboration with the Global Environment Facility

Decision 9/COP.4, paragraph 1:

“Welcomes the ongoing collaboration between the Global Environment Facility (GEF) and the UNCCD and the involvement of the Global Mechanism in this collaboration, which resulted in the identification and funding of activities against land degradation by the GEF;”

Decision 9/COP.4, paragraph 2:

“Takes note with appreciation of the decision of the GEF Council at its last meeting, from 1 to 3 November 2000, which requested the Chief Executive Officer to explore the best options for enhancing the support of the GEF in assisting affected countries, especially those in Africa, to implement the United Nations Convention to Combat Desertification, taking into account the third replenishment;”

Decision 9/COP.4, paragraph 3:

“Invites all Parties to the Convention to support the GEF, including as appropriate through its Council and the pursuit of negotiations in the Assembly of the GEF so as to explore the best options for enhancing the support of the GEF in assisting affected countries, especially those in Africa, to implement the Convention taking into account the third replenishment;”

(Funding priorities
general)

(Institutional
cooperation)

(Resource
mobilization)

(Resource
mobilization)

Decision 9/COP.4, paragraph 4: “Requests the Executive Secretary of the UNCCD to report to the fifth session of the Conference of the Parties on the follow-up to the GEF Council decision, referred to in paragraph 2, above, in support of the implementation of the Convention and of developments in this regard.” Decision 13/COP.4: Survey and evaluation of existing networks, institutions, agencies and bodies Decision 13/COP.4, paragraph 4: “Requests Parties, signatories to the Convention and interested organizations including the Global Environment Facility to contribute to the Trust Fund established by resolution 47/188 of the General Assembly of the United Nations for the purpose of funding the work contemplated by this decision.”	(GEF Reporting) Resource mobilization
COP-5: Geneva, Switzerland, 1 – 12 October 2001	3 items
Decision 3/COP.5: Report of the Ad Hoc Working Group for the in-depth review and analysis of reports submitted at the third and fourth sessions of the Conference of the Parties Annex, CONCLUSIONS AND CONCRETE RECOMMENDATIONS ON FURTHER STEPS IN THE IMPLEMENTATION OF THE CONVENTION, G. Financing of the Convention, paragraph 30: “In this context, on the supply side of the provision of required finance, a significant number of Parties recommend the Council of the GEF to include, during the forthcoming replenishment exercise, a financing window for combating desertification to access GEF resources in order to secure and facilitate the Convention’s implementation including enabling activities.”	(Designation as Focal Area)

Decision 5/COP.5: Programme of work of the Conference of the Parties

Decision 5/COP.5, paragraph 1 (e):

“Review of available information regarding the financing of Convention implementation by multilateral agencies and institutions, including information on the activities of the Global Environment Facility concerning desertification that relate to its four focal areas, as specified in article 20, paragraph 2(b) of the Convention;”

(Review of information)

Decision 9/COP.5: Collaboration with the Global Environment Facility

Decision 9/COP.5, paragraph 1:

“Welcomes the decision taken by the GEF Council at its May 2001 session to pursue the designation of land degradation (desertification and deforestation) as a GEF focal area as a means of enhancing GEF support for the successful implementation of the UNCCD;”

(Designation as Focal Area)

Decision 9/COP.5, paragraph 2:

“**Encourages** the GEF Council to take the necessary next steps in pursuit of designating land degradation (desertification and deforestation) as a GEF focal area;”

Designation as Focal Area

Decision 9/COP.5, paragraph 3:

“Requests the Executive Secretary of the UNCCD and the Managing Director of the Global Mechanism to continue to cooperate actively in the GEF secretariat’s work on modalities for designating land degradation as a focal area;”

(Institutional cooperation)

Decision 9/COP.5, paragraph 4:

“**Encourages** further meetings of the Third Replenishment of the GEF to consider the need for new and additional financial resources, in the context of the Third Replenishment, to assist in achieving the objectives of the UNCCD;”

Resource mobilization

Decision 9/COP.5, paragraph 5:

“Further **encourages** the GEF at its forthcoming meetings on replenishment, in the light of the possible designation by the GEF Assembly of land degradation (desertification and deforestation) as a new focal area of the GEF, to consider the needs arising from such designation.”

Decision 23/COP.5: Report on the fourth Round Table of Parliamentarians

Annex, DECLARATION BY MEMBERS OF PARLIAMENT, paragraph 10:

“We fully support the decision of the last Governing Council of the Global Environment Facility (GEF) held in Washington D.C. in May 2001, which requested the Chief Executive Officer “to explore the best options for enhancing the support of the GEF in assisting affected countries, especially those in Africa, to implement the United Nations Convention to Combat Desertification, taking into account the third replenishment of the GEF.”

