



Conference of the Parties
Nineteenth session
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Item 11(e) of the provisional agenda

Matters relating to finance

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

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

Note by the secretariat

1. The Conference of the Parties (COP), by decision 12/CP.2, adopted and thereby brought into force a memorandum of understanding (MOU) between the COP and the Council of the Global Environment Facility (GEF). The MOU provides, inter alia, that annual reports of the GEF will be made available to the COP through the secretariat.
2. In response to that provision, the GEF secretariat has submitted the attached report (see the annex) dated 1 July 2013; it is reproduced here as submitted, without formal editing and with the original pagination.
3. The MOU also provides that the COP shall, pursuant to Article 11, paragraph 1, of the Convention, 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.
4. The MOU further 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.

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Annex

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GLOBAL ENVIRONMENT FACILITY

July 1, 2013

REPORT OF THE GLOBAL ENVIRONMENT FACILITY TO THE
NINETEENTH SESSION OF THE CONFERENCE OF THE
PARTIES TO THE UNITED NATIONS FRAMEWORK
CONVENTION ON CLIMATE CHANGE

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Abbreviations and Acronyms

| | |
|--------------------|--|
| ADB | Asian Development Bank |
| AfDB | African Development Bank |
| AFR | Africa |
| AIACC | Assessments of Impacts and Adaptations to Climate Change |
| AMR | Annual Monitoring Report |
| BRT | Bus Rapid Transit |
| BUR | Biennial Update Report |
| CBD | Convention on Biological Diversity |
| CBO | Community-Based Organization |
| CCA | Climate Change Adaptation |
| CCCD | Cross-Cutting Capacity Development |
| CCM | Climate Change Mitigation |
| CEO | Chief Executive Officer |
| CO ₂ eq | Carbon Dioxide Equivalent |
| COP | Conference of the Parties |
| CPACC | Caribbean Planning for Adaptation to Climate Change |
| CSO | Civil Society Organization |
| CSP | Country Support Program |
| CTCN | Climate Technology Centre and Network |
| EBRD | European Bank for Reconstruction and Development |
| ECW | Expanded Constituency Workshop |
| EGTT | Expert Group on Technology Transfer |
| ESCO | Energy Service Company |
| EST | Environmentally Sound Technology |
| FAO | Food and Agriculture Organization of the United Nations |
| FNC | Fourth National Communication |
| FSP | Full-Sized Project |
| FY | Fiscal Year |
| GCF | Green Climate Fund |
| GEBs | Global Environmental Benefits |
| GEF | Global Environment Facility |
| GEF EO | Global Environment Facility Evaluation Office |
| GEF SGP | Global Environment Facility Small Grants Program |
| GEFTF | Global Environment Facility Trust Fund |
| GHG | Greenhouse Gas |
| HCFC | Hydro-chlorofluorocarbon |
| IBRD | International Bank for Reconstruction and Development (World Bank) |
| IDB | Inter-American Development Bank |
| IFAD | International Fund for Agricultural Development |
| IFC | International Finance Corporation |
| INC | Initial National Communication |
| IPCC | Intergovernmental Panel on Climate Change |
| kt | kiloton (10 ³ tons) |
| LAC | Latin America and the Caribbean |
| LEG | Least Developed Countries Expert Group |
| LDC | Least Developed Country |
| LDCF | Least Developed Countries Fund |

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| LULUCF | Land Use, Land-Use Change, and Forestry |
| M&E | Monitoring and Evaluation |
| MDB | Multilateral Development Bank |
| MFA | Multi-focal Area |
| MIF | Multilateral Investment Fund |
| MLF | Multilateral Fund |
| MRV | Measurement, Reporting and Verification |
| MSP | Medium-Sized Project |
| Mt | Megaton (10 ⁶ tons) |
| MTF | Multi Trust Fund |
| MTR | Mid-term Review |
| NAMA | Nationally Appropriate Mitigation Action |
| NAP | National Adaptation Plan |
| NAPA | National Adaptation Program of Action |
| NC | National Communication |
| NCSA | National Capacity Self-Assessment |
| NCSP | National Communications Support Program |
| NGO | Non-governmental Organization |
| NPFE | National Portfolio Formulation Exercise |
| ODS | Ozone Depleting Substances |
| OFP | Operational Focal Point |
| OPS | Overall Performance Study |
| PIF | Project Identification Form |
| PIR | Project Implementation Report |
| PPG | Project Preparation Grant |
| PPP | Public-Private Partnership |
| RBM | Results-Based Management |
| REDD+ | Reducing Emissions from Deforestation and Forest Degradation plus ¹ |
| SBI | Subsidiary Body for Implementation |
| SCCF | Special Climate Change Fund |
| SCCF-A | Special Climate Change Fund Adaptation Program |
| SCCF-B | Special Climate Change Fund Program for Technology Transfer |
| SFM | Sustainable Forest Management |
| SIDS | Small Island Developing States |
| SME | Small and Medium Enterprise |
| SNC | Second National Communication |
| SPA | Strategic Priority on Adaptation |
| STAP | Scientific and Technical Advisory Panel |
| STAR | System for Transparent Allocation of Resources |
| TAP | Technology Action Plan |
| TE | Terminal Evaluation |
| TEC | Technology Executive Committee |
| TNA | Technology Needs Assessment |
| TNC | Third National Communication |
| UNCCD | United Nations Convention to Combat Desertification |
| UNDP | United Nations Development Program |
| UNEP | United Nations Environment Program |
| UNFCCC | United Nations Framework Convention on Climate Change |
| UNIDO | United Nations Industrial Development Organization |
| V&A | Vulnerability and Adaptation |
| WB | World Bank |

¹ The term REDD+ includes carbon benefits not only from reducing deforestation and degradation, but also from the role of conservation, sustainable management of forests and enhancement of forest carbon stocks.

Executive Summary

1. The Global Environment Facility (GEF), as an operating entity of the financial mechanism of the United Nations Framework Convention on Climate Change (UNFCCC), has provided financing to country-driven projects. This document reports on activities of the GEF for fiscal year (FY) 2013, from July 1, 2012 to June 30, 2013, in the area of climate change.

GEF's Response to Convention Guidance

2. The GEF responds on a continuing basis to guidance received from the Convention. During the reporting period, Convention guidance included eight decisions from the eighteenth session of the Conference of the Parties (COP 18) and several conclusions from the 37th session of the Subsidiary Body for Implementation (SBI). In responding to guidance, the GEF continues to place strong emphasis on: transparency during its project review; mitigation; adaptation; finance; technology transfer; National Communications (NCs); and capacity building.
3. On mitigation, the GEF has supported activities based on the Cancun Agreements. For biennial update reports (BURs) and NCs, the GEF Council approved a global program that supports non-Annex I Parties in strengthening their technical and institutional capacities to ensure effective preparations of BURs along with NCs. Regarding the provision of information on financial, technology, and capacity-building support available and/or provided for the preparation and/or implementation of Nationally Appropriate Mitigation Actions (NAMA), the GEF Secretariat has held several consultations with the UNFCCC Secretariat about how it can provide such information in line with development of the NAMA Registry prototype.
4. As the entity entrusted with the management of the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF), the GEF finances climate change adaptation in vulnerable developing countries. The GEF, through the LDCF, approved operational guidelines in support of the National Adaptation Plan (NAP) process in least developed countries, while it is providing additional support for the implementation of the least developed countries work program. The GEF CEO also approved a medium-sized project (MSP) aiming to strengthen institutional and technical capacities of LDCs for iterative development for comprehensive NAPs and to integrate climate change adaptation into their medium- and long-term development planning. The MSP targets 12 priority countries, while allowing all LDCs to benefit from training, tools and information to launch their NAP processes.
5. The GEF, with the means at its disposal and in line with GEF procedures, is ready to continue to support the operationalization and activities of the Climate Technology Center and Network (CTCN) in response to decision 2/CP.17. The GEF continues to support piloting and innovative projects for technology transfer and financing, including four regional climate technology transfer and financing centers, national level initiatives, a new project supporting Technology Needs Assessments (TNAs) in 24 low- and medium-income countries, and others. In addition to the 24-country project, the GEF's support for the Technology Needs Assessment within the Long-Term Implementation of the Poznan Strategic Program in FY 2013 includes the approvals of two national projects in China and South Africa.
6. As for NCs, the GEF has provided detailed, accurate, timely and complete information on its activities relating to the preparation of NCs by non-Annex I Parties. Annex 7 of this document provides information on the status of NCs from non-Annex I Parties, which was compiled by the Implementing Agencies (UNDP and UNEP) as of March 2013. The GEF will submit an addendum to this report, which updates the status, including the approximate dates of submission of NCs to the COP.
7. To help build local capacity, the GEF, along with its Agencies, continues to provide significant support to countries, including economies in transition. The GEF submitted a report to the UNFCCC on capacity building activities financed during the period from January 1, 2012 to December 31, 2012, in response to decision 2/CP.7. The GEF has provided \$138.1 million to support capacity building during that period, covering 11 of the 15 categories of capacity building as defined by UNFCCC.

Achievements of the GEF

8. On climate change mitigation, the GEF has funded 639 projects on climate change mitigation since its inception in 1991, with \$4.0 billion² in GEF funding in 156 developing countries and economies in transition, attracting co-financing of \$27.2 billion. Most of these projects were financed from the GEF Trust Fund. During the reporting period, the GEF allocated \$408.7 million to 68 projects in the climate change mitigation focal area. This GEF investment leveraged an additional \$3.0 billion in outside funding, resulting in a co-financing ratio of 1 (GEF) to 7.3 (co-financing). The 68 mitigation projects are expected to mitigate 510 Megatons (Mt) of Carbon Dioxide Equivalent (CO₂ eq) directly and indirectly over their lifetime, satisfying the cumulative Greenhouse Gas (GHG) mitigation target of 500 Mt CO₂ eq set for GEF-5.³
9. For adaptation, between July 1, 2012 and June 30, 2013, LDCF resources amounting to \$271.4 million, were approved for 41 projects and programs, and two additional National Adaptation Programs of Action (NAPAs) were completed. Since inception, \$603.4 million had been approved for projects, programs, and enabling activities to meet this mandate. The GEF, through the LDCF, has financed the preparation of 50 NAPAs, of which 49 have been completed.⁴ Forty-seven countries have officially submitted NAPA implementation projects for approval by the LDCF/SCCF Council or the GEF CEO. As of June 30, 2013, cumulative pledges to the LDCF amounted to \$748.1 million.
10. The grants from the Special Climate Change Fund window for Adaptation (SCCF-A) amounting to \$39.1 million were approved for six stand-alone projects, two multi-trust fund projects and one programmatic approach. The GEF, through SCCF-A, had provided \$200.2 million for adaptation projects. Fifty projects had been approved for funding, mobilizing \$1.5 billion in co-financing. The SCCF remains the only multilateral source of adaptation finance open to all developing country parties to the UNFCCC. As of June 30, 2013, \$328.1 million had been pledged to SCCF-A.
11. The transfer of low-carbon and climate-resilient technologies has been a key cross-cutting theme for the GEF since its establishment, and the GEF continues to support the technology transfer activities. Under support for Climate Technology Centers and a Climate Technology Network, the GEF continues to support piloting and innovative projects for technology transfer and financing, including four regional climate technology transfers and financing centers with \$51.8 million in GEF Trust Fund funding and Special Climate Change Fund window for Technology Transfer (SCCF-B) combined. Of the 14 Technology Transfer Pilot projects within the Poznan Strategic Program on Technology Transfer, nine have been endorsed, while three have been cancelled upon countries' request. During the reporting period, for climate mitigation, 71 projects with technology transfer objectives were approved with \$427.7 million of GEF funding. Progress has been made within the TNA project, in which 36 countries are currently participating. The GEF Council approved two national projects in China and South Africa focusing on the preparation of NCs and BURs that include activities to update existing TNAs in these countries.
12. During the calendar year 2012, 44 climate change mitigation projects that were GEF CEO-endorsed included activity components on capacity building. The total GEF amount for these components is \$114.6 million. For adaptation, projects financed under the LDCF and the SCCF consistently include distinct components for capacity building, in addition to capacity building activities embedded under other components. All 113 projects approved under the LDCF as of June 30, 2013, and 51 projects under SCCF-A, include components or subcomponents on capacity building.
13. Since its inception, the GEF has funded 312 enabling activity (EA) projects with \$340.9 million total in funding. In particular, the GEF continues to provide full-cost funding for NCs and BURs, while all requests to support NCs have been met by the GEF. During the reporting period, the GEF has financed, through the GEF Trust Fund, 10 EA projects, in the amount of \$46.1 million. In addition, the LDCF has financed two new NAPAs in the amount of \$0.4 million.

² All dollar amounts are in U.S. dollars.

³ GEF-5 spans July 1, 2010 to June 30, 2014.

⁴ Two of the NAPAs completed are by Cape Verde and Maldives, countries which during the reporting period were no longer classified as LDCs. During the reporting period, South Sudan became officially recognized as a LDC.

14. Under the GEF's Results-Based Management (RBM) System, for climate change mitigation, 212 projects, including 167 Full-sized Projects (FSPs) and 45 Medium-sized Projects (MSPs), were rated on their performance towards meeting the project's overall global environment/development objective and implementation progress. Eighty percent of the projects were rated "Moderately Satisfactory" or above in the likelihood of achieving project development objectives. On the progress towards implementation, 78 percent were ranked "Moderately Satisfactory" or above. Both ratings met the target set by the GEF Council of at least 75 percent moderately satisfactory or above. The FY 2012 Annual Monitoring Report (AMR) for the LDCF and the SCCF provides performance ratings for 23 active projects under the LDCF and 14 projects under SCCF-A. Twenty-one of the projects under the LDCF were rated "Moderately Satisfactory" or better in terms of their progress towards achieving adaptation objectives, representing 91 percent of all projects starting implementation on or before June 30, 2012. Under SCCF-A, all projects were rated as "Moderately Satisfactory" or better in terms of progress towards achieving adaptation objectives.

GEF Initiatives during the Reporting Period

15. Negotiations for the sixth GEF replenishment (GEF-6, from July 2014 through June 2018) began, with the first meeting taking place in Paris, France, 3–4 April 2013. The first meeting was attended by 29 donor countries, 4 representatives of non-donor recipient countries, 2 representatives of civil society, GEF agencies, the GEF Trustee, STAP, the GEF Evaluation Office, and the GEF Secretariat. The First Report of the Fifth Overall Performance Study (OPS5) of the GEF was discussed at the first replenishment meeting.
16. A process to develop a long-term strategy for the GEF, known as GEF2020, was launched by the GEF Secretariat in February 2013. A final draft strategy is expected to be presented at the November 2013 GEF Council Meeting.
17. As an entity set up to finance the Climate Convention, the Biodiversity Convention, the Stockholm Convention on Persistent Organic Pollutants, and other environmental agreements, with an understanding of the environmental issues and linkages among them, the GEF has an ability to direct funds strategically to optimally leverage various environmental co-benefits and synergies. During GEF-5, a number of projects and programs seeking to achieve multiple global environmental benefits (GEBs) have been supported by combining resources from several focal areas to achieve greater impact. The GEF-6 Strategy proposes a series of signature pilot programs to deliver integrated approaches that address significant but discrete challenges facing the global environmental commons.
18. Under its private sector engagement strategy, the GEF has worked with multi-lateral development banks (MDBs) to develop public-private partnership (PPP) programs that make investments in private sector partners for activities that will generate GEBs. In prior periods, the GEF Council approved two regional PPP programs as the first to access the GEF-5 private sector set-aside. In the current period, the GEF Council has approved two additional PPP programs.

Introduction

19. The Global Environment Facility (GEF) prepared this report for the nineteenth session of the Conference of the Parties (COP 19) to the United Nations Framework Convention on Climate Change (UNFCCC).
20. The report consists of three parts and nine annexes.
21. Part I summarizes the GEF response to COP 18 decisions and conclusions of the Subsidiary Body for Implementation (SBI) 37.
22. Part II describes project activities funded by the GEF since its establishment in 1991 to date, including the activities approved and conducted by the GEF during the reporting period, fiscal year (FY) 2013, from July 1, 2012 to June 30, 2013. These include climate change mitigation, climate change adaptation, technology transfer, enabling activities and capacity building funded from the GEF Trust Fund, the Least Developed Countries Fund (LDCF), and the Special Climate Change Fund (SCCF).
23. Part III of the report provides initiatives that the GEF conducted during the reporting period to deliver global environmental benefits (GEBs)⁵ as well as adaptation benefits in the area of climate change.
24. The nine annexes to the report cover: (i) list of FY 2013 projects and programs under the GEF Trust Fund; (ii) list of FY 2013 projects and programs under the LDCF and the SCCF; (iii) summaries of FY 2013 projects and programs under the GEF Trust Fund; (iv) summaries of FY 2013 projects and programs under the LDCF and the SCCF; (v) climate change technology transfer projects supported in line with the Long-Term Program on Technology Transfer; (vi) implementation of the Poznan Strategic Program on Technology Transfer; (vii) the status of National Communications (NCs) from Parties not included in Annex I of the convention; (viii) status of resources approved by the GEF Secretariat for the preparation of the Biennial Update Reports (BURs); and (ix) the status report on the LDCF and the SCCF.

⁵ Definitions of GEBs in GEF investments are available at <http://www.thegef.org/gef/GEB>.

Part I: GEF Response to Convention Guidance

1. Introduction

25. The GEF is an operating entity of the financial mechanism of the UNFCCC. Since the start of the Convention, guidance to the GEF has been provided within the context of the overall guidance to the financial mechanism. Since the GEF's inception, the number of COP decisions that provide guidance to the GEF, including to the LDCE and the SCCF, totals 63, through 169 paragraphs that provide direct guidance to the GEF. The COP, at its eighteenth session, provided guidance to the GEF with eight decisions, through 17 paragraphs with specific guidance for the GEF.
26. The GEF has continued to be responsive to COP guidance by incorporating it into its climate change mitigation and adaptation strategies, by approving projects and programs, and by adapting its policies and procedures.
27. The GEF has also increased its efforts at the country level to promote consultations among the GEF Secretariat and the UNFCCC focal points. Many of the focal points are part of GEF national committees and of the decision-making process of prioritization exercises. Further, the GEF has communicated with the UNFCCC focal points through the GEF Familiarization Seminar (January 30–February 1, 2013), where the GEF was introduced to newcomers to the GEF partnership, and through the 15 Expanded Constituency Workshops (ECWs)⁶ which covered 159 countries.

Enhancing Communication with the UNFCCC Secretariat

28. The GEF has enhanced its communication with the UNFCCC Secretariat in its effort to be responsive to Convention guidance. The GEF continues to closely follow the UNFCCC process and to emphasize enhanced collaboration with the UNFCCC Secretariat. Examples include the following:
 - (a) The GEF continues to report regularly to the COP as well as SBI. During the reporting period, the GEF has delivered written submissions responding to a number of requests, in addition to the annual report to the COP.
 - (b) The GEF Secretariat participated in COP 18 in Doha, Qatar, from November 26 to December 8, 2012. Highlights of GEF activities during the COP included: a side event on GEF Innovation and Reform – Meet the New GEF CEO; Adaptation Practitioners Days; Dialogue between the GEF CEO and Civil Society; and High Level Event on Technology Transfer and Finance co-organized by the Asian Development Bank.
 - (c) The GEF Secretariat and the UNFCCC Secretariat held a joint retreat on 16 and 17 May 2013 by video conference to discuss themes of mutual interest, including: strategic cooperation between the two institutions, 2015 Global Climate Agreement, Fifth Overall Performance Study of the GEF (OPS5), GEF-6 replenishment (Programming directions and financial outlook), GEF 2020 Strategy, financial mechanism issues, mitigation, adaptation, technology transfer, NCs, and capacity development.
 - (d) The GEF Secretariat participated as an observer organization in the fourth and fifth Technology Executive Committee (TEC) meetings held September 6–8, 2012 in Bangkok, Thailand; and March 26–27, 2013 in Bonn, Germany.
 - (e) The GEF Secretariat participated in the 22nd Meeting of the Least Developed Countries Expert Group (LEG) in

⁶ In the reporting period, the GEF held the ECWs in: (1) Nadi, Fiji (July 2012); (2) Maputo, Mozambique (August 2012); (3) Abidjan, Cote d'Ivoire (September 2012); (4) Yerevan, Armenia (September 2012); (5) Arusha, Tanzania (October 2012); (6) Delhi, India (November, 2012); (7) Antalya, Turkey (December 2012); (8) Tela, Atlantida, Honduras (February 2013); (9) Dakar, Senegal (March 2013); (10) Siem Reap, Cambodia (March 2013); (11) Santiago, Chile (April 2013); (12) Dushanbe, Tajikistan (April 2013); (13) Kigali, Rwanda (May 2013); (14) Berne, Switzerland (May 2013); and (15) Brazzaville, Congo Republic (June, 2013).

Funafuti, Tuvalu, September 26–29, 2012, as well as the ensuing LEG regional training workshop for Pacific least developed countries (LDCs). The GEF Secretariat also participated in the 23rd Meeting of the LEG that took place in Lomé, Togo, March 15–16, 2013, as well as the ensuing LEG regional training workshop for Francophone LDCs.

- (f) The GEF Secretariat has continued to collaborate with the UNFCCC Secretariat on the finance portal,⁷ presenting information on the funding flows via the GEF in order to assist the intergovernmental process.
 - (g) The GEF Secretariat participated in the second meeting of the Adaptation Committee held on March 5–8, 2013 in Bonn, Germany.
 - (h) The GEF Secretariat participated in four meetings of the Standing Committee on Finance, including the first meeting in Bangkok, Thailand held September 6–8, 2012; the second meeting in Cape Town, South Africa held October 4–6, 2012; the third meeting in Bonn, Germany held March 8–10, 2013; and the fourth meeting in Bonn, Germany held June 15–17, 2013. In addition, the GEF Secretariat participated in the first Forum of the Standing Committee on Finance held May 28, 2013 in Barcelona, Spain.
 - (i) The GEF Secretariat participated in the 2nd meeting of the Durban Forum on Capacity-Building which took place during the Climate Change Conference held June 3–14, 2013 in Bonn, Germany.
 - (j) The UNFCCC Secretariat provided developments of interest to the GEF during the GEF Council in November 2012 and June 2013.
29. Since January 2012, following COP17 guidance,⁸ the UNFCCC Secretariat and the GEF Secretariat collaborated to establish and operate the Interim Secretariat of the Green Climate Fund (GCF) at the premises of the UNFCCC Secretariat in Bonn. Since then, the Interim Secretariat has carried out numerous activities, examples of which include:
- (a) Preparing the ground for the activities of the GCF Board;
 - (b) Preparing documentation for the four meetings (Geneva, August 23–25, 2012; Songdo, Republic of Korea, October 18–20, 2012; Berlin, Germany, March 13–15, 2013; and Songdo, Republic of Korea, June 25–28, 2013);
 - (c) Organizing and managing the four above-mentioned meetings of GCF Board;
 - (d) Supporting the Board in the recruitment of the Executive Director of the permanent Secretariat of the GCF;
 - (e) Facilitating the host country agreement between Republic of Korea and the Board for the permanent Secretariat to be hosted in Songdo; and,
 - (f) Participating in the meeting for the development of the business model framework of the GCF held May 7–11, 2013 in Bonn, Germany.

⁷ The finance portal is available on the UNFCCC website:
<http://unfccc.int/pls/apex/f?p=116:1:257226337886478>

⁸ Decision 3/CP.17

2. COP 18 Guidance and SBI 37 Conclusions⁹

30. The COP, at its eighteenth session, provided guidance to the GEF in decisions 9, 10, 12, 13, 14, 15, 16, and 21, including specific guidance to the GEF on the LDCF and SCCF. The SBI 37 conclusions also contain relevant guidance for the GEF. The following sections describe the GEF's response to the COP 18 guidance and SBI 37 conclusions.

a. Global Environment Facility Reports to the Conference of the Parties

a.1. Annual Report of the Global Environment Facility

COP 18 guidance

31. UNFCCC COP decision 9/CP.18, *Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility*, paragraph 6, requests the GEF, as an operating entity of the financial mechanism of the Convention, to make its annual report to the COP available as early as possible and no later than 14 weeks prior to a session of the COP, for consideration by Parties.

GEF response

32. The GEF continues to make every attempt to make the report available to the Parties in a timely manner.¹⁰

a.2. Report of the Global Environment Facility on the Status of Resources

COP 18 guidance

33. UNFCCC COP decision 9/CP.18, paragraph 3, invites the GEF, as an operating entity of the financial mechanism of the Convention, to submit to the SBI 38, through the UNFCCC 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.

GEF response

34. The GEF secretariat has submitted the report, dated 28 March 2013, to the SBI 38 through the UNFCCC secretariat. Moreover, the GEF has since issued, for the June 2013 Council of the GEF, a report on GEF-5 Programming (document GEF/C.44/07)¹¹ with updated figures, which describes that actions taken by a number of donors to release their deferred contributions, together with timely payment of installments from Contributing Participants, have reduced the potential shortfall.

b. Climate Change Mitigation

b.1. Biennial Update Reports

COP 18 guidance

35. Decision 9/CP.18, paragraph 1, requests the GEF: (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 Program, 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. In addition, paragraph 2 requests the GEF to report on the steps taken to implement the guidance in paragraph 1.

⁹ No guidance to the GEF was provided at SBI 38.

¹⁰ Fourteen weeks prior to the 2013 session of the Conference of the Parties is August 5, 2013.

¹¹ <http://www.thegef.org/gef/meetingdocs/97/454>

SBI Conclusions

36. Under SBI 37 agenda item 4(c), paragraph 35, the SBI invites 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. The SBI also recommends, in paragraph 39, that the COP at its eighteenth session requests 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 Program, 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, and it invited the GEF to report on this matter in its report to the COP at its nineteenth session.

GEF response

38. The GEF finances BURs through the same financing modality used for NCs. The GEF has prepared policy guidelines for the financing of BURs for non-Annex I Parties, which were distributed to all Parties in early 2012. The policy guidelines provide that, for the BURs, non-Annex I Parties can access up to \$352,000 through a GEF Agency or by direct access. The System for Transparent Allocation of Resources (STAR)¹² allocation can be used for additional support required, including subsequent BURs. All requests for NCs and BURs have been financed.
39. The GEF Council in November 2012 approved the project titled *Global Support Program for Preparation of National Communications and Biennial Update Reports for non-Annex I Parties under the UNFCCC*. This project supports non-Annex I Parties to strengthen their technical and institutional capacities to ensure effective preparations of the BURs along with the NCs. The list of BURs supported in FY 2013 is provided in Table 1. Three projects listed (Brazil, China and South Africa) include both National Communication and Biennial Update Report preparations. The GEF has also submitted to SBI 38 a report on the status of request for resources for BURs (please refer to Annex 8).

Table 1
Biennial Update Reports Supported in FY 2013

| GEF ID | Country | Agency | Title | GEF Amount (\$millions) | Co-financing (\$ millions) | Total (\$ millions) |
|--------|---------------------|--------|---|-------------------------|----------------------------|---------------------|
| 5441 | Azerbaijan | UNDP | Azerbaijan's First Biennial Update Report | 0.4 | 0.1 | 0.4 |
| 5378 | Brazil ^a | UNDP | Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC) | 8.2 | 22.7 | 31.0 |
| 4882 | China ^b | UNDP | Enabling China to Prepare Its Third National Communication (3NC) and Biennial Update Report to the UNFCCC | 8.0 | 0.9 | 8.9 |
| 5445 | Ghana | UNEP | Preparation of Ghana's Initial Biennial Update Report to UNFCCC | 0.4 | 0.0 | 0.4 |
| 5415 | Lebanon | UNDP | Lebanon's First Biennial Update Reporting | 0.4 | 0.0 | 0.4 |
| 5369 | Macedonia | UNDP | Macedonia's First Biennial Update Report | 0.4 | 0.1 | 0.5 |
| 5413 | Mexico | UNDP | Biennial Update Report 2014 to the UNFCCC | 0.4 | 0.3 | 0.7 |

¹² On the STAR, please see paragraph 88.

| GEF ID | Country | Agency | Title | GEF Amount (\$ millions) | Co-financing (\$ millions) | Total (\$ millions) |
|--------------|---------------------------|--------|--|--------------------------|----------------------------|---------------------|
| 5237 | South Africa ^c | UNEP | Enabling South Africa to Prepare Its Third National Communication (3NC) and Biennial Update Report to the UNFCCC | 4.4 | 1.4 | 5.7 |
| 5207 | Uruguay | UNDP | Uruguay's First Biennial Update Report (FBUR) | 0.4 | 0.1 | 0.4 |
| Total | | | | 22.8 | 25.6 | 48.4 |

^a Brazil full size project includes preparation of one NC and two BURs.

^b China full size project includes preparation of one NC and one BUR

^c South Africa full size project includes preparation of one NC and one BUR.

b.2. Prototype Registry for Nationally Appropriate Mitigation Actions

COP 18 guidance

40. UNFCCC COP decision 16/CP.18, *Prototype of the registry*, paragraph 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.

GEF response

41. The GEF has been providing support for the preparation and/or implementation of nationally appropriate mitigation actions (NAMAs) through its regular financing of climate change mitigation projects endorsed by the developing country parties. Countries can access resources through their STAR allocations under GEF-5 (2010–2014) replenishment period for NAMAs support. During this reporting period, the GEF Council has approved three projects explicitly focusing on NAMAs based on country's assessment (Table 2). These projects feature the development of the NAMA architecture, formation of institutional frameworks for NAMAs, support for their actual implementation, capacity building, and monitoring, verification and reporting. The summaries of these projects have been provided in Annex 3.
42. Regarding the provision of information on financial, technology and capacity-building support available and/or provided for the preparation and/or implementation of NAMAs, the GEF Secretariat has held several consultations with the UNFCCC Secretariat about how the GEF can provide such information in line with development of the NAMA Registry prototype. As the Registry template is for individual countries to prepare and submit, the GEF Secretariat has indicated to the UNFCCC Secretariat its readiness to provide support-related information.

Table 2

Nationally Appropriate Mitigation Actions Projects for FY 2013

| GEF ID | Country | Agency | Title | GEF Amount (\$ millions) | Co-financing (\$ millions) | Total (\$ millions) |
|--------------|------------|--------|--|--------------------------|----------------------------|---------------------|
| 5291 | Azerbaijan | UNDP | Nationally Appropriate Mitigation Actions (NAMAs) for Low-carbon End-use Sectors in Azerbaijan | 4.0 | 34.0 | 38.0 |
| 5059 | Kazakhstan | UNDP | Nationally Appropriate Mitigation Actions for Low-carbon Urban Development | 6.7 | 60.0 | 66.7 |
| 5340 | Tunisia | UNDP | NAMA Support for the Tunisian Solar Plan | 4.0 | 63.9 | 67.9 |
| Total | | | | 14.7 | 157.9 | 172.6 |

c. Climate Change Adaptation

c.1. National Adaptation Plan Process

COP 18 guidance

43. UNFCCC COP decision 12/CP.18, *National adaptation plans*, paragraph 1, requests the GEF, as the operating entity of the financial mechanism of the Convention for the operation of the LDCF, to enable activities for the preparation of the national adaptation plan (NAP) process by the LDC Parties. The operating entity is requested:
- (a) As a first step under the NAP process, to provide funding from the LDCF, to meet the agreed full cost, as appropriate, of activities to enable the preparation of the NAP 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 LDC work program, including national adaptation programs of action (NAPAs);
 - (c) To encourage a flexible approach that enables the LDC Parties to access funding for components of the NAP process as identified by the LDC Parties in response to national needs and circumstances.
44. In paragraph 4, the COP also requests the GEF, as an operating entity of the financial mechanism of the Convention, through the SCCF, to consider how to enable activities for the preparation of the national adaptation plan process for interested developing country Parties that are not LDC Parties, as it requested the GEF, through the LDCF, to consider how to enable activities for the preparation of the NAP process for the LDC Parties in decision 5/CP.17, paragraph 22. This request was also made in decision 9/CP.18, paragraph 1(c).
45. The COP further requests the GEF to include in its report to the COP information on the steps it has undertaken to implement the provisions of decision 12/CP.18 (paragraph 2).

SBI 37 conclusions

46. Under SBI 37 agenda item 9(a) and (b), *National adaptation plans* (FCCC/SBI/2012/L.41), the SBI noted the identification by the Least Developed Countries Expert Group (LEG) of support needs of the LDCs for the formulation and implementation of NAPs, and urged the GEF, its Agencies and other relevant organizations to take the identified support needs into account in their efforts to support LDC Parties in undertaking the NAP process (paragraph 3).
47. The SBI also looked forward to the operationalization, no later than its thirty-ninth session, of the provision of support to LDC Parties for the national adaptation plan process under the LDCF and looked forward to the operationalization of the provision of support to non-LDC Parties for the national adaptation plan process under the SCCF (paragraphs 6–7).

GEF response

48. The LDCF/SCCF Council, at its 44th meeting on June 20, 2013, approved the document GEF/LDCF.SCCF.14/06, *Operationalizing Support to the Preparation of the National Adaptation Plan Process in Response to Guidance from the UNFCCC COP* as a basis for supporting, operationally, the national adaptation plan process in eligible developing countries. The document introduces the GEF's approach to operationalizing support towards the preparation of the NAP process, in accordance with guidance provided by the COP at its eighteenth session. The document defines the objectives, principles, scope and modalities for GEF support, through the LDCF and the SCCF, for the preparation of the NAP process.
49. Recognizing that developing countries find themselves in very different stages of identifying and addressing their medium- and long-term adaptation needs, the GEF has adopted a flexible approach, tailored to their diverse needs and circumstances. In particular, while the NAP process may entail the development of a plan or plans, any

support provided by the GEF, through the LDCF and the SCCF, for the NAP process would differ from past LDCF financing towards the preparation of NAPAs both in its objectives and its scope. In addition, any financing provided through the LDCF and the SCCF in support of the NAP process would be closely coordinated with and complementary to other relevant initiatives, as well as to other sources of multi-lateral and bi-lateral support.

50. As per the decision adopted by the LDCF/SCCF Council, eligible developing countries may access resources in support of the preparation of the NAP process, in line with the objectives, principles and scope defined in the above document; through medium-sized projects (MSP), full-sized projects (FSP), and programmatic approaches.¹³ The GEF, through the LDCF and the SCCF, may finance projects and programs that combine technical assistance towards the NAP process, through specific components, with tangible investments carried out in line with relevant national priorities and the mandate of each Fund. The GEF may also support targeted initiatives dedicated to key elements of the NAP process, in accordance with country demand.
51. In May 2013, the GEF CEO approved an MSP entitled Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs) (GEF ID: 5320, Annex 4), aiming to strengthen institutional and technical capacities for iterative development of NAPs and to allow LDCs to integrate climate change adaptation into their medium- and long-term development planning processes in a continuous, progressive and iterative manner (see also Annex 4 for summaries of LDCF and SCCF projects approved during the reporting period). The MSP targets 12 priority countries, while allowing all LDCs to benefit from training, tools and information to launch their NAP processes. Other developing countries may also take advantage of the tools and methodologies made available by the project.

c.2. Least Developed Countries Fund

COP 18 guidance

52. The COP, in decision 10/CP.18, *Further guidance to the Least Developed Countries Fund*, paragraph 5, requests the GEF, as an operating entity of the financial mechanism of the Convention entrusted with the operation of the LDCF:
- (a) To continue to support all activities contained in the LDC work program;
 - (b) To continue mobilizing resources to ensure the full implementation of the LDC work program, including the implementation of the elements of the work program other than NAPAs, 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 LDCF by the LDCs;
 - (d) To further enhance a country-driven process for the implementation of NAPA projects and the implementation of programmatic approaches;
 - (e) To continue raising awareness of the need for adequate and predictable resources under the LDCF to allow for the full implementation of the LDC work program, in particular NAPAs, as outlined in decision 5/CP.14, paragraph 8;
 - (f) To enhance communication with its Implementing Agencies on the updated operational guidelines for the LDCF (paragraph 5).
53. The COP also requests the GEF, in paragraph 6, 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 COP at its subsequent sessions.

