

**Compendium of past guidance provided to the Global Environment Facility**  
**COP 1 to COP 20 (including SBI conclusions)**

**COP 1 (28 March – April 1995, Berlin, Germany)**

**Decision 11/CP.1**

**Initial guidance on policies, programme priorities and eligibility criteria to the operating entity or entities of the financial mechanism**

*The Conference of the Parties,*

*Recalling* Article 11.1 of the United Nations Framework Convention on Climate Change,

*Having considered* recommendation 11 of the Intergovernmental Negotiating Committee for a Framework Convention on Climate Change,

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;
  - Sustainable and lead to wider application;
  - Cost-effective;
- (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.

(b) Regarding programme priorities,

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- (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.
- (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-

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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;
  - 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;
- (ii) 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;
- (iii) 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.

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,

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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.

Reference: <http://unfccc.int/resource/docs/cop1/07a01.pdf#page=34>

**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**

*The Conference of the Parties,*

*Recalling* Article 11.1 of the United Nations Framework Convention on Climate Change,

*Having considered* the report by the Global Environment Facility (GEF) containing information on the development of an operational strategy in the climate change area and on the initial activities in this field (FCCC/CP/1995/4),

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);
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;
3. *Takes note* of the report on initial activities;
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.<sup>1</sup>

Reference: <http://unfccc.int/resource/docs/cop1/07a01.pdf#page=39>

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<sup>1</sup> See section III(a) of document FCCC/CP/1995/Add.1

**COP 2 (8 – 19 July 1996, Geneva, Switzerland)**

**Decision 11/CP.2**

**Guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Recalling also* Articles 12.5, 4.3, 4.7 and 4.8 thereof,

*Bearing in mind* its decision 11/CP.1 on initial guidance on policies, programme priorities and eligibility criteria to the operating entity or entities of the financial mechanism and its conclusions reached at its second session,

*Noting* the report of the Global Environment Facility to the Conference of the Parties at its second session (FCCC/CP/1996/8),

*Expressing concern* over the difficulties encountered by developing country Parties in receiving the necessary financial assistance from the Global Environment Facility owing to, *inter alia*, the application of the Global Environment Facility operational policies on eligibility criteria, disbursement, project cycle and approval, the application of its concept of incremental costs, and guidelines which impose considerable administrative and financial costs on developing country Parties,

*Also expressing concern* over the difficulties encountered by these Parties in seeking funds from the Global Environment Facility, as the interim operating entity of the financial mechanism of the Convention, for the preparation of their initial national communications,

*Welcoming* the information by the Global Environment Facility on its efforts to ensure that funding activities are in conformity with guidance provided by the Conference of the Parties and, in particular, its expedited procedures to support enabling activities in the climate change focal area,

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;

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(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;

2. *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;

3. *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 implementation of this guidance, including on experience gained in the application of the concept of agreed full incremental costs;

4. *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.

Reference: <http://unfccc.int/resource/docs/cop2/15a01.pdf#page=52>

**COP 4 (2 – 13 November 1998, Buenos Aires, Argentina)**

**Decision 2/CP.4**

**Additional guidance to the operating entity of the financial mechanism**

*The Conference of the Parties,*

*Recalling* its decisions 11/CP.1, 10/CP.2, 11/CP.2 and 12/CP.2,

*Recalling further* that the Global Environment Facility (GEF), as stated in its operational principles for the development and implementation of its work programme, will maintain sufficient flexibility to respond to changing circumstances, including evolving guidance of the Conference of the Parties and experience gained from monitoring and evaluation activities,

*Welcoming* the New Delhi Statement of the First GEF Assembly and the Report on the Second Replenishment of the GEF Trust Fund, completed in March 1998,

*Noting* the continued concerns and difficulties encountered by developing country Parties with the availability and disbursement of financial resources, including for the transfer of technology, the problems arising from the GEF project cycle, the application of the concept of incremental costs, and the availability of resources through the GEF implementing/executing agencies,

*Noting also* the current and ongoing efforts of the GEF to address these concerns, *inter alia*, by streamlining its project cycle, increasing support for country-level coordination, strengthening its monitoring and evaluation programme, ensuring that its activities are country-driven and consistent with national priorities and objectives, further developing its resource allocation strategy to maximize the effectiveness of its climate change activities and making the process of determining incremental costs more transparent and pragmatic,

*Noting further* the need to examine and address climate change impacts and minimize the adverse impacts, in particular for the Parties identified in Article 4.8 of the United Nations Framework Convention on Climate Change,

1. *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;

(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;

(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;

(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

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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;

(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;

(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;

(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;

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;

3. *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;

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;

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.

Reference: <http://unfccc.int/resource/docs/cop4/16a01.pdf#page=5>



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**Decision 12/CP.4**

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

*1. Decides:*

(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;

Reference: <http://unfccc.int/resource/docs/cop4/16a01.pdf#page=51>

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**SBI 11 (25 October – 5 November 1999, Bonn, Germany)**

**IX. National Communications from Parties not included in Annex I to the Convention**

(Agenda item 9)

**B. Provision of financial and technical support**

(Agenda item 9 (b))

2. Conclusions

51. At its 7<sup>th</sup> meeting, on 1 November, having considered a proposal by the Chairman, the SBI adopted the following conclusions:

(d) The SBI noted with appreciation the information provided by the Global Environment Facility (GEF) secretariat, including the details of its financial support, namely the dates of disbursement of funds for enabling activity projects for the preparation of initial national communications by non-Annex I Parties (FCCC/SBI/1999/INF.8), and requested the GEF secretariat to continue providing this information on the effective availability of funds for enabling activity projects;

(e) The SBI noted the list of projects submitted by Parties not included in Annex I to the Convention in accordance with Article 12.4 of the Convention (FCCC/SBI/1999/INF.4/Add.1), and recommended that these projects should be brought to the attention of the GEF and, as appropriate, other bilateral and multilateral financing institutions through the established channels for such assistance;

(f) The SBI requested clarification from the GEF on how it intends to proceed with the implementation of the list of projects submitted by Parties not included in Annex I to the Convention in accordance with Article 12.4 of the Convention (FCCC/SBI/1999/INF.4 and Add.1);

(h) The SBI recommended that any project concept notes contained in the above report which are developed into full project proposals by interested countries should be submitted to the GEF for consideration, in accordance with decision 10/CP.2, annex, paragraph 13;

**X. Financial Mechanism**

(Agenda item 10)

2. Conclusions

54. At its 7<sup>th</sup> meeting, on 1 November, having considered a proposal by the Chairman, the SBI adopted the following conclusions:

(b) The SBI recommended that the GEF continue to adhere to previous decisions and prior guidance provided by the Conference of the Parties.

Reference: <http://unfccc.int/resource/docs/1999/sbi/14.pdf>

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**COP 5 (25 October – 5 November 1999, Bonn, Germany)**

**Decision 8/CP.5**

**Other matters related to communications from Parties not included in Annex I to the Convention**

1. *Decides:*

(d) That all Parties that have submitted their initial national communications before the adoption of revised guidelines for national communications, and wish to start the preparation of their second national communications before the seventh session of the Conference of the Parties, may do so using the initial guidelines; that the Global Environment Facility (GEF) shall provide funding for the preparation of the second national communications of such Parties, following the guidance to the GEF set out in decisions 11/CP.2 and 2/CP.4; and that Parties which start to prepare their second national communications after adoption of the revised guidelines shall use the revised guidelines;

6. *Invites* the GEF to include in the report on its activities to the Conference of the Parties at its sixth session specific references to the implementation of decisions 2/CP.4 and 10/CP.2.

Reference: <http://unfccc.int/resource/docs/cop5/06a01.pdf#page=17>

**Decision 10/CP.5**

**Capacity-building in developing countries (non-Annex I Parties)**

1. *Decides* that

(a) Financial and technical support for capacity-building activities for implementing the Convention in developing countries, in particular the least developed countries and the small island developing States, should be provided through the financial mechanism and through bilateral and multilateral agencies, as appropriate;

(d) UNFCCC national focal points or national authorities designated to handle climate change in developing countries should play a key role in the assessment referred to in paragraph 1(c) above and urges Parties included in Annex II to the Convention (Annex II Parties), the secretariat, the Global Environment Facility (GEF) and relevant international organizations to assist in strengthening them for this purpose;

Reference: <http://unfccc.int/resource/docs/cop5/06a01.pdf#page=24>

**SBI 13-2 (13 - 18 November 2000, The Hague, The Netherlands)**

**IX. National Communications from Parties not included in Annex I to the Convention**

(Agenda item 10)

**A. Provision of financial and technical support**

(Agenda item 10 (a))

2. Conclusions

37. At its 9<sup>th</sup> meeting, on 18 November, having considered a proposal by the Chairman, the SBI adopted the following conclusions:

(c) The SBI noted with appreciation the information provided by the operating entity of the financial mechanism, the Global Environment Facility (GEF), regarding the details of its financial support, namely the dates of disbursement of funds for enabling activity projects for the preparation of initial national communications by non-Annex I Parties (FCCC/SBI/2000/INF.8), and requested the GEF to continue providing information on the effective availability of funds for enabling activity projects;

Reference: <http://unfccc.int/resource/docs/2000/sbi/17.pdf>

**SBI 15 (29 October –8 November 2001, Marrakech, Morocco)**

**III. Matters referred to the Subsidiary Body for Implementation by the Conference of the Parties**

(Agenda item 3)

**B. Report of the Global Environment Facility to the Conference of the Parties**

(Agenda item 3 (b))

2. Conclusions

14. At its 3rd meeting, on 6 November, having considered a proposal made by the Chairman, the SBI the adopted the following conclusions:

(a) The SBI took note of the report of the GEF to the Conference of the Parties (FCCC/CP/2001/8). This report includes information as to how the GEF has 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. The SBI welcomed the efforts made by the GEF to support capacity building through its Capacity Development Initiative;

(b) The SBI also noted the important role that the GEF, as an operating entity of the financial mechanism of the Convention, plays in supporting efforts made by Parties to address the problems of climate change, and urged the GEF (a) to streamline its procedures in order to reduce the time between project approval and disbursement of funds and, in addition, (b) to encourage its implementing agencies to be more responsive to the requests of developing countries for financial and technical support;

(c) The SBI recalled the relevant provisions of decisions 2/CP.4 and 8/CP.5 and urged the GEF to facilitate the provision of financial support to non-Annex I Parties requesting funds for the preparation of their second national communications;

d) The SBI further noted the concerns expressed by some Parties regarding the adequacy of GEF assistance to programmes supporting the preparation of national communications in non-Annex I Parties;

(f) The SBI also took note of the conclusions of the Subsidiary Body for Scientific and Technological Advice relating to the financial requirements for the implementation of Article 6 of the Convention, urging the GEF to make financial resources available for this purpose.

Reference: <http://unfccc.int/resource/docs/2001/sbi/18.pdf>

**COP 7 (29 October – 10 November 2001, Marrakech, Morocco)**

**Decision 2/CP.7**

**Capacity building in developing countries (non-Annex I Parties)**

*The Conference of the Parties,*

1. *Adopts* the framework for capacity building in developing countries annexed to this decision;

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;

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

Reference: <http://unfccc.int/resource/docs/cop7/13a01.pdf#page=5>

**Decision 4/CP.7**

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

*The Conference of the Parties,*

1. *Decides* to adopt the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention contained in the annex to this decision as part of the outcome of the technology transfer consultative process (decision 4/CP.4) and the Buenos Aires Plan of Action (decision 1/CP.4);

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;

Reference: <http://unfccc.int/resource/docs/cop7/13a01.pdf#page=22>

**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)**

*The Conference of the Parties,*

**I. ADVERSE EFFECTS OF CLIMATE CHANGE**

7. *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;
  - (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;
  - (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);
  - (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;
  - (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;
  - (vii) Supporting education and training in, and public awareness of, climate change related issues, for example through workshops and information dissemination;

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- (b) Vulnerability and adaptation:
- (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;
  - (iii) Enhancing capacity, including institutional capacity, to integrate adaptation into sustainable development programmes;
  - (iv) Promoting the transfer of adaptation technologies;
  - (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;
  - (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;
  - (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;

8. *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;
- (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;

## **II. IMPLEMENTATION OF ARTICLE 4, PARAGRAPH 9, OF THE CONVENTION**

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;

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. Reference: <http://unfccc.int/resource/docs/cop7/13a01.pdf#page=32>

**Decision 6/CP.7**

**Additional guidance to an operating entity of the financial mechanism**

*The Conference of the Parties,*

*Recalling* its decisions 11/CP.1, 10/CP.2, 11/CP.2, 12/CP.2, 2/CP.4, 8/CP.5 and 10/CP.5,

*Recalling further* its decision 5/CP.6, containing the Bonn Agreements on the implementation of the Buenos Aires Plan of Action,

*Noting* the extension of funding through the expedited procedures of the Global Environment Facility (GEF) for countries to address capacity-building needs identified in decision 2/CP.4 enabling Parties to maintain and enhance relevant national capacities, and for the preparation of second national communications,

*Noting also* the launching of the GEF Country Dialogue Workshops, which have been designed to strengthen national coordination and capacity building and to promote awareness-raising, and the results of the first phase of the GEF Capacity Development Initiative, a strategic partnership between the GEF secretariat and the United Nations Development Programme, which were forwarded to Parties in accordance with decision 10/CP.5,

1. *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;
- (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;
- (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;
- (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;
- (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;
- (g) Developing and implementing, as appropriate, prioritized projects identified in their national communications;
- (h) Undertaking more in-depth public awareness and education activities and community involvement and participation in climate change issues;

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(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;

(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;

(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;

2. *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;

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;

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;

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.