Annex, DECLARATION BY MEMBERS OF PARLIAMENT, paragraph 11:

“We further agree with the GEF Governing Council that addressing the issue of land degradation is an integral part of the pursuit of sustainable development, poverty alleviation and synergism amongst the global environmental conventions. We consequently praise the GEF Council for agreeing that the designation of land degradation (desertification and deforestation) as a GEF focal area should be pursued, as a means for enhancing GEF support for the successful implementation of the UNCCD.”

Annex, DECLARATION BY MEMBERS OF PARLIAMENT, paragraph 12:

“We strongly request the country Parties to the Convention to designate the GEF as the operational financial mechanism of the UNCCD, in order to provide it with the predictable financial resources which will enable it to achieve its objectives in a timely and efficient manner.”

Annex, DECLARATION BY MEMBERS OF PARLIAMENT, paragraph 13:

“Accordingly, we further request the GEF, at its next Assembly meeting in Beijing, China, in 2002, to make desertification a fully fledged GEF focal area along with biodiversity, climate change, the protection of the ozone layer and international waters.”

Designation as Focal Area

(Resource access)

(Designation as Focal Area)

(Financial Mechanism)

(Designation as Focal Area)

COP-6: Havana, Cuba, 25 August - 5 September 2003		2 items
Decision 1/COP.6: Further steps in the implementation of the Convention Decision 1/COP.6, paragraph 12: “Invites the GEF in its UNCCD-related activities to give support, within its mandate, to activities that lead directly to the enhancement of livelihood systems and prevention of land degradation;” Decision 2/COP.6: Consideration of the outcome of the World Summit on Sustainable Development (WSSD) relevant to the United Nations Convention to Combat Desertification Decision 2/COP.6, paragraph 5: “Resolves, in line with the outcome of the WSSD and with the objectives and obligations as outlined in the general provisions of the UNCCD, to strengthen implementation of the Convention. This would include action at all levels to: - Mobilize adequate and predictable financial resources, transfer technologies and build capacity at all levels, including through the GEF as a financial mechanism of the Convention, with particular emphasis on supporting sustainable development in arid, semi-arid and dry sub-humid areas [...];” Decision 3/COP.6: Overall review of the activities of the secretariat and of the progress made by affected country Parties in the implementation of the Convention Decision 3/COP.6, paragraph 3: “Further requests the secretariat to cooperate with the secretariats of the United Nations Framework Convention on Climate Change (UNFCCC), the Convention on Biological Diversity (CBD) and the Global Environment Facility (GEF) and its implementing agencies in realizing the synergistic potential of the UNCCD action programmes for integrated natural resources management and sustainable development;”		Funding priorities (general) (Resource mobilization) (Institutional cooperation)

Decision 5/COP.6: Review of the policies, operational modalities and activities of the Global Mechanism

Decision 5/COP.6, paragraph 1:

“Requests the GM to focus mainly on its primary role of mobilizing financial resources to support UNCCD implementation by broadening the funding base for implementation while giving greater emphasis to identifying sources of co-financing for GEF projects and facilitating funding rather than providing technical advice on project design in the light of the three main objectives of the Business Plan;”

(Global Mechanism)

Decision 5/COP.6, paragraph 7:

“Urges the members of the Facilitation Committee of the GM to enhance substantially collaboration with and support to the Global Mechanism in order to improve programmatic convergence in the implementation of their activities within the UNCCD framework, notably with regard to the role of the implementing agencies of the Global Environment Facility in developing actions and projects relating to the new operational programme of the Global Environment Facility on sustainable land management;”

(Global Mechanism)

Decision 6/COP.6: Collaboration with the Global Environment Facility

Designation of a financial mechanism

Decision 6/COP.6, paragraph 1:

“Welcomes the decision by the World Summit on Sustainable Development in Johannesburg, South Africa, in August-September 2002, which, inter alia, recognized the complementary roles of the GEF and the Global Mechanism of the Convention in providing and mobilizing resources, and called on the Second GEF Assembly to consider making the GEF a financial mechanism of the Convention;”

(Financial mechanism)

Decision 6/COP.6, paragraph 2:

“Welcomes also the decision of the Second GEF Assembly in October 2002, in Beijing, China, declaring that the GEF should be available as a financial mechanism of the UNCCD in those countries experiencing serious drought and/or desertification, particularly in Africa, pursuant to article 21 of the Convention, if the Conference of the Parties should so decide;”

(Financial mechanism)