¹³ As of January, 2013, GEF projects in the size of \$2 million or under are classified as MSPs; above \$2 million are considered as FSPs. The programmatic approach is discussed in paragraphs 85 and 97.

GEF response

54. In an information document prepared for the LDCF/SCCF Council in November 2012, the GEF provided information on its support towards elements of the LDC work program other than the preparation and implementation of NAPAs. The document also describes an approach towards supporting elements of the work program that have yet to be addressed in a comprehensive manner.¹⁴
55. With respect to strengthening the capacity of meteorological and hydrological services to collect, analyze, interpret and disseminate weather and climate information to support the implementation of NAPAs, the GEF, through the LDCF, has financed 16 projects in 15 LDCs that strengthen climate information services as the primary area of intervention, with total grant resources amounting to \$86.2 million, or 16 percent of total funding approved under the LDCF.
56. The GEF continues to support the demonstration, deployment and dissemination of relevant adaptation technologies through projects and programs carried out in support of the implementation of NAPAs. Of 71 LDCF projects that identify relevant objectives as per the 2010 results framework of the GEF Adaptation Program, 42 contribute directly towards technology transfer, with total grant resources for these projects amounting to \$85.52 million or 25 percent of the sample considered. Moreover, during its first two phases, the Technology Needs Assessment (TNA) Project, financed under the SCCF Program for Technology Transfer (SCCF-B), has supported the development of TNAs in 10 LDCs in Africa and Asia, under the Poznan Strategic Program (TNAs are further discussed in Part II, 4. Technology Transfer.)
57. Projects and programs financed under the LDCF systematically contribute towards public awareness and communication on matters pertaining to climate change, in accordance with country priorities. Similarly, LDCF projects have supported the establishment and development of mechanisms to oversee and promote regulatory support for climate change adaptation.
58. In order to address the remaining elements of the LDC work program, the GEF, in collaboration with LDC Parties and its Agencies, and in close coordination with LEG, has considered options for a global support program (GSP) that would seek to address relevant shortfalls in awareness, as well as in institutional and technical capacity with a view to improving the performance of LDCs in the implementation of the Convention.
59. As of June 30, 2013, 47 LDCs had accessed a total of \$591.4 million from the LDCF for 113 projects and programs in support of the implementation of their NAPAs. In total, \$603.4 million had been approved for NAPA preparation and implementation. At the end of the reporting period, the GEF, through the LDCF had supported three programmatic approaches with LDCF resources amounting to \$35.1 million.
60. The GEF continues to raise awareness of the need for adequate and predictable resources under the LDCF, particularly in the context of the preparation of an updated GEF Programming Strategy for Adaptation under the LDCF and the SCCF, which will form the basis for programming resources under the Funds from July 1, 2014 to June 30, 2018.
61. The GEF Secretariat continues to formally communicate with all its Agencies via monthly meetings, and reports of those meetings, including on updates to the operational guidelines of the LDCF. In addition, the GEF Secretariat has been requested by a number of Agencies to provide formal training to their staff, and the GEF Secretariat intends to meet those requests within the calendar year of 2013.

¹⁴ GEF/LDCF.SCCF.13/Inf.05,
<http://www.thegef.org/gef/sites/thegef.org/files/documents/Other%20elements%20of%20LDC%20Work%20Programme%20Oct%2016%20Final.pdf>

d. Technology Transfer

d.1. Operationalization and Activities of the Climate Technology Center and Network

COP 18 guidance

62. UNFCCC COP decision 14/CP.18, *Arrangements to make the Climate Technology Center and Network fully operational*, paragraph 15, reiterates that the financial support to the Climate Technology Center and Network (CTCN) shall be provided in accordance with decision 2/CP.17, paragraphs 139–141.

SBI 37 conclusions

63. Under SBI 37 agenda item 13, *Development and transfer of technologies*, the SBI:
- (a) stressed the need for the further implementation of the element of the Poznan strategic program on support for climate technology centers and a climate technology network, which should be aligned with, and support, the operationalization and activities of the CTCN, taking into account decision 2/CP.17, paragraph 140.
 - (b) 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.

GEF response

64. Updated information on GEF support to Climate Technology Centers and Network has been published in November 2012 as part of the GEF brochure “Implementing the Poznan Strategic and Long-Term Programs on Technology Transfer.”
65. Among the four Regional Projects for Climate Technology Transfer and Financing Centers approved by the GEF Council in May 2011 and June 2012 in line with the Long-Term Program on Technology Transfer, one project is already under implementation (“*Pilot Asia-Pacific Climate Technology Network and Finance Center*”, implemented by the Asian Development Bank (ADB) and UNEP), one project has been submitted for endorsement by the GEF CEO (“*Regional Climate Technology Transfer Center*”, implemented by EBRD), and the two remaining regional projects are still under project preparation. Efforts are underway to facilitate coordination and cooperation. More details are presented in paragraphs 142-144.
66. In addition to the piloting and innovative projects explained in previous GEF reports on the Poznan Program and its Long-Term Implementation, the GEF, with the means at its disposal and in line with GEF procedures, is ready to continue to support the operationalization and activities of the CTCN in response to decision 2/CP.17. During the reporting period, various piloting and technology transfer projects at the national level have been approved by the GEF Council, as summarized in Annex 5. During this reporting period, the GEF has not received formal CTCN project proposals with the primary objective to support the operationalization of the CTCN. The GEF will submit an addendum to this report, which will provide detailed information on the findings of its consultation with the CTCN.

d.2. Technology Needs Assessments

COP 18 guidance

67. UNFCCC COP decision 13/CP.18, paragraph 13, encourages the financial and business communities and funding sources under and outside the Convention to facilitate the funding for the implementation of technology needs assessments (TNAs) results.

SBI 37 Conclusions

68. Under SBI 37 agenda item 13, *Development and transfer of technologies*, paragraph 122, the SBI acknowledges the support provided by the GEF to assist 36 non-Annex I Parties in conducting their TNAs. It reiterates decision 11/CP.17, paragraph 2, in which the GEF is invited to continue to provide financial support to other non-Annex I

Parties, as appropriate, to conduct or update their TNAs. It invites 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.

GEF response

69. The progress made in supporting TNAs is described in Part II, *Technology Needs Assessments*, paragraphs 152-157, particularly in the development of pilot projects and TNAs, has highlighted the need to go beyond current practices to catalyze investments in technology transfer. The GEF Council has approved in April 2013 a project by UNEP supporting additional TNAs focusing on 24 low- and medium-income countries. This project takes into consideration the lessons learned from the ongoing Poznan-supported TNA project. In addition, during FY 2013, the GEF Council approved two national projects in China and South-Africa focusing on the preparation of NC and BUR that include activities to update or complement existing TNAs in these countries.

e. National Communications

SBI 37 conclusions

70. The SBI, under agenda item 4(c), paragraph 34, invites the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of NCs 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.

71. It also invites the GEF to continue providing information on the approximate date of completion of the draft NCs and an approximate date of submission to the UNFCCC Secretariat of the NCs, for consideration by the SBI at its thirty-eighth session.

72. In paragraph 39, the SBI encourages 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.

GEF response

73. The GEF has provided detailed, accurate, timely and complete information on its activities relating to the preparation of NCs by non-Annex I Parties. Annex 7 of this document provides information on the status of NCs from non-Annex I Parties, which was compiled by the Implementing Agencies (UNDP and UNEP) as of March 2013. The GEF will submit an addendum to this report, which updates the status, including the approximate date of submission to the COP.

74. The GEF continues to work with its Agencies to improve the effectiveness and efficiency of the process for countries to access resources to meet their obligations under Article 12, paragraph 1 of the Convention. For example, the GEF has established expedited procedures for an enabling activity project to meet obligations under the UNFCCC. The GEF continues to provide full-cost funding for NCs. All requests to support NCs have been met by the GEF. The GEF has set aside resources outside country allocations to support NCs and BURs. The GEF has expanded its options for countries to access resources for NCs. There are now four options, including: (i) working with a GEF Agency; (ii) being part of the UNEP umbrella project for NCs; (iii) by direct access from the GEF Secretariat; and, (iv) through a national allocation as a full-sized project.

f. Capacity Building

COP 18 guidance

75. Decision 21/CP.18, *Capacity-building under the Convention for countries with economies in transition*, paragraph 3, invited 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.

GEF response

76. The GEF, along with its Agencies, continues to provide significant support to countries for capacity building. Capacity building is a routine component in many GEF projects and programs, often with specific interventions. The GEF submitted a report to the UNFCCC on capacity building activities financed during the period from January 1, 2012 to December 31, 2012, in response to decision 2/CP.7. The GEF has provided \$138.1 million to support capacity building during that period, covering 11 of the 15 categories of capacity building as defined by UNFCCC.
77. The support that the GEF has provided specifically to countries with economies in transition for capacity building is shown in Table 3.

Table 3
Capacity Building for Countries with Economies in Transition

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>Capacity Building Amount (\$ millions)</i> |
|---------------|--------------------|---------------|---|---|
| 5372 | Belarus | UNDP | Belarus Green Cities: Supporting Green Urban Development in Small and Medium Sized Cities in Belarus | 0.0 |
| 5396 | Russian Federation | WB | National Urban Transport Improvement Project | 2.0 |
| 5293 | Russian Federation | UNIDO | Save the Source: Catalyzing Market Transformation of Breweries from a Major Natural Resource Consuming Industry to a Pro-active Steward for Resource Efficient Cleaner Production | 0.7 |
| 5104 | Russian Federation | UNDP | Sustainable Land Management and Ecosystem-based Climate Change Mitigation in the Altai-Sayan Ecoregion | 0.8 |
| 4913 | Ukraine | UNDP | Capacity Development: Integrating Rio Convention Provisions into Ukraine's National Environmental Policy Framework | 0.9 |
| Total | | | | 4.5 |

g. Support on Article 6 of the Convention

COP 18 guidance

78. Decision 15/CP.18, Doha work program on Article 6 of the Convention, paragraph 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.
79. It also requests the GEF, in paragraph 7, 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 program and to regularly report to the COP on the activities it has supported.

GEF response

80. Public awareness and education is often a key component of many GEF projects and thus through its regular financing of projects and programming, the GEF continues to provide resources for the implementation of Article

6. In many projects, there are components that specifically support distinct public awareness interventions. Public awareness interventions include media campaigns, targeted trainings, development of school and university curricula, and demonstration activities, among others, supported by the GEF through its projects.

81. One such project example is the recently financed project *Flood Control and Climate Resilience of Agriculture Infrastructure in Oueme Valley in Benin* (GEF ID: 5232, Annex 4). A component of this project includes implementing a public awareness campaign on the impacts of climate change and uncertainty management. The public awareness campaign will target local authorities, non-governmental organizations (NGOs) and civil society. Annex 3 and Annex 4 contain further information on projects in all regions with components that support Article 6 of the Convention.
82. The GEF has provided at least \$9.2 million for public awareness activities in calendar year 2012. Public participation is a key element and criterion for approval in all GEF projects. During the project preparation phase, resources are used to ensure public participation in GEF projects and that there is access to information generated by GEF projects. The GEF continues to work with its agencies to ensure that resources are allocated for Article 6 activities. Countries are encouraged to include activities related to Article 6 in their project proposals. The GEF also continues to work through its replenishment process to raise additional resources for Article 6 activities.

Part II. GEF Achievements

1. Introduction

83. Part II of this report describes the achievements of the GEF, focusing mainly on accomplishments during the reporting period, FY 2013, July 1 2012 to June 30, 2013. Part II contains the following sections: climate change mitigation; climate change adaptation; technology transfer; enabling activities and capacity building; and results-based management.
84. As an operating entity of the financial mechanism of the UNFCCC, the GEF provides financing to country-driven projects consistent with guidance from the COP on policies, program priorities, and eligibility criteria. Ten Agencies manage GEF financed projects.¹⁵
85. GEF support can be grouped into two main types: (a) projects that address a particular priority need; and (b) programs, which are a strategic combination of projects and activities with a common focus structured to build upon or complement one another to produce results that would not be possible through a project-by-project approach. Projects under parent programs are called “child” projects.
86. The GEF provides new and additional grant and concessional funding to meet the agreed incremental costs of measures to achieve agreed GEBs or the additional costs of measures to achieve adaptation benefits, in the case of the adaptation program. In addition to the GEF financing, co-financing is an essential part of GEF projects and programs. The types of co-financing include: grants, concessional or market-rate loans, credits, equity investments, and in-kind contribution. Co-financing is provided by the governments of the recipient countries, the private sector, the GEF Agencies, other multilateral and bilateral agencies, and NGOs.
87. Resources for the GEF Trust Fund are replenished every four years when countries that wish to contribute to the GEF Trust Fund pledge resources through a process called the “GEF Replenishment.” The fifth replenishment of the GEF Trust Fund (GEF-5) covers GEF operations and activities for the four years from July 1, 2010 through June 30, 2014. A results framework for each focal area, including climate change, complements each objective as elaborated in the strategies covering the GEF-5 period.
88. In GEF-5, three focal areas (climate change mitigation, biodiversity and land degradation) are covered under the System for Transparent Allocation of Resources (STAR). The STAR is a system that allocates resources to countries based on objective criteria in the focal areas. The main benefits of the STAR for countries are predictability of funding and flexibility in programming. The STAR is expected to enhance planning at the country level and to contribute to improving country ownership of GEF projects and programs.
89. For adaptation, the GEF now manages adaptation finance solely through the LDCF and the SCCF.¹⁶ In response to UNFCCC guidance, the GEF was entrusted with the management of the two funds in 2001.¹⁷ While the SCCF has four financing windows, adaptation constitutes the priority area for both the LDCF and the SCCF.

¹⁵ These are the Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development (EBRD), the Food and Agriculture Organization of the United Nations (FAO), the Inter-American Development Bank (IDB), the International Fund for Agricultural Development (IFAD), the United Nations Development Program (UNDP), the United Nations Environment Program (UNEP), the United Nations Industrial Development Organization (UNIDO), and the World Bank (WB).

¹⁶ The GEF also provides Secretariat services to the Adaptation Fund Board.

¹⁷ Decisions 5/CP.7 and Decision 7/CP.7

2. Climate Change Mitigation

a. Overview of GEF Support for Mitigation

90. Since its establishment in 1991, the GEF has been funding projects on climate change mitigation in developing countries and economies in transition all over the world. As of June 30, 2013, the GEF has funded 639 projects on climate change mitigation with \$4.0 billion GEF funding in 156 countries¹⁸ (see Table 4). Most of these were funded from the GEF Trust Fund, while five projects also included funding from the SCCF for technology transfer and/or adaptation. The GEF funding leveraged nearly \$27.2 billion from a variety of sources including GEF Agencies, national and local governments, multilateral and bilateral agencies, the private sector, and NGOs, with an average co-financing ratio of 1 to 6.7.

Table 4

GEF Projects on Climate Change Mitigation by Region (1991–2013)

| <i>Region</i> | <i>Number of Projects</i> | | <i>GEF Amount^a</i> | | <i>Co-financing</i> | | <i>Co-financing ratio</i> |
|---------------------------------|---------------------------|-------------|-------------------------------|-------------|---------------------|-------------|---------------------------|
| | | <i>%</i> | <i>\$ millions</i> | <i>%</i> | <i>\$ millions</i> | <i>%</i> | |
| Africa | 140 | 21.9% | 665.6 | 17% | 4,019.5 | 15% | 1:6.0 |
| Asia | 215 | 33.6% | 1,475.4 | 37% | 13,575.1 | 50% | 1:9.2 |
| Eastern Europe and Central Asia | 125 | 19.6% | 632.4 | 16% | 4,242.0 | 16% | 1:6.7 |
| Latin America and the Caribbean | 125 | 19.6% | 816.5 | 20% | 4,687.2 | 17% | 1:5.7 |
| Global | 34 | 5.3% | 443.6 | 11% | 667.2 | 2% | 1:1.5 |
| Total | 639 | 100% | 4,033.6 | 100% | 27,191.0 | 100% | 1:6.7 |

^a These amounts include all focal area contributions to climate change, including Agency fees. The total includes \$558 million from other focal areas. Parent programs were not counted. Child projects under parent programs were counted. However, PPPs are not considered as programs for reporting purposes.

91. These projects cover developing and transition countries in all the regions in a well-balanced manner throughout Asia, Africa, Latin America and the Caribbean, and Eastern Europe and Central Asia. In addition, there are 34 global projects which account for 5.3 percent of the overall climate change mitigation portfolio. All 10 GEF Agencies have participated in the implementation of these GEF climate change mitigation projects. UNDP, the World Bank (WB), UNEP, and UNIDO have the major shares of the portfolio, in the order of appearance, in terms of number of projects.

92. As shown in Table 4, among the 639 projects, the total share of energy efficiency and renewable energy projects combined is predominant, accounting for more than 50 percent of all projects in terms of funding, while the number of sustainable urban transport and Land Use, Land-Use Change, and Forestry (LULUCF) projects has shown rapid growth, especially during GEF-4.

93. Table 5 also provides GEF financing and co-financing for climate change mitigation by phase. GEF funding for climate change mitigation projects increased steadily from the GEF Pilot Phase to GEF-4. This trend is directly attributable to the increased importance that GEF-recipient countries place on climate change mitigation.

94. The GEF has supported technology transfer in climate change mitigation projects and programs. Overall, the GEF climate change mitigation portfolio can be characterized as supporting technology transfer as outlined by the COP. In Table 5, “Technology Transfer” is highlighted as the “special initiative of technology transfer” up to GEF-4 and “promoting innovative low-carbon technologies” in GEF-5. Table 5 shows that the technology transfer special initiative and projects that promote innovation have gained prominence in GEF-4 and GEF-5.

95. The number of “mixed” projects, or those which have multiple mitigation objectives (e.g. energy efficiency and renewable energy) shows an increasing trend. Out of 56 “mixed” projects, the combination of energy efficiency and renewable energy is prominent, accounting for 76 percent of the total GEF funding approved for these types of projects.

¹⁸ This includes individual projects in 147 countries and 9 additional countries participating in regional projects.

Table 5
GEF Projects on Climate Change Mitigation by Phase

| <i>Phase</i> | | <i>Technology Transfer/ innovative low-carbon technologies^a</i> | <i>Energy Efficiency</i> | <i>Renewable Energy</i> | <i>Transport /Urban</i> | <i>LULUCF</i> | <i>LULUCF & SFM/REDD+</i> | <i>Mixed^b</i> | <i>Small Grants Program^c</i> | <i>Others^d</i> | <i>Grand Total^e</i> |
|--------------------------|-----------------------------------|--|------------------------------|-----------------------------|-----------------------------|---------------|-----------------------------------|--------------------------|---|---------------------------|--------------------------------|
| GEF Pilot (1991-1994) | <i>Number of Projects</i> | 2 | 7 | 12 | 2 | 2 | - | 0 | - | 5 | 30 |
| | <i>GEF Amount (\$ millions)</i> | 10.1 | 33.3 | 94.5 | 9.0 | 4.0 | - | 0.0 | - | 48.5 | 199.4 |
| | <i>Co-financing (\$ millions)</i> | 0.1 | 341.2 | 1,848.0 | 2.0 | 0.1 | - | 0.0 | - | 145.9 | 2,337.2 |
| GEF-1 (1994-1998) | <i>Number of Projects</i> | 2 | 16 | 16 | 0 | 0 | - | 2 | - | 2 | 38 |
| | <i>GEF Amount (\$ millions)</i> | 8.2 | 133.7 | 150.8 | 0.0 | 0.0 | - | 12.3 | - | 14.3 | 319.2 |
| | <i>Co-financing (\$ millions)</i> | 6.2 | 575.7 | 892.8 | 0.0 | 0.0 | - | 64.6 | - | 29.9 | 1,569.2 |
| GEF-2 (1998-2002) | <i>Number of Projects</i> | 6 | 32 | 44 | 6 | 1 | - | 4 | - | 2 | 95 |
| | <i>GEF Amount (\$ millions)</i> | 102.3 | 189.9 | 229.1 | 30.4 | 0.9 | - | 13.6 | - | 12.1 | 578.4 |
| | <i>Co-financing (\$ millions)</i> | 204.4 | 1,321.6 | 1,120.0 | 28.3 | 1.0 | - | 151.5 | - | 20.1 | 2,846.9 |
| GEF-3 (2002-2006) | <i>Number of Projects</i> | 4 | 29 | 53 | 13 | 0 | - | 13 | - | 1 | 113 |
| | <i>GEF Amount (\$ millions)</i> | 64.6 | 228.2 | 273.1 | 88.9 | 0.0 | - | 73.9 | - | 3.7 | 732.5 |
| | <i>Co-financing (\$ millions)</i> | 128.9 | 1,258.9 | 1,488.9 | 847.5 | 0.0 | - | 486.5 | - | 5.1 | 4,215.8 |
| GEF-4 (2006-2010) | <i>Number of Projects</i> | 10 | 83 | 50 | 20 | 25 | - | 17 | 3 | - | 208 |
| | <i>GEF Amount (\$ millions)</i> | 55.2 | 384.9 | 123.2 | 111.3 | 122.1 | - | 62.6 | 62.7 | - | 921.9 |
| | <i>Co-financing (\$ millions)</i> | 174.6 | 2,894.9 | 961.5 | 1,571.4 | 774.0 | - | 419.9 | 43.0 | - | 6,839.3 |
| GEF-5 FY 2011 | <i>Number of Projects</i> | 6 | 2 | 0 | 1 | 0 | 2 | 1 | 6 | - | 18 |
| | <i>GEF Amount (\$ millions)</i> | 191.0 | 32.8 | 0.0 | 20.0 | 0.0 | 9.4 | 8.0 | 27.9 | - | 289.0 |
| | <i>Co-financing (\$ millions)</i> | 932.9 | 863.0 | 0.0 | 88.3 | 0.0 | 21.9 | 21.2 | 31.6 | - | 1,958.9 |
| GEF-5 FY 2012 | <i>Number of Projects</i> | 13 | 10 | 11 | 4 | 4 | 14 | 11 | 2 | - | 69 |
| | <i>GEF Amount (\$ millions)</i> | 104.0 | 90.4 | 34.3 | 20.4 | 16.5 | 189.4 | 86.7 | 42.8 | - | 584.4 |
| | <i>Co-financing (\$ millions)</i> | 534.2 | 1,526.0 | 164.9 | 365.1 | 45.6 | 843.6 | 918.0 | 41.0 | - | 4,438.4 |
| GEF-5 FY 2013 | <i>Number of Projects</i> | 12 | 6 | 19 | 6 | 2 | 14 | 8 | 1 | 0 | 68 |
| | <i>GEF Amount (\$ millions)</i> | 50.6 | 30.6 | 84.6 | 29.6 | 10.9 | 89.1 | 39.4 | 74.1 | - | 408.7 |
| | <i>Co-financing (\$ millions)</i> | 260.8 | 203.4 | 636.0 | 951.6 | 31.7 | 470.6 | 357.1 | 74.1 | - | 2,985.4 |
| Total | <i>Number of Projects</i> | 55 | 185 | 205 | 52 | 34 | 30 | 56 | 12 | 10 | 639 |
| | <i>GEF Amount (\$ millions)</i> | 586.0 | 1,123.7 | 989.6 | 309.6 | 154.4 | 287.9 | 296.4 | 207.4 | 78.6 | 4,033.6 |
| | <i>Co-financing (\$ millions)</i> | 2,242.0 | 8,984.7 | 7,112.2 | 3,854.2 | 852.4 | 1,336.1 | 2,418.8 | 189.7 | 201.0 | 27,191.0 |

^a "Technology Transfer" means special initiative of technology transfer up to GEF-4 and promoting innovative low-carbon technologies in GEF-5.

^b Mixed projects are projects with multiple climate change mitigation (CCM) objectives. Mixed projects with technology transfer components are categorized into "Technology Transfer."

^c In addition to 12 GEF SGPs on the table, there were 11 SGP projects from GEF Pilot to GEF-3 that have CCM objectives. However funding contributed from CCM was not recorded in these early periods. The total GEF amount for these projects is 261 million, and has leveraged 204 million of co-financing.

^d "Others" include seven projects related to methane and three projects related to fuel substitution. These are no longer GEF CC strategic objectives since GEF-4.

^e Two PPP projects in FY 2012 were mistakenly not reported in the GEF Report to COP 18. These projects are added in EE and mixed columns for GEF-5 FY 2012.

96. Since GEF-4, multi-focal area (MFA) projects have been prominent in the climate change mitigation portfolio. As shown in Table 5, the number of MFA projects and funding from other focal areas, including SFM/REDD+ Program, are noticeable, especially in GEF-5. In particular, “LULUCF” and “LULUCF&SFM/REDD+” sectors account for a large part of MFA projects. Synergies created through MFA projects are described in Part III, Section 3. Synergies across GEF Focal Areas and Trust Funds.

97. There is an increased use of programmatic approaches. Programmatic approaches are expected to achieve greater transformative, synergistic impacts than individual projects. To-date, the number of programs GEF financed in climate change mitigation are one in GEF-3, nine in GEF-4 and 11 in GEF-5. Since the programs are eventually implemented as multiple child projects, the numbers of funded programs are not included in Table 6 to avoid double-counting.

Table 6

Breakdown of GEF funding for Climate Change Mitigation Projects

| | <i>Number of Projects</i> | | | <i>GEF Amount (\$ millions)</i> | | | |
|-------------------|---------------------------------|---------------------|--------------|---------------------------------|---|---------------------------|--------------|
| | <i>CCM Stand-alone Projects</i> | <i>MFA Projects</i> | <i>Total</i> | <i>Funding from CCM</i> | <i>Funding from Other Focal Areas^a</i> | <i>Others^b</i> | <i>Total</i> |
| GEF-4 (2006-2010) | 183 | 25 | 208 | 712.3 | 105.7 | 103.9 | 921.9 |
| GEF-5 FY2011 | 8 | 10 | 18 | 139.4 | 129.0 | 20.7 | 289.0 |
| GEF-5 FY2012 | 41 | 28 | 69 | 336.6 | 187.1 | 60.7 | 584.4 |
| GEF-5 FY2013 | 45 | 23 | 68 | 280.7 | 121.6 | 6.4 | 408.7 |

^a Includes funding from SFM/REDD+ Program and SGP.

^b Includes LDCF/SCCF funding, project preparation grant and Agency fee.

98. In the GEF-5 Focal Area Strategies, the overall goal of the GEF in climate change mitigation is to support developing countries and economies in transition toward a low-carbon development path to slow growth in GHG emissions and contribute to the stabilization of GHG concentrations in the atmosphere. The key indicator for successful investments is tons of carbon dioxide equivalent (CO2 eq) avoided (both direct and indirect) over the investment or impact period of the projects.¹⁹ To achieve this goal, six strategic objectives have been identified: innovative low-carbon technologies, energy efficiency, renewable energy, sustainable transport and urban systems, LULUCF, and enabling activities. The objectives and expected outcomes are shown in Table 7.

99. The first objective focuses on innovative technologies at the stage of market demonstration or commercialization where technology push is still critical. The second to fifth objectives focus on technologies that are commercially available in the country but face barriers and require market pull to achieve widespread adoption and diffusion. The last objective is devoted to supporting enabling activities and capacity building under the UNFCCC.

b. Achievements during the Reporting Period

100. During the reporting period, FY 2013, July 1, 2012 to June 30, 2013, the GEF allocated \$408.7 million from the GEF Trust Fund and SCCF to 68 projects in the climate change focal area (see Table 5). These projects are expected to leverage approximately \$3.0 billion in co-financing, resulting in a co-financing ratio of 1 (GEF) to 7.3 (co-financing). Out of 68 projects, 11 were MSPs and the other 57 are full-sized projects FSPs. Furthermore, the GEF Council also approved three programs in FY 2013, including two public-private partnership (PPP) programs and one regional MFA program. Annex 1 lists the projects and programs approved in FY 2013. Annex 3 provides summaries of the approved projects and programs.

¹⁹ Based on the GEF Results-Based Management System, the GEF Agencies are required to monitor this indicator by using the Tracking Tools in implementing their projects.

Table 7

Climate Change Mitigation: Strategic Objectives and Results Framework

| <i>Climate Change Mitigation (CCM) Strategic Objectives</i> | <i>Expected Outcomes</i> |
|---|--|
| CCM-1: Innovative Low-Carbon Technologies: Promote the demonstration, deployment, and transfer of innovative low-carbon technologies | Outcome 1.1: Technologies successfully demonstrated, deployed, and transferred Outcome 1.2: Enabling policy environment and mechanisms created for technology transfer |
| CCM-2: Energy Efficiency: Promote market transformation for energy efficiency in industry and the building sector | Outcome 2.1: Appropriate policy, legal and regulatory frameworks adopted and enforced Outcome 2.2: Sustainable financing and delivery mechanisms established and operational |
| CCM-3: Renewable Energy: Promote investment in renewable energy technologies | Outcome 3.1: Favorable policy and regulatory environment created for renewable energy investments Outcome 3.2: Investment in renewable energy technologies increased |
| CCM-4: Transport/ Urban: Promote energy efficient, low-carbon transport and urban systems | Outcome 4.1: Sustainable transport and urban policy and regulatory frameworks adopted and implemented Outcome 4.2: Increased investment in less-GHG intensive transport and urban systems |
| CCM-5: LULUCF: Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change, and forestry | Outcome 5.1: Good management practices in LULUCF adopted both within the forest land and in the wider landscape Outcome 5.2: Restoration and enhancement of carbon stocks in forests and non-forest lands, including peatland |
| CCM-6: Enabling Activities: Support enabling activities and capacity building under the Convention | Outcome 6.1: Adequate resources allocated to support enabling activities under the Convention Outcome 6.2: Human and institutional capacity of recipient countries strengthened |

101. These projects are expected to avoid or sequester over 510 Mt CO₂ eq (both direct and indirect) in total over their lifetime, surpassing the overall GEF-5 target GHG emission reduction goal of 500 Mt CO₂ eq. Thus, a key indicator of success for GEF-5 is already expected to be surpassed with the FY 2013 investments made in the 68 projects.

102. The 68 projects approved during the reporting period are distributed across countries in four different regions. Twenty-one are in Asia and the Pacific, 18 are in Latin America and the Caribbean, 10 are in Europe and Central Asia, 17 are in Africa, while two are global projects. Regional distribution of GEF investments (\$408.7 million) is \$90.3 million (22.1 percent) for Latin America and the Caribbean, \$106.6 million (26.1 percent) for Asia and the Pacific, \$47.7 million (11.7 percent) for Europe and Central Asia, \$84.1 million (20.6 percent) for Africa, and \$80.1 million (19.6 percent) for global projects.

103. Of the 68 climate change mitigation projects, six projects predominantly focus on energy efficiency; 19 on renewable energy; six on sustainable transport and urban systems; two on LULUCF; 14 projects on LULUCF and SFM/REDD+; and 12 on technology transfer/innovative low-carbon technologies. In addition, there are eight projects that are classified as mixed because they support multiple mitigation objectives.

104. Of the 68 climate change mitigation projects, 23 projects are categorized into MFA projects including other strategic objectives for other focal areas such as biodiversity. In terms of the GEF financing during the reporting period, LULUCF and SFM/REDD+ is the largest sector in the climate change mitigation portfolio, which amounts to \$89.1 million. This is because all “LULUCF and SFM/REDD+” projects are categorized into MFA projects, which include GEF financing from other focal areas.

105. The projects are distributed over eight GEF Agencies. UNDP has the largest share in terms of number of projects. Out of the 68 approved projects, UNDP will implement 26 projects. This is followed by UNIDO (11 projects), UNEP (10 projects), FAO (six projects), World Bank (six projects) and IDB (five projects).

106. In addition to financing the implementation of projects, the GEF assists eligible countries in formulating and developing projects consistent with their national priorities, including those identified in their NCs. During the reporting period, the GEF provided a total of \$4.4 million of project preparation grants (PPGs) for the development of 43 of the 68 climate change mitigation projects from the GEF Trust Fund. The MFA program approved during the reporting period is financed from the GEF Trust Fund and LDCF.

c. GEF Support for Key Mitigation Sectors

107. In this sub-section, explanations are provided for climate change mitigation activities in key sectors supported by the GEF during the reporting period. Technology transfer is presented in Section 4, as it is a cross-cutting topic for mitigation and adaptation.

c.1. Energy Efficiency

108. The GEF relies on several general project models to remove existing barriers for energy efficiency. Projects in these models: (i) focus on policy and regulatory frameworks; (ii) develop standards and labeling programs; (iii) facilitate market transformation; (iv) capacity building; (v) establish local financial instruments; (vi) transfer high energy efficiency technologies; and (vii) focus on industry and building sectors.

109. During the reporting period, six standalone energy efficiency projects were approved with a total of \$30.6 million of GEF grant funding. This GEF funding has attracted co-financing of \$203.4 million. In addition, out of the eight mixed projects, seven projects include energy efficiency components. The above 13 energy efficiency projects cover the full spectrum of GEF energy efficiency project models.

110. Out of the six standalone energy efficiency projects approved during the reporting period, two aim to promote private sector investment in energy efficiency, three aim to facilitate market transformation for industrial energy efficiency improvement through energy service companies (ESCOs), and one project aims to promote and scale up climate-resilient, resource efficient technologies in a tropical island.

c.2. Renewable Energy

111. During the reporting period, the GEF supported 19 standalone renewable energy projects. The GEF allocation to these projects amounts to \$84.6 million. This funding has been supplemented by \$636.0 million in co-financing. In addition, out of the eight mixed projects, five projects included renewable energy components.

112. The renewable energy projects that the GEF funded during the reporting period promote investment in the following types of renewable energy technologies, including solar power, wind power, small hydropower, geothermal power and biomass energy. The portfolio for this reporting period is characterized by investment for not only on-grid renewable energy projects, but also decentralized production of both electric power and heat using these renewable energy technologies.

113. In addition, this portfolio focuses on the removal of barriers to renewable energy through (i) development of policy and regulatory framework; (ii) building technical and institutional capacity; and (iii) establishment of financial mechanisms for investment in the deployment and diffusion of renewable energy technologies.

c.3. Sustainable Transport and Urban Systems

114. During the reporting period, the GEF supported 10 projects that include components on sustainable transport and urban systems. The GEF allocation to these projects amounts to \$43.8 million. This funding has been supplemented by \$1 billion in co-financing.

115. It is noteworthy that five out of the 10 projects focus on integrated low-carbon urban systems at a city level beyond transport. These projects contribute to design and planning of integrated urban systems, city-wide energy efficiency improvement and green tourism. All five projects involve local governments as project partners. The other five projects will invest in sustainable transport, including urban mobility frameworks, low-carbon vehicles, and public transport infrastructure.

c.4. LULUCF, and LULUCF and SFM/REDD+ Program

116. During the reporting period, the GEF supported 17 projects and one program that explicitly contain the climate

change mitigation Land Use, Land-Use Change, and Forestry (LULUCF) objective and funding (Table 8). The GEF allocation to these projects amounts to \$174.1 million. This funding has been supplemented by \$576.4 million in co-financing.