Reference: <http://unfccc.int/resource/docs/cop7/13a01.pdf#page=40>



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**SBI 17 (23 October– 1 November 2002, New Delhi, India)**

**V. Financial Mechanism**

(Agenda item 5)

**A. Report of the Global Environment Facility**

(Agenda item 5 (a))

2. Conclusions

24. At its 9th meeting, on 1 November, having considered a proposal by the Chair, the SBI adopted the following conclusions and recommended the COP to endorse them:

(a) The SBI took note of the report of the GEF contained in document FCCC/CP/2002/4. The report includes information on how the GEF has applied the guidance and decisions of the COP, in accordance with the Memorandum of Understanding between the COP and the Council of the GEF annexed to decision 12/CP.2;

(b) The SBI noted with satisfaction the successful and substantial third replenishment of the GEF Trust Fund and called upon countries and other entities that are in a position to do so to make additional contributions to the GEF;

(c) The SBI welcomed the Beijing Declaration adopted at the second GEF Assembly, which noted that the GEF had produced significant results in effectively using resources for global environmental protection and sustainable development;

(d) The SBI noted the efforts made by the GEF, as an operating entity of the financial mechanism, in providing useful information on the implementation of relevant COP decisions, and welcomed the efforts made by the GEF in funding the activities relating to phase II of enabling activities in developing countries;

(e) The SBI noted that the GEF had provided information on the arrangements necessary for the establishment and administration of the two new funds under the Convention (the Special Climate Change Fund and the Least Developed Countries Fund), in accordance with decision 7/CP.7. In relation to the Least Developed Countries Fund, the SBI noted with appreciation that the GEF Council had approved arrangements for the operation of the fund, and that the GEF secretariat had acted quickly to mobilize resources based on an assessment of the financing needs and had convened consultations with potential donors at which resources had been successfully raised;

(f) The SBI welcomed the progress made by the GEF in addressing the responsiveness and efficiency of the project cycle. However, the SBI noted that there were still areas where concerns had been expressed by developing country Parties, particularly with regard to the progress made in funding the activities relating to the framework for capacity-building in developing countries (decision 2/CP.7); the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (decision 4/CP.7); adaptation and other issues in accordance with decision 5/CP.7; the preparation of second national communications (decisions 2/CP.4 and 8/CP.5); and other issues contained in decision 6/CP.7;

(g) The SBI noted that, as reflected in the Beijing Declaration of the second GEF Assembly, the GEF should enhance its strategic business planning for the allocation of scarce GEF resources to high-priority areas for developing country Parties, taking into account national priorities;

(h) The SBI recommended that the COP invite the GEF to include in its report to the COP at its ninth session, more detailed information on how the GEF has applied the guidance on funding activities relating to decisions of the COP, as indicated in paragraph 24 (e) and (f) above.

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**VI. Capacity-building**

(Agenda item 6)

2. Conclusions

35. At its 7th meeting, on 29 October, having considered a proposal by the Chair, the SBI adopted the following conclusions:

(f) The SBI invited the GEF and relevant international organizations to provide, by 15 April 2003, information on progress in the implementation of capacity-building projects and programmes responding to the framework contained in decision 2/CP.7, for consideration at its eighteenth session;

Reference: <http://unfccc.int/resource/docs/2002/sbi/17.pdf>

**COP 8 (23 October – 1 November, 2002, New Delhi, India)**

**Decision 5/CP.8**

**Review of the financial mechanism**

*The Conference of the Parties,*

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;

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;

4. *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;

Reference: <http://unfccc.int/resource/docs/cop8/07a01.pdf#page=13>

**Decision 6/CP.8**

**Additional guidance to an operating entity of the financial mechanism**

*The Conference of the Parties,*

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*Recalling* Article 3, Article 4, paragraphs 1, 3, 4, 5, 7, 8 and 9, Article 6, Article 9, paragraph 2 (c), Article 11, paragraphs 1 and 5, and Article 12, paragraphs 3 and 4, of the Convention,

*Recalling also* its decisions 13/CP.1, 7/CP.2, 10/CP.2, 11/CP.2, 12/CP.2, 9/CP.3, 1/CP.4, 2/CP.4, 4/CP.4, 6/CP.4, 8/CP.5, 9/CP.5, 10/CP.5, 2/CP.7, 3/CP.7, 4/CP.7, 6/CP.7 and 7/CP.7,

*Recalling further* that in accordance with decision 11/CP.1 the Conference of the Parties is to give guidance on policies, programme priorities and eligibility criteria to an operating entity of the financial mechanism,

*Acknowledging* the usefulness of cooperation to promote, facilitate, develop and implement public awareness programmes on climate change and its effects, in accordance with Article 6 of the Convention,

*Reaffirming* that capacity-building for developing countries is essential to enable them to participate fully in, and to implement effectively their commitments under, the Convention,

1. *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;

(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;

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.

Reference: <http://unfccc.int/resource/docs/cop8/07a01.pdf#page=15>

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**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**

*The Conference of the Parties,*

*Recognizing* the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

*Reaffirming* the need for the adoption and operationalization of simplified procedures and expedited access to the Least Developed Countries Fund by the least developed country Parties,

*Reaffirming also* the need to ensure complementarity of funding between the Least Developed Countries Fund and other funds with which the entity entrusted with the operation of the financial mechanism of the Convention is entrusted,

*Welcoming* the arrangements made by the Global Environment Facility as the entity entrusted with the operation of the financial mechanism of the Convention, for operationalizing the Least Developed Countries Fund,

*Recalling* its decisions 5/CP.7 and 7/CP.7 establishing the Least Developed Countries Fund to support the programme of work for least developed countries,

*Welcoming* the progress in mobilizing voluntary contributions to the Least Developed Countries Fund,

*Recognizing* the specific needs of least developed countries with regard to training in negotiating skills and language,

*Recalling* its decision 27/CP.7 containing the initial guidance for the operation of the Least Developed Countries Fund, and 29/CP.7 mandating the Least Developed Countries Expert Group to serve in an advisory capacity to the least developed countries on the preparation, and strategy for implementation, of national adaptation programmes of action, through, inter alia, workshops, upon request by least developed countries Parties,

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;
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;
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;
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;
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;
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

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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;

7. *Requests* the secretariat to prepare a compilation of views received pursuant to paragraph 6 above;

8. *Decides* to consider providing 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, at its ninth session.

Reference: <http://unfccc.int/resource/docs/cop8/07a01.pdf#page=19>

**Decision 11/CP.8**

**New Delhi work programme on Article 6 of the Convention**

*The Conference of the Parties,*

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;

Reference: <http://unfccc.int/resource/docs/cop8/07a01.pdf#page=23>

**SBI 18 (4 – 13 June 2003, Bonn, Germany)**

**IV. Financial matters relating to parties not included in Annex I to the Convention**

(Agenda item 4)

**A. Financial mechanism: the Special Climate Change Fund**

(Agenda item 4(a))

2. Conclusions

16. At its 4th meeting, on 13 June, having considered a proposal by the Chair, the SBI adopted the following conclusions:

(c) The SBI noted that the SCCF should be used to finance activities, programmes and measures relating to climate change that are complementary to those funded by the resources allocated to the Least Developed Countries (LDC) Fund and to the climate change focal area of the Global Environment Facility (GEF) Trust Fund. The SCCF should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources;

(d) The SBI took note of the information provided by the GEF at this session on its arrangements for the SCCF and its experience with the mobilization of resources for the LDC Fund. It also noted that the lessons learned by the GEF, as an operating entity of the financial mechanism of the Convention, should be used in the process of mobilizing resources for the SCCF;

(f) The SBI decided to consider, at its nineteenth session, further guidance to the GEF, for the operation of the SCCF, and to recommend a draft decision, in accordance with paragraph 2 (b) of decision 7/CP.8, for adoption by the COP at its ninth session. In preparing this guidance, due consideration should be given to ensuring consistency with other guidance provided to the GEF with respect to the operation of the other funds with which it is entrusted.

**XI. Other matters**

(Agenda item 11)

**A. The use of guidelines for the preparation of national communications from Parties not included in Annex I to the Convention: report of the workshop**

(Agenda item 11 (a))

2. Conclusions

57. At its 4th meeting, on 13 June, having considered a proposal by the Chair, the SBI adopted the following conclusions:

(d) The SBI noted that the timely disbursement of funds from the implementing agencies of the GEF to non-Annex I Parties for the preparation of second and subsequent national communications is critical in ensuring an early start to the work;

Reference: <http://unfccc.int/resource/docs/2003/sbi/08.pdf>

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**COP 9 (1 – 12 December 2003, Milan, Italy)**

**Decision 3/CP.9**

**Report of the Global Environment Facility to the Conference of the Parties**

*The Conference of the Parties,*

*Recalling* Article 11, paragraph 1, of the Convention,

*Recalling also* its decisions 11/CP.1, 12/CP.1, 13/CP.1, 10/CP.2, 11/CP.2, 12/CP.2, 2/CP.4, 3/CP.4, 8/CP.5, 10/CP.5, 2/CP.7, 3/CP.7, 4/CP.7, 6/CP.7, 27/CP.7, 5/CP.8 and 6/CP.8,

*Having considered* the report of the Global Environment Facility<sup>1</sup> containing information on its major activities in the period 1 June 2002 to 30 June 2003,

*Noting* the information provided on the current level of funding for full- and medium-sized projects and the small grants programme, and for enabling activities in developing countries,

*Noting also* that over time there are variations in activity under different operational programmes,

*Noting further* that within the reporting period, two out of eight project development facility grants were provided for preparation of projects under the Global Environment Facility's operational programme 7 (Reducing the long-term costs of low greenhouse gas-emitting energy technologies),

*Noting* the ongoing work in the areas of monitoring and evaluation, strategic planning, streamlining the Global Environment Facility project cycle, and incremental costs,

*Welcoming* the completion of the operational procedures for the expedited financing of national communications on the basis of the "Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention" (contained in the annex to decision 17/CP.8), and the approval of a global project designed to support the preparation of those national communications,

*Welcoming also* the increased support for capacity-building activities as outlined in the "GEF Business Plan FY05-07"<sup>2</sup> and the Global Environment Facility's strategic approach to enhancing capacity-building<sup>3</sup> approved by its Council in November 2003,

*Welcoming further* the successful efforts to mobilize resources for the Least Developed Countries Fund, and also noting the added responsibility of the Global Environment Facility in respect of the Special Climate Change Fund as stipulated in decisions 7/CP.7 and 7/CP.8,

*Noting* the value of the long-term and strategic approach of the Global Environment Facility to barrier removal and market facilitation for renewable energy technologies, energy efficiency and energy conservation, low-greenhouse-gas-emitting technologies and environmentally sustainable transport,

*Noting also* the Global Environment Facility document *A Proposed GEF Approach to Adaptation*<sup>4</sup> and the establishment of a new strategic priority in the climate change focal area (Piloting an operational approach to adaptation) that will build upon and demonstrate linkages to activities in the other focal areas by expanding opportunities within those focal areas to demonstrate important adaptation response measures,

*Noting further* the information provided in response to guidance by the Conference of the Parties on the provision of financial support to Parties not included in Annex I to the Convention for the transfer of technology,

*Noting* the information provided on activities relating to education, training and public awareness under Article 6 of the Convention,

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*Welcoming* the closer consultations initiated between the Global Environment Facility secretariat and the Convention secretariat to strengthen collaboration and improve information exchange,

1. *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.

Reference: <http://unfccc.int/resource/docs/cop9/06a01.pdf#page=7>

#### **Decision 4/CP.9**

##### **Additional guidance to an operating entity of the financial mechanism**

*The Conference of the Parties,*

*Recalling* Article 3, Article 4, paragraphs 1, 3, 4, 5, 7, 8 and 9, Article 9, paragraph 2 (c), Article 11, paragraphs 1 and 5, and Article 12, paragraphs 3 and 4, of the Convention,

*Recalling also* its decisions 13/CP.1, 7/CP.2, 10/CP.2, 11/CP.2, 12/CP.2, 9/CP.3, 1/CP.4, 2/CP.4, 4/CP.4, 6/CP.4, 8/CP.5, 9/CP.5, 10/CP.5, 2/CP.7, 3/CP.7, 4/CP.7, 6/CP.7, 7/CP.7, 5/CP.8, 7/CP.8, 9/CP.8 and 10/CP.8,

*Recalling further* that in accordance with decision 11/CP.1, the Conference of the Parties is to give guidance on policies, programme priorities and eligibility criteria to an operating entity of the financial mechanism,

1. *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;



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2. *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;

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.

Reference: <http://unfccc.int/resource/docs/cop9/06a01.pdf#page=9>

**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.**

*The Conference of the Parties,*

*Recalling* the relevant provisions of, in particular, Article 4, paragraphs 1, 3, 4, 5, 7, 8, 9 and 10, and Article 11, of the Convention,

*Recalling also* its decisions 4/CP.7, 5/CP.7, 7/CP.7 and 7/CP.8,

*Noting* the views of Parties on prioritized activities, programmes and measures to be funded under the Special Climate Change Fund,

*Stressing* the importance of bilateral and multilateral funding in support of the implementation of activities, programmes and measures in the climate change area,

*Noting* that the Special Climate Change Fund supports the implementation of the Convention, contributes to the achievement of the World Summit on Sustainable Development and the Millennium Development Goals, and contributes to the integration of climate change considerations into development activities,

1. *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;

2. *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, fragile ecosystems, including mountain ecosystems, and integrated coastal zone management;

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(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;

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 environment

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;

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;

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;

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.

Reference: <http://unfccc.int/resource/docs/cop9/06a01.pdf#page=11>

## **Decision 6/CP.9**

### **Further guidance for the operation of the Least Developed Countries Fund**

*The Conference of the Parties,*

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;

2. *Requests* the entity to support the implementation of national adaptation programmes of action as soon as possible after their completion;

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;

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- (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;
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;

Reference: <http://unfccc.int/resource/docs/cop9/06a01.pdf#page=7>

**SBI 20 (16 – 25 June 2004, Bonn, Germany)**

**VI. Article 6 of the Convention**

(Agenda item 6)

2. Conclusions

49. The SBI further noted that decision 4/CP.9 requested the GEF, as the entity responsible for operating the financial mechanism of the Convention, to “continue its support for education, training and public awareness activities relating to climate change”. The SBI encouraged non-Annex I Parties to take this into account when submitting to the GEF their projects relating to their national communications, to promote the implementation of Article 6. It requested the secretariat to collaborate with the GEF secretariat to ensure the dissemination of information on the availability of such support.

Reference: <http://unfccc.int/resource/docs/2004/sbi/10.pdf>

**SBI 21 (6 – 14 December 2004, Buenos Aires, Argentina)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**C. Provision of financial and technical support**

(Agenda item 4 (c))

2. Conclusions

36. The SBI welcomed the information made available by the GEF Secretariat on support for the preparation of initial and subsequent national communications. It invited the GEF to continue to provide such information on projects of non-Annex I Parties that have yet to submit their initial national communications, and on subsequent national communications, including second national communications that have been completed.