Decision 6/COP.6, paragraph 3: “Further welcomes the decision of the GEF Council in May 2003 in Washington D.C., United States of America, establishing a new operational programme on sustainable land management;”	(Designation as Focal Area)
Decision 6/COP.6, paragraph 4: “Decides to accept the GEF as a financial mechanism of the UNCCD pursuant to article 20, paragraph 2(b), and article 21 of the Convention and in accordance with the GEF Instrument as amended;”	(Financial mechanism)
<u>Arrangements for establishing a working relationship with the Global Environment Facility</u> Decision 6/COP.6, paragraph 5: “Welcomes the decision by the GEF Council at its meeting in May 2003, requesting the GEF secretariat to discuss with the UNCCD secretariat the arrangements to facilitate collaboration between the GEF and the UNCCD;”	(Institutional cooperation)
Decision 6/COP.6, paragraph 6: “Requests the Executive Secretary, in collaboration with the Managing Director of the Global Mechanism, to consult with the Chief Executive Officer and Chairman of the GEF with a view to preparing and agreeing upon a Memorandum of Understanding on the arrangements called for in paragraph 5 above for consideration and adoption by the seventh session of the Conference of the Parties and Requests that such arrangements should be concluded between the secretariat and the GEF and elaborate on how the GEF should take into consideration policies, strategies and priorities agreed upon by the COP;”	(Memorandum of Understanding)
Decision 6/COP.6, paragraph 7: “Invites Parties to submit, before 1 January 2004, their views on the policies, strategies and priorities mentioned in paragraph 6 above to the secretariat; and requests the secretariat to compile these submissions to assist the COP in its considerations and decision-making in this regard;”	(Institutional cooperation)
Decision 6/COP.6, paragraph 8: “Requests the Executive Secretary to report to the Conference of the Parties at its seventh session on measures taken to implement this decision.”	(Institutional cooperation)

Decision 12/COP.6: Review of activities for the promotion and strengthening of relationships with other relevant conventions and relevant international organizations, institutions and agencies Decision 12/COP.6, paragraph 4: “Further encourages the other relevant conventions, international organizations, agencies and institutions, including the Global Environment Facility (GEF), to explore appropriate opportunities to promote synergistic approaches and initiatives, with a view to fostering their collaboration with the UNCCD;”	Institutional cooperation
COP-7: Nairobi, Kenya, 17 – 28 October 2005	17 items
Decision 1/COP.7: Strengthening the implementation of the Convention in Africa Decision 1/COP.7, paragraph 13: “Invites the Global Environment Facility (GEF) as a financial mechanism of the Convention to provide support to developing country Parties for the implementation of NAPs and to report to the Conference of the Parties (COP) at its eighth session in this regard;” Decision 1/COP.7, paragraph 16: “Invites the CST to consult with the GEF and its Scientific and Technical Advisory Panel and its Implementing and Executing Agencies, to facilitate coherence and consistency in the elaboration of a compendium of benchmarking approaches for sustainable land management, to support the standardization of UNCCD-relevant benchmarks and to strengthen related information systems and processes that should devolve to, and assist African country Parties in, monitoring the implementation of the Convention.”	National reporting & Action Plans (Scientific collaboration)

Decision 5/COP.7: Mobilization of resources for the implementation of the Convention

Decision 5/COP.7, paragraph 8:

“**Invites** multilateral organizations and agencies, particularly the GEF, to simplify their procedures for access to funding in order to facilitate NAP implementation, and invites the GM and the members of its Facilitation Committee to mobilize funds and make available information on points of entry into processes and modalities of multilateral funding for NAP implementation.”

Decision 6/COP.7: Collaboration with the Global Environment Facility

Decision 6/COP.7, paragraph 1:

“Expresses its appreciation to the GEF Council for its continued support for the implementation of the Convention and its focus on enhancing sustainable land management policies and initiatives;”

Decision 6/COP.7, paragraph 2:

“Decides to conclude with the Council and adopt the attached Memorandum of Understanding as proposed by the GEF Council at its meeting in June 2005;”

Decision 6/COP.7, paragraph 3:

“**Invites** the GEF and UNCCD secretariats to make appropriate arrangements to implement the Memorandum;”

Decision 6/COP.7, paragraph 4:

“Expresses its understanding that all eligible affected country Parties are covered by the present Memorandum of Understanding in conformity with the Instrument for the Establishment of the Restructured GEF;”

Decision 6/COP.7, paragraph 5:

“Welcomes therefore the Country Pilot Partnerships of the GEF and the TerrAfrica initiative of the World Bank as potential tools for strengthening partnership building for the implementation of the Convention, and recommends coordination between these processes and consideration of their expansion if found to be successful;”

