

**Ninth meeting of the Standing Committee on Finance
Bonn, Germany, 10–11 March 2015**

**Background paper on the draft guidance to the
operating entities of the Financial Mechanism**

Proposed action for consideration by the Standing Committee Finance

In light of the complex and diverse range of activities of the Standing Committee on Finance (SCF) regarding the draft guidance to the operating entities (OEs), the SCF may wish to reach an agreement on its approach regarding the various related tasks including:

- (a) Analysis of past guidance and identification of a set of core guidance to the OEs (see section II, paragraphs 10-17);
- (b) Collaboration between the SCF and the thematic bodies of the Convention in the provision of draft guidance to the operating entities (see section III, paragraphs 19-21);
- (c) Improving the consistency and practicality of guidance (see section IV, paragraph 23);
- (d) Draft guidance to the OEs in 2015 (see section V, paragraph 25-26);
- (e) Complementarity between the OEs and the funds they administer (section VI, paragraph 28)
- (f) Frequency of guidance provided to the Financial Mechanism (see section VII, paragraph 30-35).

A proposed timeline for activities to be conducted by the SCF is contained in annex I to this document for consideration by the SCF. The SCF may also wish to provide further guidance to the secretariat regarding the activities to be conducted.

The SCF may wish to confirm the working group on the draft guidance to the operating entities by identifying the SCF members interested in participating, as well as the facilitator/s who would coordinate and lead the inter-sessional work, guide the work of the secretariat and conduct outreach and liaison activities (see also documents SCF/2015/9/8 and SCF/2015/9/9).

The SCF may wish to agree to establish a dedicated website regarding draft guidance to the OEs as a useful tool to increase the transparency of its activities and the understanding by Parties of the work of the SCF (see also document SCF/2015/9/9).

I. Background

1. At the seventeenth session of the Conference of the Parties (COP 17), Parties decided that the SCF shall assist the COP in exercising its functions with respect to the Financial Mechanism of the Convention including through providing draft guidance for the OEs to the COP, with a view to improving the consistency and practicality of such guidance, taking into account the annual reports of the OEs as well as submissions from Parties.

2. At COP 20, Parties endorsed the recommendations by the SCF on the provision of guidance to the OEs,¹ which included the following proposed actions to be conducted by the SCF:

- (a) Conduct an analysis of past guidance provided in order to identify a set of core guidance to serve as basis for the provision of future guidance in order to reduce redundancies, incoherence, and inconsistencies within the guidance provided to the operating entities;
- (b) Increase collaboration between the SCF and the thematic bodies of the Convention in the provision of draft guidance to the operating entities;
- (c) Consider the issue of complementarity between the operating entities and the funds they administer when the GCF is operationalized.

¹ Provided in paragraph 10 of the report of the SCF to COP 20 (FCCC/CP/2014/5).

3. Furthermore, the COP requested the SCF to provide advice on the issue of the frequency of guidance to the Financial Mechanism and to report back to COP 21.²

4. During 2014, the SCF engaged in extensive discussions on the improvement of consistency and practicality of guidance provided to the OEs of the Financial Mechanism, which resulted in the recommendation to COP 20 as referred to in paragraph 2 above. In addition, various proposals by members were considered during the seventh meeting of the SCF.³ Representatives of the secretariats of the OEs will be invited to participate in the meeting and engage with the SCF as appropriate.

II. Analysis of Past Guidance and Identification of Core Guidance to the Operating Entities

5. As outlined in paragraph 2 above, one of the proposed actions endorsed by COP 20 is the conduct of an analysis of past guidance provided in order to identify a set of core guidance to serve as basis for the provision of future guidance in order to reduce redundancies, incoherence, and inconsistencies within the guidance provided to the OEs.

6. During its previous discussions on this subject matter,⁴ the example of the Convention on Biological Diversity (CBD) with regards to periodically reviewing previous decisions made to assess their status of implementation and the retirement of decisions or elements thereof was repeatedly mentioned as a useful reference for a similar exercise to be conducted by the SCF.

Process of Reviewing Decisions by the Convention on Biological Diversity

7. Detailed information on how this exercise, initiated in the year 2000, evolved is contained in a "Note by the Executive Secretary."⁵ It is worth noting that this exercise has undergone significant changes over the years and has been adjusted based on the experiences made with various approaches.