**D. Compilation and synthesis of initial national communications**

(Agenda item 4 (d))

2. Conclusions

40. The SBI invited the GEF, in accordance with the policies, programme priorities and eligibility criteria established by the COP, as well as other bilateral and multilateral assistance programmes, to assist, if so requested, non-Annex I Parties in formulating and developing project proposals identified in accordance with Article 12, paragraph 4, of the Convention.

**VI. Article 6 of the Convention**

(Agenda item 6)

2. Conclusions

61. The SBI welcomed the progress of work in implementing activities within the scope and in line with the guiding principles of the New Delhi work programme on Article 6 of the Convention, as reported by Parties in their national communications and other relevant documents. It took note of the financial requirements for their implementation, and urged the GEF and other bilateral and multilateral agencies to continue to make financial resources available for Article 6 activities.

Reference: <http://unfccc.int/resource/docs/2004/sbi/19.pdf>

**COP 10 (6 – 17 December, 2004, Buenos Aires, Argentina)**

**Decision 1/CP.10**

**Buenos Aires programme of work on adaptation and response measures**

*The Conference of the Parties,*

**I. Adverse effects of climate change**

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;

5. *Decides* to further the implementation of actions under decision 5/CP.7, paragraph 7, including through:

**(a) Information and methodologies**

- (i) Improving data collection and information gathering, and the analysis, interpretation and dissemination of such data and information to end-users, under decision 5/CP.7, paragraph 7 (a) (i), within and by Parties not included in Annex I to the Convention (non-Annex I Parties) which are vulnerable to the adverse effects of climate change, including through the enhancement of systematic observation and monitoring networks in countries with observation stations that feed into the Global Climate Observing System and through increased data sharing between Parties, particularly among Parties included in Annex I to the Convention (Annex I Parties) and among non-Annex I Parties;
- (ii) Strengthening in-country capacity-building for generating, managing, processing and analysing data sets, for improving the quality of analytical tools, and for disseminating the results of these efforts in sectors that can contribute to climate change impact analysis, including through the development and strengthening of in-country modelling tools to assess the adverse effects of climate change and drivers of regional climate trends;
- (iii) Providing additional training in each specialized field relevant to adaptation identified in decision 5/CP.7, paragraph 7 (a) (iii), in order to create and sustain in-country capacity, including through overseas training, scholarship programmes and workshops, according to needs identified by Parties;
- (iv) Improving the availability of General Circulation Models, including their outputs and results, and providing training and financial and technical assistance to non-Annex I Parties for the development and application of downscaling tools at regional and national levels;
- (v) Strengthening institutions and centres through targeted research programmes under decision 5/CP.7, paragraph 7 (a) (v) and (vi), to address the adverse effects of climate change in vulnerable sectors;
- (vi) Supporting education and training in, and public awareness of, issues relating to climate change under decision 5/CP.7, paragraph 7 (a) (vii), as well as stakeholder participation in key sectors;

**(b) Vulnerability and adaptation**

- (i) Carrying out pilot and demonstration projects under decision 5/CP.7, paragraph 7 (b) (v), in particular to take forward adaptation projects identified in national communications and other relevant sources, including activities that strengthen adaptive capacity;
- (ii) Enhancing technical training for integrated climate change impact and vulnerability assessment across all relevant sectors, and for environmental management relating to climate change under decision 5/CP.7, paragraph 7 (b) (ii);

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- (iii) Promoting the transfer of technologies for adaptation under decision 5/CP.7, paragraph 7 (b) (iv), on an urgent basis in priority sectors, including agriculture and water resources, for example through the exchange of experiences and lessons learned in enhancing resilience to the adverse effects of climate change in key sectors;
  - (iv) Building capacity, 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 and extreme weather events, in accordance with decision 5/CP.7, paragraphs 7 (b) (vi) and 8 (c);
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;
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

## **II. Impact of the implementation of response measures Progress on implementation**

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;
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;

Reference: <http://unfccc.int/resource/docs/cop10/10a01.pdf#page=2>

### **Decision 2/CP.10**

#### **Capacity-building for developing countries (non-Annex I Parties)**

*The Conference of the Parties,*

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;
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;

Reference: <http://unfccc.int/resource/docs/cop10/10a01.pdf#page=7>

**Decision 3/CP.10**

**Capacity-building for countries with economies in transition**

*The Conference of the Parties,*

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;

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;

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.

Reference: <http://unfccc.int/resource/docs/cop10/10a01.pdf#page=11>

**Decision 7/CP.10**

**Status of, and ways to enhance, implementation of the New Delhi work programme on Article 6 of the Convention**

*The Conference of the Parties,*

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;

Reference: <http://unfccc.int/resource/docs/cop10/10a01.pdf#page=17>

**Decision 8/CP.10**

**Additional guidance to an operating entity of the financial mechanism**

*The Conference of the Parties,*

*Recalling* Article 3, Article 4, paragraphs 1, 3, 4, 5, 7, 8 and 9, Article 9, paragraph 2 (c), Article 11, paragraphs 1 and 5, and Article 12, paragraphs 3 and 4, of the Convention,

*Recalling also* its decisions 13/CP.1, 7/CP.2, 10/CP.2, 11/CP.2, 12/CP.2, 9/CP.3, 1/CP.4, 2/CP.4, 4/CP.4, 6/CP.4, 8/CP.5, 9/CP.5, 10/CP.5, 2/CP.7, 3/CP.7, 4/CP.7, 5/CP.7, 6/CP.7, 7/CP.7, 5/CP.8, 7/CP.8, 9/CP.8, 10/CP.8, 2/CP.9, 3/CP.9, 4/CP.9 and 9/CP.9,

*Recalling further* that in accordance with decision 11/CP.1, the Conference of the Parties is to give guidance on policies, programme priorities and eligibility criteria to an operating entity of the financial mechanism,

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;

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;

3. *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

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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;
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;
  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;
  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;
  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).

Reference: <http://unfccc.int/resource/docs/cop10/10a01.pdf#page=19>

**Decision 9/CP.10**

**Assessment of funding to assist developing countries in fulfilling their commitments under the Convention**

*The Conference of the Parties,*

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;

Reference: <http://unfccc.int/resource/docs/cop10/10a01.pdf#page=21>



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**SBI 22 (20 – 27 May 2005, Bonn, Germany)**

**III. National communications from Parties not included in Annex I to the Convention**

(Agenda item 3)

**C. Compilation and synthesis of initial national communications**

(Agenda item 3 (c))

2. Conclusions

26. The SBI recommended that the COP, at its eleventh session, in the context of additional guidance to an operating entity of the financial mechanism, request the GEF, in accordance with Article 12, paragraph 4, of the Convention, and decision 11/CP.1, to assist, if so requested, non-Annex I Parties in formulating and developing project proposals identified in their national communications, when Parties are formulating their national programmes to address climate change issues.

Reference: <http://unfccc.int/resource/docs/2005/sbi/eng/10.pdf>

**SBI 23 (28 November – 6 December 2005, Montreal, Canada)**

**VII. Article 6 of the Convention**

(Agenda item 7)

2. Conclusions

74. The SBI also noted that the financial resources made available through various means, such as for national communications and other enabling activities, and for implementing the New Delhi work programme, were not commensurate with the needs and concerns identified by Parties. The SBI urged Annex II Parties, other Annex I Parties in a position to do so, and the GEF and other bilateral and multilateral agencies, to continue to support financially the implementation of activities relating to Article 6 of the Convention.

**VIII. Capacity-building under the Convention**

(Agenda item 8)

2. Conclusions

87. The SBI reiterated that capacity-building activities undertaken by the GEF should be guided by decisions 2/CP.7 and 2/CP.10 and emphasized that the response of the GEF to the framework for capacity-building as set out in decision 2/CP.7 should be provided in a timely manner. The SBI noted with appreciation that 153 countries were engaged in the national capacity self-assessments (NCSAs) as at September 2005, but noted that some countries were not yet engaged in this process and encouraged the GEF to continue to provide the required financial resources to ensure that the remaining eligible developing countries are engaged in the NCSAs by SBI 24 (May 2006).

Reference: <http://unfccc.int/resource/docs/2005/sbi/eng/23.pdf>

**COP 11 (28 November – 9 December, 2005, Montreal, Canada)**

**Decision 3/CP.11**

**Further guidance for the operation of the Least Developed Countries Fund**

*The Conference of the Parties,*

1. *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

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- (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;
2. *Decides* that full-cost funding shall be provided by the Least Developed Countries Fund to meet the additional costs of activities to adapt to the adverse effects of climate change as identified and prioritized in the national adaptation programmes of action;
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;
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;
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;
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;
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;
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;

Reference: <http://unfccc.int/resource/docs/2005/cop11/eng/05a01.pdf#page=10>

### **Decision 5/CP.11**

#### **Additional guidance to an operating entity of the financial mechanism**

*The Conference of the Parties,*

*Recalling* Article 3, Article 4, paragraphs 1, 3, 4, 7, 8 and 9, Article 11, paragraphs 1 and 5, and Article 12, paragraphs 3 and 4, of the Convention,

*Recalling also* its decisions 13/CP.1, 10/CP.2, 11/CP.2, 12/CP.2, 1/CP.4, 2/CP.4, 8/CP.5, 10/CP.5, 2/CP.7, 3/CP.7, 5/CP.7, 6/CP.7, 7/CP.7, 5/CP.8, 7/CP.8, 3/CP.9, 4/CP.9 and 9/CP.9,

*Recalling further* that, in accordance with decision 11/CP.1, the Conference of the Parties is to give guidance on policies, programme priorities and eligibility criteria to an operating entity of the financial mechanism,

1. *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;

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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;
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;
4. *Requests* the Global Environment Facility to include in its report to the Conference of the Parties at its twelfth session (November 2006) information on specific steps undertaken to implement decisions relating to paragraphs 2 and 3 above.

Reference: <http://unfccc.int/resource/docs/2005/cop11/eng/05a01.pdf#page=13>

**SBI 24 (18 – 25 May 2006, Bonn, Germany)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**C. Provision of financial and technical support**

(Agenda item 4 (c))

2. Conclusions

40. The SBI took note of document FCCC/SBI/2006/INF.1 and welcomed the information made available by the GEF on the financial support provided for the preparation of initial and subsequent national communications from non-Annex I Parties. It invited the GEF to continue to provide information on activities of non-Annex I Parties relevant to the status of the preparation of their national communications. It also looked forward to receiving, in addition to the dates of approval, information on the dates of disbursement of funds, and requested the secretariat to report this information to the SBI at its twenty-fifth session (November 2006).

42. The SBI recommended that the COP, at its twelfth session (November 2006), invite the GEF to further simplify its procedures and improve the efficiency of the process by 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.

Reference: <http://unfccc.int/resource/docs/2006/sbi/eng/11.pdf>

**SBI 25 (6-14 November 2006, Nairobi, Kenya)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

2. Conclusions

31. The SBI invited the GEF to continue to provide information on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approval of funding and disbursement of funds, for consideration by the SBI at its twenty-seventh session (December 2007).

34. The SBI recommended that the COP, at its twelfth session, invite the GEF to provide updated information on the operational procedures for the expedited financing of national communications from non-Annex I Parties, for consideration by the SBI at its twenty-sixth session.

**VII. Article 6 of the Convention**

(Agenda item 7)

2. Conclusions

67. The SBI recommended that the COP, at its twelfth session:

(a) Invite the GEF to produce simple guidelines on how to enhance activities relating to Article 6 in project proposals when applying for GEF funding;

(b) Recall Article 4, paragraph 1, and Article 6 of the Convention, as well as decisions 11/CP.1, 2/CP.4, 6/CP.8 and 11/CP.8 and urge the GEF to provide further funding, in a more timely manner, to the developing country Parties, in particular the least developed countries and SIDS, to allow these countries to implement activities relating to Article 6 and the New Delhi work programme.

Reference: <http://unfccc.int/resource/docs/2006/sbi/eng/28.pdf>

**COP 12 (6 – 17 November, 2006, Nairobi, Kenya)**

**Decision 1/CP.12**

**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**

*The Conference of the Parties,*

1. *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 (c), that are complementary to those funded by the resources allocated to the climate change focal area of the Global Environment Facility and by bilateral and multilateral funding, particularly in the following priority areas:

- (a) Energy efficiency, energy savings, renewable energy and less-greenhouse-gas-emitting advanced fossil-fuel technologies;
- (b) Innovation including through research and development relating to energy efficiency and savings in the transport and industry sectors;
- (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;

2. *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;

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;

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;

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;

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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;

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.

Reference: <http://unfccc.int/resource/docs/2006/cop12/eng/05a01.pdf#page=3>

## **Decision 2/CP.12**

### **Review of the financial mechanism**

*The Conference of the Parties,*

1. *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;

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;

3. *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;

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;

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

*Compendium of past guidance provided to the Global Environment Facility  
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measures and report on the outcome to the Conference of the Parties no later than at its sixteenth session;

Reference: <http://unfccc.int/resource/docs/2006/cop12/eng/05a01.pdf#page=6>

**Decision 3/CP.12**

**Additional guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Recalling* Article 3, Article 4, paragraphs 1, 3, 4, 7, 8 and 9, Article 11 and Article 12, paragraphs 3 and 4, of the Convention,

*Recalling also* its decisions 13/CP.1, 10/CP.2, 11/CP.2, 12/CP.2, 12/CP.3, 1/CP.4, 2/CP.4, 8/CP.5, 2/CP.7, 3/CP.7, 6/CP.7, 7/CP.7, 5/CP.8, 6/CP.8, 7/CP.8, 3/CP.9, 4/CP.9, 9/CP.9, 8/CP.10 and 5/CP.11,

*Noting* the report of the Global Environment Facility to the Conference of the Parties (FCCC/CP/2006/3 and Corr.1),

*Noting* the Global Environment Facility's consideration of carbon capture and storage technology,

*Recalling* Article 4, paragraph 1, and Article 6 of the Convention, as well as decisions 11/CP.1, 2/CP.4, 6/CP.8 and 11/CP.8,

*Noting* the concerns expressed by developing country Parties over the implications of the requirements for co-financing, in particular on adaptation project activities,

1. *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, 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;

2. *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;

*Compendium of past guidance provided to the Global Environment Facility  
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- (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
- (d) To produce simple guidelines on how to enhance activities relating to Article 6 in project proposals when applying for Global Environment Facility funding;
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;
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;
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.