Resource approval and disbursement procedures

(Institutional
cooperation)

(Memorandum of
Understanding)

Memorandum of Understanding

(Memorandum of
Understanding)

(Memorandum of
Understanding)

Decision 6/COP.7, paragraph 6: “Also welcomes the “Least-Developed Countries – Small Island Developing States Targeted Umbrella Project for Capacity Development and Mainstreaming of Sustainable Land Management” implemented by the United Nations Development Programme (UNDP), and the medium-sized project of the United Nations Environment Programme (UNEP) on Global Support to Facilitate the Early Development and Implementation of Land Degradation Programmes and Projects;”	(Memorandum of Understanding)
Decision 6/COP.7, paragraph 7: “Invites the GEF to take duly into account the relevant decisions taken by the COP when financing activities in accordance with this Memorandum of Understanding;”	Memorandum of Understanding
Decision 6/COP.7, paragraph 8: “Invites the GEF to consider supporting activities, within its mandate, undertaken in the framework of the IYDD (2006);”	Special Initiatives
Decision 6/COP.7, paragraph 9: “Invites the GEF to make financial resources available for capacity-building activities in affected country Parties implementing the Convention and to facilitate coordination between the GEF and UNCCD focal points at country level to enable the GEF to better respond to the needs of the UNCCD process;”	Capacity development
Decision 6/COP.7, paragraph 10: “Invites GEF donors to strive for a successful replenishment, where possible;”	(Resource mobilization)
Decision 6/COP.7, paragraph 11: “Welcomes the GEF Council decision taken at its May 2003 meeting, by which it recognized that in the framework of capacity-building projects to be funded under Operational Programme 15 (OP 15), the elaboration of national, subregional and regional action programmes and national reports are considered as components, and invites the GEF to implement that decision when assisting developing country Parties;”	National reporting & Action Plans

Decision 6/COP.7, paragraph 12:

“Also welcomes the GEF Council decision taken at its May 2003 meeting by which it was agreed that in the implementation of OP 15, the process of determining incremental costs should be made more transparent and its application more pragmatic, and **invites** the GEF to ensure its appropriate application;”

Decision 6/COP.7, paragraph 13:

“**Requests** the Executive Secretary of the UNCCD and the CEO/Chairman of the GEF in his capacity as CEO/Chairman of a financial mechanism of the Convention to report to the COP at its eighth session on the implementation of this decision.

MEMORANDUM OF UNDERSTANDING BETWEEN THE UNITED NATIONS CONVENTION TO COMBAT DESERTIFICATION IN THOSE COUNTRIES EXPERIENCING SERIOUS DROUGHT AND/OR DESERTIFICATION, PARTICULARLY IN AFRICA, AND THE GLOBAL ENVIRONMENT FACILITY ON ENHANCED COLLABORATION

[...]

Coherence between the UNCCD and the GEF

The coherence between the objective of the GEF Operational Programme on Sustainable Land Management and the objective of the UNCCD2 is recognized as a basis for mutually beneficial collaboration. This coherence of objectives will serve as a basic principle in developing policies, strategies, programs and projects for sustainable land management.

The UNCCD Secretariat and the GEF Secretariat will collaborate on substantive matters that the Conference of the Parties and the Council agree should be pursued to strengthen this coherence and collaboration between the UNCCD and the GEF.

Strategies, programmes and projects concerning desertification

In formulating strategies, programs and projects for financing the agreed incremental costs of activities concerning desertification under its focal area of land degradation or through activities that combat desertification and mitigate the effects of drought in other focal areas, the GEF, through its Secretariat and Implementing and Executing Agencies, will duly take into account the provisions of the UNCCD and the relevant decisions of its Conference of the Parties relating to policies, strategies and programme priorities.

Incremental cost

GEF reporting

General

**Strategy
Alignment/Focal Area
Strategies**

Reporting

The GEF will prepare a report for information to be submitted to each regular session of the Conference of the Parties through the UNCCD Secretariat on its strategies, programmes and projects for financing the agreed incremental costs of activities concerning desertification. This report will include:

- (a) information on discussions within the GEF Council on GEF strategies, programmes and projects for financing the agreed incremental costs of activities concerning desertification;
- (b) a synthesis of projects approved by the Council during the reporting period concerning desertification with an indication of the GEF and other resources allocated to such projects;
- (c) a listing of projects approved by the Council concerning desertification, with an indication of the cumulative financial resources allocated in the GEF to such projects;
- (d) information on GEF's experience in integrating activities to address land degradation in other focal areas and synergies among the focal areas;
- (e) information on GEF replenishment agreements and the funding programmed for land degradation;
- (f) information on GEF monitoring and evaluation activities related to projects concerning desertification.