117. During the reporting period, the GEF funds supported land and forest management practices targeted at reducing GHG emissions from deforestation and degradation; conservation and restoration of forest and peatland carbon stocks; and development and implementation of carbon monitoring systems. The funding through the program also supported policy formulation, and institutional and technical capacity building to address the drivers of land-use changes that cause GHG emissions. All but one LULUCF –related projects and the program are categorized as MFA that draw funds from the other GEF focal areas. Fourteen out of the 17 LULUCF-related projects accessed the SFM/REDD+ incentive to achieve multiple benefits from the forest systems included in the projects. LULUCF funding was also utilized for one GEF Small Grants Program (GEF SGP) project, and two projects that did not utilize the SFM/REDD+ incentives. A programmatic approach in the Pacific also addresses LULUCF objectives.
118. The LULUCF program under the climate change mitigation focal area provides a suitable avenue through which projects can leverage funds from other relevant GEF focal areas as well as access SFM/REDD+ incentives to achieve multiple environmental benefits, including carbon benefits. The projects approved under this program are designed to address multiple Conventions and geared towards generating carbon benefits from different ecosystems and production systems. Apart from policy support and financing management practices that favor GHG mitigation, the program also supports development of new or strengthening of existing measurement, reporting and verification (MRV) systems related to LULUCF emissions. In doing so, the program compliments and finances implementation of the national REDD and REDD+ strategies. These activities under the LULUCF program therefore help build a foundation for results-based finance for emissions from different land-use types.

Table 8
GEF-5 Funding for LULUCF-related Projects in FY 2013

| | <i>LULUCF</i> | <i>LULUCF & SFM/REDD+</i> | <i>Small Grants Program</i> | <i>Grand Total</i> |
|----------------------------------|---------------|-------------------------------|-----------------------------|--------------------|
| Number of Projects | 2 | 14 | 1 | 17 |
| GEF Funding (\$ millions) | | | | |
| CCM Funding | 1.8 | 30.2 | 27.8 | 59.8 |
| SFM/REDD+ Funding | 1.6 | 19.6 | 0.0 | 21.2 |
| Other Focal Area Funding | 5.6 | 37.7 | 46.3 | 89.6 |
| Others ^a | 1.9 | 1.6 | 0.0 | 3.5 |
| Total | 10.9 | 89.1 | 74.1 | 174.1 |

^a Includes LDCF/SCCF funding, project preparation grant and Agency fee.

d. Small Grants Program for Climate Change Mitigation

119. The GEF Small Grants Program (GEF SGP), implemented by UNDP on behalf of the GEF partnership, was launched at the time of the Earth Summit in 1992. Through its decentralized governance mechanism, the GEF SGP channels its support through civil society action by providing grants of up to \$50,000 directly to NGOs, community based organizations (CBOs) and indigenous peoples to undertake environmental projects.
120. Since 1992, the program has supported a cumulative total of more than 16,000 projects and strengthened more than 14,200 civil society groups in 125 countries, across all the GEF focal areas. In the climate change mitigation focal area, GEF SGP programming has supported more than 2,600 community-based climate change mitigation projects totaling \$71 million, leveraging a further \$52 million in cash co-financing, and \$42 million in in-kind contributions.
121. During the reporting period, the GEF SGP funded 224 projects on climate change mitigation. With a total budget in grants of \$ 7.8 million, the amount co-financed on cash and in-kind has amounted to \$ 6.7 million. A majority

(64 percent) of the projects were developed by NGOs while the remaining 36 percent were developed by CBOs. The projects belong to four categories: renewable energy; energy efficiency; sustainable transport; and carbon storage.

3. Climate Change Adaptation

a. Overview of GEF Support for Adaptation

122. As an entity entrusted with the operation of the financial mechanism of the UNFCCC, the GEF has played a pioneering role in supporting climate change adaptation. The GEF Operational Strategy of 1995²⁰ notes that “the strategic thrust of GEF financed climate change activities is to support sustainable measures that minimize climate change damage by reducing the risk, or the adverse effects, of climate change. The GEF will finance agreed and eligible enabling, mitigation, and adaptation activities in eligible recipient countries.” Initially, the GEF financed Stage I²¹ adaptation measures, particularly in the context of the formulation of NCs. From the beginning of its second replenishment in 1998, the GEF has financed six regional and global Stage II initiatives to build capacity for adaptation in vulnerable countries. Totalling some \$27 million in GEF grants, these early programs, such as the Assessments of Impacts and Adaptations to Climate Change (AIACC)²² and the Caribbean Planning for Adaptation to Climate Change (CPACC),²³ have been instrumental in preparing the ground for subsequent investments in adaptation.
123. In 2001, as part of the Marrakesh Accords, the COP decided to establish the Least Developed Countries Fund (LDCF) (decision 5/CP.7) and the Special Climate Change Fund (SCCF) (decision 7/CP.7). The GEF was entrusted with the management of the two funds, both of which were to prioritize climate change adaptation. The COP further requested the GEF to carry out pilot and demonstration projects to show how adaptation planning and assessment could be practically translated into projects that provide real benefits (decisions 6/CP.7; 27/CP.7). Accordingly, the Strategic Priority on Adaptation (SPA) was launched in 2005 as a \$50 million allocation within the GEF Trust Fund. The objective of SPA was to reduce vulnerability and to increase adaptive capacity to the adverse effects of climate change within the GEF focal areas.²⁴ Twenty-six innovative pilot projects were approved under SPA and initial lessons from the portfolio were captured in a 2010 evaluation.²⁵
124. As SPA resources have been fully allocated and SPA is completed, the GEF now finances adaptation solely through the LDCF and the SCCF. The LDCF was established to support the special needs of least developed countries (LDC), as enshrined in Article 4 of the UNFCCC and the LDC work program, with a priority to support the preparation and implementation of National Adaptation Programs of Action (NAPAs). The SCCF, in turn, was established to finance activities, programs and measures relating to climate change that are complementary to those funded by the climate change focal area of the GEF Trust Fund, and through bilateral and multilateral

²⁰ GEF Council document GEF/C.6/3 (September 1995).

²¹ In decision 11/CP.1, the COP noted that “(i) adaptation to the adverse effects of climate change, as defined by the Convention, will require short, medium and long term strategies which should be cost effective, take into account important socio-economic implications, and should be implemented on a stage-by-stage basis in developing countries that are Parties to the Convention. In the short term, the following stage is envisaged:

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

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

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

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

²² <http://www.aiaccproject.org/aiacc.html>

²³ <http://www.caricom.org/jsp/projects/macc%20project/cpacc.jsp>

²⁴ GEF Council document GEF/C.27/Inf.10 (October 2005).

²⁵ GEF Council document GEF/ME/C.39/4 (October 2010).

sources. While the SCCF has four financing windows,²⁶ adaptation was given top priority in accordance with COP guidance (decision 5/CP.9).

125. All adaptation projects and programs financed under SPA, the LDCF and the SCCF share the same guiding principles of country-drivenness, replicability, sustainability, stakeholder participation, and a specific focus on gender. These guiding principles are elaborated in relevant GEF policies, as well as in the programming principles and strategies that guide adaptation finance under SPA, the LDCF and the SCCF. Projects and programs supported through these mechanisms are designed based on the information and guidance provided in NCs and NAPAs, as well as other relevant assessments and action plans. These projects and programs are among the first to translate systematic and scientifically robust vulnerability assessments into concrete interventions that seek to enhance the resilience of core sectors such as agriculture and food security, water resources management, disaster risk management, public health, infrastructure development, and the sustainable management of ecosystems. These early initiatives have empowered developing countries to begin mainstreaming climate change adaptation across national and sub-national development policies, strategies and frameworks, and to safeguard some of the world's most vulnerable communities and individuals from the adverse effects of climate change.
126. More recently, following the guidance provided to the GEF by the COP concerning role of the LDCF and SCCF in the national adaptation plan process (decisions 12/CP.18, paragraphs 1 and 4), the GEF has taken steps to operationalize support towards the preparation of the NAP process, including defining the objectives, principles, scope and modalities for GEF support, through the LDCF and the SCCF, for the preparation of the NAP process in eligible developing countries.²⁷
127. The GEF applies a results-based management (RBM) framework for adaptation projects and programs financed under the LDCF and the SCCF. For adaptation, the two funds share the strategic goal of supporting developing countries to become climate resilient by integrating adaptation measures in development policies, plans, programs, projects and actions. Three strategic objectives guide efforts to achieve this goal; namely reducing vulnerability, increasing adaptive capacity, and promoting the transfer of adaptation technologies. The strategic objectives and their associated outcomes are shown in Table 9.

Table 9

Climate Change Adaptation: Strategic Objectives and Expected Outcomes

| <i>Climate Change Adaptation (CCA) Objective</i> | <i>Expected Outcomes</i> |
|--|---|
| CCA-1: Reducing Vulnerability: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level | <p>Outcome 1.1: Mainstreamed adaptation in broader development frameworks at country level and in targeted vulnerable areas</p> <p>Outcome 1.2: Reduced vulnerability to climate change in development sectors</p> <p>Outcome 1.3: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas</p> |
| CCA-2: Increasing Adaptive Capacity: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level | <p>Outcome 2.1: Increased knowledge and understanding of climate variability and change-induced threats at country level and in targeted vulnerable areas</p> <p>Outcome 2.2: Strengthened adaptive capacity to reduce risks to climate-induced economic losses</p> <p>Outcome 2.3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level</p> |
| CCA-3: Adaptation Technology Transfer: Promote transfer and adoption of adaptation technology | <p>Outcome 3.1: Successful demonstration, deployment, and transfer of relevant adaptation technology in targeted areas</p> <p>Outcome 3.2: Enhanced enabling environment to support adaptation-related technology transfer</p> |

²⁶ In accordance with COP guidance, the SCCF finances activities related to climate change that are complementary to those funded by the GEF in the following areas: (a) adaptation to climate change; (b) technology transfer; (c) energy, transport, industry, agriculture, forestry and waste management; and (d) economic diversification. COP 9 decided that adaptation activities to address the adverse impacts of climate change shall have top priority for funding and that technology transfer and its associated capacity building activities shall also be essential areas for funding.

²⁷ The document is available at <http://www.thegef.org/gef/meetingdocs/96/50>

b. Least Developed Countries Fund (LDCF)

Achievements since Inception

128. The LDCF was designed to address the special needs of LDCs under the UNFCCC, with the priority of supporting the preparation and implementation of NAPAs. At the end of the reporting period, \$603.4 million had been approved for projects, programs, and enabling activities to meet this mandate (see Figure 1). Since its inception, the GEF, through the LDCF, has financed the preparation of 50 NAPAs, of which 49 have been completed.²⁸ Forty-seven countries have officially submitted NAPA implementation projects for approval by the LDCF/SCCF Council or the GEF CEO.²⁹ One hundred and thirteen NAPA implementation projects and programs³⁰ in 47 countries have been approved for funding, totaling \$591.4 million and mobilizing \$2.7 billion in co-financing (see Table 10). As of June 30, 2013, cumulative pledges to the LDCF amounted to \$748.1 million, of which \$605.7 million had been received.

Figure 1
Cumulative Funding Approvals under the LDCF (as of June 30, 2013)

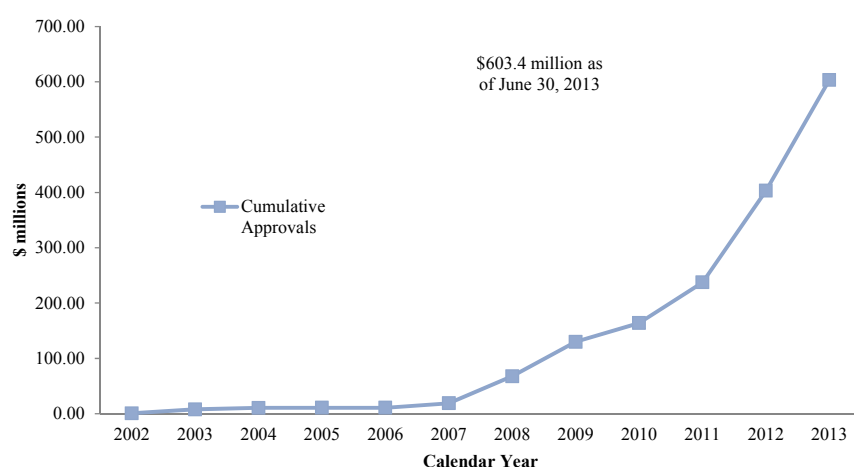


Table 10
Regional Distribution of Adaptation Projects and Programs under the LDCF to-date

| <i>Region</i> | <i>Number of Projects</i> | <i>LDCF Financing (\$ millions)</i> | <i>Co-financing (\$ millions)</i> |
|---------------------------------|---------------------------|-------------------------------------|-----------------------------------|
| Africa | 74 | 371.8 | 1,626.1 |
| Asia | 30 | 154.3 | 543.5 |
| Latin America and the Caribbean | 3 | 13.0 | 44.5 |
| Global and Regional | 6 | 52.3 | 441.5 |
| Grand Total | 113 | 591.4 | 2,655.7 |

Includes all medium- and full- sized programs approved under the LDCF.

129. Through the LDCF, the GEF and its partners have supported the world's most vulnerable countries in identifying their urgent and immediate adaptation needs, and to carry out tangible measures to address such needs. There is evidence of increase in speed of resource access as well as of scaling up. At the end of the reporting period, 11 of

²⁸ Two of the NAPAs completed are by Cape Verde and Maldives, countries which during the reporting period were no longer classified as LDCs. During the reporting period, South Sudan became officially recognized as a LDC.

²⁹ Support to the preparation of NAPAs is classified as an enabling activity. For purposes of this section, enabling activities are not shown in the summaries of projects and programs in Annex 4.

³⁰ In case of any child projects, only the parent program is counted.

the LDCs have exhausted the resources available to them to-date, under the equitable access principle. Projects had also grown in size, with the last ten approvals under the LDCF averaging \$7.3 million, compared with \$3.5 million for the first ten.

LDCF Achievements during the Reporting Period

130. During the reporting period, two additional NAPAs were completed (Myanmar and Somalia), bringing the total of completed NAPAs to 49. To date, the following countries have completed their NAPAs: Afghanistan, Angola, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Cape Verde, Central African Republic, Chad, Comoros, Democratic Republic of the Congo, Djibouti, Eritrea, Ethiopia, the Gambia, Guinea, Guinea Bissau, Haiti, Kiribati, Lao People’s Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Maldives, Mali, Mauritania, Mozambique, Myanmar, Nepal, Niger, Rwanda, Samoa, Sao Tomé and Príncipe, Senegal, Sierra Leone, Solomon Islands, Somalia, Sudan, Timor Leste, Togo, Tuvalu, Uganda, United Republic of Tanzania, Vanuatu, Yemen, and Zambia.

131. The LDCF portfolio has seen considerable growth during the reporting period. Between July 1, 2012 and June 30, 2013, LDCF resources amounting to \$271.4 million, were approved for 41 projects and programs compared to \$142.0 million and 27 for the previous year, respectively. These projects will mobilize approximately \$1.06 billion in co-financing from the governments of the recipient countries, GEF Agencies, other multilateral and bilateral agencies, and others, compared to \$650.4 million in co-financing leveraged during the previous year. List and summaries of the projects and programs approved in FY 2013 are presented in Annex 2 and 4, respectively. Out of the 41 projects and programs approved during the reporting period, 27 are in Africa, eight are in Asia, one is in the Caribbean (Haiti), and five are global or regional, as seen in Table 11.

132. In May 2013, the GEF CEO Approved a medium-sized project (MSP) entitled *Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)*, aiming to strengthen institutional and technical capacities to allow LDCs to integrate climate change adaptation into their medium- and long-term development planning processes in a continuous, progressive and iterative manner. The MSP targets 12 priority countries, while allowing all LDCs to benefit from training, tools and information to launch their NAP processes.

Table 11

Regional Distribution of Adaptation Projects and Programs Approved under the LDCF in FY 2013

| <i>Region</i> | <i>Number of Projects</i> | <i>LDCF Financing (\$ millions)</i> | <i>Co-financing (\$ millions)</i> |
|---------------------------------|---------------------------|-------------------------------------|-----------------------------------|
| Africa | 27 | 182.1 | 632.6 |
| Asia | 8 | 47.0 | 217.1 |
| Latin America and the Caribbean | 1 | 6.0 | 25.3 |
| Global and Regional | 5 | 36.3 | 180.5 |
| Grand Total | 41 | 271.4 | 1,055.5 |

c. Special Climate Change Fund

Achievements since Inception

133. The SCCF was established under the UNFCCC in 2001 to finance activities, programs and measures relating to climate change that are complementary to those funded under the climate change focal area of the GEF Trust Fund, and through other bilateral and multilateral sources. While the SCCF has four financing windows, adaptation was given top priority in accordance with UNFCCC guidance (Decision 5/CP.9). At the end of the reporting period, the GEF, through SCCF-A, had provided \$200.2 million for adaptation projects. Fifty projects and four programs had been approved for funding, mobilizing \$1.5 billion in co-financing, as can be seen in Table 12.

134. Of these, two projects had been completed and 30 projects had been endorsed by the GEF CEO, thus finding themselves in various stages of implementation. The SCCF remains the only multilateral source of adaptation

finance open to all developing country parties to the UNFCCC. As of June 30, 2013, \$328.1 million had been pledged to SCCF-A, of which \$243.9 million had been received. The demand for SCCF-A resources continues to far outstrip the supply.

Table 12

Regional Distribution of Adaptation Projects and Programs under the SCCF-A to-date

| <i>Region</i> | <i>Number of Projects</i> | <i>SCCF-A Financing (\$ millions)</i> | <i>Co-financing (\$ millions)</i> |
|---------------------------------|---------------------------|---------------------------------------|-----------------------------------|
| Africa | 14 | 45.9 | 343.8 |
| Asia | 11 | 47.2 | 717.5 |
| Eastern Europe and Central Asia | 6 | 23.1 | 97.6 |
| Latin America and the Caribbean | 8 | 30.6 | 134.0 |
| Global and Regional | 11 | 53.4 | 193.4 |
| Grand Total | 50 | 200.2 | 1,486.2 |

Includes all medium- and full-sized projects and programs under the SCCF-A.

135. Like the LDCF, SCCF-A has benefited from user-friendly guidelines for accessing resources, as well as a coherent framework for RBM. The portfolio of projects and programs financed under SCCF-A represents a multitude of adaptation approaches in diverse regional settings, as reflected in this year's projects.

SCCF Achievements during the Reporting Period

136. During the reporting period, SCCF-A grants amounting to \$39.1 million were approved for six stand-alone projects, two multi-trust fund projects and one programmatic approach. These projects and program will mobilize approximately \$218.2 million in co-financing from the governments of the recipient countries, GEF Agencies, other multilateral and bilateral agencies, NGOs, and the private sector. The regional distribution of adaptation projects under the SCCF-A can be seen in Table 13. List and summaries of the projects and programs approved in FY 2013 are presented in Annex 2 and Annex 4, respectively.

Table 13

Regional Distribution of Adaptation Projects and Programs under the SCCF-A in FY 2013

| <i>Region</i> | <i>Number of Projects</i> | <i>SCCF-A Financing (\$ millions)</i> | <i>Co-financing (\$ millions)</i> |
|---------------------------------|---------------------------|---------------------------------------|-----------------------------------|
| Africa | 2 | 9.6 | 95.3 |
| Asia | 1 | 7.9 | 26.1 |
| Eastern Europe and Central Asia | 3 | 13.6 | 56.8 |
| Latin America and the Caribbean | 1 | 1.7 | 5.0 |
| Global and Regional | 2 | 6.2 | 34.9 |
| Grand Total | 9 | 39.1 | 218.1 |

4. Technology Transfer

137. The transfer of low-carbon and climate-resilient technologies has been a key cross-cutting theme for the GEF since the establishment of its funds. The GEF-5 climate change mitigation strategy promotes technology transfer at various stages of the technology development cycle, from demonstration of innovative emerging low-carbon technologies to diffusion of commercially proven environmentally sound technologies (ESTs) and practices. Similarly, the results-based management framework for the SCCF and the LDCF includes the transfer and adoption of adaptation technology as one of three overarching objectives of the funds. The entire GEF climate change portfolio can be characterized as supporting technology transfer as defined by the Intergovernmental Panel

on Climate Change (IPCC) and by the technology transfer framework adopted by COP 7.³¹ For adaptation, the transfer and adoption of technologies is a strategic objective of the LDCF and the SCCF.

138. In November 2008, the GEF Council and the LDCF/SCCF Council approved the Strategic Program on Technology Transfer, which included a funding window of \$50 million with \$35 million from the GEF Trust Fund and \$15 million from the SCCF-B. This program included three funding windows to support technology transfer under the Poznan Strategic Program, namely: (1) technology needs assessments (TNAs); (2) piloting priority technology projects linked to TNAs; and (3) dissemination of GEF experience and successfully demonstrated ESTs.
139. In December 2008, COP 14 welcomed the GEF's Strategic Program on Technology Transfer (renaming it the Poznan Strategic Program on Technology Transfer) as a step toward scaling up the level of investment in the transfer of ESTs to developing countries. In response to decision 2/CP.14, the GEF submitted a Long-Term Program on Technology Transfer to COP 16. The GEF submission included the following elements to further scale up investment in ESTs in developing countries in accordance with the GEF climate change strategy, and to enhance technology transfer activities under the Convention:
- (a) Support for Climate Technology Centers and a Climate Technology Network;
 - (b) Piloting Priority Technology Projects to Foster Innovation and Investments;
 - (c) Public-Private Partnership (PPP) for Technology Transfer;
 - (d) Technology Needs Assessments (TNAs); and,
 - (e) GEF as a Catalytic Supporting Institution for Technology Transfer.
140. Three of these elements (piloting projects, TNAs, and the last one on outreach) are a direct continuation and scaling up of the initial Poznan Strategic Program. The other two elements (support for Climate Technology Centers and Networks and PPP) are new, underlining the continuous effort by the GEF to find innovative ways to support greater technology transfer and to respond to COP guidance.
141. The following sub-sections describe progress made in each of the five elements of the Long-Term Program on Technology Transfer. Projects supported under the five windows during the reporting period are summarized in Annex 5.

a. Support for Climate Technology Centers and a Climate Technology Network

142. The GEF is supporting four regional projects listed in Table 14. All projects receive funding from the GEF Trust Fund for mitigation as well as from the SCCF-B in support of adaptation. They are expected to generate lessons learned to help inform the ongoing process to operationalize the Technology Mechanism, in particular the CTCN, in conjunction with other efforts underway to facilitate coordination and cooperation. Approved by the GEF Council in May 2011 and June 2012 in line with the Long-Term Program on Technology Transfer, the projects have seen the following progress:
- (a) The project "*Pilot Asia-Pacific Climate Technology Network and Finance Center*", endorsed by the GEF CEO in May 2012, has started implementation with the ADB and UNEP. Its first steering committee meeting took place in December 2012 in Doha.
 - (b) The project "*Regional Climate Technology Transfer Center*" by EBRD is expected to be endorsed by the GEF CEO in July 2013 and should start implementation by the end of 2013.
 - (c) The GEF is awaiting the submission of CEO Endorsement requests for the two remaining regional projects: *Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean* project by IDB; and *Pilot African Climate Technology Finance Center and Network* project by AfDB.
143. At the national level, the "*Sustainable Energy Technology Development*" project in Mexico by the World Bank

³¹ Decision 4/CP.7.

supports the development of new and innovative clean energy technologies (energy efficiency, renewable energy) through the linking of the public, academic and productive sectors in Mexico. The project will be coordinated with the IDB project “*Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean*” and with the forthcoming CTCN to make use of potential complementarity and avoid redundancy and duplication of efforts. Details of the GEF-funded regional and national projects supporting climate technology centers and networks for climate technology transfer and financing are presented in Annex 5.

144. In addition to the piloting and innovative projects listed in this section or explained in previous GEF reports on the Poznan Program and its Long-Term Implementation, the GEF, with the means at its disposal and in line with GEF procedures, is ready to continue to support the operationalization and activities of the CTCN in response to decision 2/CP.17. During the reporting period, various piloting and technology transfer projects at the national level have been approved by the GEF Council, as summarized in Part I, Section 2.d. Technology Transfer. During this reporting period, the GEF has not received formal CTCN project proposals with the primary objective to support the operationalization of the CTCN. The GEF Secretariat organized consultative meetings in November 2012 and June 2013 with the regional development banks to enhance cooperation and coordination of CTCN-relevant activities. UNEP participated in the June 2013 meeting and provided an update on the CTCN operationalization. The GEF Secretariat has agreed to organize regular consultative meetings. The GEF will submit an addendum to this report, which will provide detailed information on the findings of its consultation with the CTCN.

Table 14

GEF Regional Projects for Climate Technology Transfer and Financing Centers

| <i>Title</i> | <i>Region</i> | <i>Agency</i> | <i>GEF financing</i> <i>(\$ millions)</i> | | <i>Co-financing</i> <i>(\$ millions)</i> | <i>Status</i> |
|--|---------------------------------|---------------|--|-------------|---|-------------------------------|
| | | | <i>GEF Trust Fund</i> | <i>SCCF</i> | | |
| Pilot Asia-Pacific Climate Technology Network and Finance Center | Asia and Pacific | ADB/ UNEP | 10.0 | 2.0 | 74.7 | CEO Endorsed |
| Pilot African Climate Technology Finance Center and Network | Africa | AfDB | 10.0 | 5.8 | 95.0 | Council approved |
| Regional Climate Technology Transfer Center | Europe and Central Asia | EBRD | 10.0 | 2.0 | 77.0 | Council approved ^a |
| Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean | Latin America and the Caribbean | IDB | 10.0 | 2.0 | 63.4 | Council approved |

^a This project has been submitted to the GEF Secretariat for CEO Endorsement and is expected to be CEO endorsed in July 2013.

b. Piloting Priority Technology Projects to Foster Innovation and Investments

b.1. Technology Transfer Pilot Projects within the Poznan Strategic Program

145. Guided by COP decision 2/CP.14, the call for proposals for technology transfer pilot projects under window two of the Poznan Strategic Program issued in March 2009 led to 14 proposals of pilot projects to be prioritized for funding. During the call for proposals, only one proposal for adaptation was received. This proposal was funded, along with three other proposals that included adaptation elements. Total GEF Trust Fund and SCCF-B funding for the 14 pilot projects amounted initially to \$58 million, and total co-financing for these projects initially came to more than \$195 million.

146. As of June 2013, GEF Agencies charged with implementing these 14 pilot projects have reported progress in project preparation and implementation:

- (a) Nine projects have been endorsed by the GEF CEO and are progressing in their implementation. These projects are taking place in Cambodia, Chile, China, Jordan, Mexico, Russia, Sri Lanka and Thailand. The funding from the GEF Trust Fund and SCCF-B for these project amounts respectively to \$41 million and \$2.4 million, and

the total co-financing amounts respectively to \$173 million and \$5.5 million.

- (b) One project was re-submitted by another Agency, and was approved by the GEF Council in November 2011. This project takes place in Colombia, Kenya, and Swaziland. It is currently undergoing preparations for GEF CEO Endorsement.
- (c) One project, taking place in Cote d'Ivoire, will be endorsed in July 2013.
- (d) Three projects were cancelled upon request from the GEF Agencies and/or the concerned national government, one in July 2011, one in February 2012 and one in June 2012.

147. The technologies targeted by these projects address both mitigation and adaptation, and are diverse and innovative. They include technologies on renewable energy (solar, biomass, wind), energy efficiency (insulation materials, efficient and hydro-chlorofluorocarbon- or HCFC-free appliances), transport ("green" trucks), and composting. For adaptation-related technologies, membrane drip irrigation, flood- and drought-resistant crops with sustainable land management practices, and reduction of wave energy impacts on communities and infrastructure were included.

148. In response to SBI 36 conclusions, the GEF requested the GEF Agencies in May 2012 to provide updates to further elaborate on the experiences gained and lessons learned in carrying out the Poznan pilot projects and progress made by the Agencies in the delivery of technology transfer. The compiled information is presented in Annex 6. Furthermore, to strengthen its outreach and awareness-raising on funding opportunities for both mitigation and adaptation, the GEF published a revised brochure on the Poznan Strategic Program in November 2012.

b.2. Technology Transfer Projects within the Long-Term Implementation of the Poznan Strategic Program

149. Most of the GEF-5 climate change portfolio can be characterized as supporting technology transfer for mitigation. In GEF-5 (FY 2011, FY 2012 and FY 2013), the GEF has supported 156 projects with technology transfer objectives with \$1.34 billion of GEF funding and \$8.9 billion of co-financing. Among these projects, 35 projects have to do with the promotion and transfer of innovative low-carbon technologies, while the remaining 121 are aimed at market transformation for specific technologies. Five of these projects incorporated both mitigation and adaptation objectives (with additional funding from the SCCF), and 60 combined climate change mitigation objectives with the objectives of other focal areas. In addition, the GEF, through the LDCF and SCCF-A, supports various adaptation projects, some of which contribute significantly towards the demonstration, deployment and diffusion of climate-resilient technologies. For more information, please refer to Part I, Section 2, c.2. Least Developed Countries Fund.

150. During the reporting period, for climate mitigation, 71 projects with technology transfer objectives, including three EAs, were approved with \$427.7 million of GEF funding and \$3 billion of co-financing. These include two projects supporting technology needs assessments, 14 projects aimed at promoting and transferring innovative low-carbon technologies, and 55 addressed toward market transformation in targeted sectors. Out of 65 projects, 23 projects have multiple focal area objectives. For SCCF-B, two projects, including a regional project, were approved during the reporting period (see Table A2. 6).

c. Public-Private Partnerships for Technology Transfer

151. Public-Private Partnership (PPP) programs can be a strong tool for promoting technology transfer by supporting businesses in developing countries that are trying to commercialize or scale up ESTs. As described in Part III, Section 4. Private Sector Engagement, two new PPP programs were approved in FY 2013. These PPP programs aim to support energy service companies to promote technology through structured financing in Northern Africa; and equity investments to foster clean energy technology transfer in the Caribbean basin.

d. Technology Needs Assessments

d.1. Technology Needs Assessment support within the Poznan Strategic Program

152. The TNA project concept, under the Poznan Strategic Program, was approved by the LDCF/SCCF Council in

April 2009 and endorsed by the GEF CEO in September 2009. Project implementation by UNEP started in October 2009 and was completed in April 2013. Total SCCF-B funding for this project is \$9 million.

153. The TNA project aimed to provide targeted financial and technical support to assist 36 developing countries in developing and/or updating their TNAs within the framework of Article 4.5 of the UNFCCC and to support them in preparing Technology Action Plans (TAPs). The project sought to use methodologies in the updated TNA Handbook and to provide feedback to fine-tune the methodologies through an iterative process.

154. Key areas of progress that have been achieved during the reporting period include the following:

(a) Thirty-six countries are participating in the TNA project. They include:

Africa (11): Cote d'Ivoire, Ethiopia, Kenya, Ghana, Mali, Morocco, Mauritius, Rwanda, Senegal, Sudan, Zambia;

Asia and Europe (15): Azerbaijan, Bangladesh, Bhutan, Cambodia, Georgia, Indonesia, Kazakhstan, Laos, Lebanon, Moldova, Mongolia, Nepal, Sri Lanka, Thailand, Vietnam; and,

Latin America and the Caribbean (10): Argentina, Bolivia, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Peru.

(b) With regard to progress in TNA preparations, out of the 36 participating countries 32 finalized and submitted their TNA reports. 30 countries finalized and submitted their TAP reports. UNEP has reported that linkages between the TNA Project and other climate change projects under UNFCCC such as NCs have also been strengthened.

(c) The project published new material in 2012 on TNA practices. In total, since the beginning of the project, nine guidebooks have been published.³²

(d) An Experience Sharing Workshop, organized in collaboration with UNFCCC, was held in Bangkok, Thailand in September 2012.

(e) The project held a side event during COP 18.

155. The experience gained at this stage shows that:

(a) High-level political support is crucial for TNA implementation effectiveness and sustained momentum against a backdrop of often competing initiatives in a given country. In countries with less political will and commitment, the results were less satisfactory and often delayed. Stakeholder engagement and commitment to the TNA process tends to be high where there is a strong signal from donors regarding the availability of financing for the TAP, NAPA, and NAMA or for specific prioritized technologies, but also in countries where a political agenda related to technology assessment and development is already in place.

(b) Efforts should continue to explore and operationalize synergies between TNA-TAP processes in countries and other existing efforts such as NAMAs, NCs, and specific technology transfer projects to address the need to implement the results of TNAs and other efforts, while reaching out as well to new initiatives such as the CTCN. Creating an efficient mechanism for delivering highly targeted information about real funding opportunities linked to prioritized technologies will be crucial.

d.2. Technology Needs Assessment support within the Long-Term Implementation of the Poznan Strategic Program

156. Progress achieved under the Poznan Strategic Program on Technology Transfer, particularly in the development of pilot projects and TNAs, has highlighted the need to go beyond current practices to catalyze investments in

³² Six sectoral guidebooks for both mitigation and adaptation, two finance guidebooks (one for mitigation and one for adaptation projects), and one on Barrier Analysis were published. All the guidebooks are available at the project website: <http://www.tech-action.org/asp>

technology transfer. The GEF Council approved in April 2013 a new project by UNEP supporting additional TNAs focusing on 24 low- and medium-income countries. This project takes into consideration the lessons learned from the ongoing Poznan-supported TNA project. It will, in particular, seek the involvement of the funding community at an early stage in the technology action planning process in order to increase the prospects of funding project proposals emanating from TAPs and TNAs. The project will also seek close coordination with the CTCN and the regional Climate Technology Transfer and Financing projects funded by the GEF in Asia, Africa, Europe and Latin America, mentioned in paragraph 142, which are expected to become operational prior to, or, during the project implementation.

157. In addition, during FY 2013, the GEF Council approved two national projects in China and South-Africa focusing on the preparation of National Communication and BUR that include activities to update existing TNAs in these countries. The GEF is ready to support additional TNAs focusing on low- and medium-income countries, taking into consideration the lessons learned from the completed Poznan-supported TNA project.

e. GEF as a Catalytic Supporting Institution for Technology Transfer

158. The GEF participated in key international discussions supporting the development of technology transfer initiatives and to raise awareness about the Long-Term Program during the reporting period. Some examples include the following:

- (a) COP 18 Side event co-organized by the GEF and the Asian Development Bank: “High Level Event on Technology Transfer and Finance”, 3 December 2012. The event focused on existing initiatives supporting climate technology transfer and financing. Various high level speakers discussed the role of the development banks in climate technology financing, and presented private sector experiences and views on the subject.
- (b) Technology Mechanism-related meeting: As an observer, the GEF attended the fourth meeting of the Technology Executive Committee (TEC), held from 6 to 8 September, 2012 and the fifth meeting of the TEC to be held from 26 to 27 March 2013.