Reference: <http://unfccc.int/resource/docs/2006/cop12/eng/05a01.pdf#page=9>

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

*The Conference of the Parties,*

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;

Reference: <http://unfccc.int/resource/docs/2006/cop12/eng/05a01.pdf#page=11>



**SBI 26 (7 – 18 May 2007, Bonn, Germany)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**C. Provision of financial and technical support**

(Agenda item 4 (c))

2. Conclusions

35. The SBI invited the GEF to provide, in its report to the COP at its thirteenth session, detailed and current information on the modalities and source of funding for the preparation of second and subsequent national communications, and information on, and an explanation of, any changes to GEF procedures relating to the financing of national communications, for consideration by the SBI at its twenty-seventh session.

36. The SBI reiterated that non-Annex I Parties may request assistance from the GEF in formulating and developing project proposals identified in their national communications (decision 5/CP.11, para. 2), in accordance with Article 12, paragraph 4, of the Convention.

Reference: <http://unfccc.int/resource/docs/2007/sbi/eng/15.pdf>

**SBI 27 (3 – 11 December 2007, Bali, Indonesia)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**C. Provision of financial and technical support**

(Agenda item 4 (c))

2. Conclusions

31. The SBI invited the GEF to continue to provide information on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approval of funding and disbursement of funds, for consideration by the SBI at its twenty-eighth session.

34. The SBI reiterated that non-Annex I Parties may request assistance from the GEF in formulating and developing project proposals identified in their national communications, in accordance with Article 12, paragraph 4, of the Convention.

35. The SBI further recommended that the COP, at its thirteenth session, request the GEF to:

- (a) 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) Take into consideration the request contained in paragraph 35 (a) above in its planned mid-term review in 2008;
- (c) Work with its implementing agencies to continue to 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;
- (d) 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 35 (a) to (c) above;

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- (e) 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;
  - (f) 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 Parties not included in Annex I to the Convention.
36. The SBI further recommended that the COP, at its thirteenth session, invite the GEF to:
- (a) Continue to provide information on funding for projects identified in the national communications of non-Annex I Parties<sup>17</sup> in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved;
  - (b) Consider the views of, and any concerns expressed by, Parties regarding their current experiences with the GEF 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.

**VI. Article 6 of the Convention**

(Agenda item 6)

2. Conclusions

53. The SBI acknowledged that the review of the implementation of the New Delhi work programme contained in document FCCC/SBI/2007/22 indicated that “the lack of financial and technical resources is the major impediment for non-Annex I Parties in their attempts to adequately implement Article 6 activities.” This is particularly true for the LDCs and small island developing States (SIDS). At the same time the SBI acknowledged that funding may be secured through the integration of education and outreach components into the various projects funded by the GEF.

54. The SBI recognized the work of UNEP in supporting the implementation of Article 6 activities in non-Annex I Parties, LDCs and SIDS, and encouraged it and other United Nations agencies to continue to do so. The SBI acknowledged that there is still a need for continued support from the GEF and other bilateral and multilateral donors for Article 6 activities.

**VIII. Capacity-building under the Convention**

(Agenda item 8)

**B. Capacity-building for countries with economies in transition**

(Agenda item 8 (b))

2. Conclusions

85. The SBI noted further that EIT countries still need support, and encouraged entities in a position to do so to continue to support capacity-building activities in these countries, in accordance with decision 3/CP.7, and to continue to improve the availability of information on the opportunities for technical and financial support for capacity-building. Such entities would include the GEF; Parties, in particular Parties included in Annex II to the Convention (Annex II Parties); and multilateral and bilateral agencies and other international organizations.

Reference: <http://unfccc.int/resource/docs/2007/sbi/eng/34.pdf>

**COP 13 (3 – 14 December, 2007, Bali, Indonesia)**

**Decision 3/CP.13**

**Development and transfer of technologies under the Subsidiary Body for Scientific and Technological Advice**

*Compendium of past guidance provided to the Global Environment Facility  
COP 1 to COP 20 (including SBI conclusions)*

*The Conference of the Parties,*

2. *Adopts* the set of actions, for consideration by the Expert Group on Technology Transfer in formulating its future work programmes, as set out in the recommendations for enhancing the technology transfer framework contained in annex I to this decision, and agrees that these activities would complement the actions in the technology transfer framework;

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

Reference: <http://unfccc.int/resource/docs/2007/cop13/eng/06a01.pdf#page=12>

**Decision 4/CP.13**

**Development and transfer of technologies under the Subsidiary Body for Implementation**

*The Conference of the Parties,*

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;

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.

Reference: <http://unfccc.int/resource/docs/2007/cop13/eng/06a01.pdf#page=26>

**Decision 7/CP.13**

**Additional guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Recalling* Article 3, Article 4, paragraphs 1, 3, 4, 5, 7, 8 and 9, Article 11 and Article 12, paragraphs 3, 4 and 7, of the Convention,

*Also recalling* decisions 13/CP.1, 10/CP.2, 11/CP.2, 12/CP.2, 12/CP.3, 1/CP.4, 2/CP.4, 8/CP.5, 2/CP.7, 3/CP.7, 6/CP.7, 7/CP.7, 5/CP.8, 6/CP.8, 7/CP.8, 3/CP.9, 4/CP.9, 9/CP.9, 8/CP.10, 5/CP.11 and 3/CP.12,

*Noting* the report of the Global Environment Facility to the Conference of the Parties,

1. *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;

(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;

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- (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;
  - (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;
  - (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;
  - (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;
  - (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;
  - (h) To take into consideration the request contained in paragraph 1 (g) above in its planned mid-term review in 2008;
  - (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;
  - (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;
  - (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;
2. *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
  - (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;
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;
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.

*Compendium of past guidance provided to the Global Environment Facility  
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Reference: <http://unfccc.int/resource/docs/2007/cop13/eng/06a01.pdf#page=33>

**Decision 9/CP.13**

**Amended New Delhi work programme on Article 6 of the Convention**

*The Conference of the Parties,*

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;

Reference: <http://unfccc.int/resource/docs/2007/cop13/eng/06a01.pdf#page=37>

**SBI 28(4 - 13 June 2008, Bonn, Germany)**

**III. National communications from Parties not included in Annex I to the Convention**

(Agenda item 3)

**C. Provision of financial and technical support**

(Agenda item 3 (c))

2. Conclusions

18. The SBI considered the information on financial support provided by the Global Environment Facility (GEF) for the preparation of national communications from Parties not included in Annex I to the Convention (non-Annex I Parties). The SBI recognized that this information is incomplete.

19. The SBI invited the GEF to continue to provide information, and to ensure that it is detailed and complete, on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approval of funding and disbursement of funds, for consideration by the SBI at its twenty-ninth session.

21. The SBI recalled the request by the COP in decision 7/CP.13 that the GEF 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.

22. The SBI also recalled the request by the COP, at its thirteenth session, to the GEF to take into consideration the request contained in paragraph 21 above in its planned mid-term review in 2008.

23. The SBI looked forward to being provided with information in the report of the GEF to the COP at its fourteenth session on the specific steps that the GEF has taken to implement the guidance given in decision 7/CP.13, paragraphs 1 and 2, especially on the request contained in paragraph 22 above, on additional guidance relating to national communications from non-Annex I Parties.

24. The SBI looked forward to being provided with information in the report of the GEF to the COP at its fourteenth session on operational procedures to ensure the timely disbursement of funds to meet the agreed full costs to be incurred by each non-Annex I Party that wishes to apply for funding for its subsequent national communication prior to completion of the national communication currently under preparation, in order to ensure continuity in the process of preparation of national communications and avoid lack of continuity in project financing.

25. The SBI recalled the invitation by the COP, at its thirteenth session, to the GEF 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.

**SBI 29 (1-10 December 2008, Poznan, Poland)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**C. Provision of financial and technical support**

(Agenda item 4 (c))

2. Conclusions

21. The SBI took note of the information on financial support provided by the secretariat of the GEF for the preparation of national communications from non-Annex I Parties.<sup>5</sup>

22. The SBI invited the GEF to continue to provide information, ensuring that it is detailed and complete, on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approval of funding and disbursement of funds, for consideration by the SBI at its thirtieth session.

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24. The SBI reiterated the request of the Conference of the Parties (COP) at its thirteenth session to the GEF 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.

25. The SBI recommended that the COP, at its fourteenth session, request the GEF 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 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 GEF (GEF 4).

26. The SBI reiterated the request of the COP at its thirteenth session to the GEF 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.

27. The SBI also reiterated the request of the COP at its thirteenth<sup>8</sup> session to the GEF 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.

28. The SBI further reiterated the request of the COP, at its thirteenth<sup>9</sup> session, to invite the GEF 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.

29. The SBI reiterated the request of the COP, at its thirteenth<sup>10</sup> session, to the GEF 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.

30. The SBI recommended that the COP, at its fourteenth session, invite the GEF 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.

**VIII. Capacity-building under the Convention**  
(Agenda item 8)

2. Conclusions

84. The SBI further took note of the report of the GEF and the support that the GEF has provided for capacity-building activities. The SBI recommended that the COP reiterate its request to the GEF to make continued efforts to provide adequate financial resources to support the implementation of capacity-building activities consistent with decision 2/CP.7.

Reference: <http://unfccc.int/resource/docs/2008/sbi/eng/19.pdf>

**COP 14 (1 – 12 December, 2008, Poznan, Poland)**

**Decision 2/CP.14**  
**Development and transfer of technologies**

*The Conference of the Parties,*

*Compendium of past guidance provided to the Global Environment Facility  
COP 1 to COP 20 (including SBI conclusions)*

1. Welcomes the Poznan strategic programme on technology transfer, as a step towards scaling up the level of investment in technology transfer in order to help developing countries address their needs for environmentally sound technologies, and recognizes the contribution that this strategic programme could make to enhancing technology transfer activities under the Convention;
2. 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;
  - (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;
  - (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;
  - (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;

Reference: <http://unfccc.int/resource/docs/2008/cop14/eng/07a01.pdf#page=3>

#### **Decision 3/CP.14**

##### **Financial mechanism of the Convention: fourth review of the financial mechanism**

*The Conference of the Parties,*

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;

Reference: <http://unfccc.int/resource/docs/2008/cop14/eng/07a01.pdf#page=5>

#### **Decision 4/CP.14**

##### **Additional guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Recalling* Article 3, Article 4, paragraphs 1, 3, 4, 5, 7, 8 and 9, Article 11 and Article 12, paragraphs 3, 4 and 7 of the Convention,

*Also recalling* decisions 13/CP.1, 10/CP.2, 11/CP.2, 12/CP.2, 12/CP.3, 1/CP.4, 2/CP.4, 8/CP.5, 2/CP.7, 3/CP.7, 6/CP.7, 7/CP.7, 5/CP.8, 6/CP.8, 7/CP.8, 3/CP.9, 4/CP.9, 9/CP.9, 8/CP.10, 5/CP.11, 3/CP.12 and 7/CP.13,

*Noting* the report of the Global Environment Facility to the Conference of the Parties,

1. 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 co-financing for projects funded by the Global Environment Facility;



*Compendium of past guidance provided to the Global Environment Facility  
COP 1 to COP 20 (including SBI conclusions)*

- (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;
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;
3. *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;
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;
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;
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.

Reference: <http://unfccc.int/resource/docs/2008/cop14/eng/07a01.pdf#page=6>

**Decision 5/CP.14**

**Further guidance for the operation of the Least Developed Countries Fund**

*Compendium of past guidance provided to the Global Environment Facility  
COP 1 to COP 20 (including SBI conclusions)*

*The Conference of the Parties,*

1. *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;
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;
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;
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;
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;
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;

Reference: <http://unfccc.int/resource/docs/2008/cop14/eng/07a01.pdf#page=8>

**SBI 30 (1 - 10 June 2009, Bonn, Germany)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**C. Provision of financial and technical support**

(Agenda item 4 (c))

2. Conclusions

16. The SBI invited the GEF to continue to provide information, ensuring that it is detailed, accurate, timely and complete, on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approval of funding and disbursement of funds, for consideration by the SBI at its thirty-first session.

19. The SBI reiterated the request to the GEF made by the COP in its decisions 7/CP.13 and 4/CP.14 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. It invited the GEF to report on such submitted or approved project proposals in its report to the COP at its fifteenth session.

20. The SBI took note of the proposal from the GEF secretariat to reallocate funds from its fourth replenishment. It urged the GEF, in accordance with decision 4/CP.14, 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 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 GEF.

**VII. Development and transfer of technologies**

(Agenda item 7)

2. Conclusions

70. The SBI noted the interim report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer. The SBI requested the GEF to expedite this work, particularly in providing financial support for developing country Parties in conducting and updating their technology needs assessments and in acting on the results. The SBI invited the GEF and its implementing agencies to promote, when providing support under the Poznan strategic programme on technology transfer, the use of the updated handbook *Conducting Technology Needs Assessments for Climate Change* by non-Annex I Parties. The SBI looked forward to receiving a further progress report by the GEF on this programme at its thirty-first session, as requested by decision 2/CP.14.

Reference: <http://unfccc.int/resource/docs/2009/sbi/eng/08.pdf>

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**SBI 31 (7-18 December 2009, Copenhagen, Denmark)**

**VI. Implementation of Article 4, paragraphs 8 and 9, of the Convention**

(Agenda item 6)

**B. Matters relating to the least developed countries**

(Agenda item 6 (b))

2. Conclusions

57. The SBI invited the GEF, in its capacity as the entity entrusted with the operation of the LDCF, to support, when sufficient voluntary funding has not been provided from bilateral sources, the organization, under the guidance of the LEG, of four regional workshops in 2010 to provide training and technical support to LDCs in order to advance the process of implementation of NAPAs.

**VII. Development and transfer of technologies**

(Agenda item 7)

2. Conclusions

67. The SBI noted the second interim report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer.<sup>26</sup> The SBI invited the GEF to provide a report on the progress made on the implementation of this programme at its thirty-second session, including on the long-term aspects of the Poznan strategic programme.

Reference: <http://unfccc.int/resource/docs/2009/sbi/eng/15.pdf>

**COP 15 (7–18 December, 2009, Copenhagen, Denmark)**

*No specific guidance to the GEF was provided at COP 15.*

**SBI 32 (31 May – 9 June 2010, Bonn, Germany)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**D. Provision of financial and technical support**

(Agenda item 4 (d))

2. Conclusions

33. The SBI took note of the information on financial support provided by the secretariat of the GEF for the preparation of national communications from non-Annex I Parties.