The UNCCD will prepare a report for information to be submitted to the GEF Council through the GEF Secretariat after each regular session of the Conference of the Parties, on the decisions taken by the Parties of relevance to the GEF. The report shall contain information on discussions within the Conference of the Parties on GEF activities for financing the agreed incremental costs of activities concerning desertification.

GEF Reporting

Cooperation between secretariats

The UNCCD Secretariat and the GEF Secretariat will communicate and cooperate with each other and consult on a regular basis to promote incremental cost funding from the GEF to assist affected developing country parties to combat desertification and mitigate the effects of drought pursuant to Article 20 (b) and Article 21 of the Convention.

The Secretariat of the UNCCD and the Secretariat of the GEF will consult on proposed strategies, programmes and projects concerning desertification. In particular, the Secretariats of the Convention and of the GEF will reciprocally consult with each other on draft texts of documents relevant to the Convention and the GEF prior to issuing the texts of such documents for consideration by the Conference of the Parties or the Council.

In accordance with the GEF project cycle, the UNCCD Secretariat will be invited to comment on project proposals related to desertification under consideration for inclusion in a proposed work programme, especially with regard to advising how such project proposals are consistent with the Convention and the decisions of the Conference of the Parties relating to policies, strategies and programme priorities to combat desertification and mitigate the effects of drought.

Official documentation of the GEF, including information on project activities, will be made available on its website. Official documentation of the Convention will be made available on its website.

Reciprocal representation

On a reciprocal basis, the GEF Secretariat will be invited to attend meetings of the Conference of the Parties and the UNCCD Secretariat will be invited to attend meetings of the Council and Assembly.

Cooperation with the Global Mechanism

The GEF Secretariat will be invited to participate as an observer in the Facilitation Committee meetings of the Global Mechanism. The GEF Secretariat will inform the Facilitation Committee of project proposals concerning desertification that have entered the GEF pipeline with a view to assisting the Global Mechanism to identify opportunities to mobilize and channel co-financing resources for such proposed projects.

[...]

**Institutional
cooperation**

**Institutional
cooperation**

**Institutional
cooperation**

[illegible]

Decision 3/COP.8, paragraph 35:

“**Invites** the GEF to take The Strategy into account when planning and programming for the next replenishment period, in order to facilitate the effective implementation of the Convention;”

Decision 6/COP.8: Collaboration with the Global Environment Facility

Decision 6/COP.8, paragraph 1:

“**Invites** the GEF effectively and expeditiously to implement the Focal Area Strategy on Land Degradation for GEF-4;”

Decision 6/COP.8, paragraph 2:

“Urges developed country Parties and **invites the GEF Council** to provide in the fifth replenishment of the GEF adequate, timely and predictable financial resources, including new and additional financial resources, for the Focal Area on Land Degradation;

Decision 6/COP.8, paragraph 3:

“Also **invites** the GEF to facilitate access by affected country Parties, particularly those in Africa, to the full range of GEF funds available for the implementation of projects and programmes relating to land degradation and desertification;”

Decision 6/COP.8, paragraph 4:

“Recognizes that the implementation of the 10-year strategic plan and framework to enhance the implementation of the Convention (2008–2018) (The Strategy) requires mobilization of adequate, predictable and timely financial resources at both the national and the international levels for its effective implementation and, in this context, **invites** the GEF to consider simplifying its funding procedures in order to ease developing countries’ access to GEF financial resources;”

Decision 6/COP.8, paragraph 5:

“**Requests** the GEF secretariat, in the light of the MOU, to continue to inform the Conference of the Parties (COP) on how projects in GEF focal areas other than land degradation have contributed specifically to sustainable land management;”

**Strategy
alignment/Focal Area
Strategy**

**Strategy
alignment/Focal Area
Strategy**

Resource mobilization

**Funding priorities
(general)**

**Resource approval
and disbursement
procedures**

GEF reporting

Decision 6/COP.8, paragraph 6:

“Invites the GEF to continue implementing the GEF Council decision taken at its May 2003 meeting, by which it recognized that when assisting affected country Parties under the next reporting cycle, the formulation of national, subregional or regional action programmes or national reports is considered to be a component in the framework of capacity-building projects, and thus eligible for funding;”

Decision 6/COP.8, paragraph 7:

“Requests the Global Mechanism in collaboration with the GEF implementing and executing agencies, to improve assistance to affected developing country Parties and other eligible country Parties, where appropriate, in identifying and accessing the co-financing from donors which is necessary to enable access to GEF project funding for land degradation projects, in conformity with The Strategy, while emphasizing the complementary role of the GEF;”

Decision 6/COP.8, paragraph 8:

“Requests also the Executive Secretary to bring The Strategy, adopted at this COP, to the attention of the GEF Council;”

Decision 6/COP.8, paragraph 9:

“Further **requests** the Executive Secretary of the UNCCD and the Chief Executive Officer/Chairperson of the GEF as a financial mechanism of the Convention to report to the COP at its ninth session on the implementation of this decision.”