159. The GEF has been supporting dissemination of GEF experiences and of successfully demonstrated ESTs, under the Poznan Strategic Program. During this reporting period, the GEF published the following materials:

- (a) Two updated brochures presenting GEF activities on technology transfer support: “*Implementing the Poznan Strategic and Long-Term Programs on Technology Transfer*”, and “*Transfer of Environmentally Sound Technologies - Case studies from the GEF Climate Change portfolio*”.
- (b) Three new and updated brochures presenting its experience on technology support for the sectors targeted by the GEF-5 strategy: “*Investing in Renewable Energy: the GEF Experience*”, “*Land Use, Land-Use Change and Forestry (LULUCF) Activities*”, and “*Investing in sustainable transport and urban systems, the GEF experience*”.
- (c) A book on energy efficiency entitled “*Closing the Gap: GEF Experiences in Global Energy Efficiency*”, and an executive summary of this work in a booklet form.
- (d) A booklet summarizing all COP guidance dating from the first COP (COP 1) to COP 17, and the corresponding GEF responses titled “*United Nations Framework Convention on Climate Change Conference of the Parties guidance and GEF responses 1995–2011*”.

160. The GEF website has been updated periodically with specific information on technology transfer.³³

³³ This information can be accessed from: <http://www.thegef.org/gef/TT>

5. Enabling Activities and Capacity Building

a. Overview of GEF Support for Enabling Activities

161. The GEF has supported various types of EAs, including NCs, BURs, and NAPAs. EAs fulfill essential communication requirements to the UNFCCC, and provide information to enable policy decision-making.

162. Since its inception, the GEF has funded 312 EAs with \$340.9 million from the GEF Trust Fund and LDCF. Of this amount, 262 projects on enabling activities have been supported with \$329.8 million in funding (see Table 15 and Table 16) from the GEF Trust Fund, in support of NCs and BURs.

163. During the reporting period, the GEF financed, through the GEF Trust Fund, 10 EA projects, in the amount of \$46.1 million. In particular, the GEF has financed umbrella projects which cover many countries and play a significant role in providing support for NCs. A list of enabling activities financed can be located in Annex 1.

Table 15

GEF Trust Fund Projects on Enabling Activities by Region (1991–2013)

| <i>Region</i> | <i>Number of Projects</i> | <i>GEF Amount (\$ millions)</i> | <i>Co-financing (\$ millions)</i> |
|---------------------------------|---------------------------|---------------------------------|-----------------------------------|
| Africa | 85 | 29.0 | 2.7 |
| Asia | 56 | 60.7 | 57.0 |
| Eastern Europe and Central Asia | 31 | 7.7 | 1.4 |
| Latin America and the Caribbean | 69 | 53.3 | 60.1 |
| Global | 21 | 179.2 | 30.2 |
| Total | 262 | 329.8 | 151.4 |

Table 16

GEF Trust Fund Projects on Enabling Activities by Phase

| <i>Phase</i> | <i>Number of Projects</i> | <i>GEF Amount (\$million)</i> | <i>Co-financing (\$ million)</i> |
|-----------------------|---------------------------|-------------------------------|----------------------------------|
| GEF Pilot (1991–1994) | 8 | 34.1 | 9.4 |
| GEF-1 (1994–1998) | 93 | 40.7 | 7.3 |
| GEF-2 (1998–2002) | 101 | 31.8 | 4.1 |
| GEF-3 (2002–2006) | 36 | 83.0 | 14.0 |
| GEF-4 (2006–2010) | 8 | 56.1 | 30.2 |
| GEF-5 FY 2011 | 0 | 0.0 | 0.0 |
| GEF-5 FY 2012 | 6 | 38.0 | 52.3 |
| GEF-5 FY 2013 | 10 | 46.1 | 34.0 |
| Total | 262 | 329.8 | 151.4 |

164. To-date, a total of 11 BURs has been approved for GEF funding. Of these, nine were approved during the reporting period, as shown in Table 1. Annex 8 provides a list of all the BURs that have requested for GEF funding.

165. LDCF has supported the preparation of 50 NAPAs since its inception, in the total amount of \$11.1 million (Table 17). During FY 2013, the GEF has financed two additional NAPAs, as detailed in Annexes 2 and 4.

Table 17

LDCF Projects on Enabling Activities by Phase

| <i>Phase</i> | <i>Number of Projects</i> | <i>GEF Amount (\$ millions)</i> | <i>Co-financing (\$ million)</i> |
|-------------------|---------------------------|---------------------------------|----------------------------------|
| GEF-3 (2002-2006) | 44 | 9.7 | 0.7 |
| GEF-4 (2006-2010) | 4 | 0.9 | 0.1 |
| GEF-5 FY 13 | 2 | 0.4 | 0.4 |
| Total | 50 | 11.1 | 1.2 |

b. National Communications

166. The GEF continues to provide full-cost funding for NCs. All requests to support NCs have been met by the GEF. The GEF has set aside resources so that each country can get up to \$500,000 for NCs. These resources are separate from the STAR allocations of countries. The GEF has expanded its options for countries to access resources for NCs. There are now four options. In the first option Parties can work with the GEF Agency of their choice. In the second option Parties can be part of the UNEP Umbrella project for NCs. In the third option, Parties can access resources up to \$500,000 via direct access from the GEF Secretariat. The resources for direct access do not come from the country STAR allocation. Fourthly, for those Parties that wish to do full-sized projects and require additional resources, they can use their STAR allocation.
167. In this reporting period, 19 Parties submitted NCs to the UNFCCC. All the NC projects currently under implementation are at different stages of progress. Based on the status report submitted by the GEF Agencies in March 2013, 49 countries reported their intention to submit their NCs by the end of FY 2014.
168. The GEF, through its Agencies, continues to provide assistance to Parties in formulating project proposals identified in their NCs in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2. GEF Agencies work with Parties in order to identify and formulate project proposals. This active collaboration aims to secure that proposals will be country-driven and consistent with the priorities or programs of the countries, as these are identified in their NCs and other national strategy papers. The GEF Agencies support countries during the formulation and development of proposals through the implementation of capacity building activities as described in detail in the next sub-section, and also through bilateral communications.
169. In order to submit any project proposal for approval, the GEF Agencies have to ensure the proposal's consistency with a country's national priorities. A country confirms its endorsement of a proposal by providing a letter signed by the GEF Operational Focal Point (OFP). Following the proposal submission, the GEF Secretariat, as a prerequisite for approval, examines and confirms its linkage to national priorities or programs. All the projects that have been approved by the GEF during the reporting period have been confirmed to correspond explicitly to national priorities, including those identified in NCs.
170. In GEF-5, many Parties have undertaken the GEF National Portfolio Formulation Exercises (NPFES). These are undertaken voluntarily by Parties and serve as a means for seeking GEF support. The NPFES provide additional opportunities for countries to formulate and develop project proposals identified in their NCs. In addition, the GEF will utilize other assessments supported within the Convention framework, such as TNAs, to inform project proposal development on a voluntary basis.

b.1. National Communications Support Program

171. The National Communications Support Program (NCSP), which was expected to close at the end of 2012, continued providing support to non-Annex I countries, mainly in the form of technical review of technical reports before submission to UNFCCC and through online support. To officially close the activities, and share experiences gained by national experts during the preparation of the NCs, the NCSP organized a lessons learnt workshop in Istanbul, Turkey, in October 2012. The workshop was designed to share information on lessons learned and good practices from countries attending the workshop, resulting in the following:
- (a) Suggestions on how to consolidate the NC process at the country level for a more sustainable reporting process;

- (b) Recommendations on how the NCs can be used for decision makers to facilitate the integration of climate change into relevant planning processes;
- (c) Recommendations on engaging key stakeholders in the preparation of NCs to enhance ownership of the NC results and process; and,
- (d) Identification of additional technical support areas for more effective preparation of NCs.

172. Though targeted technical backstopping has been less intense than in previous years due to limited resources, a number of activities have continued to exist during the reporting period, in the form of one-on-one support to countries facing difficulties in finalizing their NCs. More concretely, this includes:

- (a) Guidance to national teams on specific areas of the NC work to fill gaps and improve the technical quality of the studies;
- (b) Technical comments on draft studies in the areas of GHG inventories, mitigation analysis and vulnerability and adaptation assessments;
- (c) Feedback on draft NC reports, at the request of countries, to improve the reports before submission to the UNFCCC; and,
- (d) Targeted assistance to a number of countries for the completion of their NC reports.

173. In the area of publication and guidance material, the NCSP published the following two documents:

- (a) *“Lessons Learnt and Experiences from the Preparation of National Communications”*, This document has been developed with input from many NC coordinators who have provided their time and valuable insights through interviews, e-mails, surveys, and the NCSP’s October 2012 global workshop. It also involves the participation of national experts and institutions including UNFCCC, UNEP, and UNDP, which support countries in their efforts to learn from best practices and improve the efficiency of the NC preparation process, so that countries can benefit from it when preparing future reports. This document was distributed through the NCSP website³⁴ and at COP 18 in Doha.
- (b) *“Country papers: Preparation of National Communications from Non-Annex I Parties to the UNFCCC – A compilation of lessons learnt and experiences from selected countries”*. Countries that participated in the NCSP workshop on Lessons Learned from the NCs (Istanbul, Turkey, 2-4 October 2012) prepared brief papers on their experiences during the NC implementation. The papers, which are compiled in this publication, provide very useful information regarding the NC processes and outcomes. The papers highlight the main outcomes of the NCs as well as the key challenges faced during the NC preparation. The publication is also featured on the NCSP website.

174. The bi-monthly newsletter, produced in English, French and Spanish and published on the NCSP website was produced up until end 2012. This newsletter includes NC stories and experiences from non-Annex I Parties. As per good practice, relevant material produced by other initiatives has been made available through the NCSP website.

175. The NCSP was able to provide minimal support until June 2013, when the NCSP ceased its operation. During this period, support activities included technical reviews of GHG inventories and draft NC reports, requested by a few countries; basic guidance on the BURs to assist countries get ready for this new reporting requirements; and collaboration with the UNFCCC Consultative Group of Experts for the development of BUR training materials. In addition, the GEF Council in November 2012 approved a new support program titled *Global Support Program for Preparation of National Communications and Biennial Update Reports for non-Annex I Parties under the UNFCCC*.

³⁴ <http://ncsp.undp.org>

c. Capacity Building

176. Capacity building is a key theme of GEF projects, and is embedded in the design of both mitigation and adaptation projects. In particular, capacity building for enabling activities and fulfillment of Convention obligations is identified as a distinct objective in a large number of projects.
177. During the calendar year 2012, 44 climate change mitigation projects endorsed by the GEF CEO have included activity components on capacity building. The total GEF amount for these components is \$114.6 million.
178. For adaptation, projects financed under the LDCF and the SCCF consistently include distinct components for capacity building, as defined in decision 2/CP.7. All 110 projects approved under the LDCF as of June 30, 2013, and 48 projects under SCCF-A, include components or sub-components aimed at capacity building. In addition to targeted training and awareness-raising for relevant stakeholders, these projects contribute to the knowledge base necessary for effective adaptation. Finally, by mainstreaming climate change adaptation across national and subnational policies, plans and frameworks, projects financed under the LDCF and the SCCF help create enabling environments for adaptation action.

c.1. GEF-5 Cross-Cutting Capacity Development

179. For GEF-5, cross-cutting capacity development (CCCD) programmatic frameworks have been approved, with \$40 million allocated outside the STAR. Five objectives of the frameworks are:
- (a) Enhancing the capacities of stakeholders to engage throughout a consultative process;
 - (b) Generating, accessing, and using information and knowledge;
 - (c) Strengthening capacities to develop policy and legislative frameworks;
 - (d) Strengthening capacities to implement and manage global Convention guidelines; and,
 - (e) Enhancing capacities to monitor and evaluate environmental impacts and trends.
180. The first objective is implemented through the GEF Country Support Program (CSP) and the GEF SGP. The CSP organized 15 ECWs during FY 2013. The UNFCCC focal points of each country, as well as other convention focal points, the GEF national focal points, and other stakeholders were invited to enhance their knowledge about GEF strategies, policies and procedures and to encourage coordination. The remaining four strategic objectives are implemented through targeted CCCD projects, with GEF funding up to \$2 million and an equal ratio of co-financing. Given the inherent relationship between policies, legislation, the organizations seeking to implement and enforce these, and the technical skills and resources that organizations need to carry out their work, there is overlap in the capacities to be developed among the CCCD programmatic frameworks. Table 18 shows the GEF-supported CCCD projects over the reporting period.
181. The focus of targeted CCCD in GEF-5 builds on National Capacity Self-Assessment (NCSA) recommendations. During the reporting period, two GEF SGP projects included the strategic framework components. Future CCCD projects will address urgent capacity challenges and priorities necessary to enhance a country's ability to meet its obligations under the three Rio Conventions.
182. The strategic logic behind these types of projects is to strengthen the underlying capacities needed to implement and sustain objectives and outcomes in biodiversity, climate change, and land degradation. For example, in order to mitigate and adapt to the impacts of climate change and climate variability, a country must have a minimum foundation of capacity at the individual, institutional and systemic level in order to adequately conceptualize, develop, execute and manage project interventions, and to meet their obligations under the Rio Conventions. The same applies to protecting endemic species and tackling desertification.

Table 18

Cross-cutting Capacity Development Projects in FY 2013

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Amount (\$ millions)</i> |
|---------------|------------------|---------------|---|-------------------------------------|
| 4765 | Togo | UNDP | Capacity Development Strengthening National and Decentralized Management for Global Environmental Benefits | 0.8 |
| 5101 | Cote d'Ivoire | UNDP | Strengthened Environmental Management Information System for Coastal Development to meet Rio Convention Objectives | 0.6 |
| 4913 | Ukraine | UNDP | Capacity Development: Integrating Rio Convention Provisions into Ukraine's National Environmental Policy Framework | 0.9 |
| 4767 | Burkina Faso | UNDP | Capacity Development: Generating Global Environmental Benefits from Improved Local Planning and Decision-making Systems in Burkina Faso | 1.0 |
| 5028 | Costa Rica | UNDP | Capacity Building for Mainstreaming MEA Objectives into Inter-ministerial Structures and Mechanisms | 1.0 |
| 5017 | Afghanistan | UNEP | Developing Core Capacity for Decentralized MEA Implementation and Natural Resources Management in Afghanistan | 0.9 |
| 5031 | Sri Lanka | UNDP | Ensuring Global Environmental Concerns and Best Practices Mainstreamed in the Post-Conflict Rapid Development Process of Sri Lanka Through Improved Information Management | 0.8 |
| 5195 | Regional | UNEP | Building National and Regional Capacity to Implement MEAs by Strengthening Planning, and State of Environment Assessment and Reporting in the Pacific Islands | 4.5 |
| 5106 | Bangladesh | UNDP | National Capacity Development for Implementing Rio Conventions Through Environmental Governance | 0.7 |
| 5178 | Papua New Guinea | UNDP | Strengthening Capacities to Measure, Report and Verify Indicators of Global Environment Benefits | 0.5 |
| 5130 | Kiribati | UNDP | Integrating Global Environmental Priorities into National Policies and Programs | 0.5 |
| 5045 | Solomon Islands | UNDP | Integrating Global Environment Commitments in Investment and Development Decision-making | 0.9 |
| 5060 | Cameroon | UNEP | Developing Core Capacity for MEA Implementation in Cameroon | 1.0 |
| 5126 | Suriname | UNDP | Mainstreaming Global Environment Commitments for Effective National Environmental Management | 1.0 |
| 5164 | Samoa | UNDP | Capacity for implementing Rio Conventions in Samoa | 0.5 |
| 5131 | Regional | UNDP | Enhancing Capacity to Develop and Manage Global Environmental Projects in the Pacific | 1.0 |
| 5164 | Samoa | UNDP | Capacity for implementing Rio Conventions in Samoa | 0.5 |
| 5236 | Tajikistan | UNDP | Strengthening Capacity for an Environmental Information Management and Monitoring System in Tajikistan | 0.7 |
| 5097 | Vietnam | UNDP | Capacity for Implementing Rio Conventions in Vietnam | 1.0 |
| 5399 | Kazakhstan | UNDP | Improvement of the Decision-making Process in Kazakhstan through Introduction of Mechanisms of Economic Assessment of Fulfilling National Obligations under Global Environmental Agreements | 0.5 |
| 5166 | Fiji | UNDP | Capacity Building for Mainstreaming MEA Objectives into Inter-ministerial Structures and Mechanisms | 0.6 |
| 5295 | Cambodia | UNDP | Generating, Accessing and Using Information and Knowledge Related to the Three Rio Conventions | 1.0 |
| 5041 | Guinea | UNDP | Strengthening Decentralized Management of the Environment to Meet Rio Convention Objectives | 0.6 |

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Amount (\$ millions)</i> |
|---------------|----------------|---------------|--|-------------------------------------|
| 5197 | St. Lucia | UNEP | Increase St. Lucia's capacity to monitor MEA implementation and sustainable development | 1.1 |
| 5048 | Belize | UNDP | Capacity building for the strategic planning and management of natural resources in Belize | 0.8 |
| Total | | | | 23.4 |

183. The NCSA and CCCD work represent a valuable resource wherein countries identified and assessed their priority capacities (individual, organizational, and systemic) to address climate change concerns, and then take practical measures to address capacity gaps and shortcomings. Specifically, the NCSA and CCCD work relates directly to the following priority areas according to the UNFCCC capacity building framework:

- (a) Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points;
- (b) Enhancement and/or creation of an enabling environment;
- (c) Vulnerability and adaptation assessment;
- (d) Capacity-building for implementation of adaptation measures;
- (e) Improved decision-making, including assistance for participation in international negotiations;
- (f) Needs arising out of the implementation of Article 4, paragraphs 8 and 9, of the Convention;
- (g) Education, training and public awareness.

The GEF is committed to continuing to provide support for countries to build their capacities to meet the challenges of climate change.

6. Results-Based Management

184. The GEF's Results-Based Management (RBM) system aims to improve management effectiveness and accountability by defining expected results and targets, monitoring progress toward results, integrating lessons learned into management decisions, and reporting on performance. The GEF has strengthened its RBM system and engaged with GEF Agencies to improve its AMR process.

185. Under the RBM system, GEF Agencies are responsible for monitoring individual project progress against a set of portfolio-specific results indicators, which align with GEF focal area indicators, and as appropriate, results indicators are aggregated for each focal area portfolio. Each GEF Agency submits individual annual Project Implementation Reports (PIRs) on all active projects in their respective portfolios. The AMR includes performance ratings by focal area, Agency, and region, based on Agency PIRs. During the reporting period, Parts I and II of the AMR 2012 were submitted to the GEF Council.

186. The AMR 2012: Part I³⁵ includes performance ratings of GEF's projects that have started implementation on or before June 30, 2012 and were under implementation for at least a part of FY 2012. For climate change mitigation, 212 projects, including 167 FSPs and 45 MSPs, were rated on their performance towards meeting the project's overall global environment/development objective and implementation progress. As shown in Table 19, 80 percent of the projects were rated "Moderately Satisfactory" or above in the likelihood of achieving project development objectives. On the progress towards implementation, 78 percent were ranked "Moderately Satisfactory" or above. Both ratings met the target set by the GEF Council of at least 75 percent "Moderately Satisfactory" or above.³⁶

³⁵ GEF Council document GEF/C.43/05/Rev.02 (October 2012).

³⁶ The GEF ratings use a 6-point scale: Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory, and Highly Unsatisfactory.

Table 19
Performance Ratings for Climate Change Mitigation Projects

| <i>Focal Area</i> | <i>Total No. of Projects^a</i> | <i>Project Objective Ratings</i> | | <i>Implementation Progress Ratings</i> | |
|-------------------|--|--|--|--|--|
| | | <i>Percentage Moderately Satisfactory or above</i> | <i>Percentage Moderately Unsatisfactory or below</i> | <i>Percentage Moderately Satisfactory or above</i> | <i>Percentage Moderately Unsatisfactory or below</i> |
| Climate Change | 186 | 80% | 20% | 78% | 22% |

^aA total of 26 projects were excluded from the analysis due to missing ratings.

187. The AMR 2012: Part II³⁷ provides an analysis of projects that have undergone a mid-term review (MTR) or were in their last year of implementation in FY 2012. For climate change mitigation, a total of 27 projects progressed to terminal evaluation (TE) stage and 33 to MTR stage in FY 2012. For projects that reached MTR, 19 (58%) projects reported GHG emission reduction figures while for projects that reached TE, 16 (67%) reported their emission reductions³⁸. For the 16 completed projects, Table 20 compares emission reduction targets at CEO Endorsement stage and actual reported results at project completion. The total actual reported emission reduction (149 million tons) is greater than that at the CEO Endorsement stage (100 million tons). The reduction amount accounts for both direct and indirect emissions. The GEF-reviewed TE projects will likely exceed their GHG emission targets in their lifetime of operations.

Table 20
Cohort's Progress towards Targets for Climate Change Mitigation in FY 2012

| <i>GEF Phases</i> | <i>A. Number of projects reporting GHG data/Total number of projects</i> | <i>B. Emission reduction target at CEO Endorsement (million tons CO₂ eq)</i> | <i>C. Reported direct emission reduction (million tons CO₂ eq)</i> | <i>D. Reported indirect emission reduction (million tons CO₂ eq)</i> | <i>E. Reported direct and indirect emission reductions (C+D) (million tons CO₂ eq)</i> | <i>F. Reported results vs. target at CEO Endorsement (E/B) %</i> |
|-------------------|--|---|---|---|---|--|
| GEF-2 | 5/7 | 89.4 | 122.4 | 14.4 | 136.8 | 153 |
| GEF-3 | 10/16 | 10.7 | 8.8 | 2.6 | 11.4 | 106 |
| GEF-4 | 1/1 | 0.4 | - | 0.4 | 0.4 | 100 |
| Total | 16/24 | 100.6 | 131.1 | 17.4 | 148.5 | 148 |

188. The 19 MTR projects reported GHG emission reductions of approximately 151 million tons CO₂ eq against the target of 150 million ton set at the CEO Endorsement. GHG emission data cannot be easily estimated for other 14 projects for three reasons. First, one of the projects that reached MTR is an enabling activity project addressing Convention obligations and thus does not have GHG targets. Second, some projects with new investment assets for emission reductions have not finished installations of these assets by mid-term stage to report the GHG figures. Third, many projects under review were developed before 2010 when the climate change tracking tools were systematically used for project reports.

189. For climate change adaptation, the AMR 2012, Part II analyzed six projects under the Strategic Priority on Adaptation (SPA) in FY 2012 (Table 21). Together, the six SPA projects focused on the most vulnerable ecosystems and implemented both policy and physical measures. Specifically, they have been effective at integrating adaptation measures into natural resource management plans and supporting local adaptation investments.

³⁷ GEF Council document GEF/C.44/05 (May 2013).

³⁸ Three of the 27 TE project reports were not reported to the GEF Secretariat. Thus, the analysis is based on 57 projects, 33 at the mid-term stage, and other 24 at the terminal stage.

Table 21

GEF Adaptation Projects under the Strategic Priority on Adaptation

| <i>Country(s)</i> | <i>Project Title</i> | <i>Status</i> |
|--|--|---|
| Regional (<i>Cape Verde, Gambia, Guinea Bissau, Mauritania, Senegal</i>) | Adaptation to Climate Change - Responding to Shoreline Change and its Human Dimensions in West Africa through Integrated Coastal Area Management | Under Implementation |
| Uruguay | Implementing Pilot Climate Change Adaptation Measures in Coastal Areas of Uruguay | Under Implementation |
| Albania | Identification and Implementation of Adaptation Response Measures in the Drini-Mati River Deltas | Under Implementation (<i>Mid-Term</i>) |
| Armenia | Adaptation to Climate Change Impacts in Mountain Forest Ecosystems of Armenia | Under Implementation (<i>Mid-Term</i>) |
| Colombia | Integrated National Adaptation Plan: High Mountain Ecosystems, Colombia's Caribbean Insular Areas and Human Health (INAP) | Project Completion |
| Caribbean | Implementation of Pilot Adaptation Measures in coastal areas of Dominica, St. Lucia and St. Vincent & the Grenadines | Project Completion |

190. Of the six projects, two were completed and two reached mid-term in FY 2012. Overall, the two completed projects have experienced partial progress towards achieving adaptation objectives, receiving “Satisfactory” and “Moderately Satisfactory” ratings. The two projects at mid-term have experienced notable progress towards achieving adaptation objectives with “Highly Satisfactory” and “Satisfactory” ratings.

191. The FY 2012 AMR for the LDCF and the SCCF provides performance ratings for 23 active projects under the LDCF and 14 projects under SCCF-A (Table 22). Twenty one of the projects under the LDCF were rated “Moderately Satisfactory” or better in terms of their progress towards achieving adaptation objectives, representing 91.3 percent of all projects starting implementation on or before June 30, 2012. Under SCCF-A, all projects were rated as “Moderately Satisfactory” or better in terms of progress towards achieving adaptation objectives.³⁹

Table 22

LDCF/SCCF Projects under Implementation in FY 2012

| <i>FY 2012 Projects Under Implementation</i> | | | | |
|--|---------------------------|--|---|--|
| | <i>Number of Projects</i> | <i>Value of Projects^a (\$ millions)</i> | <i>Percentage of projects that have received a Development Objective (DO) rating of moderately satisfactory or better (%)</i> | <i>Value of projects that have received a DO rating of moderately satisfactory or better (\$ millions)</i> |
| LDCF | 23 | 75.3 | 91 | 66.8 |
| SCCF | 14 | 60.8 | 100 | 60.8 |

^a “Value” is the sum of the total grants and the PPG.

192. Results from PIRs show that the 37 LDCF and SCCF projects are integrating adaptation measures into both policy and tangible physical development activities. In FY 2012, projects contributed towards making sectoral and national policies more resilient against climate change, and reduced climate change vulnerability in areas such as agriculture, disaster risk management, water resources management and health.

³⁹ LDCF/SCCF Council document GEF/LDCF.SCCF.14/04 (May 2013).

Part III. GEF Initiatives during the Reporting Period

193. In addition to the activities explained above, many other initiatives are currently underway in support of GEF's work to deliver GEBs and adaptation benefits in the field of climate change. The following sections describe some of the initiatives that were underway during the reporting period.

1. GEF-6 Replenishment

194. Resources for the GEF Trust Fund are replenished every four years when countries that wish to contribute to the Fund (referred to as "contributing participants") pledge resources through a process called "GEF Replenishment."

195. During the negotiating sessions that constitute the replenishment process, participants discuss and come to agreement on a set of GEF policy reforms to be undertaken, a document to guide programming of resources (the programming document), and a level of resources that the GEF will aim to provide to recipient countries during the replenishment period. As part of the replenishment process, replenishment participants review the "Overall Performance Study" of the GEF, which is an evaluation of the GEF undertaken by the independent GEF Evaluation Office. All GEF replenishments have been informed by performance studies.

196. Negotiations for the sixth replenishment period (July 2014 through June 2018) of the GEF are ongoing with the first meeting having taken place in Paris, France, 3-4 April, 2013. The meeting was attended by 29 donor countries, 4 representatives of non-donor recipient countries, 2 representatives of civil society, GEF Agencies, the GEF Trustee, STAP, the GEF Evaluation Office and the GEF Secretariat. Identifying the unique value proposition of the GEF as a champion of the global commons in an evolving context was discussed in depth. Comments were provided on the focal area strategy proposals prepared by the GEF Secretariat. A fruitful exchange of views set the stage for revising and strengthening the programming and strategy documents in preparation for the next replenishment meeting to be held in September 2013. Participants emphasized the GEF network and partnership as the key strengths towards meeting the challenges of the future. All documents associated with GEF replenishment are publicly available.⁴⁰

197. In addition, the First Report of the Fifth Overall Performance Study (OPS5) was discussed at the first replenishment meeting. The main purpose of this report is to assess the extent to which the GEF is achieving its objectives and to identify potential improvements. OPS5 will inform the sixth replenishment process and will become a working document of the Fifth Assembly of the GEF. The second and final report of OPS5 will be presented at the third replenishment meeting. The next section discusses the OPS5 in further detail.

198. The proposed dates for the second replenishment meeting for GEF-6 are September 10-12, 2013, in India. This will be followed by a third meeting on December 10-12, 2013 and a fourth meeting in February 2014. The venues for the second, third and fourth meetings are to be confirmed. Lastly, the Fifth Assembly of the GEF will take place in 2014 in Mexico, with exact dates and venue to be confirmed.

a. Fifth Overall Performance Study of the GEF

199. Replenishments of the GEF are informed by periodic assessment of and reflection on GEF achievements and results through independent overall performance studies (OPSs). Guided by the request of the GEF Council of November 2011, the GEF Evaluation Office is conducting the OPS5. The main purpose of OPS5 is to assess the extent to which the GEF is achieving its objectives, as laid out in the GEF Instrument and in reviews by the Assembly, as developed and adopted by the GEF Council in operations, policies, and programs for GEF-financed activities, and to identify potential improvements. OPS5 reporting will consist of a First Report provided to the first replenishment meeting and a Final Report to the third meeting. The Final Report will become a working document of the Fifth Assembly of the GEF.

200. In March 2012, the Evaluation Office prepared an approach paper for OPS5 that describes the context of the sixth

⁴⁰ http://www.thegef.org/gef/replenishment_meetings/6

replenishment, objectives and audience of OPS5, and key questions and approach for the evaluation. The paper also lists methodological considerations, explains quality assurance for the study, provides an overview of stakeholder interaction, and lays out a timeline. Comments received were taken into account in preparing the Terms of Reference and Budget of OPS5, which were approved by the GEF Council in June 2012.

201. *The First Report of OPS5: Cumulative Evidence on the Challenging Pathways to Impact* was discussed at the first replenishment meeting for GEF-6 in Paris. It presents the evidence that has been gathered through the GEF Evaluation Office's various evaluation streams since OPS4 including work completed for LDCE/SCCF and adaptation to climate change. The First Report thus provides an update on the GEF's main results and achievements.
202. The First Report reaches 10 conclusions and makes one recommendation. Evidence from several evaluation streams points to the emergence of multi-focal area projects and programs as a strong new modality of the GEF. This poses challenges for the formulation of strategies for GEF-6. Another overarching conclusion is that impact and country-level evidence show that there is scope for incorporating broader adoption strategies in project and program design. The impact work for OPS5 reveals that there is room for further broadening adoption of those implementation strategies where the GEF has a strong track record of achievement. The First Report recommends that the replenishment meeting request the GEF Secretariat to develop strategies for GEF-6 that would encourage broader adoption and would focus on more programmatic, multi-focal area approaches, within the guidance of the conventions.
203. The Final Report of OPS5 will cover evaluative studies targeting specific questions posed. These include: the relevance and added value of the GEF; a more in-depth look at the GEF's impact with a focus on multi-focal area support and on wider adoption of its program; trends in involvement of CSOs and the private sector; assessment of cross-cutting policies; an update on the SGP; and the role of STAP. It will also integrate the findings from the mid-term evaluations of the STAR and the NPFE.

2. GEF 2020 Strategy

204. As announced during the November 2012 Council Meeting, a process to develop a long-term strategy for the GEF has been launched. The objective of the process is to articulate a compelling long-term strategy that can guide the GEF's achievement of its mission. The Strategy is grounded in three lines of inquiry, focusing on (i) the expected future changes to the GEF's operating environment, including the evolving climate financing landscape; (ii) analysis of the key drivers of global environmental degradation, with a view to guiding GEF strategic prioritization; and, (iii) the main issues that the GEF will need to address in order to operationalize the strategy.
205. The strategy development was initiated by the GEF Secretariat in February 2013, with the support of a consortium consisting of McKinsey and Company, World Resources Institute and the Ateneo School of Government, Philippines. The initial focus has been on information gathering and analysis. A large number of interviews across the entire GEF network have been completed. A preliminary presentation of findings was made at the First Replenishment Meeting in April 2013, followed by a further presentation in the June 2013 GEF Council Meeting. Drafting and further consultation on the strategy will take place from June to September 2013, with a view to presenting a final draft at the November 2013 GEF Council Meeting.

3. Synergies across GEF Focal Areas and Trust Funds

206. The GEF is the financial mechanism for the Convention on Biological Diversity (CBD), and the Stockholm Convention on Persistent Organic Pollutants (POPs), in addition to serving as an operating entity of the financial mechanism to the UNFCCC. It is a financial mechanism for the UN Convention to Combat Desertification (UNCCD) and was recently chosen to fund implementation of a new international treaty to reduce mercury pollution. The biodiversity, chemical, climate, and land degradation issues that these conventions strive to address are interconnected. As an entity set up to finance these Conventions, and given its institutional understanding of the environmental issues and linkages among them, the GEF has an ability to direct funding strategically.

207. During GEF-5, a number of projects and programs seeking to achieve multiple GEBs have been supported by combining resources from several focal areas to achieve greater impact, in a more integrated manner. These MFA projects aim to achieve objectives of the FAs that they draw funds from while responding to complex local, national or regional issues that relate to a number of Conventions.
208. In FY 2013, the GEF supported 23 MFA projects with climate change mitigation components, amounting to \$198.3 million. Of these, 15 aim towards achieving biodiversity and climate change mitigation objectives, and 11 target land degradation and climate change mitigation objectives. The project, “*Maximizing Carbon Sink Capacity and Conserving Biodiversity through Sustainable Conservation, Restoration, and Management of Peat-swamp Ecosystems*” (GEF ID: 5330, Annex 3), which aims to conserve and restore peatlands in the south-eastern province of Thailand, will address biodiversity while generating mitigation benefits. The project also leverages sustainable forest management/REDD+ incentives.
209. The GEF has developed a mechanism to provide incentives to countries and Agencies to design projects that generate multiple benefits through conservation of forest systems. The SFM/REDD+ incentive mechanism provides additional funding to develop forest-based MFA projects so that relevant biodiversity, land degradation, and mitigation benefits can be optimized. The initiative *Protecting Biodiversity and Multiple Ecosystem Services in Biological Mountain Corridors in Chile's Mediterranean Ecosystem* (GEF ID: 5135) is a multifocal Sustainable Forest Management project developing a suite of interventions throughout 30 adjacent municipalities to increase connectivity between remaining forest resources and address the competing land-use pressures within and around them.
210. The GEF also expects to further explore the synergies between climate change and chemicals in its future programming. ODS and their substitutes, a major target for the Chemicals Focal Area, are potent GHGs; therefore, reducing ODS emissions results also in significant climate change mitigation benefits. In June 2012, the GEF presented to the Council an informational paper on opportunities for synergistic programs for ozone, climate and chemicals. Furthermore, with the selection of the GEF as the financial mechanism for the newly established Mercury Convention, projects that explore emerging areas of synergy between climate change, chemicals and natural resources will be possible.
211. The GEF has also leveraged funds from the LDCF and the SCCF to account for climate change which may affect GEBs expected to be generated by projects financed through the GEF Trust Fund. In Haiti the project *Increasing Resilience of Ecosystems and Vulnerable Communities to CC and Anthropic Threats Through a Ridge to Reef Approach to Biodiversity Conservation and Watershed Management* (GEF ID: 5380, Annex 4) will pursue synergies between climate change adaptation and biodiversity conservation through targeted investments in Ecosystem based approaches to Adaptation. With financing from the biodiversity focal area of the GEF Trust Fund, the project will also establish Haiti's first marine protected areas.
212. The GEF-6 Strategy proposes a series of signature pilot programs to begin delivering on integrated approaches that address significant but discrete challenges facing the global environmental commons. The signature programs will make use of the rationale that is rapidly being expanded in the programming of resources throughout GEF-5, which is namely to promote a sustained flow of multiple global environmental benefits while ensuring that progress in a particular facet of the global commons does not negatively affect others. Furthermore, they will seek to increase the cost effectiveness of GEF investments and ensure that global environmental benefits are resilient to climate change.