34. The SBI invited the GEF to continue to provide information, ensuring that it is detailed, accurate, timely and complete, on its activities relating to the preparation of national communications from non-Annex I Parties, including information on the dates of approval of funding and disbursement of funds. It also invited the GEF to provide information on the approximate date of completion of the draft national communications and the approximate date of submission of the national communications to the secretariat for consideration by the SBI at its thirty-third session.

35. The SBI invited the GEF to provide detailed, accurate, timely and complete information on the outcomes of the most recent GEF Assembly related to the national communications from non-Annex I Parties, in accordance with Article 11 of the Convention, including on the implications of the System for Transparent Allocation of Resources on the funding of national communications, and on modalities and procedures established by the GEF to ensure that financial resources are provided, in an efficient and timely manner, to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention.

37. The SBI recalled the request to the GEF made by the COP in its decisions 7/CP.13 and 4/CP.14, 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. It invited the GEF to report on such submitted or approved project proposals in its report to the COP at its sixteenth session.

38. The SBI noted that some non-Annex I Parties expressed concerns about the way the GEF implementing agencies are disbursing funds for national communications, and invited the GEF to include in its report to the COP at its sixteenth session the specific steps it has taken to respond to these concerns.

39. The SBI encouraged the GEF, in accordance with decision 4/CP.14, to continue 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, and for the preparation of third and, where appropriate, subsequent national communications.

**VIII. Development and transfer of technologies**

(Agenda item 8)

2. Conclusions

102. The SBI noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer. The SBI looked forward to receiving, at its thirty-third session, the report on the progress made in carrying out this programme, 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, in accordance with decision 2/CP.14. The SBI invited the GEF to provide half-yearly progress reports on the implementation of the activities receiving support under the Poznan strategic programme on technology transfer, which could be posted on the technology information clearing house TT:CLEAR.

**Reference:** <http://unfccc.int/resource/docs/2010/sbi/eng/10.pdf>

**SBI 33 (30 November– 4 December 2010, Cancun, Mexico)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**D. Provision of financial and technical support**

(Agenda item 4 (d))

2. Conclusions

43. The SBI invited the GEF to provide detailed, accurate, timely and complete information on the most recent GEF Council related to the national communications of non-Annex I Parties, in accordance with Article 11 of the Convention, especially on modalities and procedures established by the GEF to ensure that financial resources are provided, in an efficient and timely manner, to meet the agreed full costs incurred by all developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention.

44. It further invited the GEF to continue to provide information, ensuring that it is detailed, accurate, timely and complete, on its activities relating to the preparation of national communications from non-Annex I Parties,<sup>19</sup> including information on the dates of approval of funding and the disbursement of funds. It also invited the GEF to provide information on the approximate date of completion of the draft national communications and an approximate date of submission of the national communications to the secretariat, for consideration by the SBI at its thirty-fourth session.

45. The SBI recalled the request to the GEF made by the COP in its decisions 7/CP.13 and 4/CP.14 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.

48. The SBI encouraged the GEF, in accordance with decision 4/CP.14, to continue to ensure that sufficient financial resources are made available to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention for the preparation of their third and, where appropriate, subsequent national communications.

49. The SBI recommended that the COP, at its sixteenth session, request the GEF to continue to provide funds for technical support for the preparation of national communications of 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.

50. It also recommended that the COP, at its sixteenth session, request the GEF to ensure that the expedited process under the operational procedures continues to provide a timely disbursement of funds to non-Annex I Parties for the preparation of their national communications.

51. The SBI further recommended that the COP, at its sixteenth session, request the GEF 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.

52. The SBI recommended that the COP, at its sixteenth session, request the GEF 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.

53. It also recommended that the COP, at its sixteenth session, request the GEF to provide detailed information on funding for projects that have been identified in the national communications of non-

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Annex I Parties in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved.

Reference: <http://unfccc.int/resource/docs/2010/sbi/eng/27.pdf>

**COP 16 (29 November – 10 December, 2010, Cancun, Mexico)**

**Decision 2/CP.16**

**Fourth review of the financial mechanism**

*The Conference of the Parties,*

1. *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;
- (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 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;

3. *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;

4. *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;

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- (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;
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;
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;

Reference: <http://unfccc.int/resource/docs/2010/cop16/eng/07a02.pdf#page=3>

**Decision 3/CP.16**

**Additional guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Noting* the reports of the Global Environment Facility to the Conference of the Parties,

*Recalling* decision 12/CP.2,

*Further noting* the reform of the Global Environment Facility designed to improve its modalities to increase the responsiveness, effectiveness and efficiency of the support given to all developing countries, including the System for Transparent Allocation of Resources,

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;
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;
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;
4. *Requests* the Global Environment Facility:
  - (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;



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- (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.

Reference: <http://unfccc.int/resource/docs/2010/cop16/eng/07a02.pdf#page=6>

**Decision 5/CP.16**

**Further guidance for the operation of the Least Developed Countries Fund**

*The Conference of the Parties,*

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;
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;
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;
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;

Reference: <http://unfccc.int/resource/docs/2010/cop16/eng/07a02.pdf#page=9>

**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**

*The Conference of the Parties,*

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;

Reference: <http://unfccc.int/resource/docs/2010/cop16/eng/07a02.pdf#page=13>

**SBI 34 (6 – 16 June 2011, Bonn, Germany)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**D. Provision of financial and technical support**

(Agenda item 4(d))

2. Conclusions

45. The SBI invited the GEF to continue to provide detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, in accordance with decision 10/CP.2, paragraph 1(b), including information on the dates of approval of funding and disbursement of funds. It also invited the GEF to continue to provide information on the approximate date of completion of the draft national communications and an approximate date of submission of the national communications to the secretariat, for consideration by the SBI at its thirty-fifth session.

49. The SBI reiterated its recommendation to the COP, at its sixteenth session, to request the GEF to continue to provide funds for technical support for the preparation of national communications of 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.

**VI. Article 6 of the Convention**

(Agenda item 6)

2. Conclusions

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

70. The SBI recalled the invitation made by the COP in decision 7/CP.16 to all Parties and international organizations to enhance support provided to the national focal points on Article 6 of developing countries, in particular the LDCs and SIDS, through the provision of information, materials, training of trainers programmes and regional and national projects on topics relating to education, training and public awareness. In this context, the SBI encouraged Parties in a position to do so, as well as the GEF and its implementing agencies, to provide financial and technical assistance to developing countries, in particular the LDCs, to enhance their use of, and access to, CC:iNet.

72. The SBI encouraged the GEF, as an operating entity of the financial mechanism of the Convention, in accordance with decision 7/CP.16, to work on increasing access to funding for Article 6 related activities.

**XII. Development and transfer of technologies**

(Agenda item 12)

2. Conclusions

134. The SBI noted the oral report by the GEF and expressed its appreciation to the GEF and its agencies, the United Nations Development Programme and the United Nations Environment Programme on the progress made in carrying out the Poznan strategic programme on technology transfer.<sup>50</sup>

135. The SBI welcomed the progress made in providing technical and financial support to assist non-Annex I Parties in developing and updating their technology needs assessments (TNAs). The SBI noted that many non-Annex I Parties expressed their interest to conduct or update their TNAs. The SBI recommended that the COP, at its seventeenth session, invite the GEF to continue to provide financial support to other non-Annex I Parties, as appropriate, to conduct or update their TNAs, noting

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the availability of the updated handbook *Conducting Technology Needs Assessments for Climate Change*.

136. The SBI welcomed the progress made by the GEF in providing support for piloting priority technology projects as part of the Poznan strategic programme. The SBI noted that the pilot project proposals submitted by non-Annex I Parties and supported by the GEF included only one project on technologies for adaptation. The SBI also noted the importance of projects on technologies for adaptation, including on the development and strengthening of local knowledge, and invited the GEF, Parties and relevant organizations in a position to do so to provide financial support for project proposals, including those for pilot projects, of the types supported by the Poznan strategic programme related to technologies for adaptation.

137. The SBI recalled the conclusions of its thirty-second session inviting the GEF to provide half-yearly progress reports on the implementation of the activities receiving support under the Poznan strategic programme. It invited the GEF to provide reports on the progress made in carrying out its activities under the Poznan strategic programme, including its long-term implementation, for consideration by the SBI at its thirty-fifth and subsequent sessions, for the duration of the Poznan strategic programme.

Reference: <http://unfccc.int/resource/docs/2011/sbi/eng/07.pdf>

**SBI 35 (28 November – 3 December 2011, Durban, South Africa)**

**IV. National communications from Parties not included in Annex I to the Convention**  
(Agenda item 4)

**D. Provision of financial and technical support**  
(Agenda item 4(d))

2. Conclusions

37. The SBI took note of the information provided by the secretariat of the GEF on financial support provided by the GEF for the preparation of national communications from non-Annex I Parties.

38. The SBI invited the GEF to continue to provide detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, in accordance with decision 10/CP.2, paragraph 1(b), including information on the dates of approval of funding and disbursement of funds. It also invited the GEF to continue to provide information on the approximate date of completion of the draft national communications and an approximate date of submission of the national communications to the secretariat for consideration by the SBI at its thirty-sixth session.

41. The SBI reiterated its recommendation<sup>21</sup> to the COP at its sixteenth session to request the GEF to continue to provide funds for technical support for the preparation of national communications of 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. It invited the GEF to report on this matter in its report to the COP at its eighteenth session.

42. The SBI recommended that the COP, at its seventeenth session, request the GEF to continue 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.

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**V. Financial mechanism of the Convention**

(Agenda item 5)

**C. Other matters**

(Agenda item 5(c))

2. Conclusions

58. The SBI also noted the report of the GEF to the COP affirming that its mandate under the LDCF and the Special Climate Change Fund (SCCF) covers the activities identified in decision 5/CP.7, paragraph 7(a)(iv), and providing information on projects it supported relating to systematic observation and monitoring networks.

59. The SBI recommended that the COP, at its seventeenth session, request the GEF, as an operating entity of the financial mechanism of the Convention, under its mandate for the LDCF and the SCCF, to continue to provide financial resources to developing countries to strengthen existing and, where needed, establish national and regional systematic observation and monitoring networks.

**XI. Development and transfer of technologies**

(Agenda item 11)

2. Conclusions

96. The SBI acknowledged the support provided by the GEF for the implementation of technology transfer pilot projects and for the conduct of technology needs assessments (TNAs). It further acknowledged the progress made in implementing the long-term programme on technology transfer. Furthermore, it urged the GEF and Parties to expedite the process for the early implementation of projects submitted before 30 September 2009.

97. The SBI encouraged non-Annex I Parties to develop and submit project proposals, particularly for technologies for adaptation, to the GEF in line with elements of the long-term programme on technology transfer described in document FCCC/SBI/2011/14, annex, paragraphs 46 and 47. The SBI invited the GEF to raise awareness of the long-term programme on technology transfer.

99. The SBI invited the GEF to support the operationalization and activities of the Climate Technology Centre and Network without prejudging any selection of the host.

Reference: <http://unfccc.int/resource/docs/2011/sbi/eng/17.pdf>

**COP 17 (28 November – 9 December, 2011, Durban, South Africa)**

**Decision 2/CP.17**

**Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention**

*The Conference of the Parties,*

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;

48. *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 non-governmental 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;

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- (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;
68. *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;
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;
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;

Reference: <http://unfccc.int/resource/docs/2011/cop17/eng/09a01.pdf#page=4>

#### **Decision 5/CP.17**

##### **National adaptation plans**

*The Conference of the Parties,*

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;
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;
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;

Reference: <http://unfccc.int/resource/docs/2011/cop17/eng/09a01.pdf#page=80>

#### **Decision 9/CP.17**

##### **Least Developed Countries Fund: support for the implementation of elements of the least developed countries work programme other than national adaptation programmes of action**

*The Conference of the Parties,*

1. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention entrusted with managing the Least Developed Countries Fund:
- (a) To continue to provide information to the least developed countries to further clarify project baselines and the application for accessing funding from the Least Developed Countries Fund in order

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to develop and implement projects under national adaptation programmes of action to address the effects of climate change;

(b) To support the development of a programmatic approach for the implementation of national adaptation programmes of action by those least developed country Parties that wish to do so;

(c) To further explore opportunities to streamline the Least Developed Countries Fund project cycle, particularly during the project preparation stage;

(d) To further improve the provision of information to least developed countries on the project development process for projects being considered under the Least Developed Countries Fund

Reference: <http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf#page=11>

**Decision 11/CP.17**

**Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Recalling* decisions 12/CP.2, 3/CP.16, 5/CP.16 and 7/CP.16,

*Also recalling* decision 5/CP.7, paragraph 7(a)(iv),

*Taking note with appreciation* of the annual report of the Global Environment Facility to the Conference of the Parties, which provides detailed and useful information on the wide variety of steps that the Global Environment Facility has taken to implement the guidance of the Conference of the Parties,

*Recognizing* the progress made by the Global Environment Facility in areas such as piloting an approach to broaden the range of agencies and entities that are able to access resources directly from the Global Environment Facility Trust Fund and improving the effectiveness and efficiency of the allocation of funding,

*Reiterating* decision 7/CP.16, paragraph 5, urging 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,

*Encouraging* the Global Environment Facility to continue pursuing reforms to facilitate the successful implementation of its fifth replenishment cycle,

*Taking note* of the information provided by the secretariat of the Global Environment Facility on financial support provided for the preparation of national communications from Parties not included in Annex I to the Convention,

*Also taking note* of the need to compile and consolidate past guidance provided to the Global Environment Facility by the Conference of the Parties,

*Further taking note* that the Global Environment Facility, in its annual report to the Conference of the Parties, affirms that its mandate under the Least Developed Countries Fund and the Special Climate Change Fund covers activities with regard to research and systematic observation,

1. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention:

(a) To continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention (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 the enabling activities of current and subsequent national communications, recognizing that the process of preparation of national communications is a continuous cycle;

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- (b) To continue to enhance the transparency of the project review process throughout the project cycle;
  - (c) To clarify the concept of additional costs as applied to different types of adaptation projects under the Least Developed Countries Fund and the Special Climate Change Fund which seek to respond to climate change risks;
  - (d) To continue to provide financial resources to developing countries for strengthening existing and, where needed, establishing national and regional systematic observation and monitoring networks under the Least Developed Countries Fund and the Special Climate Change Fund;
2. *Invites* the Global Environment Facility, in the context of technology needs assessments, to continue to provide financial support to other non-Annex I Parties as appropriate to conduct or update their technology needs assessments, noting the availability of the updated Handbook for Conducting Technology Needs Assessments for Climate Change
  3. *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 1 and 2 above;
  4. *Requests* the Subsidiary Body for Implementation at its thirty-sixth session to consider the information submitted by the Global Environment Facility to the Conference of the Parties at its seventeenth session on the implementation of decision 7/CP.7, paragraph 2(a–d);
  5. *Invites* Parties to submit to the secretariat annually, and no later than 10 weeks prior to the subsequent session of the Conference of the Parties, their views and recommendations in writing on the elements to be taken into account in developing guidance to the Global Environment Facility.