8. Some of the steps undertaken by the CBD included, inter alia:

(a) Retirement of a number of decisions or elements of decisions, which were either: (i) fully implemented and thus were of no continuing relevance or effect; (ii) superseded by subsequent decisions; or (iii) of only historical value (these continued to be the criteria for retiring decisions);⁶

(b) Reviews of the status of implementation of all COP decisions, with a view to adopting a consolidated body of decisions and to inform decision-making on the long-term work plan of the CBD; for example, a compilation of the existing guidance prepared by the Executive Secretary of CBD is contained in annex IV to this document, which formed the basis for a decision whereby the COP adopted the consolidated list of guidance to the financial mechanism, including programme priorities, and decided that guidance to the financial mechanism, for a specific replenishment period, consists of this consolidated list of programme priorities, and an outcome oriented framework (however, Parties decided to discontinue the process of consolidation of decisions because of the recognition of the complexity and far reaching implications of the process).⁷

9. In 2012, Parties to the CBD decided to refocus the exercise of retiring decisions, and, in 2014, decided to, inter alia:

(a) Discontinue the approach for the retirement of decisions and to replace the exercise by a new approach for the review of decisions or elements of decisions in a manner that supports implementation and creates a good basis for the preparation and adoption of new decisions;

² Decision 6/CP.20, paras. 19-20.

³ All proposals are received in document SCF/2014/7/6 and <http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/revised_initial_paper_on_improving_draft_guidance_to_oes_%282%29.pdf>.

⁴ See documents SCF/2014/7/6 and the Revised initial paper on improving the draft guidance to the operating entities of the financial mechanism (<http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/revised_initial_paper_on_improving_draft_guidance_to_oes_%282%29.pdf>).

⁵ Document UNEP/CBD/WGRI/5/13, available at <<http://www.cbd.int/doc/meetings/wgri/wgri-05/official/wgri-05-13-en.pdf>>; prepared for the 5th meeting of the Ad Hoc Open-Ended Working Group on Review of Implementation of the Convention.

⁶ See e.g. decision X/14, contained in document UNEP/CBD/COP/10/DEC/X/14.

⁷ Decision X/24, contained in document UNEP/CBD/COP/DEC/X/24.

(b) Refocus the exercise of retiring decisions, using an online decision tracking tool to be developed and maintained in the clearing-house mechanism, with a view to supporting the review of existing decisions and improving the development and adoption of new decisions; the outline of information that may be included in an online decision tracking tool, including description of the labels used, is contained in annex III to this document.⁸

Possible Approaches for Reviewing Past Decisions

10. Based on the CBD experience, there are three possible, but not mutually exclusive approaches to the exercise of analysis of past guidance that the SCF could take as further discussed below. Overall, a useful starting point for this exercise may be to request the secretariat to prepare a searchable, publicly available and regularly updated compendium of all past guidance provided to the OEs in order to increase the accessibility and comparability of guidance provided in the past.

Decision Tracking Tool

11. Additionally, the SCF may wish to consider developing a decision tracking tool a useful exercise. Such a decision tracking tool could follow a similar outline as the one identified by CBD (see annex III), and would give the SCF an opportunity to assess, decision by decision, the linkages, implications, and most of all the status of implementation of each decision taken by the COP. This may be useful for the SCF to increase its understanding of guidance that has not been implemented yet, and whether additional guidance is necessary with a view to reduce the repetition of guidance provided. Should the SCF decide to develop a decision tracking tool, it may wish to:

- (a) Agree at this meeting on what information to be captured by this decision tracking tool;
- (b) The timeline for the establishment of such a tool;
- (c) Consult the OEs on the labeling/tagging/categorization of decisions (see CBD sample in annex III); the SCF may also wish to do a desk review of available literature of compendia of decisions and responses thereto by the OEs prepared by the secretariat, the GEF and other international organizations.⁹

Compilation of Existing Guidance e.g. per specific programme priority or policy

12. Another useful tool for the SCF could be to prepare a compilation of existing guidance to the Financial Mechanism similar to the CBD example (see annex IV), which could assist the SCF in identifying, for example, per specific programme priority or policy, which guidance has been provided by the COP. This may give the SCF a useful overview of the existing body of guidance from a thematic perspective, which would support the SCF in identifying gaps in thematic guidance that would have to be addressed through future guidance. Should the SCF decide that this would be a useful approach, the SCF may wish to agree on clear terms of reference during its ninth meeting for such an exercise. Useful starting point could be a table prepared as a part of the Fifth Overall Performance Study (OPSS) of the GEF which outlines UNFCCC guidance by category and topic (see also annex VI).¹⁰

Retirement of past decisions

13. With regards to the retirement of past decisions, based on the CBD experience¹¹ and the fact that the UNFCCC process has no process to "retire" past decisions (in some cases, past decisions have been superseded with new information, however a proposal for retiring decisions would require a decision of the COP), it should be noted that the SCF may consider this exercise too complex and time consuming.

Further considerations regarding the analysis of past guidance

14. Should the SCF agree on one or more of the three options outlined in paragraphs 11, 12 and 13 above, the SCF may wish to identify the timeframe, for which such an exercise should be undertaken, i.e. whether it should cover all guidance ever provided to the OEs, or whether a more limited timeframe may be more appropriate, for example limiting the analysis to the period of the last two replenishment cycles of the GEF.

⁸ As per recommendation 5/9 of the Ad Hoc Open-Ended Working Group on Review of Implementation of the Convention.