Decision 8/COP.8: Improving the procedures for communication of information, as well as the quality and format of reports to be submitted to the Conference of the Parties

Decision 8/COP.8, paragraph 1 (d):

“Requests the Executive Secretary, taking into account the views of the Global Mechanism, to develop draft reporting guidelines before the seventh session of the Committee for the Review of the Implementation of the Convention, seeking external support, as appropriate, for the following entities that are requested to report regularly to the COP, or otherwise to provide information, on support to the implementation of the Convention:

- (d) The Global Environment Facility (GEF), in accordance with the memorandum of understanding between the UNCCD and the GEF

National reporting & Action Plans

(Co-financing)

(Institutional cooperation)

GEF reporting

(Reporting guidelines)

COP-9: Buenos Aires, Argentina, 21 September - 2 October 2009	9 items
Decision 8/COP.9: Promotion and strengthening of relationships with other relevant conventions and international organizations, institutions and agencies Decision 8/COP.9, paragraph 10: “Invites the secretariat and the Global Mechanism to strengthen coordinated approaches to exploring opportunities for accessing funding through the Global Environment Facility and other funding mechanisms for relevant initiatives on DLDD;” Decision 10/COP.9: Collaboration with the Global Environment Facility Decision 10/COP.9, paragraph 1: “Expresses its appreciation to the Global Environment Facility for its continued support for the implementation of the Convention and its focus on enhancing sustainable land management policies and initiatives;” Decision 10/COP.9, paragraph 2: “Takes note of the analysis provided by the secretariat of the Global Environment Facility, which shows that more than 80 per cent of the financial resources for the focal area on land degradation (primarily desertification and deforestation) was effectively committed by the midterm of the fourth replenishment of the Facility, indicating that a high level of demand exists for resources for this focal area;” Decision 10/COP.9, paragraph 3: “Invites developed country Parties and other donors to the Global Environment Facility to provide in the fifth replenishment of the Facility adequate, timely and predictable financial resources for the focal area on land degradation with the aim of supporting the implementation of the 10-year strategic plan and framework for enhancing the implementation of the Convention (2008–2018) (The Strategy);”	(Global Mechanism) (General) (Funding allocation) (Resource mobilization)

Decision 10/COP.9, paragraph 4:

“**Invites** the Global Environment Facility to inform and consult, as appropriate, in a timely manner the Bureau of the Conference of the Parties and the Executive Secretary of the Convention on any further developments regarding the allocation of resources that involve the focal area of land degradation;”

Decision 10/COP.9, paragraph 5:

“Also **invites** the Global Environment Facility to continue implementing policy reforms in order to enhance its effectiveness and efficiency in the implementation of the Convention in affected developing country Parties and other eligible country Parties, particularly with regard to the Facility project cycle, the transparency of resource allocation and results monitoring and learning;”

Decision 10/COP.9, paragraph 6:

“Further **invites** the Global Environment Facility to facilitate access by affected country Parties, particularly those in Africa, to the full range of Facility funds available for the implementation of projects and programmes relating to land degradation and desertification, including through the expansion of the programmatic approach;”

Decision 10/COP.9, paragraph 7:

“**Invites** the Global Environment Facility to include, in its reports to the Conference of the Parties, an analysis of the activities to combat land degradation in drylands that have been funded through the Special Climate Change Fund, the Least Developed Countries Fund and the Kyoto Protocol Adaptation Fund;”

Decision 10/COP.9, paragraph 8:

“Requests the Executive Secretary to ensure that the two-year joint work programme of the secretariat and the Global Mechanism gives due attention to coordination and liaison with the Global Environment Facility with the aim of establishing exchanges as regards preferred policy approaches that lead to resource mobilization;”

Decision 10/COP.9, paragraph 9:

“Also requests the Global Mechanism to finalize its strategy to operationalize its complementary role to the Global Environment Facility, as requested in The Strategy;”