Reference: <http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf#page=14>



**SBI 36 (14 – 25 May 2012, Bonn, Germany)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**D. Provision of financial and technical support**

(Agenda item 4(d))

2. Conclusions

54. The SBI recommended that the COP, at its eighteenth session, request the GEF to make available support to non-Annex I Parties for preparing their subsequent BURs, fully taking into account decision 2/CP.17, paragraph 41(a) and (e).

55. The SBI reiterated the request to the GEF made by the COP in decision 2/CP.17, paragraph 44, to make available support to non-Annex I Parties preparing their BURs as early as possible in 2012 and on the basis of agreed full-cost funding.

56. The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, in accordance with decision 10/CP.2, paragraph 1(b), including information on the dates of approval of funding and disbursement of funds. It also invited the GEF to continue providing information on the approximate date of completion of the draft national communications and an approximate date of submission to the secretariat of the national communications, for consideration by the SBI at its thirty-seventh session.

57. The SBI also invited the GEF to provide, in its report to the COP at its eighteenth session, detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of request and approval of funding, as well as disbursement of funds.

59. The SBI encouraged the GEF, in accordance with decision 4/CP.14, to continue 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.

60. The SBI recommended that the COP, at its eighteenth session, request the GEF to provide funds for technical support for the preparation of BURs from 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 BURs. It invited the GEF to report on this matter in its report to the COP at its nineteenth session.

**VI. Matters relating to finance**

(Agenda item 6)

**B. Other matters**

(Agenda item 6(b))

2. Conclusions

98. The SBI noted with appreciation the ongoing efforts of the LEG as well as of bilateral and other agencies to facilitate the implementation of the remaining elements of the LDC work programme other than the NAPAs. The SBI further noted with appreciation the efforts of the GEF, in parallel to supporting the ongoing implementation of the NAPAs, to facilitate the implementation of the remaining elements of the LDC work programme as mandated by decision 5/CP.14.

102. The SBI further encouraged donor countries to continue providing funding for country-driven activities. The SBI invited the GEF to continue raising awareness on the need for adequate and

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predictable resources under the LDCF to allow the full implementation of the LDC work programme, in particular NAPAs, as mandated by decision 5/CP.14, paragraph 8.

106. The SBI looked forward to the remaining work of the LEG in its 2012–2013 work programme to support the remaining elements of the LDC work programme and invited the GEF, United Nations agencies and other international organizations to make submissions on how they can further support the implementation of the remaining elements of the LDC work programme other than NAPAs, for consideration by SBI at its thirty-seventh session with a view to making a recommendation to the COP at its eighteenth session.

107. The SBI took note of the information submitted by the GEF on the activities relating to decision 7/CP.7, paragraph 2(a–d). The SBI also noted that funding continues to be required to implement activities outlined in decision 7/CP.7, including paragraph 2(c) and (d). The SBI further noted that activities outlined in decision 7/CP.7, paragraph 2(a) and (b), were selected as the priority areas for the SCCF in accordance with decision 5/CP.9.

108. The SBI encouraged donor countries to continue providing funding to the SCCF and invited the GEF to raise awareness on the need for adequate and predictable resources under the SCCF for country-driven activities.

109. The SBI further invited the GEF to report on the issues mentioned in paragraphs 96–108 above to the COP.

**XII. Development and transfer of technologies**  
(Agenda item 12)

**B. Matters relating to the Climate Technology Centre and Network:  
Selection of the host and constitution of the advisory board**  
(Agenda item 12(b))

2. Conclusions

190. The SBI stressed decision 2/CP.17, paragraph 140, requesting the GEF to support the operationalization and activities of the CTCN without prejudging any selection of the host.

**C. Poznan strategic programme on technology transfer**  
(Agenda item 12(c))

2. Conclusions

195. The SBI noted the report by the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer, as invited by the SBI at its thirty-fourth session.

196. The SBI noted the support provided by the GEF for the implementation of technology transfer pilot projects under the Poznan strategic programme and the views expressed by Parties on the need to balance support for mitigation and adaptation projects. The SBI invited the GEF to enhance the balance between adaptation and mitigation projects in the long-term implementation of the Poznan strategic programme, including by enhancing its outreach and awareness-raising efforts on funding opportunities for projects related to technologies for adaptation. The SBI recalled its conclusion<sup>74</sup> at its thirty-fifth session encouraging non-Annex I Parties to submit project proposals, particularly for technologies for adaptation, to the GEF in line with the elements of the long-term programme described in document FCCC/SBI/2011/14, annex, paragraphs 46 and 47.

197. The SBI invited the GEF and its implementing agencies to expedite the process for the implementation and completion of the remaining technology transfer pilot projects submitted in 2009 for support under the Poznan strategic programme.

198. The SBI acknowledged the support provided by the GEF to assist non-Annex I Parties in conducting their technology needs assessments (TNAs). The SBI recalled decision 11/CP.17,

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paragraph 2, which invited the GEF, in the context of TNAs, to continue to provide financial support to other non-Annex I Parties, as appropriate, to conduct or update their TNAs.

199. The SBI recalled the conclusion at its thirty-fourth session inviting the GEF to provide reports on the progress made in carrying out its activities under the Poznan strategic programme, including its long-term implementation, for consideration by the SBI reports to further elaborate on:

(a) The activities undertaken by the GEF to enhance its outreach and awareness-raising efforts on funding opportunities for projects related to technologies for adaptation, in order to address the need for balanced support for projects related to technologies for adaptation;

Reference: <http://unfccc.int/resource/docs/2012/sbi/eng/15.pdf>

**SBI 37 (26 November– 2 December 2012, Doha, Qatar)**

**IV. National communications from Parties not included in Annex I to the Convention**  
(Agenda item 4)

**C. Provision of financial and technical support**  
(Agenda item 4(c))

2. Conclusions

33. The SBI noted with concern that as of 1 October 2012 the GEF secretariat had only received four requests for support to prepare BURs. The SBI, recalling decision 2/CP.17, paragraph 41(d), reiterated its urging of non-Annex I Parties to submit, as applicable, their requests to the GEF for support for the preparation of their first BUR, in a timely manner. It also encouraged the GEF agencies to facilitate the preparation and submission of project proposals from non-Annex I Parties for the preparation of their BURs.

34. The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, in accordance with decision 10/CP.2, paragraph 1(b), including information on the dates of approval of funding and disbursement of funds. It also invited the GEF to continue providing information on the approximate date of completion of the draft national communications and an approximate date of submission to the secretariat of the national communications, for consideration by the SBI at its thirty-eighth session.

35. The SBI further invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding and approval of funding, as well as of disbursement of funds, for consideration by the SBI at its thirty-eighth session.

37. It encouraged the GEF, in accordance with decision 4/CP.14, to continue 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.

39. The SBI recommended that the COP at its eighteenth session request the GEF to provide funds for technical support for the preparation of BURs from 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 BURs. It invited the GEF to report on this matter in its report to the COP at its nineteenth session.

**XIII. Development and transfer of technologies**  
(Agenda item 13)

**C. Poznan strategic programme on technology transfer**  
(Agenda item 13(c))

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2. Conclusions

121. The SBI noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer.

122. The SBI acknowledged the support provided by the GEF to assist 36 non-Annex I Parties in conducting their technology needs assessments (TNAs). It reiterated decision 11/CP.17, paragraph 2, in which the GEF was invited to continue to provide financial support to other non-Annex I Parties, as appropriate, to conduct or update their TNAs. It invited the GEF to report on its support provided to other non-Annex I Parties to conduct or update their TNAs in its report to the COP at its nineteenth session.

124. The SBI invited the GEF to consult with the CTCN, through its advisory board, on the support the GEF will provide for the work of the CTCN and to report on the findings of those consultations to the COP at its nineteenth session.

Reference: <http://unfccc.int/resource/docs/2012/sbi/eng/33.pdf>

**COP 18 (26 November – 7 December 2012, Doha, Qatar)**

**Decision 1/CP.18**

**Agreed outcome pursuant to the Bali Action Plan**

*The Conference of the Parties,*

94. *Urges* Parties included in Annex II to the Convention which are in a position to do so, through multilateral agencies, including the Global Environment Facility within its mandate, relevant intergovernmental organizations, international financial institutions, other partnerships and initiatives, bilateral agencies and the private sector, or through any further arrangements, as appropriate, to provide financial, technological, technical and capacity-building support to Parties included in Annex I to the Convention (Annex I Parties) whose special circumstances are recognized by the Conference of the Parties in order to assist them in implementing their national climate change strategies and action plans and developing their low-emission development strategies or plans in accordance with decision 1/CP.16;

Reference: <http://unfccc.int/resource/docs/2012/cop18/eng/08a01.pdf#page=3>

**Decision 9/CP.18**

**Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Recalling* decisions 12/CP.2, 3/CP.16, 5/CP.16, 7/CP.16 and 11/CP.17,

*Also recalling* decision 5/CP.7, paragraph 7(a)(iv),

*Taking note with appreciation* of the annual report of the Global Environment Facility to the Conference of the Parties, which provides information on its efforts to improve the effectiveness and efficiency of the allocation of funding,<sup>1</sup>

*Noting* the recommendations of the Standing Committee with regard to the provision of draft guidance for the operating entities of the financial mechanism of the Convention,

*Taking note* of the decisions taken at the 43rd meeting of the Council of the Global Environment Facility, in particular the decision on Financial Projections for GEF-5 Programming Options,

1. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention:

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- (a) To make available support to non-Annex I Parties for preparing their subsequent BURs, fully taking into account decision 2/CP.17, paragraph 41(a) and (e);
- (b) To provide funds for technical support for the preparation of BURs from 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 BURs;
- (c) Through the Special Climate Change Fund, to consider how to enable activities for the preparation of the national adaptation plan process for interested developing country Parties that are not least developed country Parties, as it requested the Global Environment Facility, through the Least Developed Countries Fund, to consider how to enable activities for the preparation of the national adaptation plan process for the least developed country Parties in decision 5/CP.17, paragraph 22;
2. *Also requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, in its annual report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraph 1 above;
3. *Invites* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to submit to the Subsidiary Body for Implementation at its thirty-eighth session, through the secretariat, information on the status of resources available for programming in its fifth replenishment period, and on any possible contingency measures regarding the allocation of resources for implementing climate change projects;
4. *Urges* contributing Parties to fulfil their financial pledges for the fifth replenishment period of the Global Environment Facility;
5. *Also urges* developed country Parties to mobilize financial support for the national adaptation plan process for interested developing country Parties that are not least developed country Parties through bilateral and multilateral channels, including through the Special Climate Change Fund, in accordance with decision 1/CP.16, as it urged developed country Parties to mobilize financial support for the national adaptation plan process for least developed country Parties in decision 5/CP.17, paragraph 21;3
6. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to make its annual report to the Conference of the Parties available as early as possible and no later than 14 weeks prior to a session of the Conference of the Parties, for consideration by Parties
7. *Invites* Parties to submit to the secretariat annually, and no later than 10 weeks prior to a session of the Conference of the Parties, their views and recommendations in writing on the elements to be taken into account in the development of annual guidance for the operating entities of the financial mechanism of the Convention;
8. *Requests* the secretariat to compile the submissions referred to in paragraph 7 above, for consideration by Parties in developing guidance for the operating entities of the financial mechanism of the Convention;
9. *Also requests* the Standing Committee to provide to the Conference of the Parties at each of its sessions, beginning in 2013, draft guidance for the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, based on the annual report of the Global Environment Facility to the Conference of the Parties and the views submitted by Parties as set out in paragraph 7 above.