⁹ See for example the „United Nations Framework Convention on Climate Change; Guidance from the Conference of the Parties and responses by the Global Environment Facility 20 Years“ as prepared by the GEF secretariat; available at: http://www.thegef.org/gef/sites/thegef.org/files/publication/GEF_UNFCCC%20COP%20Guidance2014-112414-C_web.pdf.

¹⁰ Table 4 as contained in OPSS Technical Document #4: Relevance of the GEF to the Conventions, p. 9-11.

¹¹ See e.g. decision X/14, contained in document UNEP/CBD/COP/10/DEC/X/14.

15. In light of the above, the SCF may wish to provide clear guidance to the working group and the secretariat with regards to the concrete steps to be taken to progress work on the analysis of past guidance. The choice of the approach to be taken, including whether or not a time limitation for the exercise has been agreed on, may have significant resource and work load implications which the SCF may wish to bear in mind when deliberating on its approach.

Identification of a Set of Core Guidance

16. The identification of a set of core guidance to serve as basis for the provision of future guidance will depend on the outcome of the analysis of past guidance. For example should the SCF agree that decisions or parts thereof are still active, and based on an analysis of the information contained in the annual reports of the OEs, it may wish to consider the following actions:

(a) Whether additional guidance is necessary; or

(b) Whether no additional guidance is necessary as this decision or element remains active as not yet implemented.

17. As the identification of core guidance may only be possible at a later stage in 2015, it may not affect the preparation of guidance to the OEs at COP 21.

III. Collaboration between the SCF and the Thematic Bodies of the Convention in the Provision of Draft Guidance to the Operating Entities

18. In 2014, the SCF had invited inputs from the Adaptation Committee (AC) and the Technology Executive Committee (TEC) to the draft guidance to be provided to the OEs in the form of annotated suggestions for elements of draft guidance to the OEs. The SCF had repeatedly made reference to the positive impact of contributions by the AC and the TEC in improving the draft guidance and in facilitating negotiations on guidance to the OEs. However, due to time constraints, the inputs received from the AC and the TEC were neither discussed, nor commented on, nor endorsed by the SCF, and were merely annexed to the report of the SCF.¹²

19. In light of this, the SCF may wish to:¹³

(a) Solicit inputs from the Executive Committee of the Warsaw International Mechanism for Loss and Damage (ExCom), the least developed countries expert group (LEG) and the Consultative Group of Experts (CGE) in addition to the AC and the TEC;

(b) Identify and communicate to the thematic bodies the scope of the inputs it would invite them to provide, for example that the inputs need to be based on the annual reports of the OEs, and the specific thematic area for which the respective body might be able to provide inputs;

(c) To identify whether such inputs should for example be provided in a tabular format similar to the template approach used in 2014, or whether draft decision language may be more appropriate;

(d) To communicate to the thematic bodies a clear timeline for the inputs to be provided in 2015 - ideally around two weeks before the last meeting of the SCF in 2015 giving sufficient time to SCF members to consider the information received - and the expected date for the issuance of the reports of the OEs.

20. Possible approaches for processing the inputs received could include that the SCF:

(a) Engages in in-depth discussions on the inputs received with a view to incorporating them into the SCF endorsed draft guidance to the COP;

(b) Annexes the inputs received to its report to COP 21.

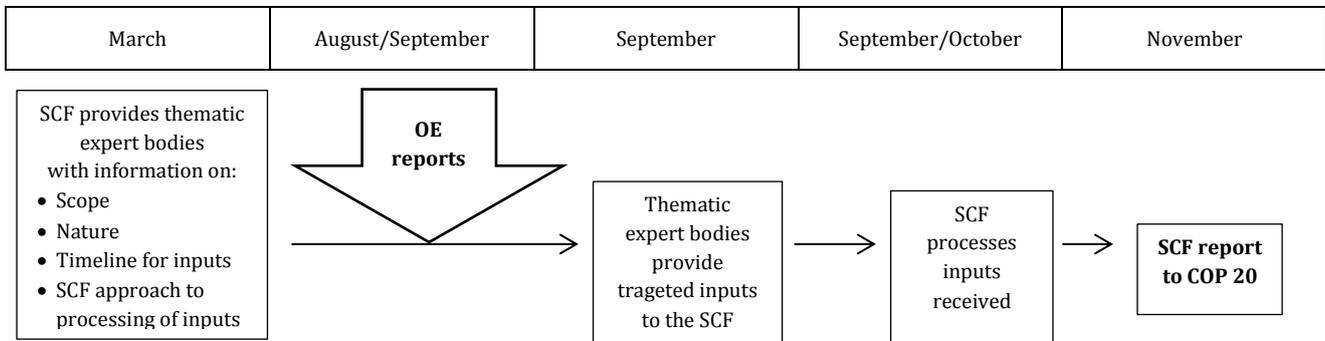
21. The SCF may wish to come to an agreement on its approach in 2015 to the collaboration with the thematic bodies on the draft guidance to the OEs in order to be able to communicate with the bodies as early as possible giving the bodies sufficient time to process this invitation by the SCF. The SCF may wish to identify clear terms of reference for the inputs to be provided by the thematic bodies during its meeting as outlined above. On the second day of the SCF meeting, the SCF already would have the opportunity to provide some information to the

¹² Annex VI to document FCCC/CP/2014/5.