Resource allocation

**Resource approval
and disbursement
procedures**

**Funding priorities
(general)**

**GEF reporting
(SCCF, LDCF, AF)**

(Resource
mobilization)

(Strategy alignment)

Decision 10/COP.9, paragraph 10:

“Welcomes the joint initiative of the United Nations Environment Programme, the Global Environment Facility and the Convention secretariat as contained in document ICCD/CRIC(8)/INF.3 to engage in a long-term capacity-building initiative relating to monitoring the implementation of The Strategy and the Convention, which will enhance national reporting under the Convention;”

Decision 10/COP.9, paragraph 11:

“Urges stakeholders to look for synergies in monitoring environmental conventions through the use of similar indicators and similar methodological approaches relating to data collection and assistance for affected country Parties for the preparation of national reports;”

Decision 10/COP.9, paragraph 12:

“Requests the Executive Secretary and **invites** the Chief Executive Officer/Chairperson of the Global Environment Facility, as a financial mechanism of the Convention, to report to the Conference of the Parties at its tenth session on the implementation of this decision.”

Decision 13/COP.9: Improving the procedures for communication of information as well as the quality and format of reports to be submitted to the Conference of the Parties

Decision 13/COP.9, paragraph 5:

“Requests the secretariat together with the GM and **invites** the United Nations Environment Programme (UNEP) and the Global Environment Facility (GEF) to prepare reporting tools for the fourth reporting cycle in 2010, and to facilitate and provide capacity- building on monitoring to affected country Parties, as required;”

Decision 13/COP.9, paragraph 6:

“Requests developed country Parties, and **invites** international organizations and financial institutions, including inter alia the GEF, to provide technical and financial assistance to eligible affected country Parties during the fourth reporting cycle, in particular those affected country Parties in Africa;”

(Capacity development)

(Monitoring & Assessment)

GEF reporting

National reporting & Action Plans

National reporting & Action Plans

Decision 13/COP.9, ATTACHEMENT: General reporting guidelines for the Global Environment Facility, paragraph 14:

“In the light of the importance of the Global Environment Facility (GEF) to the Convention and the need to undertake the performance review of Parties and stakeholders at the same time, the GEF is **invited** to enhance the information it provides under its current reporting process by using the reporting tools provided by the secretariat, the GM and UNEP/GEF, which reflect the provisional reporting elements adopted by the COP at its ninth session, and to provide this report to each session of the CRIC held between the ordinary session of the COP.”

Decision 13/COP.9, ATTACHEMENT: General reporting guidelines for the Global Environment Facility, paragraph 15:

“The reporting of the GEF at CRIC sessions held between ordinary sessions of the COP **should comprise information** on the reporting elements set out in Table 2: GEF reporting elements.”

Decision 17/COP.9: Advice on how best to measure progress on strategic objectives 1, 2 and 3 of The Strategy

Decision 17/COP.9, paragraph 9:

“Requests the secretariat and the Global Mechanism, as part of their joint work programme and in cooperation with relevant international and/or multilateral organizations, to include the impact indicators in their comprehensive capacity-building initiative assisting affected country Parties and communicate information pursuant to the present decision, and to seek assistance from bilateral donors, relevant international organizations and financial institutions, with particular regard to the Global Environment Facility;”

Decision 17/COP.9, paragraph 10:

“Also requests the CST to include on the agenda of second special session of the CST an item on how to further streamline the cooperation with the Global Environment Facility in a longer-term framework to support progress in measuring the implementation of strategic objectives 1, 2 and 3 of The Strategy;”

GEF reporting

GEF reporting

(Capacity development)

(Strategy alignment)

COP-10: Gyeongnam, South Korea, 10 – 21 October 2011	8 items
Decision 9/COP.10: Promotion and strengthening of relationships with other relevant conventions and international organizations, institutions and agencies Decision 9/COP.10, paragraph 8: “Invites Parties, financial institutions and the Global Environment Facility to provide technical and financial support for joint capacity-building initiatives aimed at achieving increased synergies in reporting at the national level;” Decision 11/COP.10: Collaboration with the Global Environment Facility Decision 11/COP.10, paragraph 1: “Expresses its appreciation to the Fourth Global Environment Facility Assembly for the amendment to the Global Environment Facility Instrument which states that the Global Environment Facility shall be available to serve as a financial mechanism of the UNCCD;” Decision 11/COP.10, paragraph 2: “Welcomes the improved resource allocation system of the Global Environment Facility, the System for Transparent Allocation of Resources, whereby indicative envelopes of resources are allocated to all eligible countries so that they can access funding for projects aimed at combating land degradation, primarily desertification and deforestation;” Decision 11/COP.10, paragraph 3: “Expresses its appreciation to the Global Environment Facility Council for setting aside funds for enabling activities outside the System for Transparent Allocation of Resources to support activities under the focal area in accordance with the priorities of the UNCCD;”	National reporting & Action Plans (Financial mechanism) (Resource allocation) (Enabling Activities)