Reference: <http://unfccc.int/resource/docs/2012/cop18/eng/08a01.pdf#page=33>

**Decision 10/CP.18  
Further guidance to the Least Developed Countries Fund**

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5. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund:

- (a) To continue to support all activities contained in the least developed countries work programme;
- (b) To continue mobilizing resources to ensure the full implementation of the least developed countries work programme, including the implementation of the elements of the work programme other than national adaptation programmes of action, through, inter alia, capacity-building to improve coordination at different levels of government and across sectors in order to improve project performance in the least developed country Parties, with regard to the implementation of the Convention;
- (c) To further facilitate access to the Least Developed Countries Fund by the least developed countries;
- (d) To further enhance a country-driven process for the implementation of national adaptation programme of action projects and the implementation of programmatic approaches;
- (e) To continue raising awareness of the need for adequate and predictable resources under the Least Developed Countries Fund to allow for the full implementation of the least developed countries work programme, in particular national adaptation programmes of action, as outlined in decision 5/CP.14, paragraph 8;
- (f) To enhance communication with its implementing agencies on the updated operational guidelines for the Least Developed Countries Fund;

6. *Also requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to include, in its annual report to the Conference of the Parties, information on specific actions that it has undertaken to implement this decision, for consideration by the Conference of the Parties at its subsequent sessions;

Reference: <http://unfccc.int/resource/docs/2012/cop18/eng/08a01.pdf#page=35>

## **Decision 12/CP.18**

### **National adaptation plans**

*The Conference of the Parties,*

1. *Decides* to provide the following guidance to the Global Environment Facility, as the operating entity of the financial mechanism of the Convention for the operation of the Least Developed Countries Fund, to enable activities for the preparation of the national adaptation plan process by the least developed country Parties. The operating entity is requested:

- (a) As a first step under the national adaptation plan process, to provide funding from the Least Developed Countries Fund, to meet the agreed full cost, as appropriate, of activities to enable the preparation of the national adaptation plan process as described in the elements contained in paragraphs 2–6 of the initial guidelines for the formulation of national adaptation plans in the annex to decision 5/CP.17;
- (b) To provide support for the national adaptation plan process, while maintaining support for the least developed countries work programme, including national adaptation programmes of action;
- (c) To encourage a flexible approach that enables the least developed country Parties to access funding for components of the national adaptation plan process as identified by the least developed country Parties in response to national needs and circumstances;

3. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, through the Special Climate Change Fund, to consider how to enable activities for the preparation of the national adaptation plan process for interested developing country Parties that

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are not least developed country Parties, as it requested the Global Environment Facility, through the Least Developed Countries Fund, to consider how to enable activities for the preparation of the national adaptation plan process for the least developed country Parties in decision 5/CP.17, paragraph 22;

Reference: <http://unfccc.int/resource/docs/2012/cop18/eng/08a02.pdf#page=3>

**Decision 15/CP.18**

**Doha work programme on Article 6 of the Convention**

*The Conference of the Parties,*

6. *Invites* multilateral and bilateral institutions and organizations, including operating entities of the financial mechanism of the Convention, as appropriate, to provide financial resources to support the activities relating to the implementation of Article 6 of the Convention;

7. *Requests* the Global Environment Facility to continue to provide financial resources to Parties not included in Annex I to the Convention, in particular African countries, the least developed countries and small island developing States, in accordance with decisions 11/CP.1, 6/CP.7, 4/CP.9, 7/CP.10, 3/CP.12, 7/CP.13, 3/CP.16 and 11/CP.17, to support the implementation of the work programme and to regularly report to the Conference of the Parties on the activities it has supported;

Reference: <http://unfccc.int/resource/docs/2012/cop18/eng/08a02.pdf#page=17>

**Decision 16/CP.18**

**Prototype of the registry**

*The Conference of the Parties,*

2. *Reiterates* its invitation to 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 non-governmental organizations that are in position to do so, to submit, as appropriate, information on financial, technology and capacity-building support available and/or provided for the preparation and/or implementation of nationally appropriate mitigation actions, in accordance with decision 2/CP.17, paragraph 48;

Reference: <http://unfccc.int/resource/docs/2012/cop18/eng/08a02.pdf#page=28>

**Decision 21/CP.18**

**Capacity-building under the Convention for countries with economies in transition**

*The Conference of the Parties,*

3. *Invites* Parties included in Annex II to the Convention and other Parties in a position to do so, the Global Environment Facility within its mandate, multilateral and bilateral agencies, other international organizations, and the private sector, or any further arrangements as appropriate, to continue to provide support for capacity-building activities in those countries with economies in transition that are currently receiving support;

Reference: <http://unfccc.int/resource/docs/2012/cop18/eng/08a03.pdf#page=44>

**SBI 39 (11 – 18 November 2013, Warsaw, Poland)**

**IV. National communications from Parties not included in Annex I to the Convention**

(Agenda item 4)

**C. Provision of financial and technical support**

(Agenda item 4(c))

2. Conclusions

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32. The SBI took note of the information provided by the secretariat of the GEF on the financial support provided by the GEF for the preparation of national communications and BURs by non-Annex I Parties.<sup>30</sup>

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

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

35. The SBI noted that as at 11 November 2013 the GEF secretariat had received 30 requests for support to prepare BURs. Recalling decision 2/CP.17, paragraph 41(d), the SBI encouraged the non-Annex I Parties that have yet to submit, as applicable, their requests to the GEF for support for the preparation of their first BURs to do so in a timely manner.<sup>31</sup> In addition, it encouraged the GEF implementing agencies to continue facilitating the preparation and submission of project proposals by non-Annex I Parties for the preparation of their BURs.

36. Recalling decision 9/CP.18, the SBI encouraged the GEF to make support available to non-Annex I Parties for preparing their subsequent BURs in a timely manner, taking fully into account decision 2/CP.17, paragraph 41(a) and (e). The SBI also recalled decision 2/CP.17, which decided that enhanced support for the preparation of BURs should be ensured by developed country Parties and other developed Parties included in Annex II to the Convention by means of resources, in accordance with Article 4, paragraph 3, of the Convention, on the basis of agreed full-cost funding.

37. The SBI noted the progress made by the GEF in the finalization of its Global Support Programme, a project that will be administered jointly by the United Nations Development Programme and the United Nations Environment Programme, with the objective of enhancing support to non-Annex I Parties in the preparation of their national communications and BURs. It noted that the aim of the project is to assist non-Annex I Parties in the timely preparation and submission of their national communications and BURs.

Reference: <http://unfccc.int/resource/docs/2013/sbi/eng/20.pdf>

**COP 19 (11 – 22 November, 2013, Warsaw, Poland)**

**Decision 1/CP.19**

**Further advancing the Durban Platform**

*The Conference of the Parties,*

2. *Decides*, in the context of its determination to adopt a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties at its twenty-first session (December 2015) and for it to come into effect and be implemented from 2020:

(b) To invite all Parties to initiate or intensify domestic preparations for their intended nationally determined contributions, without prejudice to the legal nature of the contributions, in the context of adopting a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties towards achieving the objective of the Convention as set out in its Article 2 and to communicate them well in advance of the twenty-first session of the Conference of the Parties (by the first quarter of 2015 by those Parties ready to do so) in a manner that facilitates the clarity, transparency and understanding of the intended contributions, without prejudice to the legal nature of the contributions;



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(c) To request the Ad Hoc Working Group on the Durban Platform for Enhanced Action to identify, by the twentieth session of the Conference of the Parties, the information that Parties will provide when putting forward their contributions, without prejudice to the legal nature of the contributions, referred to in paragraph 2(b) above;

(d) To urge and request developed country Parties, the operating entities of the financial mechanism and any other organizations in a position to do so to provide support for the related activities referred to in paragraphs 2(b) and 2(c) above as early as possible in 2014;

Reference: <http://unfccc.int/resource/docs/2013/cop19/eng/10a01.pdf#page=3>

**Decision 6/CP.19**

**Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Recalling* decisions 12/CP.2, 3/CP.16, 5/CP.16, 7/CP.16, 11/CP.17 and 9/CP.18,

*Also recalling* decision 5/CP.7, paragraph 7(a)(iv),

*Taking note with appreciation* of the annual report of the Global Environment Facility to the Conference of the Parties,

*Noting* the recommendations of the Standing Committee on Finance contained in its report to the Conference of the Parties with regard to the provision of draft guidance to the Global Environment Facility,

1. *Welcomes* the inclusion of information on mitigation impacts in the report of the Global Environment Facility to the Conference of the Parties;
2. *Also welcomes* the pledges and contributions made to the Least Developed Countries Fund and the Special Climate Change Fund and calls for continued and increased support for these funds;
3. *Requests* the Global Environment Facility to clarify the concept of co-financing and its application in the projects and programmes of the Global Environment Facility;
4. *Also requests* the Global Environment Facility to further specify the steps that it has undertaken in response to the request contained in decision 9/CP.18, paragraph 1(c);
5. *Further requests* the Global Environment Facility to include, in its report to the Conference of the Parties at its twentieth session (December 2014), information on the modalities that it has established in response to paragraph 5 of the memorandum of understanding between the Conference of the Parties and the Council of the Global Environment Facility;
6. *Welcomes* the ongoing work of the Global Environment Facility on defining the focal area strategies pertaining to climate change for the sixth replenishment period as well as the development of the draft Global Environment Facility 2020 strategy;
7. *Also welcomes* the efforts of the Global Environment Facility to promote synergies between its focal areas, including through multifocal programmes and projects;
8. *Emphasizes* the need for the Global Environment Facility to consider lessons learned from past replenishment periods in its deliberations on the strategy for the sixth replenishment in order to continue to increase the effectiveness of its operations;
9. *Calls upon* developed country Parties, and invites other Parties that make voluntary financial contributions to the Global Environment Facility, to ensure a robust sixth replenishment in order to assist in providing adequate and predictable funding;
10. *Requests* the Global Environment Facility to give due consideration in its sixth replenishment period to funding for small island developing States and the least developed countries in order to enable them to address their urgent needs and to comply with their obligations under the Convention;

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11. *Also requests* the Global Environment Facility to support, within its mandate, the implementation of country-driven projects identified in the technology needs assessments prepared by developing country Parties;
12. *Encourages* the Global Environment Facility to continue with its voluntary National Portfolio Formulation Exercise, which has been proved to enhance coordination and coherence at the national level;
13. *Invites* developing country Parties that wish to do so to apply for the National Portfolio Formulation Exercise before the start of the sixth replenishment period of the Global Environment Facility;
14. *Encourages* the Global Environment Facility to finalize the accreditation of new project agencies and assess the possibilities for further expanding the direct access modality;
15. *Invites* the Global Environment Facility and all of its implementing agencies and recipient countries to continue to work together to improve institutional arrangements, giving special consideration to expediting the project cycle;
16. *Encourages* the Global Environment Facility to continue to increase the overall transparency and openness of its operations;
17. *Also encourages* the Global Environment Facility to strengthen its collaborative efforts with the Standing Committee on Finance;
18. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to include in its annual report to the Conference of the Parties information on the steps that it has taken to implement the guidance provided in this decision.

Reference: <http://unfccc.int/resource/docs/2013/cop19/eng/10a01.pdf#page=17>

**Decision 9/CP.19\***

**Work programme on results-based finance to progress the full implementation of the activities referred to in decision 1/CP.16, paragraph 70**

*The Conference of the Parties,*

5. *Encourages* entities financing the activities referred to in decision 1/CP.16, paragraph 70, through the wide variety of sources referred to in decision 2/CP.17, paragraph 65, including the Green Climate Fund in a key role, to collectively channel adequate and predictable results-based finance in a fair and balanced manner, taking into account different policy approaches, while working with a view to increasing the number of countries that are in a position to obtain and receive payments for results-based actions;

Reference: <http://unfccc.int/resource/docs/2013/cop19/eng/10a01.pdf#page=24>

**SBI 40 (4 – 15 June 2014, Bonn, Germany)**

**IV. Reporting from Parties not included in Annex I to the Convention**

(Agenda item 4)

**B. Provision of financial and technical support**

(Agenda sub-item 4(b))

2. Conclusions

26. The SBI took note of the information provided by the secretariat of the GEF on the financial support provided by the GEF for the preparation of biennial update reports (BURs) by Parties not included in Annex I to the Convention (non-Annex I Parties). The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approval of funding and disbursement of funds, as well as the amount of funding disbursed to non-Annex I Parties for the preparation of BURs, and the amount of funding provided for the preparation of national communications during the same period, for consideration at SBI 41.

27. The SBI noted that as at 4 June 2014 the GEF secretariat had received 36 requests for support to prepare BURs. Recalling decision 2/CP.17, paragraph 41(d), the SBI urged non-Annex I Parties that have yet to submit, as applicable, their requests to the GEF for support for the preparation of their first BURs to do so in a timely manner. In addition, it encouraged the GEF implementing agencies to continue facilitating the preparation and submission of project proposals by non-Annex I Parties for the preparation of their BURs.

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

29. The SBI recommended that COP 20 request the GEF to continue 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.

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

31. The SBI noted the announcement made by the representative of the GEF on the successful completion, at a record level, of the sixth replenishment of the GEF and the upcoming operationalization of its Global Support Programme for Preparation of National Communications and Biennial Update Reports by non-Annex I Parties (a five-year project administered jointly by the United Nations Development Programme and the United Nations Environment Programme, with the objective of enhancing the support provided to non-Annex I Parties for the preparation of their national communications and BURs).

**XI. Development and transfer of technologies and implementation of the Technology Mechanism**

(Agenda item 11)

**B. Poznan strategic programme on technology transfer**

(Agenda sub-item 11(b))

2. Conclusions

138. The SBI noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer,<sup>49</sup> including the findings arising from the consultations between the GEF and the Advisory Board of the CTCN on the support that the GEF will provide for the work of the CTCN.

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

141. The SBI recalled its conclusions at SBI 39, namely the need for the GEF to align the further implementation of the element of the Poznan strategic programme on support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, taking into account decision 2/CP.17, paragraph 140,50 and to consult with the Advisory Board of the CTCN on this matter and report on its findings for consideration at SBI.

143. The SBI welcomed the approval by the GEF Council of a new project of the United Nations Environment Programme which provides technical and financial support to 27 non-Annex I Parties for conducting or updating their technology needs assessments (TNAs) and technology action plans, as well as the approval of six national projects incorporating TNA support activities.

145. The SBI invited the GEF to further support the implementation of the results of TNAs, including technology action plans and project ideas prepared by non-Annex I Parties.

Reference: <http://unfccc.int/resource/docs/2014/sbi/eng/08.pdf>

**SBI 41 (1 – 8 December 2014, Lima, Peru)**

**IV. Reporting from Parties not included in Annex I to the Convention**

(Agenda item 4)

**C. Provision of financial and technical support**

(Agenda sub-item 4(c))

2. Conclusions

29. The SBI took note of the information provided by the secretariat of the Global Environment Facility (GEF) on the financial support provided by the GEF for the preparation of national communications and BURs by non-Annex I Parties.

30. The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approvals of funding and disbursement of funds. It also invited the GEF to continue providing information on an approximate date of completion of the draft national communications and an approximate date of submission to the secretariat of the national communications, for consideration at SBI 43 (November–December 2015).

31. The SBI further invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approvals of funding and disbursement of funds, as well as an approximate date of submission to the secretariat of the BURs, for consideration at SBI 42.

32. The SBI noted the information provided by the GEF, in its report to COP 20,24 on the funding available to non-Annex I Parties for the preparation of their national communications and BURs under its latest replenishment, and on the total amount of funding available in its climate change focal area.

33. The SBI also noted that, by 4 December 2014, one non-Annex I Party had submitted its first BUR in accordance with decision 2/CP.17, paragraph 41(a), and that a further seven non-Annex I Parties are expected to submit them by 31 December 2014. It further noted that, as at 1 December 2014, the GEF secretariat had received 48 requests from non-Annex I Parties for funds for the preparation of their BURs. In addition, the SBI noted that the GEF Council approved, in October 2014, a project for 35 small island developing States and LDCs to complete their BURs.

34. Recalling decision 2/CP.17, paragraph 41(d), the SBI reiterated its urging of the non-Annex I Parties that have yet to submit, as applicable, their requests to the GEF for support for the preparation of their first BURs to do so in a timely manner.<sup>25</sup> In addition, it encouraged GEF agencies to continue

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to facilitate the preparation and submission of project proposals by non-Annex I Parties for the preparation of their BURs.