¹³ Decision 4/CP.20, paragraph 4, and the annex thereto.

TEC on the outcome of its discussions on this subject matter. For further information on possible collaboration with the thematic bodies and communication and outreach activities see also documents SCF/2015/9/8 and SCF/2015/9/9.

Proposed flow chart for the provision of inputs by thematic expert bodies



IV. Improving the consistency and practicality of guidance

22. Additionally, the SCF may wish to continue its overall deliberations with regards to the improvement of the consistency and practicality of guidance provided to the OEs taking into consideration and building on the outcome of the activities to be conducted this year. In 2014, the SCF had initiated its discussions on this issue and various proposals had been deliberated. However, due to time constraints, such deliberations remained on a superficial level.

23. Beyond the activities the SCF has already identified in terms of improving the consistency and practicality of guidance, the SCF may wish to continue its overall discussions in a holistic manner, based on the concepts introduced last year, as well as by further elaborating on this issue. In this context, the SCF may also wish to take into account timing related deliberations (see paragraph 34 below). Possible approaches in this context could be based on ideas and proposals such as :

- (a) Performance based guidance, as already identified in 2014 by some SCF members;
- (b) Similar to the CBD practice, another proposal could be the adoption of a consolidated list of guidance to the financial mechanism, including programme priorities, which would establish the guidance to the financial mechanism for a specific replenishment period.¹⁴

V. Draft guidance to be provided to the operating entities in 2015

24. Furthermore, the SCF may wish to agree on the approach to the provision of draft guidance to the OEs to COP 21. This could be seen more or less independently from the above mentioned specific activities, it may have an influence on the specific tasks and vice versa (e.g. with regards to collaboration with the thematic bodies of the Convention). Additionally, the outcomes of these activities, as well as possible decisions taken by COP 21, may influence the way the SCF will provide guidance in the future. Nonetheless, the SCF may wish to agree on its approach to the provision of draft guidance at the outset of 2015 in the understanding that flexibility may be needed to adjust its approach either during the course of the year or for the years to come and that this decision in no way prejudices future decisions by the SCF on this issue.

25. In this context, the SCF continues to have two options how to provide COP 21 with draft guidance to the OEs:

- (a) The first option is the template approach, whereby the SCF agrees on a template for inputs or suggestions to be provided by SCF members based on the reports of the OEs; however, this approach has repeatedly raised concern by members, as the SCF did not really have the opportunity to discuss the inputs provided, including the inputs received from the thematic bodies;

¹⁴ See decision X/24, contained in document UNEP/CBD/COP/DEC/X/24.

(b) The second option would be for the SCF to provide a draft decision to the COP, based on inputs provided by SCF members in advance of the last meeting of the SCF in 2015 once the reports of the OEs are available. Many members highlighted already in 2014 that this would be their preferred approach, however, due to time constraints and the limited number of submissions by members available before the last meeting in 2014, the SCF was not able to engage in the in-depth discussions necessary for the SCF to come to an agreement on a draft decision.

26. In considering its approach for 2015, the SCF may also wish to take note that timing may continue to be an issue as it is expected that the GEF report will become available in August 2015, however the timing of the issuance of the GCF report has not been confirmed at this point in time.

VI. Complementarity between the operating entities and the funds they administer

27. As outlined in paragraph 2 above, one of the recommendations of the SCF with regards to possible activities in improving the consistency and practicality of guidance to the OEs was that it would consider the issue of complementarity between the OEs and the funds they administer when the GCF is operationalized. The issue of complementarity between the OEs has been raised repeatedly by Parties, including, for example, in the negotiating text for the Ad Hoc Working Group on the Durban Platform for enhanced Action.¹⁵

28. The SCF may wish, based on the progress made by the GCF Board, to discuss whether or not it considers the progress made sufficient enough to be able to initiate its deliberations on the issue of complementarity between the GEF and the GCF already in 2015, or whether this would still be premature in light of the on-going work by the GCF Board.