Decision 11/COP.10, paragraph 4: “Invites the Global Environment Facility to also support the alignment of subregional action programmes and regional action programmes with the 10-year strategic plan and framework to enhance the implementation of the Convention (The Strategy), in the context of enabling activities and their implementation;”	Strategy alignment/Focal Area Strategy
Decision 11/COP.10, paragraph 5: “Encourages eligible Parties, taking into account the cross-sectoral nature of land degradation, to use existing potential to harness synergies across the Global Environment Facility focal areas in order further to reinforce the importance of sustainable land management for integrating environmental and developmental aspirations globally;”	(Cross-sectoral synergies)
Decision 11/COP.10, paragraph 6: “Invites the Convention institutions and the Global Environment Facility secretariat to assist eligible Parties in building capacities to mobilize and use Global Environment Facility resources in a timely fashion;”	Capacity development (access to resources)
Decision 11/COP.10, paragraph 7: “Invites the Global Environment Facility, in further enhancing resource allocation during future replenishments, to consider increasing allocations to the land degradation focal area, depending on the availability of resources;”	Resource allocation
Decision 11/COP.10, paragraph 8: “Requests the Executive Secretary, in consultation with the United Nations Environment Programme, the Global Mechanism and the Global Environment Facility, to further explore the feasibility and modalities of a global programme of support to the national, subregional and regional action programme alignment and reporting process, taking into consideration the feedback received from Parties at the tenth session of the Committee for the Review of the Implementation of the Convention;”	(National reporting & Action Plans)
Decision 11/COP.10, paragraph 9: “Urges Parties to access the Global Environment Facility funding available for enabling activities, in accordance with Global Environment Facility procedures, to meet their obligations under the Convention, either (a) through a Global Environment Facility agency, (b) via direct access or (c) under an umbrella project;”	(Enabling Activities)

Decision 11/COP.10, paragraph 10:

“Encourages Parties to seek support from all possible sources, including the Global Environment Facility, for country-driven activities to implement the results of national capacity self-assessments and other relevant capacity assessment initiatives;”

(Resource mobilization)

Decision 11/COP.10, paragraph 11:

“Encourages affected eligible country Parties to increase their efforts to submit project proposals to multilateral financial institutions, in particular with respect to the resources allocated under the Global Environment Facility and its System for Transparent Allocation of Resources;”

(Resource mobilization)

Decision 11/COP.10, paragraph 12:

“**Invites** the Global Environment Facility to further simplify its procedures for access to land degradation focal area allocations in the interest of full and timely utilization by the eligible country Parties;”

Resource approval and disbursement procedures

Decision 11/COP.10, paragraph 13:

“Requests the Executive Secretary to consult with the Chief Executive Officer of the Global Environment Facility on whether amendments to the existing Memorandum of Understanding between the UNCCD and the Global Environment Facility are required, and on possible proposals in light of recent developments, and to report to the eleventh session of the Conference of the Parties.”

(Memorandum of Understanding)

Decision 14/COP.10: The iterative process relating to the assessment of implementation, including performance and impact indicators, methodology and the reporting procedures

Decision 14/COP.10, paragraph 8:

“**Invites** the Global Environment Facility and other donors to make adequate financial resources available to the eligible country Parties for training and capacity-building on strategic objective 4 reporting, as appropriate and as part of a global programme in support of the 2012–2013 reporting and review exercise;”

Capacity development

Decision 14/COP.10, paragraph 10:

“Invites Parties with available funding from the Global Environment Facility or other sources also to request the secretariat and the Global Mechanism to assist Parties in the development and establishment of systems to facilitate data collection and reporting, including on issues relating to strategic objective 4;”

Decision 14/COP.10, paragraph 14:

“**Invites** developed country Parties, international financial organizations and the Global Environment Facility to continue to support the reporting process, acknowledging the specific needs and the important role of civil society in this process;”

Decision 31/COP.10: United Nations Decade for Deserts and the Fight against Desertification

Decision 31/COP.10, paragraph 4:

“**Invites** donor countries, the World Bank, the Global Environment Facility, multilateral funds and arrangements, and partners of the Convention to provide financial and technical support for the elaboration and implementation of the United Nations Decade for Deserts and the Fight against Desertification;”

(National reporting)

**National reporting &
Action Plans**

Special Initiatives