4. Private Sector Engagement

213. The GEF has engaged with the private sector since its inception, based on the underlying idea that in order to have long-term and substantive impact on the global environment, private enterprise – the dominant driver of economic activity – must be encouraged to pursue commercially viable activities that also generate GEBs. For GEF-5, the Parties to the replenishment agreed to a private sector set-aside of \$80 million.
214. The GEF-5 Revised Strategy for Enhancing Engagement with the Private Sector⁴¹ for using the set-aside was

⁴¹ GEF C.41/09/Rev.01

approved at the November 2011 Council meeting. The strategy emphasizes partnerships with the multilateral development banks (MDBs) to focus on the expanded use of non-grant instruments, such as loans and equity investments, and also includes components to support technology transfer and innovation among small and medium enterprises (SMEs).

215. To guide the implementation of Public Private Partnership (PPP) programs under the approved strategy, the Operational Modalities for Public Private Partnership programs was developed and submitted to the GEF Council in June 2012. These operational modalities describe the process for preparing and submitting PPP programs as Programmatic Framework Documents under the GEF Process Cycle.
216. Under the approved strategy, the GEF has worked with MDBs to develop PPP programs that will make investments in private sector partners for activities that will generate GEBs. In prior periods, the GEF Council approved two regional PPP programs as the first to access the GEF-5 private sector set-aside.
217. In the reporting period, the GEF Council has approved two additional PPP programs: (i) the EBRD South Eastern Mediterranean Energy Efficiency/ Energy Services Company Markets Platform; and (ii) the MIF-IDB Sustainable Caribbean Basin Private Equity Fund (Table 23). Summaries of the two PPP programs can be found in Annex 3.

Table 23

Public Private Partnerships Programs for Climate Change Mitigation for FY 2013

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|---------------|----------------------------|---------------|--|-------------------------------------|---------------------------------------|--------------------------------|
| 5143 | Regional (AFR, Asia) | EBRD | PPP-EBRD South Eastern Mediterranean EE/ ESCO Markets Platform (PROGRAM) | 16.2 | 141.3 | 157.5 |
| 5388 | Regional (LAC) | IDB | PPP-IDB Sustainable Caribbean Basin Private Equity Fund (PROGRAM) | 16.2 | 200.0 | 216.2 |
| Total | | | | 32.4 | 341.3 | 373.7 |

218. The GEF-5 portfolio of PPP's includes concessional loans; equity investments; and structured financing. In each case, the value of the GEF contribution is to catalyze or "crowd-in" additional private sector investment that otherwise would not invest in climate change mitigation.
219. Also in the reporting period, the GEF CEO has approved three medium-sized projects to promote innovation and entrepreneurship in clean technologies. After showcasing the methodology at COP17 in Durban with the Government of South Africa, three additional countries have followed suit. These projects are:
- (a) GEF ID: 5145, Armenia, GEF UNIDO Cleantech Program for SMEs, \$547,946 GEF funding; \$2 million co-financing.
 - (b) GEF ID: 5146, Malaysia, GEF UNIDO Cleantech Program for SMEs in Malaysia, \$990,000 GEF funding; \$3 million co-financing.
 - (c) GEF ID: 5218, India, Cleantech Program for SMEs in India, \$1 million GEF funding; \$4 million co-financing.
220. These projects build on the substantial commitment by national governments to promote technology transfer and innovation, with an emphasis on SMEs which account for approximately 40% of job creation in developing countries.⁴²
221. During the remainder of GEF-5, the GEF will pursue additional PPPs, subject to availability of funds, and expects several additional countries to submit project proposals for cleantech programs.
222. As part of the GEF-6 replenishment, the GEF is taking account of experiences from the GEF-4 and GEF-5 activities and will be proposing strategic interventions to engage with the private sector in climate change mitigation and adaptation for GEF-6.

⁴² More information on these projects can be found at www.cleantechopen/GEF-UNIDO

Annex 1: List of FY 2013 Projects and Programs under the GEF Trust Fund

Annex 1 lists projects and programs on climate change mitigation and enabling activities approved under the GEF Trust Fund (GEETF) during the reporting period (July 1, 2012 to June 30, 2013).

1. List of FY 2013 Climate Change Mitigation Projects

Table A1. 1

FY 2013 Climate Change Mitigation Projects

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>Type^a</i> | <i>GEF Amount^b (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|--|----------------|---------------|--|-------------------------|---|---------------------------------------|--------------------------------|
| Climate Mitigation Stand-alone Projects | | | | | | | |
| 5143 | Regional | EBRD | PPP-EBRD South Eastern Mediterranean EE/ ESCO Markets Platform (PROGRAM) ^e | EE | 16.2 | 141.3 | 157.5 |
| 5312 | Regional | IDB | Sustainable Energy for the Eastern Caribbean (SEEC) Program | EE, RE | 3.3 | 13.1 | 16.4 |
| 5388 | Regional | IDB | PPP-IDB Sustainable Caribbean Basin Private Equity Fund (PROGRAM) ^e | EE, RE | 16.2 | 200.0 | 216.2 |
| 5145 | Armenia | UNIDO | GEF UNIDO Cleantech Program for SMEs ^f | TT | 0.6 | 2.6 | 3.2 |
| 5291 | Azerbaijan | UNDP | Nationally Appropriate Mitigation Actions (NAMAs) for Low-carbon End-use Sectors in Azerbaijan | EE, RE, EA | 4.0 | 34.0 | 38.0 |
| 5372 | Belarus | UNDP | Belarus Green Cities: Supporting Green Urban Development in Small and Medium Sized Cities in Belarus | EE,TU | 3.5 | 10.2 | 13.6 |
| 4949 | Brazil | IDB | Low-Carbon Urban Mobility for Large Cities | TU | 6.8 | 77.2 | 84.0 |
| 5121 | China | WB | Energy Conservation, Greenhouse Gas Mitigation and Soil Carbon Sequestration in Staple Crop Production | TT | 5.6 | 25.0 | 30.6 |
| 5411 | China | ADB | ASTUD: Jiangxi Fuzhou Urban Integrated Infrastructure Improvement Project ^d | TU | 2.8 | 226.5 | 229.2 |
| 5199 | Colombia | IDB | Demonstration and Assessment of Battery-electric Vehicles for Mass Transit in Colombia | TT | 2.5 | 29.9 | 32.4 |
| 5149 | Cuba | UNDP | Clean Energy Technologies for the Rural Areas in Cuba (CleanEnerg-Cuba) | TT | 3.1 | 12.5 | 15.6 |
| 4626 | Djibouti | WB | Geothermal Power Generation Program | RE | 6.6 | 22.5 | 29.1 |
| 5029 | Ecuador | IDB | Rural Electrification with Renewable Energy in Isolated Areas of Ecuador ^f | RE | 1.0 | 3.8 | 4.8 |
| 5114 | Ecuador | UNDP | Securing Energy Efficiency in the Ecuadorian Residential and Public Sectors (SECURE) ^f | EE, RE | 2.1 | 23.6 | 25.7 |
| 5064 | Egypt | UNDP | Grid-Connected Small-Scale Photovoltaic Systems | RE | 4.0 | 25.8 | 29.8 |
| 4790 | Egypt | UNIDO | Promoting Low-carbon Technologies for Cooling and Heating in Industrial Applications in Egypt | RE | 7.3 | 41.7 | 48.9 |

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>Type^a</i> | <i>GEF Amount^b (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|---------------|----------------------------------|---------------|--|-------------------------|---|---------------------------------------|--------------------------------|
| 5286 | Equatorial Guinea | UNDP | Sustainable Energy for All: Promoting Small Scale Hydropower in Bioko and Other Clean Energy Solutions for Remote Islands | RE | 4.0 | 40.0 | 44.0 |
| 5289 | Guinea | UNDP | Developing a Market for Biogas Resource Development and Utilization in Guinea | RE | 3.0 | 10.2 | 13.1 |
| 5331 | Guinea-Bissau | UNIDO | Creation of an Enabling Environment for Small to Medium Scale Renewable Energy Investments in the Electricity ^f | RE | 2.0 | 7.5 | 9.5 |
| 5087 | India | UNIDO | Organic Waste Streams for Industrial Renewable Energy Applications in India | RE | 3.8 | 18.2 | 22.0 |
| 4900 | India | UNDP | Scale Up of Access to Clean Energy for Rural Productive and Domestic Uses | RE | 4.6 | 32.5 | 37.1 |
| 5364 | India | WB | Improving Rural Energy Access in Deficit States | RE | 14.0 | 28.0 | 42.0 |
| 5218 | India | UNIDO | Cleantech Program for SMEs in India ^f | TT | 1.1 | 3.0 | 4.1 |
| 4899 | Indonesia | UNDP | Promoting Energy Efficiency for Non-HCFC Refrigeration and Air Conditioning (PENHRA) | EE | 5.6 | 25.0 | 30.6 |
| 5063 | Iraq | UNDP | Catalyzing the Use of Solar Photovoltaic Energy | RE | 2.6 | 10.3 | 12.9 |
| 5059 | Kazakhstan | UNDP | Nationally Appropriate Mitigation Actions for Low-carbon Urban Development | TU, EA | 6.7 | 60.0 | 66.7 |
| 4902 | Macedonia | UNIDO | Catalyzing Market Transformation for Industrial Energy Efficiency and Accelerate Investments in Best Available Practices and Technologies in the Former Yugoslav Republic of Macedonia | EE | 1.7 | 5.6 | 7.3 |
| 5329 | Malaysia | UNDP | Green Technology Application for the Development of Low Carbon Cities (GTALCC) | TU | 4.9 | 34.4 | 39.3 |
| 5146 | Malaysia | UNIDO | GEF UNIDO Cleantech Program for SMEs in Malaysia ^f | TT | 1.1 | 3.0 | 4.1 |
| 5387 | Mexico | WB | Mexico Sustainable Energy Technology Development | TT | 20.1 | 100.0 | 120.1 |
| 4999 | Mexico | UNEP | Integrated Responses to Short lived Climate Forcers Promoting Clean Energy and Energy Efficiency ^f | TT | 1.0 | 22.5 | 23.5 |
| 5157 | Moldova | UNDP | ESCO Moldova - Transforming the market for Urban Energy Efficiency in Moldova by Introducing Energy Service ^f | EE,TU | 1.6 | 7.3 | 8.9 |
| 5055 | Mongolia | ADB | ASTUD: Mongolia Urban Transport Development Investment Program ^d | TU | 1.5 | 272.9 | 274.4 |
| 5098 | Montenegro | UNDP | Towards Carbon Neutral Tourism | TU | 3.6 | 70.7 | 74.3 |
| 5321 | Myanmar | UNIDO | Improvement of Industrial Energy Efficiency | EE | 3.1 | 13.8 | 16.9 |
| 5375 | Nigeria | UNIDO | Scaling up Small Hydro Power (SHP) in Nigeria | RE | 2.9 | 14.9 | 17.8 |
| 5287 | Panama | UNEP | Solar Water Heater Market Development and Energy Efficiency Project ^f | EE, RE | 2.1 | 8.9 | 11.0 |
| 5396 | Russian Federation | WB | National Urban Transport Improvement Project | TU | 10.0 | 270.0 | 280.0 |
| 5297 | Saint Vincent and the Grenadines | UNDP | Promoting access to clean energy services in Saint Vincent ^f | RE | 1.9 | 23.4 | 25.2 |

| <i>GEF_ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>Type^a</i> | <i>GEF Amount^b (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|-------------------------------------|---------------------|---------------|---|-------------------------|---|---------------------------------------|--------------------------------|
| 5316 | Seychelles | UNDP | Promotion and Up-scaling of Climate-resilient, Resource Efficient Technologies in a Tropical Island Context ^f | EE | 1.9 | 8.8 | 10.7 |
| 4840 | Sierra Leone | UNDP | Energy Efficient Production and Utilization of Charcoal through Innovative Technologies and Private Sector Involvement | EE | 2.1 | 9.0 | 11.1 |
| 5341 | South Africa | UNDP | South Africa Wind Energy Project (SAWEP) Phase II | RE | 4.0 | 27.7 | 31.7 |
| 4745 | Sudan | UNDP | Promoting Utility-Scale Power Generation from Wind Energy | RE | 4.1 | 213.7 | 217.8 |
| 4873 | Tanzania | UNIDO | Promotion of Waste-to-Energy Applications in Agro-Industries | RE | 5.9 | 26.5 | 32.4 |
| 5340 | Tunisia | UNDP | NAMA Support for the Tunisian Solar Plan | RE | 4.0 | 63.9 | 67.9 |
| Stand-alone Project Subtotal | | | | | 210.4 | 2,320.9 | 2,531.3 |
| Multi-Focal Area Projects | | | | | | | |
| 4678 | Global | UNDP | GEF SGP Fifth Operational Phase--Implementing the Program Using STAR Resources II | SGP | 74.1 | 74.1 | 148.2 |
| 5356 | Global | UNEP | Global Forest Watch 2.0 FW 2.0 | LFSM | 6.0 | 68.3 | 74.3 |
| 5390 | Antigua and Barbuda | UNEP | Sustainable Pathways - Protected Areas and Renewable Energy | RE | 2.9 | 5.4 | 8.3 |
| 5299 | Bolivia | UNEP | Delivering the Transition to Energy Efficient Lighting | TT | 3.4 | 12.1 | 15.5 |
| 4905 | Cambodia | UNEP | Strengthening National Biodiversity and Forest Carbon Stock Conservation through Landscape-based Collaborative Management of Cambodia's Protected Area System as Demonstrated in the Mondulkiri Conservation Landscape (CAMPAS Project) | LFSM | 5.4 | 14.2 | 19.6 |
| 4968 | Chile | FAO | Integrated National Monitoring and Assessment System on Forest Ecosystems (SIMEF) in Support of Policies, Regulations and SFM Practices Incorporating REDD+ and Biodiversity Conservation in Forest Ecosystems | LFSM | 6.9 | 25.2 | 32.2 |
| 5150 | Chile | UNEP | Delivering the Transition to Energy Efficient Lighting | TT | 2.8 | 9.8 | 12.6 |
| 5139 | China | FAO | Sustainable Forest Management to Enhance the Resilience of Forests to Climate Change | LFSM | 8.0 | 48.4 | 56.4 |
| 4775 | Ecuador | FAO | Promotion of Climate-smart Livestock Management Integrating Reversion of Land Degradation and Reduction of Desertification Risks in Vulnerable Provinces ^c | LF | 4.4 | 12.7 | 17.2 |
| 5398 | Fiji | UNDP | R2R - Implementing a "Ridge to Reef" Approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods ^d | LFSM | 8.3 | 30.2 | 38.5 |
| 5285 | Indonesia | UNEP | Strengthening Forest and Ecosystem Connectivity in RIMBA Landscape of Central Sumatra through Investing in Natural Capital, Biodiversity Conservation, and Land-based Emission Reductions (RIMBA) | LFSM | 10.3 | 37.8 | 48.1 |

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>Type^a</i> | <i>GEF Amount^b (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|--|-----------------------|---------------|---|-------------------------|---|-----------------------------------|----------------------------|
| 5083 | Kenya | FAO | Development of SFM and Support to REDD for Dryland Forests | LFSM | 3.2 | 11.1 | 14.3 |
| 5225 | Mozambique | WB | Mozambique Conservation Areas for Biodiversity and Development Project | LFSM | 6.9 | 94.8 | 101.7 |
| 5123 | Myanmar | FAO | Sustainable Cropland and Forest Management in Priority Agro-ecosystems of Myanmar | LFSM | 7.0 | 13.5 | 20.5 |
| 5277 | Nicaragua | UNDP | Strengthening the Resilience of Multiple-use Protected Areas to Deliver Multiple Global Environmental Benefits | LFSM | 6.8 | 20.1 | 26.9 |
| 5293 | Russian Federation | UNIDO | Save the Source: Catalyzing Market Transformation of Breweries from a Major Natural Resource Consuming Industry to a Pro-active Steward for Resource Efficient Cleaner Production | TT | 7.0 | 30.9 | 37.9 |
| 5104 | Russian Federation | UNDP | Sustainable Land Management and Ecosystem-based Climate Change Mitigation in the Altai-Sayan Ecoregion | LFSM | 9.2 | 29.5 | 38.7 |
| 5334 | Sao Tome and Principe | UNDP | Promotion of Environmentally Sustainable and Climate-Resilient Grid-based Hydroelectric Electricity through an Integrated Approach in Sao Tome and Principe | RE | 5.9 | 20.4 | 26.3 |
| 5122 | Solomon Islands | FAO | Integrated Forest Management in the Solomon Islands | LF | 6.4 | 19.0 | 25.4 |
| 5057 | St. Lucia | UNEP | Iyanola - Natural Resource Management of the NE Coast | LFSM | 2.9 | 8.9 | 11.8 |
| 5330 | Thailand | UNDP | Maximizing Carbon Sink Capacity and Conserving Biodiversity through Sustainable Conservation, Restoration, and Management of Peat-swamp Ecosystems | LFSM | 3.7 | 13.0 | 16.6 |
| 5005 | Vietnam | ADB | GMS-FBP Integrating Biodiversity Conservation, Climate Resilience and Sustainable Forest Management in Central Annamite Landscapes ^d | LFSM | 4.5 | 55.5 | 60.0 |
| 5152 | Yemen | UNEP | Delivering the Transition to Energy Efficient Lighting | TT | 2.3 | 9.7 | 11.9 |
| Multi-focal Area Project Subtotal | | | | | 198.3 | 664.5 | 862.8 |
| Total | | | | | 408.7 | 2,985.4 | 3,394.1 |

^a EE: energy efficiency, RE: renewable energy, EA: enabling activities, TU: sustainable transport and urban systems, LF: land use, land use change and forestry (LULUCF), LFSM: LULUCF&SFM/REDD+, TT: demonstration, deployment, and transfer of innovative low-carbon technologies

^b These amounts include all focal area contributions, including project preparation grants and Agency fees. The total GEF Amount includes \$255 million from other focal areas or trust funds, including SCCF.

^c Multi-trust fund project, including funding from SCCF

^d Child project under the programs

^e Public Private Partnership (PPP) Program with no child projects

^f Medium Size Project (MSP)

2. List of FY 2013 Climate Change Mitigation Programs

Table A1. 2

FY 2013 Climate Change Mitigation Programs

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>Type^a</i> | <i>GEF Amount^b (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|---------------|----------------|---------------|--|-------------------------|---|---------------------------------------|--------------------------------|
| 5395 | Regional | UNDP | R2R- Pacific Islands Ridge-to-Reef National Priorities – Integrated Water, Land, Forest and Coastal Management to Preserve Biodiversity, Ecosystem Services, Store Carbon, Improve Climate Resilience and Sustain Livelihoods ^{c,d} | LFSM | 90.4 | 333.0 | 423.4 |
| | | | | Total | 90.4 | 333.0 | 423.4 |

^a EE: energy efficiency, RE: renewable energy, TU: sustainable transport and urban systems, LF: land use, land use change and forestry (LULUCF), LFSM: LULUCF&SFM/REDD+, TT: demonstration, deployment, and transfer of innovative low-carbon technologies

^b These amounts represent GEF funding at Work Program inclusion.

^c Multi-focal area program

^d Multi-trust fund program, including funding from SCCF

3. List of FY 2013 Enabling Activity Projects

Table A1. 3

FY 2013 Enabling Activity Projects Financed under the GEF Trust Fund

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Amount (\$million)</i> | <i>Co-financing (\$ million)</i> | <i>Total (\$ million)</i> |
|---------------|---------------------|---------------|--|-------------------------------|----------------------------------|---------------------------|
| 4948 | Global ^a | UNEP | Technology Needs Assessment | 6.4 | 2.0 | 8.4 |
| 5119 | Global ^b | UNEP | Umbrella Program for National Communication to the UNFCCC | 6.8 | 1.1 | 7.9 |
| 5141 | Global ^c | UNDP/UNEP | Global Support Program for Preparation of National Communications and Biennial Update Reports for non-Annex I Parties under the UNFCCC | 7.2 | 1.8 | 9.0 |
| 4955 | Belarus | GEFSEC | Preparation of the Sixth National Communication for the Implementation of the United Nations Framework Convention on Climate Change | 0.3 | 0.0 | 0.3 |
| 5189 | Bangladesh | UNDP | Third National Communication to the UNFCCC | 0.5 | 0.0 | 0.5 |
| 5378 | Brazil | UNDP | Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC) | 8.2 | 22.7 | 31.0 |
| 4882 | China | UNDP | Enabling China to Prepare Its Third National Communication (3NC) and Biennial Update Report to the UNFCCC | 8.0 | 0.9 | 8.9 |
| 5140 | Mexico | UNDP | Sixth National Communication to the UNFCCC | 4.0 | 4.0 | 8.0 |
| 5237 | South Africa | UNEP | Enabling South Africa to Prepare Its Third National Communication (3NC) and Biennial Update Report to the UNFCCC | 4.4 | 1.4 | 5.7 |
| 5207 | Uruguay | UNDP | Uruguay's First Biennial Update Report (FBUR) | 0.4 | 0.1 | 0.4 |
| Total | | | | 46.1 | 34.0 | 80.1 |

^a Participating countries are Armenia, Burkina Faso, Burundi, Bolivia, Egypt, Gambia, Grenada, Guyana, Honduras, Jordan, Madagascar, Malaysia, Mauritania, Mozambique, Panama, Philippines, Seychelles, Swaziland, Tanzania, Togo, Tunisia, Turkmenistan, Uruguay and Uzbekistan.

^b Participating countries are Bahrain, Benin, Bhutan, Cook Islands, Eritrea, Lao PDR, Mali, Mauritius, Nauru, Sao Tome and Principe, Seychelles and Tanzania.

^c Participating countries include all non-Annex I Parties. Non-Annex I Parties are mostly developing countries.

Note: In addition to 10 EAs listed above, Azerbaijan, Ghana, Lebanon and Macedonia Biennial Update Reports were also approved late FY-2013 (Presented in Table 1).

Annex 2: List of FY 2013 Projects and Programs under the LDCF and the SCCF

Annex 2 lists projects and programs on climate change adaptation approved under the LDCF and SCCF during the reporting period (July 1, 2012 to June 30, 2013).

1. List of LDCF Projects and Programs Approved in FY 2013

a. List of LDCF Projects Approved in FY 2013

Table A2. 1

FY 2013 LDCF Projects

| <i>GEF ID</i> | <i>Agency</i> | <i>Country</i> | <i>Project Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co- Financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|----------------------------------|---------------|----------------|---|-------------------------------------|--|--------------------------------|
| LDCF Stand-alone Projects | | | | | | |
| 5320 | UNDP, UNEP | Global | Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs) | 2.2 | 8.4 | 10.6 |
| 5202 | UNDP | Afghanistan | Strengthening the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks | 10.0 | 30.6 | 40.6 |
| 5177 | UNDP | Angola | Promoting climate-resilient development and enhanced adaptive capacity to withstand disaster risks in Angolan's Cuvelai River Basin | 9.1 | 28.4 | 37.5 |
| 5231 | AfDB | Angola | Integrating Climate Change into Environment and Sustainable Land Management Practices | 4.8 | 20.0 | 24.8 |
| 5232 | AfDB | Benin | Flood Control and Climate resilience of agriculture infrastructures in Oueme Valley | 7.9 | 44.0 | 51.9 |
| 4971 | UNDP | Burkina Faso | Reducing vulnerability of natural resource dependent livelihoods in two landscapes at risk of the effects of climate change in Burkina Faso: Boucles du Mouhoun Forest Corridor and Mare d'Oursi Wetlands Basin | 7.8 | 21.6 | 29.4 |
| 5014 | FAO | Burkina Faso | Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas Through the Farmers Field School Approach. | 4.3 | 19.6 | 23.9 |
| 4990 | UNDP | Burundi | Community disaster risk management in Burundi | 9.7 | 31.4 | 41.0 |
| 5318 | UNDP | Cambodia | Strengthening climate information and early warning systems in Cambodia to support climate resilient development and adaptation to climate change | 5.5 | 16.7 | 22.2 |
| 4974 | UNDP | Comoros | Enhancing adaptive capacity and resilience to climate change in the agriculture sector in Comoros | 10.0 | 35.1 | 45.1 |

| <i>GEF ID</i> | <i>Agency</i> | <i>Country</i> | <i>Project Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co- Financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|---------------|---------------|----------------|--|-------------------------------------|--|--------------------------------|
| 5226 | UNDP | Congo DR | Building the resilience and ability to adapt of women and children to changing climate in Democratic Republic of Congo | 5.3 | 15.6 | 20.9 |
| 5021 | UNEP | Djibouti | Implementing adaptation technologies in fragile ecosystems of Djibouti's Central Plains | 8.2 | 22.2 | 30.4 |
| 5332 | UNDP | Djibouti | Supporting Rural Community Adaptation to Climate Change in Mountain Regions of Djibouti | 6.0 | 28.1 | 34.1 |
| 5071 | UNDP, UNEP | Gambia | Strengthening climate services and early warning systems in the Gambia for climate resilient development and adaptation to climate change – 2nd Phase of the GOTG/GEF/UNEP LDCF NAPA Early Warning Project | 8.9 | 25.4 | 34.3 |
| 5075 | UNDP | Lesotho | Reducing vulnerability from climate change in the Foothills, Lowlands and the lower Senqu River Basin | 9.2 | 26.0 | 35.2 |
| 5124 | FAO | Lesotho | Strengthening Capacity for Climate Change Adaptation through Support to Integrated Watershed Management Program in Lesotho | 3.9 | 7.8 | 11.7 |
| 4950 | UNDP | Liberia | Strengthening Liberia's capability to provide climate information and services to enhance climate resilient development and adaptation to climate change | 7.5 | 28.9 | 36.4 |
| 4568 | UNEP | Madagascar | Adapting coastal zone management to climate change in Madagascar considering ecosystem and livelihood improvement | 6.0 | 12.1 | 18.1 |
| 5233 | AfDB | Madagascar | Enabling climate resilience in the agriculture sector in the southwest region of Madagascar | 6.9 | 33.0 | 39.9 |
| 5015 | UNDP | Malawi | Implementing urgent adaptation priorities through strengthened decentralized and national development plans | 5.1 | 16.0 | 21.1 |
| 4822 | FAO | Mali | Strengthening Resilience to Climate Change through Integrated Agricultural and Pastoral Management in the Sahelian zone in the Framework of the Sustainable Land Management Approach | 2.4 | 9.7 | 12.1 |
| 5192 | UNDP | Mali | Strengthening the resilience of women producer group's and vulnerable communities in Mali | 6.1 | 16.6 | 22.7 |
| 5190 | AfDB | Mauritania | Improving climate resilience of water sector investments with appropriate climate adaptive activities for pastoral and forestry resources in southern Mauritania | 7.3 | 14.8 | 22.1 |
| 5111 | FAO | Nepal | Reducing Vulnerability and Increasing Adaptive Capacity to Respond to Impacts of Climate Change and Variability for Sustainable Livelihoods in Agriculture Sector in Nepal | 2.9 | 9.2 | 12.2 |
| 5203 | UNEP | Nepal | Catalyzing ecosystem restoration for resilient natural capital and rural livelihoods in degraded forests and rangelands of Nepal. | 5.9 | 11.6 | 17.4 |
| 4702 | FAO | Niger | Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas through the Farmers Field School Approach | 4.2 | 15.2 | 19.4 |
| 5194 | UNEP | Rwanda | Building resilience of communities living in degraded forests, savannahs and wetlands of Rwanda through an ecosystem management approach. | 6.1 | 10.8 | 17.0 |

| <i>GEF ID</i> | <i>Agency</i> | <i>Country</i> | <i>Project Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co- Financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|--|---------------|-----------------------|--|-------------------------------------|--|--------------------------------|
| 4585 | UNDP | Samoa | Enhancing the resilience of tourism-reliant communities to climate change risks | 2.2 | 17.3 | 19.5 |
| 5184 | UNDP | Sao Tome and Principe | Enhancing capacities of rural communities to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL) | 4.5 | 16.3 | 20.7 |
| 5209 | AfDB | Sierra Leone | Building resilience to climate change in the water and sanitation sector | 4.4 | 28.7 | 33.1 |
| 4958 | UNDP | Sudan | Climate risk finance for sustainable and climate resilient rainfed farming and pastoral systems | 6.4 | 12.3 | 18.7 |
| 5056 | UNDP | Timor Leste | Strengthening Community Resilience to Climate Induced Natural Disasters in the Dili to Ainaro Road Development Corridor, Timor Leste | 5.9 | 79.0 | 84.9 |
| 5204 | AfDB | Uganda | Building resilience to climate change in the water and sanitation sector | 9.2 | 38.0 | 47.2 |
| 5049 | UNDP | Vanuatu | Adaptation to Climate Change in the Coastal Zone in Vanuatu | 9.1 | 32.9 | 42.0 |
| 5174 | IFAD | Yemen | Rural Adaptation in Yemen | 11.0 | 55.1 | 66.2 |
| 5211 | UNDP | Yemen | Integrated Water Harvesting Technologies to Adapt to Climate Change Induced Water Shortage | 5.5 | 19.7 | 25.2 |
| 5320 | UNDP, UNEP | Global | Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs) | 2.2 | 8.4 | 10.6 |
| Stand-alone Project Subtotal | | | | 229.1 | 849.7 | 1,078.8 |
| LDCF Multi-Trust Fund Projects | | | | | | |
| 5133 | World Bank | Regional | Senegal River Basin Climate Change Resilience Development Project | 13.1 | 49.6 | 62.7 |
| 5113 | FAO | Regional | Enhancing Climate Change Resilience in the Benguela Current Fisheries System | 1.9 | 4.4 | 6.3 |
| 5380 | UNDP | Haiti | Increasing Resilience of Ecosystems and Vulnerable Communities to CC and Anthropogenic Threats Through a Ridge to Reef Approach to BD Conservation and Watershed Management | 6.00 | 25.3 | 31.3 |
| Multi-Trust Fund Project Subtotal | | | | 21.0 | 79.3 | 100.3 |
| Projects Total | | | | 250.1 | 929.0 | 1,179.0 |

b. List of LDCF Programs Approved in FY 2013

Table A2. 2
FY 2013 LDCF Programs

| <i>GEF ID</i> | <i>Agency</i> | <i>Country</i> | <i>Project Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co-Financing (\$ millions)</i> | <i>Total Cost (\$ millions)</i> |
|---------------------------------|-----------------|----------------|--|-------------------------------------|---------------------------------------|-------------------------------------|
| 5228 | AfDB | Regional | Rural Livelihoods Adaptation to Climate Change (RLACC) ^a | 5.5 | 43.1 | 48.6 |
| 5395 | UNDP, UNEP, FAO | Regional | R2R- Pacific Islands Ridge-to-Reef National Priorities – Integrated Water, Land, Forest and Coastal Management to Preserve Biodiversity, Ecosystem Services, Store Carbon, Improve Climate Resilience and Sustain Livelihoods ^b | 13.7 | 75.0 | 88.7 |
| LDCF Programs Sub-Total | | | | 19.1 | 118.1 | 137.3 |
| LDCF Projects + Programs | | | | 269.2 | 1,047.1 | 1,316.3 |

^a Multi-trust fund program, also financed from the SCCF (SCCF Amount: \$2.78 million, Co-financing: \$24.65 million)

^b Multi-trust fund program, also financed from the GEF Trust Fund (GEF Amount: \$21.4 million, Co-financing: \$126.3 million)

c. List of LDCF Enabling Activities Approved in FY 2013

Table A2. 3
FY 2013 LDCF Enabling Activities

| <i>GEF ID</i> | <i>Agency</i> | <i>Country</i> | <i>Project Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co-Financing (\$ millions)</i> | <i>Total Cost (\$ millions)</i> |
|---------------------------------------|---------------|-------------------|---|-------------------------------------|---------------------------------------|-------------------------------------|
| 5191 | UNDP | Equatorial Guinea | Preparation of National Adaptation Plan of Action (NAPA) in response to Climate Change in Equatorial Guinea | 0.22 | 0.22 | 0.44 |
| 5007 | UNDP | Somalia | Preparation of National Adaptation Plan of Action (NAPA) in response to Climate Change for Somalia | 0.22 | 0.21 | 0.43 |
| LDCF Enabling Activities Total | | | | 0.44 | 0.43 | 0.87 |

2. List of SCCF Projects and Programs Approved in FY 2013

a. List of SCCF-A Projects Approved in FY 2013

Table A2. 4

FY 2013 SCCF-A Projects

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|--|----------------|-----------------|--|-------------------------------------|---------------------------------------|--------------------------------|
| SCCF-A Stand-alone Projects | | | | | | |
| 5386 | UNEP | Albania | Building the Resilience of Kune-Vaini Lagoon through Ecosystem-based Adaptation (EbA) | 2.2 | 11.0 | 13.2 |
| 5147 | IFAD | Georgia | Enhancing Resilience of Agricultural Sector in Georgia (ERASIG) | 5.9 | 17.3 | 23.2 |
| 5115 | EBRD | Kyrgyz Republic | Promoting Climate Resiliency of Water Supplies in Kyrgyzstan | 5.5 | 28.6 | 34.1 |
| 5125 | World Bank | Lebanon | Sustainable Agricultural Livelihoods in Marginal Areas (SALMA) | 7.9 | 26.1 | 34.0 |
| 5343 | UNDP | Namibia | Scaling Up Community Resilience to Climate Variability and Climate Change in Northern Namibia, with a Special Focus on Women and Children. | 3.5 | 40.0 | 43.5 |
| 5105 | UNDP | Tunisia | Addressing climate change vulnerabilities and risks in vulnerable coastal areas of Tunisia | 6.2 | 55.3 | 61.4 |
| Stand-alone Project Subtotal | | | | 31.1 | 178.2 | 209.3 |
| SCCF-A Multi-Trust Fund Projects | | | | | | |
| 5113 | FAO | Regional | Enhancing Climate Change Resilience in the Benguela Current Fisheries System | 3.4 | 10.3 | 13.7 |
| 4775 | FAO | Ecuador | Promotion of Climate-smart livestock Management Integrating Reversion of Land Degradation and Reduction of Desertification Risks in Vulnerable Provinces | 1.7 | 5.0 | 6.7 |
| Multi-Trust Fund Project Subtotal | | | | 5.15 | 15.30 | 20.45 |
| Projects Total | | | | 36.28 | 193.49 | 229.77 |

b. List of SCCF-A Programs Approved in FY 2013

Table A2. 5

FY 2013 SCCF-A Programs

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|---|----------------|---------------|---|-------------------------------------|---------------------------------------|--------------------------------|
| SCCF-A Programs | | | | | | |
| 5228 | Regional | AfDB | Rural Livelihoods Adaptation to Climate Change in the Horn of Africa (RLACC) ^a | 2.8 | 24.7 | 27.4 |
| SCCF-A Projects + Programs Total | | | | 39.1 | 218.1 | 257.2 |

^a Multi-trust fund program, also financed from the LDCF (LDCF Amount: \$5.48 million, Co-financing: \$43.12 million)

c. List of SCCF-B Projects Approved in FY 2013⁴³

Table A2. 6

FY 2013 SCCF-B Projects

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Amount (\$ millions)</i> | <i>Co-financing (\$ millions)</i> | <i>Total (\$ millions)</i> |
|------------------------------|--|---------------|--|-------------------------------------|---------------------------------------|--------------------------------|
| SCCF-B Projects | | | | | | |
| 5263 | Cameroon | AfDB | Enhancing the resilience of poor communities to urban flooding in Yaounde ^a | 4.5 | 120.0 | 124.5 |
| 5384 | Regional (Bolivia, Colombia, Ecuador) | World Bank | Adaptation to the Impact of Climate Change in Water Resources for the Andean Region ^b | 9.5 | 18.5 | 27.9 |
| SCCF-B Projects Total | | | | 14.0 | 138.5 | 152.4 |

^a Stand-alone project

^b Multi-trust fund project, also financed from the GEF Trust Fund (GEF Amount: \$10.0 million, Co-financing: \$64.4 million)

⁴³ There is no SCCF-B program approved in FY 2013.