VII. Frequency of guidance to the Financial Mechanism

29. As outlined above, the SCF has been requested to provide advice on the issue of the frequency of guidance to the Financial Mechanism and to report back to COP 21. Discussions with regards to this issue have been initiated by the SCF already in 2014 and discussed in particular during the seventh meeting of the SC.¹⁶

30. From a legal perspective, the memorandum of understanding (MOU) between the COP and the Council of the GEF, states that the *"COP will, pursuant to Article 11.1, decide on policies, programme priorities and eligibility criteria related to the Convention for the financial mechanism which shall function under the guidance of and be accountable to the COP"*. In addition, the MOU stipulates that the *"COP will, after each of its sessions, communicate to the Council of the GEF any policy guidance approved by the COP concerning the financial mechanism"*. The MOU also states that the *"Council will ensure the effective operation of the GEF as a source of funding activities for the purposes of the Convention in conformity with the guidance of the COP. It will report regularly to the COP on its activities related to the Convention and on the conformity of those activities with the guidance received from the COP"*. Furthermore, decision 12/CP.2, paragraph 1 stipulates that the COP *"[t]akes note of Part Two, section III (a), paragraph 5, of the report of the Conference of the Parties at its first session, which states that the Conference of the Parties should receive and review at each of its sessions a report from the Global Environment Facility"*.¹⁷

31. With regards to the GCF, the arrangements between the COP and the GCF state: that the *"GCF shall receive guidance from the COP, including on matters related to policies, programme priorities and eligibility criteria"*; that the *"COP will, after each of its sessions, communicate guidance to the GCF"*; that the *"COP will provide guidance based, inter alia, upon a thorough consideration of the annual reports of the GCF"*; and that the *"GCF is to submit annual reports to the COP for its consideration"*, and that such reports *"shall include information on the implementation of policies, programme priorities and eligibility criteria provided by the COP, including information on the extent to which COP guidance has been adhered to by the Board of the GCF"*.¹⁸

32. This sets the legal framework based on which the OEs report on an annual basis to the COP, and the COP provides at and communicates guidance to the OEs after each of its sessions. However, the current legal

¹⁵ Advance Unedited Version available at: < http://unfccc.int/files/bodies/awg/application/pdf/negotiating_text_12022015@2200.pdf>.

¹⁶ See: document SCF/2014/7/6, annex I, paragraphs 12 to 14, and annex II; document SCF/2014/7/9, paragraph 31; and the "Revised initial paper on improving the draft guidance to the operating entities of the financial mechanism", section on "Timing of guidance" (available at: <http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/revised_initial_paper_on_improving_draft_guidance_to_oes_%282%29.pdf>).

¹⁷ As contained in the annex to decision 12/CP.2.

¹⁸ As contained in the annex to decision 5/CP.19.

framework does not prevent the COP to decide that in a given year no additional guidance would be provided based on the report provided by a specific OE. Within this context, the SCF may wish to consider the issue of frequency of guidance.

33. In considering this issue, it may also be of interest to the SCF to consider examples of other multilateral environmental agreements with regards to guidance to the operating entities. For example, the COP of CBD meets biennially and provides guidance to the GEF at each meeting.¹⁹ The COP of the United Nations Convention to Combat Desertification (UNCCD) has also been meeting biennially since 2001 and provides guidance to the GEF every 2 years.²⁰ With regards to the Montreal Protocol on Substances that Deplete the Ozone Layer, the Meeting of the Parties to the Montreal Protocol meets annually and provides guidance to the Executive Committee tasked to manage the Multilateral Fund.²¹

34. From a practical perspective, independent of whether or not the SCF would recommend to the COP a change to the frequency of guidance to be provided to OEs, the SCF may wish to take into consideration the current timeline of related processes under the Convention, including, for example, the replenishment cycle of the GEF and the review processes under the Convention as outlined in annex II to this document. This may give the SCF an overview of when guidance on specific issues should be provided in order to achieve impact in the most effective manner. Furthermore, with regards to the timeline for the replenishment of the GEF, the SCF may wish to take into consideration the question of when specific guidance may be necessary in order to effectively have an impact on the replenishment negotiations with regards to policies and programme priorities. Annex V to this document contains an overview of the timeline of the 6th replenishment negotiations of the GEF, which shows that, for example, in order to have meaningful impact, guidance should be provided at the outset of such negotiations.

35. In light of the above, the SCF may wish to identify and agree on the terms of reference for the working group, including scope and timeline, to enable the working group to take forward work on this issue inter-sessionally should the SCF see need for further technical work as basis for its considerations.

¹⁹ <http://www.cbd.int/cop/>.