35. The SBI invited the GEF to provide, in its report to COP 21 (November–December 2015), information on the procedures available to facilitate access by non-Annex I Parties to funding for the preparation of their national communications and multiple BURs with one application.

36. The SBI noted the progress made by the GEF in the operationalization of its Global Support Programme (GSP). It encouraged non-Annex I Parties to take advantage of the opportunities for technical assistance and support available under the GSP.

**VII. Matters relating to the least developed countries**

(Agenda item 7)

2. Conclusions

71. The SBI invited the GEF to continue to explore ways of simplifying access to the LDCF.

**XII. Development and transfer of technologies and implementation of the Technology Mechanism**

(Agenda item 12)

**B. Poznan strategic programme on technology transfer**

(Agenda sub-item 12(b))

2. Conclusions

86. The SBI welcomed the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer.<sup>69</sup>

87. The SBI noted the consultations between the GEF and the Advisory Board of the Climate Technology Centre and Network (CTCN) and the progress made on aligning the implementation of the element of the Poznan strategic programme related to support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, which were carried out in response to an invitation from SBI 40.<sup>70</sup> It also noted the areas of collaboration<sup>71</sup> between the regional technology transfer and finance centres supported by the GEF under the Poznan strategic programme and the CTCN and invited the GEF to report on this collaboration as part of its future progress reports.

Reference: <http://unfccc.int/resource/docs/2014/sbi/eng/21.pdf>

**COP 20 (1 – 12 December 2014, Lima, Peru)**

**Decision 1/CP.20**

**Lima Call for Climate Action**

*The Conference of the Parties,*

15. *Reiterates* its call to developed country Parties, the operating entities of the Financial Mechanism and any other organizations in a position to do so to provide support for the preparation and communication of the intended nationally determined contributions of Parties that may need such support;

Reference: <http://unfccc.int/resource/docs/2014/cop20/eng/10a01.pdf#page=2>

**Decision 4/CP.20**

**Report of the Adaptation Committee**

*The Conference of the Parties,*

4. *Requests* Parties, operating entities of the Financial Mechanism and other relevant entities working on adaptation to consider the recommendations contained in chapter V of the report of the Adaptation Committee, as included in the annex;

**Annex**

**Recommendations for the Conference of the Parties**

1. The Adaptation Committee (AC) agreed to include the following recommendations in its report for consideration by the Conference of the Parties (COP) at its twentieth session.

2. The AC recommends that the COP invite Parties, operating entities of the Financial Mechanism and relevant entities working on adaptation to take into account the following recommendations, which are based on the outcomes of the meeting of the task force on national adaptation plans (NAPs) referred to in paragraphs 38 and 39 of the report of the AC referred to in paragraph 1 above:

(a) Recognizing the importance of raising awareness and buy-in for the NAP process by all stakeholders, in order to:

(i) Generate interest in, demand for and leadership of the NAP process at the national level;

(ii) Make available support for the NAP process better known;

(b) Improving coordination, collaboration and coherence among:

(i) Bilateral and multilateral agencies and institutions, including the operating entities of the Financial Mechanism;

(ii) Various national ministries;

(iii) Parties and regions, with a view to:

a. Enhancing the accessibility of NAP support;

b. Further understanding effective pathways to achieving the objectives of the NAP process, on the basis of experience;

c. Fostering coherence in the provision of support, including by better matching needs with support, involving more financial institutions in the NAP process and helping countries to prepare for accessing funding, including from the Green Climate Fund (GCF);

(c) Enhancing learning as stakeholders increasingly engage in the NAP process, particularly around aspects such as the role of institutional arrangements and monitoring and evaluation.

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3. In supporting the monitoring and evaluation of adaptation, the AC recommends that the COP invite Parties, operating entities of the Financial Mechanism and relevant entities working on adaptation to take into account the following recommendations:

- (a) Monitoring and evaluation frameworks need to be appropriate, relevant to needs and tailored to country circumstances. A common set of global indicators is not useful, owing to the context-specific nature of adaptation;
- (b) National-level assessments can play a different role in measuring adaptive capacity from subnational or project-based assessments. National-level assessments could, for example, measure the degree of coordination and integration of adaptation in national priorities;
- (c) A positive learning environment, which encourages formal and informal learning, including peer-to-peer learning, and which encourages learning from negative as well as positive experiences, is important;
- (d) Planning and allocation of resources, both technical and financial, are key for effective monitoring and evaluation systems.

4. In the context of the monitoring and evaluation of adaptation, the AC also recommends that the COP invite the Board of the GCF, with respect to its Results Management Framework, to consider:

- (a) Keeping indicators simple;
- (b) Designing indicators that are qualitative as well as quantitative;
- (c) Designing indicators in such a way as to capture the progress that countries are able to make in integrating adaptation into their development and sectoral planning, policies and actions;
- (d) Giving countries sufficient flexibility to define their indicators in line with their national and local planning, strategies and priorities.

5. Furthermore, the AC agreed to forward the following recommendations resulting from the workshop on best practices and needs of local and indigenous communities referred to in paragraph 45 of its report referred to in paragraph 1 above for consideration by the COP. The COP may wish to:

- (a) Invite Parties to underline the importance of indigenous and traditional knowledge and practices, in a manner commensurate with modern science, for the effective planning and implementation of adaptation, including by encouraging the integration of indigenous, traditional and local knowledge into the NAP process;
- (b) Encourage the Adaptation Fund, the Global Environment Facility (GEF) and the GCF to enhance their consideration of local, indigenous and traditional knowledge and practices and their integration into adaptation planning and practices, as well as procedures for monitoring, evaluation and reporting.

6. Regarding the operating entities of the Financial Mechanism, the AC recommends the following actions for consideration by the COP:

- (a) Inviting the Board of the GCF to consider the significant work undertaken under the Cancun Adaptation Framework and on the NAP process as it continues to provide the governance of the Fund;
- (b) Inviting the Board of the GCF to engage with institutions that have started initiatives on countries' readiness to access GCF funding and exploring how more countries can benefit from such initiatives;
- (c) Inviting the GEF, in supporting the NAP process and when implementing its new programming strategy on adaptation for the Least Developed Countries Fund and the Special Climate Change Fund for the period 2014–2018, to consider the findings arising from the meeting of the NAP task force referred to in paragraph 84 and the initial

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conclusions of the AC on the monitoring and evaluation of adaptation referred to in paragraph 85 of the report of the AC referred to in paragraph 1 above.

Reference: <http://unfccc.int/resource/docs/2014/cop20/eng/10a02.pdf#page=6>

**Decision 8/CP.20**

**Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility**

*The Conference of the Parties,*

*Recalling* decisions 12/CP.2, 3/CP.16, 5/CP.16, 7/CP.16, 11/CP.17, 9/CP.18 and 6/CP.19,

*Taking note with appreciation* of the annual report of the Global Environment Facility to the Conference of the Parties,<sup>1</sup>

*Taking note* of the recommendations of the Standing Committee on Finance contained in its report to the Conference of the Parties with regard to the provision of draft guidance to the Global Environment Facility,

1. *Welcomes* with appreciation the sixth replenishment of the Global Environment Facility (July 2014 to June 2018), while urging countries that have not fulfilled their pledges for the fifth replenishment of the Global Environment Facility to do so as soon as possible;
2. *Notes* that the amount of funding available for the climate change focal area was reduced in the sixth replenishment period of the Global Environment Facility and that the country allocation of some countries, including some least developed countries, small island developing States, and African States has decreased as a consequence, while highlighting that funding for climate change related interventions at the Global Environment Facility has continued to increase with pilot integrated approaches;
3. *Welcomes* the pledges and contributions made to the Least Developed Countries Fund and the Special Climate Change Fund, and calls for continued support to these funds;
4. *Notes* the actions being taken by the Global Environment Facility to expedite its project cycle;
5. *Encourages* the Global Environment Facility to continue to cooperate with all its implementing and project agencies as well as recipient countries in order to improve its project cycle, taking into account the report of the fifth overall performance study of the Global Environment Facility<sup>3</sup> and the recommendations contained therein;
6. *Also encourages* the Global Environment Facility to continue to increase the overall transparency and openness of its operations, particularly with regard to the disclosure of information on the status of the implementation of projects and programmes, the project-level accountability of its implementing agencies and with respect to the timely disbursement of funds, as well as the advice provided to countries on co-financing;
7. *Welcomes* the gender mainstreaming policy of the Global Environment Facility;
8. *Requests* the Global Environment Facility to ensure that gender mainstreaming is implemented both within its portfolio and within its structure;
9. *Takes note* of the policy on co-financing of the Global Environment Facility and the concerns regarding the implementation of this policy as raised by some Parties;
10. *Encourages* the Global Environment Facility to improve the communication of its co-financing policy so that it is better understood and appropriately applied by accredited project agencies and the implementing agencies of the Global Environment Facility, while acknowledging the potential impacts of this policy on developing country Parties, in particular the least developed countries, small island developing States, and African States;



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11. *Also encourages* the Global Environment Facility to finalize the accreditation of project agencies and to share, in its next report to the Conference of the Parties, lessons learned and progress made in its pilot accreditation of project agencies, particularly in the least developed countries, small island developing States and African States;
12. *Requests* the Global Environment Facility to continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention receive funding to meet their obligations under Article 12, paragraph 1, of the Convention;
13. *Invites* Parties to submit to the secretariat annually, in writing, and no later than 10 weeks prior to the subsequent session of the Conference of the Parties, their views and recommendations on the elements to be taken into account in developing guidance to the Global Environment Facility;
14. *Requests* the Standing Committee on Finance to take into consideration the submissions referred to in paragraph 13 above when providing draft guidance to the Global Environment Facility for consideration by the Conference of the Parties;
15. *Also requests* the Global Environment Facility to include, in its annual report to the Conference of the Parties, information on the steps that it has taken to implement the guidance provided in this decision.

Reference: <http://unfccc.int/resource/docs/2014/cop20/eng/10a02.pdf#page=18>

**Decision 9/CP.20**

**Fifth review of the Financial Mechanism**

*The Conference of the Parties,*

3. *Acknowledges* the executive summary of the technical paper on the fifth review, as contained in the annex, including the conclusions and recommendations made by the Standing Committee on Finance;
4. *Encourages* the operating entities of the Financial Mechanism to address, as appropriate, these recommendations in their future work, particularly with regard to the complementarity between the operating entities of the Financial Mechanism;
5. *Recognizes* the general positive assessment of the performance of the Global Environment Facility;
6. *Notes*, however, that the least developed countries and small island developing States still experience challenges in accessing the resources from the Global Environment Facility;

**Annex:**

8. Based on the review by Transparency International, there is evidence that the decision-making process at the GEF is transparent. The operations and interactions of the implementing agencies of the GEF with the recipient countries during project implementation could benefit from further transparency of information disclosure on the status of implementation of the projects. This transparency is particularly critical in those recipient countries where project implementation capacity is weak.
9. With respect to the transparency at the project preparation phase, the review found that the national portfolio formulation exercises (NPFs) promoted by the GEF during the fifth replenishment period of the GEF (GEF 5) has helped to improve the transparency of project preparation. Recipient countries are therefore encouraged to continue to undertake the NPFs in order to facilitate the identification of projects.
17. The GEF has made considerable progress in mainstreaming gender into its activities. Since there is scope for improvement, an action plan is to be approved by the GEF Council in October 2014 and the results of this progress are expected to be reflected in the programmes and projects of the GEF.

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28. The Evaluation Office of the GEF has found that the GEF is highly responsive to COP guidance, and that it has taken considerable steps to report to the COP in this regard. The GEF is encouraged to continue to provide information on how it has responded to the guidance it has received via its report to the COP.

33. It is recognized that the GEF has undertaken measures to improve the length and efficiency of its project cycle over the years. These measures have resulted in significant improvements and the GEF is encouraged to continue undertaking such measures.

42. In order to expedite the project cycle during GEF 6, the GEF should ensure that its co-financing policy is clearly understood and appropriately applied by accredited GEF project agencies and GEF implementing agencies.

57. The GEF has made a significant effort to inform countries of the programmes and policies of the GEF, and as a result, recipient countries have utilized most of their allocations. Nevertheless, the LDCs and SIDS still face challenges in accessing all of their resources.

61. There is a recognized need to strengthen GEF project monitoring systems in order to be able to provide better information on the level of disbursement of approved funds. The GEF should work with its agencies on establishing a standard definition of “disbursement” in order to generate a common understanding of the term within the GEF partnership and enhance transparency of its processes.

76. The GEF and the GCF may consider collaborating to harmonize impact indicators and set new norms around reporting practice, especially in the context of adaptation finance. Furthermore, the operationalization of the GCF results-based management framework presents an opportunity to make progress in this regard.

79. There is evidence that good results and impacts have been achieved with the resources provided by the GEF. Efforts to harmonize and improve the methodologies for measuring the results and impacts of the supported activities need to continue.

92. The operating entities of the Financial Mechanism and the funds under the Convention should collaborate with the view to taking advantage of the complementarity of their respective policies and programmes. The operating entities of the Financial Mechanism should provide information on the progress made in ensuring the complementarity with the other sources of climate finance in their respective reports to the COP.

Reference: <http://unfccc.int/resource/docs/2014/cop20/eng/10a02.pdf#page=35>

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**Decision 10/CP.20**

**Further guidance to the Least Developed Countries Fund**

*The Conference of the Parties,*

7. *Invites* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to continue to support the remaining activities contained in the least developed countries work programme;

8. *Requests* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to share, in its next report, lessons learned and progress made in its pilot accreditation of Global Environment Facility national project agencies;

9. *Invites* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to include, in its annual report to the Conference of the Parties, information on specific actions that it has undertaken to implement the remaining elements of the least developed countries work programme, including the updating and implementation of national adaptation programmes of action, with a view to the Conference of the Parties determining, at its twenty-first session (November–December 2015), appropriate further guidance to be provided to the Global Environment Facility;

10. *Requests* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to enhance communication with its implementing agencies and to encourage its implementing agencies to enhance their communication with countries to facilitate a timely implementation of other elements of the least developed countries work programme including national adaptation programmes of action.

Reference: <http://unfccc.int/resource/docs/2014/cop20/eng/10a02.pdf#page=6>

*SBI 42 (1– 11 June 2015, Bonn, Germany)*