Annex 3: Summaries of Projects Approved under the GEF Trust Fund

Note:

- 1) Annex 3 summarizes projects and programs on climate change mitigation and enabling activities approved under the GEF Trust Fund (GEFTF) during the reporting period (July 1, 2012 to June 30, 2013).
- 2) Multi-focal area projects include climate change mitigation and one or more objectives of other focal areas: biodiversity (BD); international waters (IW); land degradation (LD); and chemicals (CHEM).
- 3) Implementing Agencies of the listed projects and programs are: the Asian Development Bank (ADB), the European Bank for Reconstruction and Development (EBRD), the Food and Agriculture Organization of the United Nations (FAO), the Inter-American Development Bank (IDB), the United Nations Development Program (UNDP), the United Nations Environment Program (UNEP), the United Nations Industrial Development Organization (UNIDO), and the World Bank (WB).
- 4) GEF funding includes PPG and Agency Fee. Total cost is the sum of GEF funding and co-financing.
- 5) Some of the project summaries include estimations of GHG emissions reductions included in each Project Identification Form (PIF). Those numbers will be re-examined in their project documents prior to GEF CEO Endorsement.

1. Summaries of Climate Change Mitigation Stand-Alone Projects Approved in FY 2013

Regional (AFR, Asia): EBRD South Eastern Mediterranean EE/ESCO Markets Platform (PROGRAM) (GEF ID: 5143, EBRD, GEFTF: \$16.2 million; Total Cost: \$157.5 million)

This Public-Private Partnership (PPP) with EBRD will establish an innovative structured financing facility to serve four GEF countries in the Southern Mediterranean. The program will catalyze the creation of an energy efficiency and Energy Services Company (ESCO) market in Morocco, Tunisia, Egypt and Jordan. In addition to saving energy and reducing greenhouse gas (GHG) emissions from the public sector, the program will contribute to the growth of a local supply chain in the industrial sector, leading to replication. The GEF/EBRD PPP program supports the emergence of a market for energy efficiency that would not materialize otherwise. The program is estimated to contribute emissions reductions of 13.5 Mt CO₂ eq over the lifetime of the investments.

Regional (LAC): Sustainable Energy for the Eastern Caribbean (SEEC) Program (GEF ID: 5312, IDB, GEFTF: \$3.3million; Total Cost: \$16.4million)

The objective of the Sustainable Energy for the Eastern Caribbean (SEEC) Program is to reduce dependency on, and costs of, fossil fuels by promoting the implementation of energy efficiency (EE) measures and renewable energy (RE) pilot demonstration projects, including smart grid solutions. The project will support an analysis of current financing options and ways to improve them, including a workshop for the banking sector and credit agencies. Financing mechanisms such as concessional loans, loan guarantees, or rebates will be established for EE projects in the private and public sectors in each country. In addition, this project will develop a program of activities for a regional Nationally Appropriate Mitigation Action (NAMA) that covers all three countries as well as examining smart grid options and instruments for each country. Through projects, there will be a reduction of 40 kt CO₂ eq from energy efficiency investments and a reduction of 80 kt CO₂ eq from renewable energy investments.

Regional (LAC): PPP-IDB Sustainable Caribbean Basin Private Equity Fund (PROGRAM) (GEF ID: 5388, IDB, GEFTF: \$16.2 million; Total Cost: \$216.2 million)

This program will establish an innovative Caribbean Basin Private Equity Fund that will make key investments in sustainability across the region. The program has the potential to address multi-focal areas including clean energy, chemicals, sustainable forestry, sustainable fisheries, and adaptation. The IDB Multilateral Investment Fund (MIF) has been innovative in pioneering new financial mechanisms for investments with small and medium enterprises, and using the leverage of the private sector to support sustainability in Latin America. The focus on the Caribbean island states and basin countries will address an under-served area that has very high energy costs and is vulnerable to climate change. Using the GEF private sector set-aside as the primary funding source with \$15 million, the IDB has expressed willingness to add additional focal area investments, including e-waste, forestry, and eco-tourism.

Armenia: GEF UNIDO Cleantech Program for SMEs (GEF ID: 5145, UNIDO, GEFTF: \$0.6 million; Total Cost: \$3.2 million)

The project is a part of a global initiative to promote innovative environmentally friendly energy technologies and is in line with National Policies and GEF focal area priorities. Clean energy technologies developed and promoted as a result of the competition and the accelerator program will lead to a reduction in GHG emissions and seek to contribute in

Armenia's sustainable green growth thereby addressing a global issue of climate change and national issues of energy security. The promotion of innovation through clean energy technology as a means to trigger and support sustainable and competitive entrepreneurship in Armenia through Cleantech Program for SMEs is envisaged through the following three components: (i) Building the national capacity to support cleantech startups and fostering a vibrant and sustainable cleantech ecosystem through partnerships and collaboration, (ii) Promoting coordination mechanism to support clean technology innovations and competitiveness of SMEs, as well as design business models that can deliver global environmental benefits, and (iii) Strengthening policy, institutional framework and partnerships for scaling up cleantech innovations across Armenia.

Azerbaijan: Nationally Appropriate Mitigation Actions (NAMAs) for Low-Carbon End-Use Sectors in Azerbaijan (GEF ID: 5291, UNDP, GEFTF: \$4.0 million; Total Cost: \$38.0 million)

This project aims to support the government of Azerbaijan in the development and implementation of National Appropriate Mitigation Actions (NAMAs) in the energy generation and end-use sectors to achieve voluntary national greenhouse gas (GHG) emission reduction target (GHG reduction by 30% below 2010 level by 2030). Potential mitigation actions in the energy generation (by fuel switch) sector include pilot investment in grid-connected wind power plant. The project includes improvement of energy-use in buildings and heat generation through solar water heating and energy efficient retrofits in public and residential buildings as end-use sectors. The project consists of the four components: (i) development of Energy/GHG inventories, abatement potential and targets; (ii) development of mitigation actions for oil and gas end-use sectors; (iii) implementation of NAMAs in the oil and gas end-use sectors; and (iv) monitoring, reporting and verification (MRV) system and national registry for mitigation actions in the energy generation and end-use sectors. The direct and indirect CO₂ emission reductions are estimated to be approximately 626 kt CO₂ eq and 15.2 Mt CO₂ eq, respectively, over the project duration.

Belarus: Belarus Green Cities: Supporting Green Urban Development in Small and Medium Sized Cities in Belarus (GEF ID: 5372, UNDP, GEFTF: \$3.5 million; Total Cost: \$13.6 million)

This project will promote the development of green urban development plans and pilot green urban development projects related to energy-efficiency and sustainable transport in small and medium cities in Belarus. Without the project, activities supported by the Government of Belarus to promote climate mitigation will not include green urban development. Focusing on transport and energy efficiency (through improved buildings and efficient street lighting) will allow the three selected (i.e. Novopolotsk, Polotsk and Novogrudok) cities to develop appropriate regulatory frameworks, institutional capacity, and experience for other smaller cities to emulate. The project consists of the following components: (i) Green Urban Development Plans, (ii) Demonstration Projects on Transport, (iii) Demonstration Projects on EE lighting, and (iv) Green Cities Association of Belarus. Estimates for direct emissions reductions are 160 kt CO₂ eq over the lifetime of the investments.

Brazil: Low-Carbon Urban Mobility for Large Cities (GEF ID: 4949, IDB, GEFTF: \$6.8 million; Total Cost: \$84.0 million)

This project aims to develop and demonstrate the inclusion of climate change considerations in the design and assessment of urban transport investments in Brazil. The GEF funding will ensure that the government projects are in line with sustainable urban mobility plans and maximize GHG emissions reductions. The project consists of the following three components: (i) Sustainable urban mobility framework for Brazilian large cities; (ii) Pilot demonstrations of sustainable urban mobility; and (iii) Capacity building and dissemination. By developing 10 km of bicycle paths, the project is estimated to reduce 260 kt of CO₂ eq over 20 years.

China: Energy Conservation, Greenhouse Gas Mitigation and Soil Carbon Sequestration in Staple Crop Production (GEF ID: 5121, World Bank, GEFTF: \$5.6 million; Total Cost: \$30.6 million)

The project objective is to test and promote the use of innovative low-emission technologies and practices and soil carbon sequestration by farmers in food grain production through technology demonstration and deployment, and to prepare and support the creation of an enabling policy and dissemination environment. This project would be one of the two first GEF projects supporting climate change mitigation through climate smart agriculture technologies and cropping systems. The project consists of the following components: (i) Technology Demonstration and Deployment; (ii) Policy Development; and (iii) Knowledge Management. The direct GHG emissions savings due to the projects' activities over 10 years are estimated at 2 Mt CO₂eq.

China: ASTUD: Jiangxi Fuzhou Urban Integrated Infrastructure Improvement Project (GEF ID: 5411, ADB, GEFTF: \$2.8 million; Total Cost: \$229.2 million)

The project is aligned with GEF-5's climate change strategy, and in particular, with the key expected outcomes of Objectives CCM-4. The baseline project will help to transform transport and urban systems in Jiangxi Fuzhou by implementing a bus rapid transit (BRT)-based mass transit system linked to transit-oriented development of the city. The GEF-financed activities work synergistically with the baseline project to further reduce GHG emissions from the

public transport system by (a) instilling energy-efficiency and low carbon principles into all aspects of public transport operation and management; and (b) supporting the incremental cost of introducing less-GHG-intensive buses to operate on the baseline BRT project and feeder services. Total GHG emissions avoided (direct and indirect) are estimated to be some 1.9-2.6 Mt CO₂eq over the project lifetime.

Colombia: Demonstration and Assessment of Battery-Electric Vehicles for Mass Transit in Colombia (GEF ID: 5199, IDB, GEFTF: \$2.5 million; Total Cost: \$32.4 million)

This project aims to promote battery-electric, large-capacity vehicles for mass transit in Colombia by means of removing technology, regulatory, awareness and financial barriers, as a measure to reduce GHG emissions and improve local air-quality. The project consists of the following components: (i) Policy development for electronic vehicles in Colombia; (ii) Demonstration and assessment of articulated, battery-electric buses in Bogota; (iii) Design of financial mechanisms for the deployment of battery-electric buses; and (iv) Training, outreach and communication. By implementing the technology packages, the project is estimated to reduce about 11 kt of CO₂ eq directly.

Cuba: Clean Energy Technologies for the Rural Areas in Cuba (CleanEnerg-Cuba) (GEF ID: 5149, UNDP, GEFTF: \$3.1 million; Total Cost: \$15.6 million)

This project will support access to bioenergy technology in Cuba by promoting the use of biodiesel and biogas technologies by rural farmers through technology transfer. The baseline project details Cuba's priority for integrated food and energy productions, both biogas and biofuels. There is very significant multi-lateral investment already occurring. The project description identifies barriers that still remain to be addressed, including policy and technology barriers. The project consists of the following components: (i) Information and policy development; (ii) Technology transfer and development; (iii) Institution building, training, and promotion. Direct emissions reductions are estimated at 50-100 kt CO₂ eq annually, with additional indirect emissions contributing up to 1 Mt CO₂ eq over 10 years.

Djibouti: Geothermal Power Generation Program (GEF ID: 4626, World Bank, GEFTF: \$6.6 million; Total Cost: \$29.1 million)

This project will promote renewable (geothermal) energy and reduce GHG emissions in Djibouti by removing the resource confirmation and project development financing risks. The project will assess the commercial viability of the geothermal resource in Lac Assal in Djibouti. Achieving this objective could help unlock Djibouti's geothermal potential, reduce domestic electricity generation costs, increase energy security, and foster private sector participation in the energy sector. The project consists of the following two components: (i) Exploratory Drilling; (ii) Technical Assistance to assess the geothermal field; design, manage and implement the drilling program; and prepare feasibility studies for resource development tendering. The project is estimated to help avoid GHG emission of 600 kt CO₂ eq per year.

Ecuador: Rural Electrification with Renewable Energy in Isolated Areas of Ecuador (GEF ID: 5029, IDB, GEFTF: \$1.0 million; Total Cost: \$4.8 million)

The GEF project will support the development of rural electrification projects in isolated areas with renewable energy focusing on reviewing the methodologies of qualification and prioritization (economic and financial methodologies). The GEF will support the development of a management model that will define a set of aspects required to ensure long-term sustainability of these projects. The project consists of the following components: (i) Improve local capacities for designing, evaluating, implementing and managing projects with renewable energy, (ii) Implementation of renewable energy projects, (iii) Monitoring, impact evaluation and dissemination of results. Using the GEF CO₂ reduction methodology, the direct emissions reductions are estimated to be 4 ktCO₂ eq over project lifetime.

Ecuador: Securing Energy Efficiency in the Ecuadorian Residential and Public Sectors (SECURE) (GEF ID: 5114, UNDP, GEFTF: \$2.1 million; Total Cost: \$25.7 million)

The objective of this project is to increase the share of energy-efficient electric appliances and lighting in the residential and public sectors. The project consists of the following components: (i) establishment of a conducive governance framework that promotes the adoption of Energy Efficiency (EE) appliances in the residential and public sectors; (ii) development of national technical capacities to effectively implement, apply, and enforce EE standards for household appliances entering the market; and (iii) removal of a target volume of household appliances (refrigerators) to catalyze the phase-out and replacement of obsolete and energy inefficient household appliances. The global environment benefit target is to directly reduce 20 kt CO₂ eq and indirectly reduce 500 kt CO₂ eq over the lifetime of the project.

Egypt: Grid-Connected Small-Scale Photovoltaic Systems (GEF ID: 5064, UNDP, GEFTF: \$4.0 million; Total Cost: \$29.8 million)

This project will support the Egyptian government's plans to promote renewable energy, specifically by creating new supply of roof-top mounted Solar PV systems for low-income households. The Solar PV systems will generate income for home-owners as the electricity produced will be sold at premium prices through a Government program to provide

certified renewable energy to hotels, companies, and other socially responsible customers. The project consists of the following components: (i) Construction, installation and grid-connection of PV systems; (ii) Policy, institutional and regulatory framework; (iii) Strengthening the PV technology supply and maintenance chain; and (iv) Create a financing framework to support the development of PV systems (and renewable systems in general). Direct emission benefits will be 100 kt CO₂ eq over the lifetime of the installed equipment.

Egypt: Promoting Low-carbon Technologies for Cooling and Heating in Industrial Applications in Egypt (GEF ID: 4790, UNIDO, GEFTF: \$7.3million; Total Cost: \$48.9 million)

This project will promote the use of solar energy for industrial cooling and heating. The project is consistent with National Government priorities and has been designed to address demand and supply chain gaps in the use of solar for both heat and cooling. The project consists of the following components: (i) Strengthening of Policy and Institutional framework; (ii) Technology investment and application; (iii) Scaling up of solar technologies in industrial applications (investment); and (iv) Best practices sharing and capacity building. Direct greenhouse gas emissions savings are estimated at 318 kt CO₂ eq.

Equatorial Guinea: Sustainable Energy for All: Promoting Small Scale Hydropower in Bioko and Other Clean Energy Solutions for Remote Islands (GEF ID: 5286, UNDP, GEFTF: \$4.0 million; Total Cost: \$44.0 million)

This project is designed to address regulatory, policy, legal, institutional, technical, market and financial barriers to the further diversification of Equatorial Guinea's energy mix. This project is the first ever GEF-funded climate mitigation project in Equatorial Guinea. The project consists of the following components: (i) Clean Energy Planning and Policies to support the development of policy de-risking framework for integrated resource planning; (ii) Clean Energy Technology and Business Model-to include conducting of feasibility assessments of technology options for small hydropower in small islands; (iii). Clean Energy Catalyzed Funding to help identify financial de-risking measures which can mobilize finance for renewable energy in insular regions; and (iv) Clean Energy Knowledge and Capacity to help strengthen the technical, individual and institutional capacity to support sustainable energy developments in Equatorial Guinea. The project will lead to the avoidance of 280 kt CO₂ eq over the project lifetime.

Guinea: Developing a Market for Biogas Resource Development and Utilization in Guinea (GEF ID: 5289, UNDP, GEFTF: \$3.0 million; Total Cost: \$13.1million)

The project objective is to support the development of bio digesters in Guinea to produce biogas. The biogas production will replace the utilization diesel power generator based energy or fuel wood serving the thermal and/or electrical energy requirements of local commercial establishments and cottage factories, thus reducing CO₂ emissions. The project consists of the following components: (i) Support to the creation of an enabling policy and regulatory environment for the development of large scale bio-digesters as a sustainable source of renewable energy; (ii) Development of incentives, financial mechanisms for investments, and for the design and implementation of large scale bio-digesters; and (iii) Value chain analysis and the development of sound business models to ensure sustainable livelihoods through biogas technology applications. The GHG emissions savings due to the project activities are estimated at 565 kt CO₂ eq over the 20-year lifetime of bio-digesters.

Guinea-Bissau: Creation of an Enabling Environment for Small to Medium Scale Renewable Energy Investments in the Electricity (GEF ID: 5331, UNIDO, GEFTF: \$2.0 million; Total Cost: \$9.5 million)

The specific project objective is to demonstrate the feasibility and viability of small and medium scale renewable energy technologies in the electricity sector of Guinea Bissau and to create an enabling market environment for the dissemination of renewable energy on-grid and off-grid solutions. The project is in line with GEF-5's Climate Change Mitigation objective number three (Promote Investment in renewable energy technologies). The project consists of the following components: (i) Demonstrating the technical feasibility and commercial viability of small to medium scale renewable energy projects in the urban and rural context, (ii) Consolidating a comprehensive policy, regulatory and support framework for renewable energy in alignment with the Economic Community of West African States (ECOWAS) Renewable Energy Policy, and (iii) Implementation of national program to build capacity and awareness on different aspects of renewable energy. The direct CO₂ emission reductions are estimated to be approximately 98 kt CO₂ eq over the project duration.

India: Organic Waste Streams for Industrial Renewable Energy Applications in India (GEF ID: 5087, UNIDO, GEFTF: \$3.8 million; Total Cost: \$22.0 million)

The project focuses on using organic waste streams (e.g. sugar press mud, wastewater from brewery etc.) for industrial renewable energy allocation in small and medium sized enterprises (SMEs) with the aim to decrease GHG emissions and increase the SME competitiveness. The project consists of the following components: (i) Strengthening the policy and institutional framework to use organic waste stream; (ii) Demonstration of energy recovery technologies (anaerobic and aerobic digestion); (iii) capacity building of public and private sector stakeholders; (iv) Development of sustainable

replication model; and (v) Monitoring, evaluation and knowledge management. The direct and indirect CO₂ emission reductions are estimated to be approximately 555 kt CO₂ and 1.6 Mt CO₂ eq, respectively, over the project duration.

India: Scale Up of Access to Clean Energy for Rural Productive and Domestic Uses (GEF ID: 4900, UNDP, GEFTF: \$4.6 million; Total Cost: \$37.1 million)

This project aims to enable access to modern and affordable energy services (e.g. lighting, cooking and irrigation) in regions and communities without continuous and adequate electricity. The project consists of the following components: (i) Financial support for end-users such as community and household; (ii) Policy and institutional support, including one-stop-service through the Global Energy Access Center; (iii) Implementation of technology packages in 60 villages; and (iv) Awareness and institutional capacity development. The technology package consists of solar home systems, solar lantern, PV pumping for irrigation, biomass cookstoves, and biomass gasifiers. By implementing the technology packages, the project is estimated to reduce about 576 kt CO₂ eq directly.

India: Improving Rural Energy Access in Deficit States (GEF ID: 5364, World Bank, GEFTF: \$14.0 million; Total Cost: \$42.0 million)

The proposed project concept will blend GEF funding with co-financing from the Indian Ministry of New and Renewable Energy and private sector partners to promote sustainable business models for rural energy access in the states of Uttar Pradesh and Bihar. Electrification in rural areas of those states is lagging; together they constitute 60 percent of total access deficit of 311 million people in India. The proposed project is envisaged to be located in Bareilly and Kanauj districts in Uttar Pradesh and Nalanda district in Bihar. The project will promote public private partnerships for delivery of electrical services to clusters of villages through competitive bidding processes. GEF funding will be used for technical assistance and as investment to help leverage financing from private sector partners and local financial institutions. The project will include an innovative approach to blending non-grant instruments with existing government incentives (i.e., viability gap funding) in a manner that minimizes the concessional financing needed and encourages private sector competition. The World Bank will involve regional IFC experts in the design of the financial mechanisms.

India: Cleantech Program for SMEs in India (GEF ID: 5218, UNIDO, GEFTF: \$1.1million; Total Cost: \$4.1 million)

This project aims to strengthen the policy and institutional framework, and build national capacity to promote innovations in clean energy technologies in SME clusters in India. Clean energy technologies developed and promoted as a result of the competition and the accelerator program will lead to reduction in GHG emissions and seek to contribute in India's sustainable green growth thereby addressing a global issue of climate change and national issues of energy security. The project consists of the following components: (i) National Platform to promote clean technology innovations and competitiveness of SMEs and business models that can deliver global environmental benefits, (ii) Building national capacity for clean technologies and the development of a supportive local entrepreneurial ecosystem, and (iii) Policy and institutional framework for scaling up cleantech competition, innovations and acceleration activities across India. The direct CO₂ emission reductions are estimated to be approximately 700 k t CO₂ eq over 10 years.

Indonesia: Promoting Energy Efficiency for Non-HCFC Refrigeration and Air Conditioning (PENHRA) (GEF ID: 4899, UNDP, GEFTF: \$5.6 million; Total Cost: \$30.6 million)

This project aims to improve energy efficiency of refrigeration and air conditioning (RAC) equipment and appliances manufactured and used in Indonesia. The project provides a unique opportunity to demonstrate synergies between GEF energy efficiency focal area project activities and MLF (the Multilateral Fund for the Implementation of the Montreal Protocol) funded activities for the phase-out of ozone depleting substances. The project consists of the following components: (i) Policy & Institutional Frameworks for the Refrigeration and AC (RAC) Industry, including minimum energy performance standards (MEPS) for common appliances; (ii) Public awareness of benefits of energy efficient RACs; (iii) Promoting investments for EE enhancements in the RAC Industry; and (iv) Technical assistance and training for RAC industry. Direct emission reduction is estimated to be 396 kt CO₂ eq during the project duration.

Iraq: Catalyzing the Use of Solar Photovoltaic Energy (GEF ID: 5063, UNDP, GEFTF: \$2.6 million; Total Cost: \$12.9 million)

This project will reduce GHG emissions in Iraq by demonstrating the use of distributed solar photovoltaic power for offices, small businesses, residences, and small towns (e.g., rooftop solar for air conditioning and water heating as well as small-scale distributed solar power plants). The focus on air conditioning, which consumes the majority of electricity in Iraq, is critical. The project consists of: (i) Investment in solar photovoltaic power for distributed generation; (ii) Financial incentives and policy reform to encourage investments in solar power and consumer adoption of solar appliances; and (iii) Strengthening private sector capacity for technology development, innovation, and servicing in the solar industry. Direct emissions reductions are estimated to be 4 kt CO₂ eq annually.

Kazakhstan: Nationally Appropriate Mitigation Actions for Low-carbon Urban Development (GEF ID: 5059, UNDP, GEFTF: \$6.7 million; Total Cost: \$66.7 million)

This project aims to support the government of Kazakhstan in the development and implementation of National Appropriate Mitigation Actions (NAMAs) in the urban sector to achieve voluntary national greenhouse gas (GHG) emission reduction target (GHG reduction by 15% below 1992 level by 2020). The project consists of the following components: (i) development of urban GHG inventories, abatement potential and targets; (ii) formation of institutional framework for urban NAMAs, including the establishment of Municipal Management Companies; (iii) investment in urban NAMAs through the National Fund for Urban Modernization; (iv) implementation of pilot urban NAMAs (e.g. thermal modernization and decentralized renewable energy systems) in the city of Astana; and (v) monitoring, verification and knowledge management for urban NAMAs. The direct and indirect CO₂ emission reductions are estimated to be approximately 188 kt CO₂ eq and 4.7 Mt CO₂ eq, respectively, over the project duration.

Macedonia: Catalyzing Market Transformation for Industrial Energy Efficiency and Accelerate Investments in Best Available Practices and Technologies in the Former Yugoslav Republic of Macedonia (GEF ID: 4902, UNIDO, GEFTF: \$1.7 million; Total Cost: \$7.3 million)

This project will accelerate market transformation for industrial energy efficiency in the Former Yugoslav Republic of Macedonia by strengthening policy, regulatory and institutional frameworks and supporting increased diffusion of and investment in best available industrial energy efficiency practices and technologies. The project includes the following components:

(i) Strengthening Macedonian policy, regulatory and institutional frameworks and capacity for market transformation for industrial energy efficiency and green industry; (ii) Market development support for deployment and diffusion of best available practices and technologies for energy efficiency and environmental sustainability in industry; (iii) Scaling-up of investments in energy efficiency and low carbon technologies for industry; and (iv) Monitoring and evaluation. Emission reductions are estimated at 30-50 kt CO₂eq direct and 250-500 kt CO₂eq indirect over a ten year period.

Malaysia: Green Technology Application for the Development of Low Carbon Cities (GTALCC) (GEF ID: 5329, UNDP, GEFTF: \$4.9 million; Total Cost: \$39.3 million)

This project aims to facilitate the implementation of low carbon initiatives in at least five Malaysian cities and showcase a clear and integrated approach of successful low carbon urban development. Targeted urban systems include urban transport, energy supply, and waste management, with spatial planning. The project consists of the following components: (i) Policy support for the promotion of integrated low-carbon urban development, including design and planning of integrated urban systems; (ii) Awareness and institutional capacity development for the effective implementation of low-carbon city policies; and (iii) Low-carbon technology investments in cities based on the design and planning of integrated urban systems (e.g., electric vehicles, bus rapid transit line, etc.). The direct CO₂ emission reductions are estimated to be approximately 1 Mt CO₂ eq over the project duration.

Malaysia: GEF UNIDO Cleantech Program for SMEs in Malaysia (GEF ID: 5146, UNIDO, GEFTF: \$1.1million; Total Cost: \$4.1 million)

The project promotes innovation in clean technologies for small and medium-sized enterprises (SMEs), focusing on energy efficiency, renewable energy, waste-to-energy, and water efficiency. It will build on lessons learnt from similar initiatives, like the Cleantech Open program in the United States and the Eco-Business Partnership Program in Austria. Elements include: (i) Strengthening policy and regulatory frameworks, (ii) Institutional capacity building, and (iii) Organization of a cleantech competition and acceleration program. Direct CO₂ emission reductions are estimated to be approximately 0.85 Mt CO₂ eq over a 10 year period.

Mexico: Mexico Sustainable Energy Technology Development (GEF ID: 5387, World Bank, GEFTF: \$20.1million; Total Cost: \$120.1 million)

The project objective is to support the development of new and innovative clean energy technologies (energy efficiency, renewable energy) through the linking of the public, academic and productive sectors in Mexico. The project is in line with GEF climate change mitigation objective CCM-1: Promote the demonstration, deployment, and transfer of innovative low-carbon technologies. The project will support the following activities: (i) Identification of local clean energy technology needs and available capabilities at the regional level among public and private sector stakeholders; (ii) Creation of regional Strategic Alliances and Innovation Networks for Competitiveness on clean energy for a set of potentially high-impact technologies; (iii) Identification of portfolios of high-impact projects in clean energy technology involving the private sector; and (iv) Support and funding of these high-impact projects involving the private sector.

Mexico: Integrated Responses to Short lived Climate Forcers Promoting Clean Energy and Energy Efficiency. (GEF ID: 4999, UNEP, GEFTF: \$1.0 million; Total Cost: \$23.5 million)

The overall goal of this project is to contribute to the development and implementation of a comprehensive and sustainable Low Emissions Development Strategy (LEDS) for Mexico by promoting clean energy and energy efficiency through an integrated assessment of short-lived climate forcers (SLCF), and the development and demonstration of targeted SLCF mitigation policies. The project consists of the following components: (i) Characterization of methane, black carbon and co-pollutants from key emission sources, (ii) Assessment and selection of technically feasible and economically viable SLCF mitigation policies for implementation in Mexico, (iii) Demonstration of SLCF mitigation technologies for key sources, (iv) Integration of SLCF mitigation measures into LEDS, and (v) Capacity building and awareness raising.

Moldova: ESCO Moldova - Transforming the market for Urban Energy Efficiency in Moldova by Introducing Energy Service Companies (ESCO) (GEF ID: 5157, UNDP, GEFTF: \$1.6 million; Total Cost: \$8.9million)

This project aims to create an effective and sustainable Energy Service Company (ESCO) market to improve energy efficiency in cities through demonstration in Chisinau, the capital. The project includes: (i) formulation of a Green Urban Development Plan and a Green Procurement Guide; (ii) investment in energy savings projects through a municipal ESCO (e.g., energy-efficiency projects for municipal heating); (iii) enhancement of capacity of the municipal authorities and of the municipal ESCO; and (iv) dissemination of results for replication in other cities. Since there have been no ESCOs in Moldova, the GEF project will create an innovative financing mechanism for energy efficiency. Direct CO₂ emission reductions are estimated to be approximately 222 kt CO₂ eq over the project duration.

Mongolia: ASTUD: Mongolia Urban Transport Development Investment Program (GEF ID: 5055, ADB, GEFTF: \$1.5 million; Total Cost: \$274.4 million)

This project is aligned with GEF-5's climate change strategy, and in particular, with the key expected outcomes of Objective CCM-4. The project is a child project under the Asian Sustainable Transport and Urban Development Program (ASTUD). The project will help to transform urban transport systems in Ulaanbaatar in Mongolia by (a) putting in place a policy and regulatory framework that promotes investment in less-GHG intensive transport by the public and private sectors; (b) providing tools to avoid GHG emissions by improved monitoring and regulating emissions from transport vehicles; (c) evaluating the suitability of low-carbon vehicle technologies for buses under conditions in Mongolia; and (d) instilling an energy-efficiency ethos into all aspects of public transport operation and management. Total GHG avoided (direct and indirect) are estimated to be 4 Mt CO₂ eq over the project lifetime.

Montenegro: Towards Carbon Neutral Tourism (GEF ID: 5098, UNDP, GEFTF: \$3.6 million; Total Cost: \$74.3 million)

This project aims to reduce GHG emissions from Montenegro's tourism through policy frameworks and flagship demonstration investment. The project consists of the following components: (i) adoption of low-carbon policies and regulations in tourism sector, including mandatory low-carbon requirements in new tourism development projects; (ii) development of low-carbon tourism infrastructure such as energy-efficient hotels; (iii) development of sustainable transport in coastal areas (e.g. low-carbon ferry and boat taxi); (iv) development of financial mechanisms for low-carbon tourism; and (v) knowledge sharing and awareness raising among tourists and stakeholders. The direct and indirect CO₂ emission reductions are estimated to be approximately 59.7 kt CO₂ eq and 1.3 Mt CO₂ eq, respectively, over the project duration.

Myanmar: Improvement of Industrial Energy Efficiency (GEF ID: 5321, UNIDO, GEFTF: \$3.1 million; Total Cost: \$16.9million)

The objective of this project is to promote GHG emissions reduction in the Myanmar industry by improving policy and regulatory frameworks and institutional capacity building. Myanmar is in the process of industrialization. By 2011, the country had about 790 state-owned industrial enterprises and 101,000 private establishments. Promotion of energy efficiency in the industry sector at the early stage of industrialization will help the country move to a lower-carbon economy in an easier way. As a result, this project is aligned with GEF-5 CCM-2 Strategic objective to promote market transformation for energy efficiency in industry and the building sector. The project consists of the following components: (i) Improvement of policy and regulatory frameworks; (ii) Capacity building; (iii) Demonstration and scaling-up. The global environmental benefit target is to directly reduce 2 to 4 Mt CO₂ eq over the lifetime of the project.

Nigeria: Scaling up Small Hydro Power (SHP) in Nigeria (GEF ID: 5375, UNIDO, GEFTF: \$2.9 million; Total Cost: \$17.8 million)

This project will promote investments in Small Hydro-Power (SHP) and strengthen local manufacturing of small hydro turbines in Nigeria. The Project will use GEF resources to finance the incremental costs of demonstrating and promoting private sector investments in SHP mini-grids as a financially viable and effective mechanism for achieving

rural electrification, displacing diesel generators. The project is in line with GEF-5's Climate Change Mitigation objective three (Promote investment in renewable energy technologies). It includes: (i) Human and institutional capacity building, (ii) Upgrading local capacity to fabricate SHP turbines and control systems, (iii) Promoting investments in SHP projects, and (iv) Monitoring and evaluation (M&E). By setting up financial incentives to attract investments while upgrading capacity for local fabrication of SHP components, the project will eliminate barriers to technology diffusion. The SHP mini-grids established under this project will directly result in the avoidance of approximately 294 kt CO₂ eq emissions.

Panama: Solar Water Heater Market Development and Energy Efficiency Project (GEF ID: 5287, UNEP, GEFTF: \$2.1million; Total Cost: \$11.0 million)

The project's objective is to reduce GHG emissions from Panama's buildings and agro-industrial sector through barrier removal and implementation of solar water heating (SWH). The project will support national efforts to establish the market for solar thermal heating systems. The project is in line with GEF-5's Climate Change Mitigation Objective Number three (Promote Investment in renewable energy technologies). The project consists of the following components: (i) Knowledge management for informed policy decision-making, (ii) Quality control and supply side strengthening, (iii) End-user supportive mechanisms, and (iv) SWH pilot projects and demonstration. The project is expected to reduce 63 kt CO₂ eq resulting from the installation of 7,780m² of SWH systems and from associated energy saving measures in the 330 pilot demonstrations.

Russian Federation: National Urban Transport Improvement Project (GEF ID: 5396, World Bank, GEFTF: \$10.0 million; Total Cost: \$280.0 million)

This project aims to improve the quality and condition of urban transport and to reduce adverse environmental impacts in three cities (St. Petersburg, Lipetsk, and Balashikha), through physical investments, operational and technological improvements, and legal reforms. The project consists of the following components: (i) Development of national framework for improvement of urban transport systems, including establishment of a federal targeted program for sustainable urban transport systems; (ii) Sustainable urban transport pilot programs in the three targeted cities (e.g., Intelligent Transport System, bus dedicated lanes, transport demand management etc.); and (iii) Capacity building for municipalities in the planning and management of sustainable urban transport systems. The direct CO₂ emission reductions are estimated to be approximately 1 Mt CO₂ eq over the project duration.