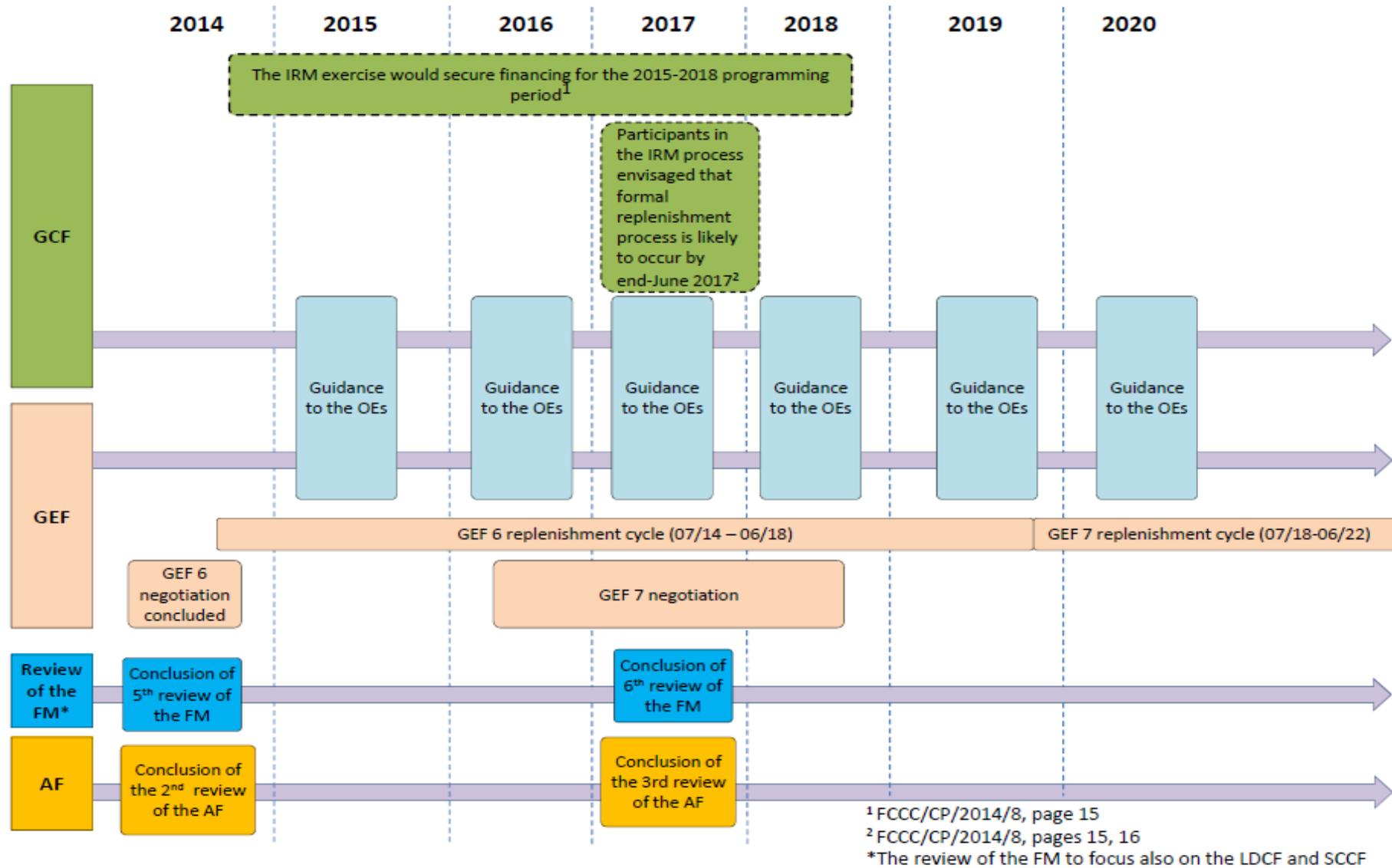
²⁰ <http://www.unccd.int/en/about-the-convention/the-bodies/the-cop/Pages/default.aspx>.

²¹ http://ozone.unep.org/new_site/en/montreal_protocol.php.

Annex I: Proposed timeline for activities related to the draft guidance to the operating entities of the Financial Mechanism

Activity	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov/ COP 21
Agreement on approach to the analysis of past guidance/identification of core guidance	X								
Development of TOR for inputs to be provided by thematic bodies for draft guidance to be provided to COP 21	X								
Development of TOR for frequency of guidance to be provided	X								
Analysis of past guidance	X	X	X	X	X	X	X	X	
Identification of set of core guidance							X	X	
Draft guidance to the operating entities for COP 21							X	X	X
Deliberations on frequency of guidance to be provided	X	X	X	X	X				
Deliberations on increase of consistency and practicality of guidance provided	X	X	X	X	X	X	X	X	X
Increased collaboration with thematic bodies	X	X	X	X	X	X	X	X	X
Engagement with operating entities	X	X	X	X	X	X	X	X	X
Establishment of dedicated website	X								
Recommendations to COP 21							X	X	X

Annex II: Timeline regarding operating entities of the Financial Mechanism, funds and the Financial Mechanism of the Convention



Annex III: Example CBD - decision tracking tool**OUTLINE OF INFORMATION THAT MAY BE INCLUDED IN AN ONLINE DECISION TRACKING TOOL²²**

1. Information regarding the decision:
 - (a) Type of decision – whether the decision is “operational” or “for information”;
 - (b) Status of the decision – whether “implemented”, “superseded”, “elapsed”, “active” or “retired”;
 - (c) The entity to which the decision is directed – the Conference of the Parties, a Party/Parties, other Governments, Executive Secretary, the Global Environment Facility, Subsidiary Body on Scientific, Technical and Technological Advice, other subsidiary bodies, indigenous and local communities, other stakeholders;
 - (d) Timelines (implementation or process related), if applicable;
2. Related information:
 - (a) The recommendation or the element of a recommendation of a subsidiary body, if any, that formed the basis of the decision;
 - (b) Related decisions;
 - (c) Notifications issued;
 - (d) Submissions received;
 - (e) Related documents (such as reports, working or information documents, publications);
 - (f) Related activities and outcomes (such as workshops, technical meetings or training programmes).