Saint Vincent and the Grenadines: Promoting access to clean energy services in Saint Vincent (GEF ID: 5297, UNDP, GEFTF: \$1.9 million; Total Cost: \$25.2 million)

This project addresses barriers to renewable energy access in St. Vincent and Grenadines, including regulatory, policy, legal, institutional, technical, market, and financial barriers. It seeks to reduce the country's dependence on fossil fuels by promoting decentralized clean energy from unharnessed hydropower, untapped wind resources, and unrecovered waste heat power. The approach addresses the root causes of risks associated with the planned investments; that is, the underlying barriers affecting financing costs and economic competitiveness of renewable energy projects. The project includes: (i) Implementation of a clean energy regulatory framework, (ii) Clean energy capacity development, and (iii) Renewable energy electricity demonstrations. The project is estimated to result in direct GHG emission reductions of 76 kt CO₂ eq over its 3-year lifetime.

Seychelles: Promotion and Up-scaling of Climate-resilient, Resource Efficient Technologies in a Tropical Island Context (GEF ID: 5316, UNDP, GEFTF: \$1.9 million; Total Cost: \$10.7 million)

This project will promote and increase investment in climate-resilient, resource efficient technologies in a tropical island context for Seychelles. The project will address several barriers to greater use of energy efficiency in buildings, including lack of an enabling policy framework, lack of financial tools, lack of information and awareness, and lack of vocational training and after-sales support. The project consists of the following components: (i) Improved policy, institutional, legal/regulatory and financial framework for residential resource efficient technologies, (ii) Awareness raising and educational campaign on resource efficient applications, (iii) Vocational training scheme for local installation, operation and maintenance of residential resource efficient appliances, and (iv) Financial de-risking instrument (Credit Risk Fund or concessional loan fund) for residential energy efficient (EE) appliances.

Sierra Leone: Energy Efficient Production and Utilization of Charcoal through Innovative Technologies and Private Sector Involvement (GEF ID: 4840, UNDP, GEFTF: \$2.1 million; Total Cost: \$11.1 million)

This project objective is the improved and more efficient use of biomass energy resources through the application of more efficient charcoal kilns and improved cook stoves in Sierra Leone. The project consists of the following components: (i) Policy/regulatory frameworks facilitating and promoting the use of more efficiently produced charcoal and improved cook stoves; (ii) Development of public-private initiatives for the improved and more efficient production of charcoal and the scaling up of improved cookstove production; and (iii) Improved and efficient production and utilization of charcoal and cookstoves. The direct GHG emissions savings due to the projects' activities are estimated at

2.3 Mt CO₂ eq.

South Africa: South Africa Wind Energy Project (SAWEP) Phase II (GEF ID: 5341, UNDP, GEFTF: \$4.0 million; Total Cost: \$31.7million)

Based on a very successful first phase project to promote wind energy in South Africa, this project will address several barriers that remain for the continued growth of renewable energy in South Africa. Some of these barriers include: lack of capacity of both government and industry stakeholders to develop and achieve local content targets in wind energy procurement mechanisms and absence of approved and recognized standards for the wind sector. The project consists of the following components: (i) Optimization and improvement of local content targets in wind energy procurement mechanisms; (ii) Approved standards, testing and certification scheme for the wind sector; (iii) Resource mapping and wind corridor development support for policy-makers; (iv) Small-scale wind renewable energy independent power producer (REIPP) program; and Training and human capital development for the wind sector. This project will result in GHG emissions reductions of 8 to 23 Mt CO₂ eq above the baseline.

Sudan: Promoting Utility-Scale Power Generation from Wind Energy (GEF ID: 4745, UNDP, GEFTF: \$4.1 million; Total Cost: \$217.8 million)

The project aims to overcome barriers to the market development of utility-scale wind farms in Sudan. The project has four components. First, a pilot wind farm is implemented. In this component, overcoming barriers (e.g. grid stability) against the first utility-scale wind farm will catalyze replication of additional wind farms. Second, policy, institutional and regulatory framework is formulated with the aim of increasing wind power investment. Third, wind technology support and delivery systems, including wind atlas and guidelines for new substations and transmission lines, are strengthened. Fourth, best practices and lessons learnt are shared at national and regional levels through workshops. The direct CO₂ emission reductions are estimated to be approximately 450 kt CO₂ eq. over the project duration.

Tanzania: Promotion of Waste-to-Energy applications in Agro-industries (GEF ID: 4873, UNIDO, GEFTF: \$5.9 million; Total Cost: \$32.4 million)

This project aims at promoting renewable energy application in agro-industries and renewable energy based modern off-grid lighting. The intervention proposed will enable agro-processing industries to utilize indigenous renewable energy resources which will offset the current emissions by implementing biomass and biogas power plants. The project consists of the following components: (i) Capacity development and knowledge management; (ii) Creation of financing facility; (iii) Demonstration of viability of waste-to-energy technologies; and (iv) Project monitoring and evaluation. The project global environmental benefits are expected to be 2.3 Mt CO₂ eq.

Tunisia: NAMA Support for the Tunisian Solar Plan (GEF ID: 5340, UNDP, GEFTF: \$4.0 million; Total Cost: \$67.9 million)

This project will support the government of Tunisia in developing and implementing Nationally Appropriate Mitigation Actions (NAMAs) under the Tunisian Solar Plan (TSP). It emphasizes capacity development, institutional strengthening, and implementation of solar and wind demonstration projects as a means of achieving 30% renewable energy penetration by 2030. The renewable energy technologies identified include wind, photovoltaic (PV), and concentrated solar power (CSP). The project consists of: (i) An enabling framework and methodologies to reduce risk in the national policy environment for implementation of the TSP; (ii) Architecture for NAMA development and implementation; and (iii) Design and implementation of renewable energy NAMAs to demonstrate the transformational role of the TSP in reducing GHG emissions. Direct and indirect CO₂ emission reductions are estimated to be 1.82 Mt CO₂ eq and 4.2 Mt CO₂ eq, respectively, over the project period.

2. Summaries of Climate Change Mitigation Multi-Focal Area Projects Approved in FY 2013

Global: GEF SGP Fifth Operational Phase--Implementing the Program Using STAR Resources II (GEF ID: 4678, UNDP, GEFTF: \$74.1 million in total: \$6.7 million from CD, \$17.0 million from CC, \$18.1 million from BD, 3.3 million from IW, \$6.7 million from CHEM, \$15.0 million from LD; Total Cost: \$148.2 million)

This program aims to provide support to community-level stakeholders in remote and marginalized areas to achieve global environmental benefits at the community level. The program is intended to obtain STAR funds to supplement the core grant allocation of GEF SGP in 67 countries, so that the GEF through UNDP can continue to channel funds to Community Based Organizations (CBOs) and Civil Society Organizations (CSOs) in these countries without interruption. The GEF SGP seeks impact-level results contributing to global environmental benefits through innovation, demonstration and piloting that will be up-scaled by other partners and actors. With regards to climate change mitigation, the GEF SGP will support demonstration, development and transfer of low-GHG technologies that are appropriately targeted and relevant for implementation through community-based and civil-society approaches.

Global: Global Forest Watch 2.0 FW 2.0 (GEF ID: 5356, UNEP, GEFTF: \$6.0 million in total: \$1.3 million from CC, \$1.8 million from BD, \$1.3 million from SFM/REDD+; Total Cost: \$74.3 million)

Several barriers undermine the availability of useful forest data: dispersed and incompatible sources; inaccurate and inconsistent data; and information, when it is available, often arrives too late to effect change. This project addresses these barriers in Madagascar and Georgia using a pilot approach. Building on existing resources, it seeks to develop innovative and technically advanced but user-friendly tools that will allow governments, local communities, companies, and NGOs to react to and plan forest coverage with up-to-date information. The project supports the development and implementation of cross-sectoral integrated land-use management plans in Madagascar and Georgia that will: reduce pressures on natural resources from competing land uses; improve management of 15.4 million ha of forest habitat; and allow near real-time alerts of deforestation activities in 97 protected areas covering 2.2 million ha. Preliminary estimates of GHG emission reductions are 6.1 Mt CO₂ eq.

Antigua and Barbuda: Sustainable Pathways - Protected Areas and Renewable Energy (GEF ID: 5390, UNEP, GEFTF: \$2.9 million in total: \$1.3 million from CC, \$0.6 million from BD, \$0.6 million from SFM/REDD+; Total Cost: \$8.3 million)

The project will improve the sustainability of protected area systems through development of site specific management plans underpinned by strengthened management and monitoring effectiveness. It will reduce the funding gap through the development and implementation of sustainable financing modalities through renewable energy generation and water management. It will also contribute to Antigua and Barbuda in meeting the following Aichi Targets: Target 5 (halving the rate of loss of natural habitats by 2020); Target 11 (protecting at least 17 percent of terrestrial areas by 2020), and Target 12: (Prevention of extinctions). At the same time, the project will promote investment in renewable energy technologies by supporting the development of a 1 MW wind energy installation, the profits from which will be transferred to the national protected areas trust fund being established. The project will mobilize at least \$4 million of investment and directly reduce GHG emissions by 100 kt CO₂ eq with near term indirect impact of 1 Mt CO₂ eq.

Bolivia: Delivering the Transition to Energy Efficiency Lighting (GEF ID: 5299, UNEP, GEFTF: \$3.4 million in total: \$3.0 million from CC, \$0.05 million from CHEM; Total Cost: \$15.5 million)

This project will promote the uptake of energy efficient lighting technologies through the transformation of efficient lighting products markets, thereby reducing electrical demand and consumption and the related greenhouse gas (GHG) emissions. The project focuses developing minimum energy performance standards (MEPs) regulations, and will promote more rapid phase out of inefficient lighting consistent with the GEF/UNEP enlighten best practices, through stringent MEPs coupled with monitoring. The project also includes an innovative use of Chemical focal area funding to help develop a strategic plan for dealing with the mercury from spent compact fluorescent lights (CFLs). GHG emissions benefits are estimated to be cumulative 1.6 Mt CO₂ eq reduced emissions by 2025 from efficient lighting.

Cambodia: Strengthening National Biodiversity and Forest Carbon Stock Conservation through Landscape-based Collaborative Management of Cambodia's Protected Area System as Demonstrated in the Mondulhiri Conservation Landscape (CAMPAS Project) (GEF ID: 4905, UNEP, GEFTF: \$5.4 million in total: \$0.4 million from CC, \$3.5 million from BD, 1.0 million from SFM/REDD+; Total Cost: \$19.6 million)

This project will enhance Cambodia's Protected Areas (PAs) management effectiveness and secure forest carbon through improving inter-sectoral collaboration, landscape connectivity, sustainable forest management and carbon monitoring in the Mondulhiri Conservation Landscape. The project adds incremental value to a set of baseline projects, filling thematic and spatial gaps to: (i) Build Protected Area (PA) management capacities, stakeholder collaboration, and sustainable financing mechanisms;(ii) Significantly strengthen inter-sectoral collaboration; (iii) Integrate PA and forest corridor conservation & restoration in sub-national development plans; (iv) Increase resource and livelihood security of communities in Community Protected Areas & Communal Forests, (v) Mitigate climate change by generating CO₂ benefits; (vi) Advance sub-national reference emission levels & reference levels (REL/RL).

Chile: Integrated National Monitoring and Assessment System on Forest Ecosystems (SIMEF) in Support of Policies, Regulations and SFM Practices Incorporating REDD+ and Biodiversity Conservation in Forest Ecosystems (GEF ID: 4968, FAO, GEFTF: \$6.9 million in total: \$3.4 million from CC, \$1.0 million from BD, 1.5 million from SFM/REDD+; Total Cost: \$32.2 million)

This project establishes an integrated forest monitoring system that will provide periodically updated information on the state of forest ecosystems and their biodiversity and carbon stocks and fluxes. It consists of: (i) Developing institutional coordination and capacity to implement the monitoring and assessment system; (ii) Implementing the system, which expands the current system to cover the whole country while adding socioeconomic indicators, vegetation, and land-use change monitoring; and (iii) Using the information generated in local, regional, and national policies and regulations.

Chile: Delivering the Transition to Energy-Efficient Lighting (GEF ID: 5150, UNEP, GEFTF: \$2.8 million in total: \$2.3 million from CC, \$0.05 million from CHEM; Total Cost: \$12.6 million)

This project seeks to accelerate the transition to energy-efficient lighting in Chile through the development of a national efficient lighting policy and through practical interventions that will ensure the transition's success—reducing GHG emissions, mitigating climate change, and increasing financial resources for Chile's development. The project will promote the transfer of low-carbon high-efficiency technologies. This will be translated into national policy and regulatory frameworks, creating the necessary conditions for technology transfer. The project includes: (i) Strengthening monitoring, verification, and enforcement (MVE) capacities to ensure an effective transition to efficient lighting; (ii) Implementing environmentally sound management of lighting products, and (iii) Lighting innovation – accelerating the use of solid state lighting and controls. GHG emission reductions are estimated to be 1.3 Mt CO₂ eq by 2025.

China: Sustainable Forest Management to Enhance the Resilience of Forests to Climate Change (GEF ID: 5139, FAO, GEFTF: \$8.0 million in total: \$4.4 million from CC, \$0.9 million from BD, 1.8 million from SFM/REDD+; Total Cost: \$56.4 million)

The proposed project will engage the Provincial Forestry Bureaus (PFB) and Forest Management Units (FMU) to apply SFM and biodiversity management practices in 40,000 ha of the forestland in three provinces in China. In implementation of such practices, habitats will be restored for three endangered species. China's Second National Communication and its Forestry Development Plan highlight the need to stabilize and increase the forest carbon sinks. In line with such national level plans, the project will restore 15,000 ha of degraded forests, convert 15,000 ha of monoculture forests into mixed stand and will allow for natural regeneration of forests in 10,000 ha with estimated carbon benefits of 11.9 Mt CO₂ eq in 7-15 years. By setting up a monitoring and verification system in the three provinces, the project will contribute towards the country's new forest carbon inventory system. Another innovative aspect of the project is that it will enable communities involved in the project to assess the feasibility of accessing carbon markets that exist in China.

Ecuador: Promotion of Climate-Smart Livestock Management Integrating Reversal of Land Degradation and Reduction of Desertification Risks in Vulnerable Provinces (GEF ID: 4775, FAO, GEFTF: \$4.4 million in total: \$0.5 million from CC, \$1.8 million from LD, \$1.4 million from CCA; Total Cost: \$17.2 million)

This project represents an innovative effort to harness synergies between sustainable land management and climate change mitigation and adaptation through climate-smart livestock management (CSLM). The approach integrates climate adaptation and mitigation into the agro-livestock sector and supports the development of policies combating desertification and land degradation, while enhancing the achievement of national food security and development goals.

Fiji: R2R - Implementing a "Ridge to Reef" Approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods (GEF ID: 5398, UNDP, GEFTF: \$8.3 million in total: \$1.8 million from CC, \$3.5 million from BD, \$0.1 million from IW, \$1.4 million from SFM/REDD+, \$0.8 million from LD; Total Cost: \$38.5 million)

This project is a part of the larger Ridge to Reef (R2R) Program in the Pacific Island Countries. The project combines biodiversity, land degradation, climate change mitigation, sustainable forestry and international waters objectives in-line with the country priorities to protect and restore the country's diverse marine and terrestrial ecosystems. Expansion of agriculture, increasing pollution and over-exploitation of biological resources are undermining natural resources that are habitat for numerous species and natural storage system for carbon. This project will build on the ongoing efforts of the Fijian Government to strengthen the integrated R2R approach to address these inter-related issues. The project consists of the following components: (i) Conservation of terrestrial and marine biodiversity, (ii) Conservation, restoration and enhancement of carbon stocks through sustainable forestry, (iii) Integrated Natural Resources Management, and (iv) Knowledge management

Indonesia: Strengthening Forest and Ecosystem Connectivity in RIMBA Landscape of Central Sumatra through Investing in Natural Capital, Biodiversity Conservation, and Land-based Emission Reductions (RIMBA) (GEF ID: 5285, UNEP, GEFTF: \$10.3 million in total: \$1.3 million from CC, \$6.3 million from BD, \$1.8 million from SFM/REDD+; Total Cost: \$48.1 million)

This project supports a Green Economy approach towards low carbon, resource efficiency and social inclusiveness. Through this approach, natural capital will be maintained, enhanced and rebuilt as a critical economic asset and source of public benefits, especially for poor people whose livelihoods and security depend on nature. This project consists of the following three complementary components: (i) Create the institutional foundation, human capacity, alternative development scenarios for the RIMBA landscape; (ii) Invest in three different Green Economy development scenarios based on water, carbon, and biodiversity; (iii) Establish the evidence base for measuring project impacts, the degree of adoption and scaling up of Green Economy approaches by the private and public sectors, as well as dissemination and uptake of best practices for national policy consideration.

Kenya: Development of SFM and Support to REDD for Dryland Forests (GEF ID: 5083, FAO, GEFTF: \$3.2 million in total: \$0.9 million from CC, \$1.2 million from BD, \$0.7 million from SFM/REDD+; Total Cost: \$14.3 million)

This project aims to develop sustainable management of the forested component of dryland landscape and support sustainable charcoal production policies implementation to enhance biodiversity conservation, reduce carbon emissions and enhance carbon sequestration, and improve Kenya's SFM and REDD+ capacities. The Global Environment Benefits will be completed by financial benefits and employments for local communities that will create clear incentives for the adoption of sustainable management systems. The project is consistent with the Biodiversity and the SFM/REDD+ strategies, as well as the Climate Change Mitigation Strategy Objective CCM-5 "Promote conservation enhancement of carbon stocks through sustainable management of land use, land-use change, and forestry".

Mozambique: Mozambique Conservation Areas for Biodiversity and Development Project P131965 PCN (GEF ID: 5225, World Bank, GEFTF: \$6.9 million in total: \$1.5 million from CC, \$3.2 million from BD, 1.6 million from SFM/REDD+; Total Cost: \$101.7 million)

This project aims to (i) Strengthen Government institutions in charge of the management of conservation areas and nature-based tourism; (ii) Enhance private sector engagement in tourism operations in and around conservation areas; (iii) Improve the management effectiveness in 8 conservation areas and investing in pilot Sustainable Forest Management (SFM) projects to rehabilitate degraded habitats; and (iv) Strengthen livelihoods of local communities in buffer zones. In addition, this project will improve energy efficiency by using improved stoves and promoting alternative energy sources. The preliminary estimation of the total conservation area to benefit from this project is 1 Million ha. A very preliminary estimate of the project impact on greenhouse gas emissions is of 500 Kt CO₂ eq (net of tourism related emission generated by the project).

Myanmar: Sustainable Cropland and Forest Management in Priority Agro-ecosystems of Myanmar (GEF ID: 5123, FAO, GEFTF: \$7.0 million in total: \$3.4 million from CC, \$1.0 million from LD, \$1.5 million from SFM/REDD+; Total Cost: \$20.5 million)

The project will build capacity of farming and forestry stakeholders to mitigate climate change and to improve land conditions by adopting climate-smart agriculture and sustainable forest management policies and practices. The project pursues synergies across the CCM and LD focal areas and is consistent with the SFM strategy. It includes: (i) Strengthening institutional, policy, and regulatory frameworks; (ii) Demonstrating improved cropland management (ICM) practices to farmers in priority agro-ecosystems; (iii) Demonstrating models for sustainable forest management and enhancing carbon storage in priority agro-ecosystems; and (iv) Knowledge management, training, & scaling up of SLM and SFM practices.

Nicaragua: Strengthening the Resilience of Multiple-use Protected Areas to Deliver Multiple Global Environmental Benefits (GEF ID: 5277, UNDP, GEFTF: \$6.8 million in total: \$1.9 million from CC, \$0.7 million from LD, \$1.8 million from BD, 1.5 million from SFM/REDD+; Total Cost: \$26.9 million)

This is a multi-focal area project that seeks to reverse deforestation trends in select regions of the country, both inside and outside protected areas. It will direct GEF resources to accomplish the following objectives: CCM-5, promote conservation and enhancement of carbon stocks through sustainable management of land-use, land-use change, and forestry (LULUCF); BD-1, sustainable protected area systems; LD-3 ,reduce pressures on natural resources from competing land uses; and SFM/REDD-plus-1, reduce pressures on forest resources and generate sustainable flows of forest ecosystem services. The direct GHG emissions savings over 5 years are estimated at 0.9 Mt CO₂ eq.

Russian Federation: Save the Source: Catalyzing Market Transformation of Breweries from a Major Natural Resource Consuming Industry to a Pro-active Steward for Resource Efficient Cleaner Production (GEF ID: 5293, UNIDO, GEFTF: \$7.0 million in total: \$2.0 million from CC, \$1.5 million from LD, \$2.8 million from IW,; Total Cost: \$37.9 million)

This project will demonstrate a replicable approach on how Baltika Breweries as a corporate socially responsible industrial player can become a steward in a public private partnership to pro-actively reduce direct and indirect brewery related environmental stress and to promote sustainable management of natural resources along the entire supply chain. Further, this investment will be setting an example for other water and energy intensive industries in the Russian Federation and globally. Greenhouse gas emission reductions are expected from a variety of sources: energy efficiency, biomass use, reduced nitrogen fertilization and carbon sequestration. The GHG emissions savings due to the projects' activities are estimated at 43 kt CO₂ eq per year.

Russian Federation: Sustainable Land Management and Ecosystem-based Climate Change Mitigation in the Altai-Sayan Ecoregion (GEF ID: 5104, UNDP, GEFTF: \$9.2 million in total: \$3.3 million from CC, \$3.1 million from LD, 1.3 million from SFM/REDD+; Total Cost: \$38.7 million)

The project objective is to promote sustainable integrated land and forest management in Altai-Sayan Ecoregion (ASE)

in Russia in order to reduce pressures on natural resources from competing land uses and to secure conservation and enhancement of carbon stocks. The project consists of the following components: (i) Enabling policy environment and strengthened enforcement capacities for integrated land management and sustainable forest management; and (ii) Investment in demonstrating improved sustainable land and forest management in the Altai-Sayan Ecoregion. An estimated 40 Mt CO₂ eq is expected to be sequestered over a 10-year time horizon.

Sao Tome and Principe: Promotion of Environmentally Sustainable and Climate-Resilient Grid-based Hydroelectric Electricity through an Integrated Approach in Sao Tome and Principe (GEF ID: 5334, UNDP, GEFTF: \$5.9 million in total: \$1.8 million from CC, \$2.4 million from LD, 1.0 million from SFM/REDD+; Total Cost: \$26.3 million)

The project aims to introduce an integrated energy and ecosystem based approach to grid-based hydroelectric electricity generation in Sao Tome and Principe. The project aims to propose economically viable and proven small scale mini-hydropower technologies with low investment needs and minimal environment impacts. The hydropower plants are expected to contribute towards mitigation goals of the country, along with the reforestation practices which are also a part of the project. The project consists of the following components: (i) Establish a framework for climate resilient on-grid mini-hydro; (ii) Promote investments in mini-hydro through appropriate catalytic financial incentives; and (iii) Sustainably manage river basins and forests through sustainable forest management (SFM) and sustainable land management (SLM).

Solomon Islands: Integrated Forest Management in the Solomon Islands (GEF ID: 5122, FAO, GEFTF: \$6.4 million in total: \$1.0 million from CC, \$0.9 million from LD, \$2.1 million from BD, 1.4 million from SFM/REDD+; Total Cost: \$25.4 million)

This project aims to improve the management of forests in the Solomon Islands through a cross-sectoral initiative to integrate biodiversity conservation, land degradation, sustainable forest management and climate change issues into policy making at national level while concurrently incorporating these issues into livelihood activities of the local communities living in and around the forest. The project combines objectives from BD, LD and CC FAs together with SFM/REDD+ to provide a forest focused MFA. The project will improve forest Monitoring Reporting and Verification (MRV) tools and produce a national forest carbon assessment and will sequester 2.3 Mt CO₂ eq.

St. Lucia: Iyanola-Natural Resource Management of the NE Coast (GEF ID: 5057, UNEP, GEFTF: \$2.9 million in total: \$0.2 million from CC, \$1.3 million from BD, 0.6 million from SFM/REDD+, \$0.3 million from LD; Total Cost: \$11.8 million)

This project seeks to: (i) promote the conservation and sustainable use of biodiversity and the maintenance of ecosystem goods and services through the improved management of ecologically sensitive areas of interest (particularly those outside protected area systems) towards long-term positive impacts in representation of terrestrial and marine ecosystems, and threatened species; (ii) Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors; (iii) Contribute towards arresting and reversing current trends in land degradation as aggravated by deforestation and unsustainable land management particularly in the more mountainous areas and other landscapes with fragile soils that are vulnerable to degradation; and (iv) Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change, and forestry by seeking to reduce pressure on forests, mangroves and adjoining lands.

Thailand: Maximizing Carbon Sink Capacity and Conserving Biodiversity through Sustainable Conservation, Restoration, and Management of Peat-swamp Ecosystems (GEF ID: 5330, UNDP, GEFTF: \$3.7 million in total: \$8.0 million from CC, \$0.4 million from BD, 0.8 million from SFM/REDD+; Total Cost: \$16.6 million)

The proposed project aims to conserve and restore peatlands in Thailand to protect these vital carbon storage systems and to increase their capacity to act as carbon sinks. These 64,000-75,000 ha of peatlands in the South-Eastern province of Thailand is a diverse landscape with fens, raised-bog, lakes and grasslands, which provide habitat to various plants and animal species including threatened species. The project consists of the following components: (i) Expanding protection of high conservation value peat-swamp forests and demonstrating their sustainable use within broader landscape; (ii) Implementing technologies to avoid peat-swamp forest degradation and restore degraded peat-swamp forests; and (iii) Improving policies, standards and enforcement mechanisms for conservation and sustainable use of peat-swamp forests. The initial estimates show that the project will provide total carbon benefits amounting to 1.6 Mt CO₂ eq over a 20-year time horizon.

Vietnam: GMS-FBP Integrating Biodiversity Conservation, Climate Resilience and Sustainable Forest Management in Central Annamite Landscapes (GEF ID: 5005, ADB, GEFTF: \$4.5 million in total: \$0.8 million from CC, \$0.8 million from BD, 0.8 million from SFM/REDD+, \$1.3 million from LD; Total Cost: \$60.0 million)

The project aims at integrating biodiversity conservation, climate change mitigation, climate resilience, and SFM in the Central Annamite landscape. The project would fill strategic spatial and thematic gaps in the Central Annamite landscape and facilitate positive impacts on the larger landscape under the ongoing Greater Mekong Sub-region

Program in Laos, Thailand, Cambodia, and Vietnam. It specifically addresses vital biodiversity corridors in the Annamite Limestone landscape in East-West as well as North-South direction. The project focus is on seven protected areas and its corridors with a total of 268,000 hectares. Within these areas, integrated forest restoration models will be implemented with the participation of local communities. Innovative SFM/REDD+ demonstration pilots will be implemented on roughly 20,000 ha leading to direct carbon sequestration. GHG emission reductions are estimated at 5.9 Mt CO₂ eq.

Yemen: Delivering the Transition to Energy Efficiency Lighting (GEF ID: 5152, UNEP, GEFTF: \$2.3 million in total: \$1.9 million from CC, \$0.05 million from CHEM; Total Cost: \$11.9 million)

Through the project the GEF will expand assistance to Yemen to transform the lighting market to save energy through efficient lamps, including compact fluorescent lamps (CFLs), light-emitting diode (LED) lamps, and lighting controls while at the same time it will help to protect the environment from the release of mercury from spent CFLs. The project will expand its strong partnership with private sector companies, technical organizations and international agencies and initiatives to encourage lighting innovation. The project consists of the following components: (i) National policy development to promote the rapid transition to efficient lighting, (ii) Creating MVE capacities to ensure an effective transition to efficient lighting, (iii) Implementing environmentally sound management for lighting products, and (iv) Lighting innovation – accelerating the use of solid state lighting and controls. GHG emissions benefits are estimated to be cumulative 1.6 Mt CO₂ eq reduced emissions by 2025 from efficient lighting.

3. Summaries of Climate Change Mitigation Programs Approved in FY 2013

Regional (Asia): R2R- Pacific Islands Ridge-to-Reef National Priorities – Integrated Water, Land, Forest and Coastal Management to Preserve Biodiversity, Ecosystem Services, Store Carbon, Improve Climate Resilience and Sustain Livelihoods (GEF ID: 5395, UNDP/UNEP, GEFTF: \$90.4 million in total: \$4.1 million from CC, \$34.3 million from BD, \$4.7 million from LD, \$11.2 million from IW, 4.1 million from SFM/REDD+; \$13.65 from LDCF; Total Cost: \$423.4 million)

The goal of this program is to maintain and enhance Pacific Island countries' (PICs) ecosystem goods and services (provisioning, regulating, supporting and cultural) through integrated approaches to land, water, forest, biodiversity and coastal resource management that contribute to poverty reduction, sustainable livelihoods, climate change mitigation, and climate resilience. This program allows countries to follow national priorities while establishing demonstration projects using the Ridge to Reef integrated approach in natural resource management. By combining the efforts and lessons learned across the PICs, this project will provide models for SIDS and LDCs in their approaches to natural resource management to account for and ensure provision of multiple ecosystem benefits. The project will aid the select 14 countries to restore and enhance natural carbon stocks and prepare them to participate in the innovative schemes such as REDD+.

4. Summaries of Enabling Activity Projects Approved in FY 2013

Global: Technology Needs Assessment (GEF ID: 4948, UNEP, GEFTF: \$6.4 million; Total Cost: \$8.4 million)

The project aims to provide targeted financial and technical support to assist twenty four developing countries carry out improved Technology Needs Assessments (TNA) within the framework of Article 4.5 of the UNFCCC. Assisted countries will also develop national Technology Action Plans (TAPs) for prioritized technologies that reduce greenhouse gas emissions, support adaptation to climate change, and are consistent with national sustainable development objectives.

Global: Umbrella Program for National Communication to the UNFCCC (GEF ID: 5191, UNEP, GEFTF: \$6.8 million; Total Cost: \$7.9 million)

The project will provide financial and technical support for the preparation of NCs to the United Nations Framework Convention on Climate Change (UNFCCC) in 12 non-Annex I Parties (Bahrain, Benin, Bhutan, Cook Islands, Eritrea, Lao PDR, Mali, Mauritius, Nauru, Seychelles, Sao Tome and Principe, and Tanzania) that have completed preparation of their current NCs. The project will seek to strengthen the information base and institutional capacity of the national institutions involved in the development of NCs in order to integrate climate change priorities into development strategies and relevant sector programs. The project will ensure that countries not covered under the current NCs umbrella project under GEF-4, and which seek support from UNEP will have expedited access to financial resources for their NCs.

Global: Global Support Program for Preparation of National Communications and Biennial Update Reports for Non-Annex I Parties under the UNFCCC (GEF ID: 5141, UNDP/UNEP, GEFTF: \$7.2 million; Total Cost: \$9.0 million)

The objective of the project is to improve the quality of Non-Annex I Parties reporting on NCs and BURs, so they are

more widely used to inform the national development planning processes, climate change negotiations, and for funding adaptation and mitigation projects. The project will strengthen technical and institutional capacities to ensure effective preparation of NCs and BURs and their timely submission to the UNFCCC, provide technical backstopping to national teams for the preparation of NCs and BURs, including the preparation and dissemination of technical and policy-relevant guidance materials and enhance knowledge management, best practice, communication and outreach as it relates to NCs and BURs.

Bangladesh: Third National Communication to the UNFCCC (GEF ID: 5189, UNDP, GEFTF: \$0.5 million; Total Cost: \$0.5 million)

This project will enable the Government of the People's Republic of Bangladesh (GOB) to prepare and submit its Third National Communication (TNC) to the UNFCCC COP. The activities of the TNC formulation project are a continuation and an update of the work undertaken by Bangladesh in preparing its Initial and Second National Communication. Specifically, this project will help Bangladesh: (i) To incorporate climate change concerns (both mitigation and adaptation) into the national development policies and plans, (ii) To update data and information on climate change issues, (iii) To promote energy efficient pathways of growth and development, self-reliance, reduction of risks from climate related hazards, (iv) To prepare an updated GHG emission inventory for 2006-2010, and (v) To highlight sectors/areas with the highest mitigation and adaptation potential.

Belarus: Preparation of the Sixth National Communication for the Implementation of the United Nations Framework Convention on Climate Change (GEF ID: 4955, GEFSEC, GEFTF: \$0.3 million; Total Cost: \$0.3 million)

This project will enable the government of Belarus to prepare and submit its sixth National Communication. Activities to be undertaken during the preparation of the Sixth National Communication include: (i) Analysis of previous climate change activities, stakeholder consultations, preparation of detailed project implementation plan; (ii) Description and analysis of the national circumstances; (iii) Preparation of the Greenhouse Gas Inventory, including national inventory system and national registry of carbon units (NRCU); and (iv) Assessment of the expected impacts of climate change, vulnerability, and development of adaptation measures.

Brazil: Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC) (GEF ID: 5378, UNDP, GEFTF: \$8.2 million; Total Cost: \$31.0 million)

The project addresses Convention obligations for climate change (CCM-Objective 6), allowing Brazil to prepare its fourth National Communication and to submit its second and third Biennial Update Reports to the UNFCCC. Through the project, Brazil will update and prepare new greenhouse gas inventories, where appropriate, for the period 1990-2014. It will enhance the country's current procedures for inventory development and management. In terms of vulnerability and adaptation, the project will identify adaptation measures for agriculture, water resources, energy, economy, and health. Documented climate scenarios based on the Brazilian Earth System Model will be prepared, and a network of low-cost data collection devices for assessment of climate variability and climate change will be put in place to assist with providing background data for adaptation policies.

China: Enabling China to Prepare its Third National Communication (3NC) and Biennial Update Report to the UNFCCC (GEF ID: 4882, UNDP, GEFTF: \$8.0 million; Total Cost: \$8.9 million)

The objective is to strengthen China's capacity to integrate climate change concerns into national and sectoral development priorities while fulfilling its obligations to the UNFCCC. The project will allow the country to prepare its Biennial Update Report and National Communication to the UNFCCC. Specifically, it will allow China to: prepare a National GHG Emissions Inventory and GHG Inventory Database; enhance its GHG Emissions Forecasting and Modeling Systems; assess its vulnerability and means for adapting to climate change; improve public awareness; and inform the country's policy and decision making on climate change.

Mexico: Sixth National Communication to the UNFCCC (GEF ID: 5140, UNDP, GEFTF: \$4.0 million; Total Cost: \$8.0 million)

The objective of the project is to strengthen Mexico's capacity to integrate climate change national strategies into development priorities while fulfilling its obligations to the UNFCCC. This will allow Mexico to prepare its 6th NC and BUR to the UNFCCC. The project will allow Mexico to complete its greenhouse gas inventories, assess regional, local and national climate change impacts and vulnerabilities, identify adaptation options and report on mitigation actions.

South Africa: Enabling South Africa to Prepare its Third National Communication (3NC) and Biennial Update Report to the UNFCCC (GEF ID: 5237, UNEP, GEFTF: \$4.4 million; Total Cost: \$5.7 million)

The project addresses Convention obligations for climate change (CCM-Objective 6), allowing South Africa to prepare its third National Communication and to submit its first BUR to the UNFCCC. Through this project South Africa will prepare greenhouse gas inventories for the period 2000-2012, using the Intergovernmental Panel on Climate Change's 2006 guidelines. A national greenhouse gas inventory system will be established that will allow for more accurate data

to be collected, along with quality assurance and quality control procedures. The project will also review and update the country's Technology Needs Assessment, aligning it with new strategies and plans to implement the UNFCCC.