Description of tagging/labels used to categorize decisions²³

“Implemented” (if fully implemented and thus was of no continuing relevance or effect);

“Superseded” (if the decision has been superseded by a subsequent decision);

“Elapsed” (if it has only historical value);

“Active” (if the decision is implemented but has continuing relevance or effect, or implementation is ongoing or pending).

“Operational” (if the decision requires action from one or more stakeholders);

“No action” (if the decision is a statement or information only that does not require action).

²² Annex to recommendation 5/9, contained in UNEP/CBD/COP/12/4.

²³ See document UNEP/CBD/WGRI/5/13.

Annex IV: CBD example - compilation of the existing guidance to the financial mechanism²⁴

Subject	Relevant decisions
General	III/8; IV/16, para. 13; V/20, I, para. 8; VIII/13, paras. 10 and 12; VIII/18, para. 1 and annex; IX/31, A, para. 2 and B
Policy and Strategy	I/2, annex I, I, and III, paras. 1, 3 and 4(a); IV/11, annex, paras. 1(c), 1(f), 1(g) and 1(j); VI/27, para. 8; VII/20, para. 22
Eligibility Criteria	I/2, annex I, II; VI/17, para. 3; VII/20, para. 21
Programme priorities	I/2, annex I, III, para. 2; IX/31, C, para. 4
Biodiversity planning	I/2, annex I, III, para. 4(e); IV/11, annex, para. 1(d); VI/17, para. 10a; VIII/18, para. 19; IX/31, C, para. 9
Identification, monitoring, indicators and assessments	I/2, annex I, III, paras. 4(c) and 4(d); V/13, para. 2(j); VII/20, para. 4; VIII/18, para. 17
Taxonomy	VI/17, para. 10f; VII/20, para. 7; VIII/18, paras. 24 and 25
Protected areas	VII/20, para. 10; VIII/18, paras. 29(a), 29(b) and 29(e); IX/31, C, para. 14(b)
Species conservation	I/2, annex I, III, para. 4(l); VI/17, para. 10d
Invasive alien species	V/13, para. 2(m); VI/17, para. 10k; VII/20, para. 9; VIII/18, para. 27
Article 8(j) and related provisions	I/2, Annex I, III, para. 4(j); V/13, para. 2 (i); VI/17, para. 10n; IX/13, D, para. 3
Sustainable use	VII/20, para. 8
Engagement of business	IX/31, C, para. 11
Incentive measures	I/2, annex I, III, para. 4(i); IV/13, para. 7; V/13, para. 2 (h); VI/17, para. 10j
Research and training	III/5, para. 6(a)
Education and public awareness	III/5, para. 6(b); V/13, para. 2(l); VI/17, para. 10(o); VII/20, para. 18; VIII/18, para. 21
Access and benefit-sharing	III/5, para. 4; IV/13, para. 8; VI/17, para. 10m; VII/20, para. 19
Technology cooperation and transfer	I/2, annex I, III, para. 4(f); VII/20, para. 12; IX/31, C, para. 7
Technical and scientific cooperation and clearing-house mechanism	I/2, annex I, III, para. 4(h); III/5, para. 2(d)(i); IV/13, para. 5(b); V/13, para. 2(f); IX/31, C, para. 8
Biosafety	VII/20, para. 23; VIII/18, paras. 11 and 12
National reports	II/17, para. 12; VI/17, para. 10(l); VIII/18, para. 22
Ecosystem approach	V/13, para. 2(a); VII/20, para. 5; IX/31, C, para. 10
Agricultural biological diversity	III/5, para. 2(c); V/13, paras. 2(b) (i) and 2(c); VI/17, para. 10g
Forest biodiversity	IV/13, para. 4; V/13, para. 2(b) (iii); VI/17, para. 10c
Biological diversity of inland water ecosystems	IV/13, paras. 3; V/13, para. 2 (n); VI/17, para. 10(i)

²⁴ Contained in document UNEP/CBD/WG-RI/3/9.

Subject	Relevant decisions
Marine and coastal biodiversity	I/2, annex I, III, para. 4(k); V/13, para. 2 (d); VI/17, para. 10e; VII/20, para. 3
Island biological diversity	VIII/18, para. 14
Biological diversity of dry and sub-humid lands	I/2, annex I, III, para. 4(k); V/13, para. 2 (b)(ii)
Mountain ecosystems	I/2, annex I, III, para. 4(k)
Climate change and biodiversity	VII/20, para. 6
Development activities	I/2, annex I, III, para. 4(m); VII/20, para. 13
Sustainability	I/2, annex I, III, para. 4(g); IX/31, A, para. 3(f)
Actions to improve the effectiveness of the financial mechanism	
Cofinancing	VI/16, para. 9; IX/11, A, para. 3; IX/31, A, para. 3(c)
Innovative financing mechanisms and resource mobilization	VIII/18, para. 16; IX/11, B, para. 4, and annex, paras. 13 and 15
Incremental costs	IV/11, annex, para. 1(e)
Resource allocation	VIII/18, paras. 9 and 10; IX/12, para. 21; IX/31, C, para. 14(c)
Geographical consideration	VI/17, para. 5; VIII/18, paras. 3 and 4; IX/31, A, para. 3(d)
Gender	IX/11, A, para. 7
Processing and delivery systems	II/6, para. 5; III/5, para. 1; IV/11, annex, para. 1(a), 1(b) and 1(k); V/13, para. 2(k); VI/10, para. 30; VI/19, para. 5; VI/23, paras. 19 and 22; VI/27, para. 10; VII/20, paras. 14 and 16; VIII/18, paras. 15, 23, 28 and 30; IX/21, para. 9; IX/31, C, para. 14(a)
Review and evaluation	III/5, para. 5; IV/11, annex, para. 1(i); VII/20, para. 15; VIII/18, paras. 7 and 29(d); IX/31, A, paras. 3(g), 3(h) and 4
Reporting	VII/20, para. 1; VIII/18, para. 2(b); IX/16, B, para. 4; IX/31, A, paras. 3(a), 3(b) and 3(e), and C, para. 5

Annex V: Timeline of negotiations on the 6th replenishment of the GEF

Time	April 2013 1 st Replenishment meeting	September 2013 2 nd replenishment meeting	December 2013 3 rd replenishment meeting	April 2014 4 th Replenishment meeting	May 2014 5 th GEF Assembly
Issues discussed	<ul style="list-style-type: none"> • Fifth overall performance study of the GEF; • Directions for GEF-6 and strategic positioning for GEF-6 • Draft GEF-6 Programming directions • Draft GEF-6 Replenishment Financing Modalities: Burden-sharing approach and Financial Components 	<ul style="list-style-type: none"> • GEF-6 Programming Document; • GEF-6 Financing Modalities: Burden-sharing approach and Financial Components • GEF 2020 and Strategic Positioning for GEF-6; • Draft Policy Recommendations for GEF-6 	<ul style="list-style-type: none"> • Policy Recommendations for GEF-6 • Draft Summary of Replenishment report • Draft Replenishment Resolution Indicative donor pledges 	<ul style="list-style-type: none"> • Final donor pledges and GEF Financing Framework • Final draft Summary of Replenishment report comprising (1) Summary of Negotiations; (2) Policy Recommendations; (3) Programming Document; and (4) Replenishment Resolution 	<ul style="list-style-type: none"> • Adoption of the Summary of Replenishment report

Annex VI: Excerpt of an overview of elements contained in past guidance to the GEF²⁵

Theme/COP	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	TOTAL
I. GENERAL																			
General	1	3		1								1							6
Funding principles (general)	7	3					3	1					1			2			17
LDCF – Funding principles								4	1		7								12
SCCF – Funding principles									2			1							3
Eligibility Criteria	1																		1
II. PROGRAMMING																			
Funding priorities (general)	1													1		1	1		4
Research and systematic observation				1			7		1	1									10
Education, training and public awareness				1			5	2	1	3		1	2			2		1	18
National communications		3		2	2		1	1	1	2	1	2	5	4		4			28
National programs & planning	3			1			2									1	1	1	9
Capacity Development	1	1		1			3	1	1	6		3		1			1		19
Technology transfer and TNAs				1			1	1				3	5	3					14
Response measure impacts										2									2
Biennial update report																	3	2	5
Technology Mechanism																	2		2
LDCF - National Adaptation Programs of Action (NAPAs)								3	1				2		2			1	9
LDCF - LDC work program													1					3	4
LDCF - National Adaptation Plans (NAPs)																	3	1	4

²⁵ This is an excerpt of the table contained in „OPS5 Technical Document #4: Relevance of the GEF to the Conventions“, p. 9-11, available at: <
https://www.thegef.org/gef/sites/thegef.org/files/EO/TD4_Relevance%20of%20the%20GEF%20to%20the%20Conventions.pdf>.

Theme/COP	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	TOTAL
SCCF - National Adaptation Plans (NAPs)																		2	2
III. POLICIES AND PROCEDURES																			
Reporting & provision of additional information	1	4		1			3	4	1	4	2	3	3	3		2	2	5	38
Resource mobilization										1		1	1	1				1	5
SCCF Resource mobilization									1			1						1	3
LDCF Resource mobilization														1				3	4
Resource allocation												1		1		1			3
Resource approval and disbursement		1		3			5	2				1				4			17
LDCF access																		2	2
Implementation of COP guidance								1				1				1		3	6
Incremental costs	1							1					1						3