Uruguay: Uruguay's First Biennial Update Report (FBUR) (GEF ID: 5207, UNDP, GEFTF: \$0.4 million; Total Cost: \$0.4 million)

This project will assist Uruguay in preparing its First Biennial Update Report (FBUR) in fulfillment of its obligations under the UNFCCC. Activities include: (i) Preparation of a national greenhouse gas inventory for 2010; (ii) Update of national emission factors for key source categories; (iii) Supporting establishment of the National Inventory System and its inclusion in the National Environment Information System; (iv) Developing and reporting on baseline and mitigation scenarios to 2040; (v) Data collection and analysis of mitigation actions being developed; and (vi) Information in tabular format of mitigation actions, including: name, nature of action, coverage, quantitative goals, progress indicators, associated methodologies and assumptions, objectives, progress of implementation, and results achieved.

Annex 4: Summaries of Projects Approved under the LDCF and the SCCF

Note:

- 1) Annex 4 summarizes projects and programs on climate change adaptation approved under the LDCF and SCCF during the reporting period (July 1, 2012 to June 30, 2013).
- 2) Multi-Trust Fund projects include funding and one or more objectives of other focal areas: climate change mitigation (CCM); biodiversity (BD); international waters (IW); and land degradation (LD).
- 3) Implementing Agencies of the listed projects and programs are: the Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development (EBRD), the Food and Agriculture Organization of the United Nations (FAO), the Inter-American Development Bank (IDB), the United Nations Development Program (UNDP), the United Nations Environment Program (UNEP), the United Nations Industrial Development Organization (UNIDO), and the World Bank (WB).
- 4) GEF funding includes PPG and Agency Fee. Total cost is the sum of GEF funding and co-financing.

1. Summaries of Climate Change LDCF Stand-Alone Projects Approved in FY 2013

Global: Assisting Least Developed Countries with Country-Driven Processes to Advance National Adaptation Plans (GEF ID: 5320, UNDP/UNEP, LDCF: \$2.2 million; Total Cost: \$10.6 million)

This project aims to support the NAP process, building on a range of capacity building programs and information services coordinated by UNDP, UNEP and other partners, as well as national development planning instruments and processes. It represents an innovative effort to allow LDCs to integrate climate change adaptation into their medium and long-term development planning processes in a continuous, progressive and iterative manner. While support will be provided to all LDC Parties to the Convention, the project will contribute towards integrating climate change adaptation into key national development plans and processes in 12 priority countries, complementing relevant adaptation-specific plans and reports, particularly NAPAs. It will also draw on state-of-the art knowledge and resources on climate-resilient planning and the economics of adaptation, as well as innovative components aimed at fostering South-South and North-South cooperation.

Afghanistan: Strengthening the Resilience of Rural Livelihood Options for Afghan Communities in Panjshir, Balkh, Uruzgan and Herat Provinces to Manage Climate Change-Induced Disaster Risks (GEF ID: 5202, UNDP, LDCF: \$10.0 million; Total Cost: \$40.6 million)

The National Adaptation Program of Action of Afghanistan recognizes drought and floods as top climatic risks, identifying the water and agriculture sectors as particularly vulnerable to climate change. These issues challenge economic and political progress, and put at peril investments in development of the country. This innovative project blends three baseline development projects with adaptation interventions in order to ensure resiliency. The LDCF funding will be used to: fully integrate climate change risks and vulnerability in development plans of at least 10 communities; train women on alternative livelihoods; rehabilitate 2000 hectares of degraded land; build storage reservoirs in ten communities; introduce micro-water harvesting; rehabilitate and improve water canals; and build check dams and other structures in order to conserve water and enhance groundwater recharge. The four provinces targeted are ecologically different, so the project will provide a broader opportunity for replication and scaling up in Afghanistan.

Angola: Promoting Climate-Resilient Development and Enhanced Adaptive Capacity to Withstand Disaster Risks in Angolan's Cuvelai River Basin (GEF ID: 5177, UNDP, LDCF: \$9.1 million; Total Cost: \$37.5 million)

This project aims to support adaptation of communities most vulnerable to hydro-meteorological disasters in the region. This will be done through enhancing human and institutional capacity for increased sustainable rural livelihoods among those communities, investments in a comprehensive early warning system, and enhanced knowledge and planning. Some of the expected outcomes and outputs include increased resilience of smallholder farmer communities through facilitating and improving access to climate-resilient seeds, a functional end-to-end Famine and Flood Early Warning System, an update of a Province-level Master Plan through mainstreaming climate resilience considerations, and development and dissemination of micro-seasonal maps of different climate-resilient crops to extension agents. Comprehensively, these activities have the potential to change agricultural practices and enhance resilience to climate change, as well as to lead to replication and scaling up.

Angola: Integrating Climate Change into Environment and Sustainable Land Management Practices (GEF ID: 5231, AfDB, LDCF: \$4.8 million; Total Cost: \$24.8 million)

This project aims to integrate substantial adaptation interventions with the baseline development in a complementary

and synergistic way, targeting sustainable land management, and adaptation through an ecosystem based approach. The complementary component in the GEF project will create the enabling environment needed for increasing the resilience of these and other infrastructure investments. This will be done namely through institutional strengthening and capacity development, and will include transfer of sustainable land management techniques and practices for resilience, such as natural regeneration techniques, rangelands and agro systems rehabilitation practices, wind breaks and dune stabilization methods, water efficiency and harvesting techniques.

Benin: Flood Control and Climate resilience of agriculture infrastructures in Oueme Valley (GEF ID:5232, AfDB, LDCF: \$7.9 million; Total Cost: \$51.9 million)

This project is fully aligned with the country NAPA, which prioritizes the development of Oueme valley hydro-agricultural potential and income generating activities. The project will be integrated into a baseline development effort whose objective is to develop suitable production and commercialization infrastructure in the low and medium Oueme Valley. The LDCF grant will allow the baseline infrastructures to be modified or developed in a manner that incorporates the risks of floods in the area. Maps of areas that are vulnerable to floods will be developed, guiding further agricultural infrastructure investments, such as dykes, and flood-resistant grain storage systems. The capacity building and policy reform activities such as training farmers and relevant government officials and inclusion of budget for promotion of agro-hydro infrastructures will contribute towards sustainability of the project outcomes.

Burkina Faso: Reducing Vulnerability of Natural Resource-Dependent Livelihoods in Two Landscapes at Risk of the Effects of Climate Change in Burkina Faso: Boucles du Mouhoun Forest Corridor and Mare d'Oursi Wetlands Basin (GEF ID: 4971, UNDP, LDCF: \$7.8 million; Total Cost: \$29.4 million)

This project aims to reduce local communities' vulnerability to risks posed by climate change in two areas chosen based on NAPA priorities -- the Boucles du Mouhoun Forest Corridor and the Oursi Wetlands Basin. The project consists of establishing a specialized information system that will allow analysis of climatic, agro-ecological, hydrological, as well as socio-economic information; training over three hundred people on how to access, and incorporate into development planning, the information from the system; demonstration activities that focus on strengthening natural and social assets, with the aim of increasing resilience; and mainstreaming climate adaptation into local and regional development planning and finance through its inclusion in sectoral policies and plans.

Burkina Faso: Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas through the Farmers Field School Approach (GEF ID: 5014, FAO, LDCF: \$4.3 million; Total Cost: \$23.9 million)

This project seeks to enhance the capacity of Burkina Faso's agricultural and pastoral sectors to cope with climate change by mainstreaming adaptation practices across agricultural development initiatives, policies, and programming, and by directly scaling up farmers' adoption of climate-resilient technologies through an existing network of farmer field schools. The project would contribute towards several of Burkina Faso's NAPA priorities, notably those on early-warning systems, agricultural water use, as well as resilient livestock and crop production. The proposed project is closely integrated into Burkina Faso's National Program for the Rural Sector and is, therefore, well placed to catalyze investments in climate-resilient agriculture and associated extension services at a national level.

Burundi: Community Disaster Risk Management in Burundi (GEF ID: 4990, UNDP, LDCF: \$9.7 million; Total Cost: \$41.0 million)

This project seeks to enhance the capacity of local authorities and communities to prepare for and manage climate change -induced disasters, and to promote sustainable post-conflict reconstruction in Bugesera, Mumirwa and Imbo Lowlands in Burundi. The project would address Burundi's NAPA priorities in the areas of climate forecasts for early warning, protection of buffer zones in the Lake Tanganyika Floodplain and around the Lakes of Bugesera, and the stabilization of river dynamics in Mumirwa and Imbo, including Bujumbura. The project design presents concrete measures to ensure sustainability and to mitigate risks in the challenging socio-economic environment of post-conflict Burundi.

Cambodia: Strengthening Climate Information and Early Warning Systems in Cambodia to Support Climate Resilient Development and Adaptation to Climate Change (GEF ID: 5318, UNDP, LDCF: \$5.5 million; Total Cost: \$22.2 million)

This project seeks to support climate-resilient development and adaptation by strengthening weather and climate monitoring and early-warning systems in Cambodia. Cambodia is vulnerable to climate change and its impacts. Climate change-induced events, such as floods, cyclones/typhoons, and droughts, have affected the region, causing the deaths of millions of people, infrastructure damage, direct economic losses, and health impacts. The project will improve decision making, integrating climate considerations into short- and long-term planning. Data will be generated through hardware installed in the country, and then made available, along with risk mapping and forecast data. The project will assist with the transfer of technologies by providing improved hardware and software. Data generated from

this project will be disseminated to different sectors of the economy.

Comoros: Enhancing adaptive capacity and resilience to climate change in the agriculture sector in Comoros (GEF ID: 4974, UNDP, LDCF: \$10.0 million; Total Cost: \$45.0 million)

The objective of the project is to strengthen the capacities of vulnerable communities to cope with the additional risks posed by climate change and variability on Comorian agro-sylvo-pastoral systems. The project will put in place a training program for management of climate risks for agro-sylvo-pastoral systems, install climate monitoring equipment, establish a public private partnership aiming to encourage and enable the combination of public and private sector contribution in the provision of institutional, financial and technical support to promote the integration of climate risks and adaptation options, and provide innovative financial products to finance farmers to make climate change adaptation investments and resilient alternative income generating activities.

Congo DR: Building the Resilience and Ability to Adapt of Women and Children to Changing Climate in Democratic Republic of Congo (GEF ID: 5226, UNDP, LDCF: \$5.3 million; Total Cost: \$20.9 million)

This project seeks to promote the adoption and adaptation of innovative, climate-resilient livelihood strategies specifically targeting rural women in the provinces of Bas Congo, Kasai Est, Katanga and Bandundu in DRC. The project is structured around two broad components, namely (i) investments in diversified and resilient rural livelihood strategies, particularly alternative income-generating activities, agricultural value-chain development, enhanced agro-meteorological services, and small-scale water saving technologies; and (ii) capacity building and knowledge management support for the adoption and replication of climate-resilient technologies and practices. The proposed project would contribute towards DRC's NAPA priorities in the areas of crop and livestock production, food security, water resources management, and hydro-meteorological monitoring and information services. The project is also aligned with DRC's Poverty Reduction and Growth Strategy Paper, and it would contribute towards the achievement of several Millennium Development Goals. To ensure the institutional and financial sustainability of the proposed adaptation measures, and to promote scaling up, the project combines pilot investments and technology transfer with relevant capacity building and decision-support services, as well as improved access to micro-finance, particularly among women.

Djibouti: Implementing adaptation technologies in fragile ecosystems of Djibouti's Central Plains (GEF ID: 5021, UNEP, LDCF: \$8.2 million; Total Cost: \$30.4 million)

This project seeks to reduce the vulnerability of rural communities in Djibouti's Central Plains through innovative, priority adaptation measures to reduce the risk of drought and floods and to enhance the resilience of natural assets and livelihoods. The proposed project would address, in an integrated manner, several of Djibouti's NAPA priorities, notably those associated with coastal zone management, water resources management, and land management. The project is structured around four main components, namely (i) protection against water-related hazards; (ii) rehabilitation of vulnerable natural assets; (iii) promotion of diversified and sustainable livelihoods; and (iv) capacity building for institutions and communities, with more than 80 percent of the proposed grant allocated towards tangible investments under the first three components. The project builds on the National Social Development Initiative (INDS), and the associated Public Investment Program (PIP), and is thus well placed to present best practices for scaled up adaptation measures beyond the targeted regions.

Djibouti: Supporting Rural Community Adaptation to Climate Change in Mountain Regions of Djibouti (GEF ID: 5332, UNDP, LDCF: \$6.0 million; Total Cost: \$34.1 million)

Djibouti suffers from chronic water stress and droughts events have grown more frequent and more intense over the past decades. The country's mountainous areas are particularly exposed to climate change-induced droughts and floods given their limited ability to retain water, low vegetative cover, and steep terrains; combined with high levels of extreme poverty. This project seeks to reduce the vulnerability of Djibouti's mountainous communities through institutional strengthening and climate-resilient water resources management. The project is designed to address adaptation in a comprehensive manner, by strengthening the physical and natural assets that underpin rural livelihoods, by introducing resilient agricultural technologies and practices, and by promoting livelihood diversification. Therefore, it will be structured around three principle components, aiming to (i) strengthen institutional capacities for coordinated, climate-resilient development planning at the national level; (ii) enhance water resources management in targeted mountainous areas for greater efficiency and flood control; and (iii) strengthen drought and flood preparedness at the local level and diversify rural livelihoods. The project will also introduce adaptation measures and technologies; for example, scaling-up a cost-effective stone mulching technique piloted by the Japanese International Corporation Agency and the Tokyo Agricultural University.

Gambia: Strengthening climate services and early warning systems in the Gambia for climate resilient development and adaptation to climate change – 2nd Phase of the GOTG/GEF/UNEP LDCF NAPA Early Warning Project (GEF ID: 5071, UNEP/UNDP, LDCF: \$8.9 million; Total Cost: \$34.3 million)

This project seeks to support climate-resilient development and adaptation by strengthening weather and climate monitoring and early-warning systems in the Gambia. The project deploys innovative and cost-effective infrastructure and software to address longstanding gaps in weather and climate monitoring, forecasting and early-warning capacity. The project will also seek innovative ways to enhance the financial and institutional sustainability of the equipment installed, notably through the provision of paid-for services to the private sector. In addition, the project will assess and promote legal arrangements to ensure long-term public commitment to hydro-meteorological monitoring and early-warning systems.

Lesotho: Reducing vulnerability from climate change in the Foothills, Lowlands and the lower Senqu River Basin (GEF ID: 5075, UNDP, LDCF: \$9.2 million; Total Cost: \$35.2 million)

This project seeks to mainstream climate risk considerations into Lesotho's ambitious Land Rehabilitation Program, as to enhance the resilience of key natural assets and rural livelihoods. The project is structured around two broad components, namely (i) providing knowledge, skills, institutional capacity building and targeted cash-for-work investments to enable the Land Rehabilitation Program to fully factor in the effects of climate change; and (ii) mainstreaming climate change adaptation into local and regional development planning and finance. In addition, the project will contribute towards Lesotho's NAPA priority on promoting sustainable crop-based livelihoods in Foothills, Lowlands and the Senqu River Valley. The project is also aligned with Lesotho's Vision 2020 and Poverty Reduction Strategy, and will contribute towards the development of the country's National Sustainable Development Plan. Furthermore, the project will introduce a cutting-edge hydro-meteorological and agro-ecological information and decision support system, providing a unique knowledge base for adaptation at the national level.

Lesotho: Strengthening Capacity for Climate Change Adaptation through Support to Integrated Watershed Management Program in Lesotho (GEF ID: 5124, FAO, LDCF: \$3.9 million; Total Cost: \$11.7 million)

This project seeks to reduce the vulnerability and enhance the adaptive capacity of rural communities in Lesotho's most vulnerable zones to the effects of climate change through investments in sustainable land and water management practices and resource conservation measures in selected watersheds, and through strengthened and diversified rural livelihoods, with a focus on crop, livestock and agro-forestry systems. The project is structured around four principle components: (i) strengthening the technical capacities of national and sub-national authorities on SLWM and climate-resilient livelihood strategies; (ii) assessing the vulnerability of livelihoods to the effects of climate change at the watershed level; (iii) promoting tested SLWM practices to build resilience to climate change in vulnerable sub-catchments and watersheds; and (iv) strengthening innovative, diversified and resilient livelihood strategies at the community level.

Liberia: Strengthening Liberia's Capability to Provide Climate Information and Services to Enhance Climate Resilient Development and Adaptation to Climate Change (GEF ID: 4950, UNDP, LDCF: \$7.5 million; Total Cost: \$36.4 million)

This project would support climate-resilient development and adaptation by strengthening weather and climate monitoring and early-warning systems in Liberia. The project responds to Liberia's second highest NAPA priority on rebuilding the national hydro-meteorological monitoring system and improved networking for the measurement of climatic parameters. The project is closely aligned with Liberia's Poverty Reduction Strategy as well as other relevant development policies and plans, providing essential information and decision-support services to enable sustainable and resilient development in key sectors of the economy, notably agriculture, fisheries, transportation, and energy.

Madagascar: Adapting Coastal Zone Management to Climate Change in Madagascar Considering Ecosystem and Livelihood Improvement (GEF ID: 4568, UNEP, LDCF: \$6.0 million; Total Cost: \$18.1 million)

The objective of the project is to reduce the vulnerability of the coastal zone to climate change and climate variability in order to increase its contribution to national economic development and poverty reduction. The project will develop institutional capacity to address climate change impacts on coastal zones, and will pilot technologies for resilient protection of coastal assets. The project will also rehabilitate climate monitoring infrastructure and mainstream adaptation measures into national policies and development strategies.

Madagascar: Enabling Climate Resilience in the Agriculture Sector in the Southwest Region of Madagascar (GEF ID: 5233, AfDB, LDCF: \$6.9 million; Total Cost: \$39.9 million)

The project seeks to promote adaptation in Madagascar by ensuring that agricultural water infrastructure planned under a business-as-usual scenario is modified so as to be resilient in the face of climate change; that the vulnerability of the catchment to cyclones and flooding is reduced, and that local agricultural livelihoods are adapted to climate change through water management and health intervention. The project will be integrated with a baseline intervention in four watersheds, and covering the rehabilitation of agricultural infrastructure and capacity building for improvement of the irrigation schemes management. Finally, a health intervention will ensure resilience to water-related diseases given the effects of climate change.

Malawi: Implementing urgent adaptation priorities through strengthened decentralized and national development plans (GEF ID: 5015, UNDP, LDCF: \$5.1 million; Total Cost: \$21.1 million)

The proposed project seeks to reduce the vulnerability of rural communities to the adverse impacts of climate change, including variability, in Malawi. The project would address Malawi's NAPA priorities in the areas of climate-resilient agricultural production and rural livelihoods, as well as adaptation to more frequent and more intense floods and drought. The project builds on Malawi's portfolio of adaptation projects, seeking to strengthen the systems and frameworks that will empower local communities as well as local and national authorities to plan and implement adaptation measures in an autonomous and sustainable manner.

Mali: Strengthening Resilience of Women Producer Groups and Vulnerable communities in Mali (GEF ID: 5192, UNDP, LDCF: \$6.1 million; Total Cost: \$ 22.7 million)

This project seeks to enhance the adaptive capacities of women producer groups in the face of climate change in the vulnerable communes of Kayes, Koulikoro and Sikasso in Mali. The project carries out priority investments in climate-resilient water resources management; such as dredging and protecting channels and ponds from erosion, small scale irrigation, and strengthened water governance at the local level. In addition, the project introduces innovative approaches and technologies to diversify and safeguard the livelihoods of women farmers; particularly drought-adapted crops, improved access to agro-meteorological information, strategic grain reserves, pastoral perimeters, and dry-season gardening.

Mali: Strengthening Resilience to Climate Change through Integrated Agricultural and Pastoral Management in the Sahelian zone in the Framework of the Sustainable Land Management Approach (GEF ID: 4822, FAO, LDCF: \$2.4 million; Total Cost: \$12.1 million)

This project seeks to strengthen the adaptive capacities of Mali's agro-pastoral sectors to the effects of climate change by mainstreaming adaptation across ongoing agricultural development initiatives within the framework of a national program on sustainable land management. The project builds on and strengthens a network of highly successful farmer field schools (FFS) and agro-pastoral field schools (APFS) by introducing adaptation in the training curricula and introducing adaptation technologies in the FFS and APFS sites. In parallel, the project develops integrated adaptation plans and decision-support systems at the regional level, and mainstreams adaptation in relevant national policy frameworks and plans. The proposed project would address several of Mali's NAPA priorities associated with agriculture and rural development, particularly the dissemination of climate-resilient seeds, hydro-agro-meteorological services, water management, and the development of an adaptation training package for rural populations. The proposed project is also aligned with the strategic investment framework for sustainable land management (CSI-GDT), Mali's Growth and Poverty Reduction Strategy Framework, the Agricultural Orientation Law, the National Food Security Strategy, and the National Program on Food Security.

Mauritania: Improving Climate Resilience of Water Sector Investments with Appropriate Climate Adaptive Activities for Pastoral and Forestry Resources in Southern Mauritania (GEF ID: 5190, AfDB, LDCF: \$7.3 million; Total Cost: \$22.1 million)

This project seeks to reduce the vulnerability of rural communities through targeted climate-resilient management of water and forest resources. The project introduces proven land and water management techniques, as well as alternative income-generating opportunities to address the adaptation needs of both sedentary and nomadic communities. The project will also contribute towards mainstreaming adaptation across Mauritania's national strategies for water resources and sustainable development. The proposed project would contribute towards Mauritania's NAPA priorities in the areas of water resources management and forest conservation. The project is also aligned with Mauritania's Strategic Framework for the Fight against Poverty (PRSP) 2012-2015, and the National Sustainable Development Strategy.

Nepal: Reducing vulnerability and increasing adaptive capacity to respond to impacts of climate change and variability for sustainable livelihoods in agriculture sector (GEF ID: 5111, FAO, LDCF: \$2.9 million; Total Cost: \$12.2 million)

This project aims to increase climate change resilience in the agriculture sector in Nepal. The project will develop capacity at the local level and at the national level to implement NAPA priorities related to agriculture. The project has a strong focus on training farmers on climate impacts and adaptation strategies they can undertake. It is expected that such activities will contribute strongly towards the sustainability of the project outcomes. The project will invest in small scale physical measures such as seed storage units, livestock enterprises and off season cultivation prioritized in the Local Adaptation Plans of Actions developed by the communities and the farmer groups in the four target districts. The proposed project will build resilience into a number of baseline projects that relate to the different aspects of agriculture such as pest management, forestry and livestock development.

Nepal: Catalyzing ecosystem restoration for resilient natural capital and rural livelihoods in degraded forests and rangelands of Nepal (GEF ID: 5203, UNEP, LDCF: \$5.9 million; Total Cost: \$17.4 million)

The project focuses on ecosystem management to minimize climate change impacts in the mid and high hills of Nepal. Communities in these regions are highly vulnerable to climate change because of remoteness of these areas, frequency of severe droughts and floods in the recent past and limited technical capacity of local authorities. The project will help develop the appropriate institutional frameworks and technical capacity to initiate country-wide implementation of adaptation measures through ecosystem management and restoration. With the LDCF funding national level strategy and financing plan on ecosystem restoration for adaptation will be developed. In three districts in the mid-hills and high hills of Nepal, in line with the local adaptation plans of action, forest restoration activities will be undertaken to specifically reduce erosion, increase production of non-timber forest products and increase soil productivity for agriculture.

Niger: Integrating climate resilience into agricultural and pastoral production for food security in vulnerable rural areas through the Farmers Field School approach (GEF ID: 4702, FAO, LDCF: \$4.2 million; Total Cost: \$19.4 million)

This project seeks to enhance the adaptive capacity of Niger's agricultural and pastoral sectors by mainstreaming adaptation strategies into on-going agricultural development policies and programs. The project would address several of Niger's NAPA priorities, notably in the areas of climate-resilient crop and livestock production and agricultural water resources management. The proposed project is closely integrated into Niger's rural development strategy and is, therefore, well placed to catalyze investments in climate-resilient agriculture and associated extension services at a national level.

Rwanda: Building Resilience of Communities Living in Degraded forests savannahs and wetlands of Rwanda through an ecosystem management approach (GEF ID: 5194, UNEP, LDCF: \$6.1 million; Total Cost: \$16.9 million)

This project will reduce the climate change vulnerability of the rural Rwandan communities, by enhancing the capacity of national and local institutions to undertake an ecosystem management approach to adaptation. The climate change vulnerability of the rural communities is exacerbated by a high dependence on rain-fed agriculture, widespread ecosystem degradation, and limited capacity of local and national institutions to address the impacts of climate change. The proposed project will demonstrate adaptation interventions to reduce the vulnerability of the communities living in three distinct ecosystems in the country, woodland/grassland, forest slope and wetlands. Through the LDCF project cross-sectoral dialogue will be initiated at the national level to leverage natural resource management to meet climate change challenges.

Samoa: Enhancing the resilience of tourism-reliant communities to climate change risks (GEF ID: 4585, UNDP, LDCF: \$2.2 million, Total Cost: \$19.5 million)

As with many island states is a key sector contributing to the Samoan economy. The principle resource bases of tourism are the pristine beaches, coastal, lagoon and reef areas. The sector's small scale operators are reliant on goods and services related to agriculture, fisheries, food processing, construction, handicraft, transport, energy, water and waste management and cultural performance. However, being adjacent to the coast many operators and communities are exposed to the impacts of climate change induced extreme events and other long term incremental changes. Therefore, the objective of this project is to increase the resilience of the tourism sector, through mainstreaming climate risks into tourism-related policy process, which will guide the implementation of adaptation actions by tourism operators and tourism reliant communities. This project will assist in mainstreaming climate change adaptation into tourism-related policy instruments and public-private partnerships, and increase the adaptive capacity to climate change and disaster risks of tourism reliant communities. This project will also support the internalization of climate change considerations into existing micro-finance, grant and loan schemes in the tourism sector, as well as explore the feasibility of a climate risk transfer insurance mechanism. Furthermore, concrete adaptation actions will be put in place to assist the management of coastal infrastructure. These actions will include beach rebuilding processes, bio-shields and erosion and sediment controls. Key lessons learned from the implementation of this project will be developed in case studies, and used to assist other counterpart SIDS to assist in making their tourism sectors resilient to climate change.

Sao Tome and Principe: Enhancing capacities of rural communities to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL) (GEF ID: 5184, UNDP, LDCF: \$4.5 million, Total Cost: \$20.7 million)

In Sao Tome and Principe, cocoa cultivation is an important economic activity. However, increasing length of the dry season, due to climate change, poses a threat to cocoa production in the country. The aim of this project is to develop capacities of key institutions in agricultural and rural development. The project will support the design, implementation and maintenance of low-cost community infrastructures to counter climate-induced soil erosion and crop fields floods. Activities will include terracing, strengthening drainage systems, rain water control, landscaping, wind breaks and other forms of erosion control as well as dykes and bunds to protect fields against flooding. The project will also strengthen

capacities by training district and village representatives to develop and monitor adaptation plans and budgets. At the local level, communities will be trained to implement erosion control measures such as terracing, wind break systems and water harvesting measures such as construction of dykes and bunds.

Sierra Leone: Building resilience to climate change in the water and sanitation sector (GEF ID: 5209, AfDB, LDCF: \$4.4 million; Total Cost: \$33.1 million)

The LDCF financing is closely integrated into the baseline project, the overall aim of which is to improve public health and child mortality through the provision of rural water supply and sanitation services. This will be achieved by ensuring infrastructure is climate-resilient, creating the right institutional framework for climate-resilient management of water resources, and training government and citizens in climate-resilient water sanitation and hygiene. Although the baseline interventions include capacity building to enhance sanitation awareness and community management and maintenance of infrastructure, they do not include any awareness raising or capacity building activities designed to improve adaptive capacity in the face of climate change, which will be supported by LDCF funding. Given the close integration of the LDCF-financed climate resilience considerations into the design of a major development investment in a critical sector, targeting a population of 1,240,400, the potential for a far-reaching, large-scale impact especially on the vulnerable segments of population is substantial.

Sudan: Climate Risk Finance for Sustainable and Climate Resilient Rain-fed Farming and Pastoral Systems (GEF ID: 4958, UNDP, LDCF: \$6.4 million; Total Cost: \$18.7 million)

This LDCF project, Climate risk finance for sustainable and climate resilient rain-fed farming and pastoral systems in Sudan has the objective of increasing climate resilience of rain-fed farmer and pastoral communities in regions of high rainfall variability through climate risk financing. This will be achieved through strengthening institutional and technical capacity for climate observation, forecasting and early warning, as well as through addressing climate risk to rural livelihoods in the states of greatest rainfall variability through parametric insurance products, and improving access of vulnerable farmers and pastoralists to financial services for climate change adaptation and disaster risk reduction.

Timor Leste: Strengthening Community Resilience to Climate Induced Natural Disasters in Rural Timor Leste (GEF ID: 5056, UNDP, LDCF: \$5.9 million; Total Cost: \$84.9 million)

The objective of this project is to ensure that critical economic infrastructure for sustained human development is protected from climate induced natural hazards (flooding, landslides, wind damage) through better policies, and strengthened local disaster risk management institutions with investments in risk reduction measures within the Dili to Ainaro development corridor. The project will improve disaster risk management in Timor Leste, strengthen climate risk management and disaster risk planning, budgeting and delivery, and put in place investments in climate resilient community based adaptation measures.

Uganda: Building resilience to climate change in the water and sanitation sector (GEF ID: 5204, AfDB, LDCF: \$9.2 million; Total Cost: \$47.2 million)

This project seeks to enhance the climate resilience of water supplies and sanitation in Uganda's flood and drought-prone areas. The project (i) reduces the risk of floods and improves the availability of water in the Mount Elgon region; (ii) promotes access to climate-resilient sanitation facilities in flood-prone peri-urban areas; and (iii) improves access to water for consumption and production in drought-prone areas. The project would contribute towards addressing Uganda's NAPA priorities in the areas of water resources management and sanitation, reforestation, and sustainable land management. The project is aligned with Uganda's Water Action Plan; the Health Sector Strategic Action Plan; the Second National Health Policy; as well as the country's Vision 2025 and National Development Plan. The proposed LDCF grant builds on the AfDB Water Supply and Sanitation Program (WSSP). The LDCF project will be fully integrated into the baseline program, which will allow the additional adaptation measures to reach a very large number of rural and peri-urban beneficiaries. The baseline program will also allow for innovative technologies in climate-resilient water harvesting and sanitation to be scaled up beyond the sites directly targeted by the LDCF grant.

Vanuatu: Adaptation to Climate Change in the Coastal Zone in Vanuatu (GEF ID: 5049, UNDP, LDCF: \$9.1 million; Total Cost: \$42.0 million)

The objective of this project is to improve the resilience of the coastal zone to the impacts of climate change in order to sustain livelihoods, food production and preserve and improve the quality of life in targeted vulnerable areas. The project addresses the key priorities in NAPA and these are community based marine resource management, integrated coastal zone management and mainstreaming climate change into policy and national planning. This project will help to protect threatened coastal ecosystems, such as mangroves, coral reefs and fisheries, and rehabilitate these ecosystems to support livelihoods and food production, while enhancing the resilience of these ecosystems to the changing climate.

Yemen: Rural Adaptation in Yemen (GEF ID: 5174, Yemen, IFAD, LDCF: \$11.0, Total Cost: \$66.6 million)

This project aims to combat the expected negative impact of climate change on the already fragile water sector in Yemen, specifically due to the expansion of groundwater irrigation which has contributed to a rapid growth of commercial agriculture and now accounts for two thirds of the value of crop irrigation. The project will build on the IFAD's ongoing baseline projects which aim to stimulate sustainable rural economic growth to improve food security and reduce rural poverty. The project will be built around four components, which will reflect the scaling up of the baseline projects: (i) community resilience; (ii) water resources; (iii) infrastructure and energy; and, (iv) agriculture.

Yemen: Integrated Water Harvesting Technologies to Adapt to Climate Change Induced Water Shortage (GEF ID: 5211, UNDP, LDCF: \$5.5 million; Total Cost: \$25.2 million)

The objective of this project is to increase the resilience of rain-fed agricultural communities from climate variability and risks through developing technical, regulatory and institutional capacities for the revival and upscale of integrated water harvesting technologies, and direct investment in such water harvesting technologies that facilitate ground water recharge and secure supplement irrigation through harvested water, including flood water, within the context of rendering local planning and investment processes promoting integrated water harvesting and thus ensuring long term climate resilience of rain-fed agricultural production systems. The project is well-coordinated with major development frameworks and related programs, and will serve to ensure resilience of the National Irrigation Program, within the National Water Sector Strategy and Investment program. This project will also complement initiatives under the Social Development Fund, specifically on water management. Given the prominence of the programs that serve as the baseline, the potential for scaling up and transformational impact is significant.

2. Summaries of LDCF Multi-Trust Fund Projects Approved in FY 2013

Regional (Angola, Namibia, and South Africa): Enhancing Climate Change Resilience in the Benguela Current Fisheries System (GEF ID: 5113, FAO, LDCF: \$1.8 million, SCCF: \$3.3 million; Total Cost: \$19.9 million)

This project seeks to enhance the resilience of the Benguela Current marine fisheries systems to climate change through policy support and institutional capacity building at the regional and national levels, and by introducing climate-resilient management practices in high-risk fisheries. The project is structured around four key components, namely (i) integrating climate change considerations into fisheries planning and policies; (ii) piloting climate-resilient fisheries practices at the local level; (iii) institutional capacity building; and (iv) monitoring and evaluation. The proposed project is the first under the LDCF and the SCCF to focus specifically on the climate-resilient management of marine fisheries. The project is also Namibia's first under the SCCF Adaptation Program (SCCF-A), and Angola's first under the LDCF.

Regional (Senegal, Guinea, Mali, Mauritania): Senegal River Basin Climate Change Adaptation Project (GEF ID: 5133, World Bank, LDCF: \$13.1 million, IW: 4.4 million; Total Cost: \$86.1 million)

This project seeks to promote the sustainable and climate-resilient management of water resources in the Senegal River Basin (SRB), through targeted investments in climate change adaptation and priority measures. The project is structured around: (i) institutional capacity building and policy reform, particularly supporting the inclusion of Guinea as a signatory to the SRB Water Charter, and targeted training on climate change adaptation to strengthen the technical capacity of OMVS, OMVS National Cellules and other national institutions; (ii) knowledge generation/ dissemination, including an update of the transboundary diagnostic analysis (TDA), investments in enhanced hydrological monitoring, and a basin-wide assessment of climate change vulnerabilities; and (iii) catalytic pilot investments in priority adaptation measures. This project represents an innovative effort to harness the synergies between climate change adaptation and the sustainable management of transboundary water resources.

3. Summary of LDCF Programs Approved in FY 2013

Regional Program (Kenya and Djibouti): Rural Livelihoods' Adaptation to Climate Change (GEF ID: 5228, AfDB, LDCF: \$5.5 million; SCCF Grant: \$2.8 million; Total Cost: \$64 million)

This regional program aims to improve the resilience to climate change of pastoral and agro-pastoral communities in targeted areas in the Horn of Africa, and consequently to increase the adaptive capacity of their livelihoods. The program activities aims to address the impacts of climate risks on rural livelihood by financing adaptation measures and associated advisory services based on both, the traditional knowledge and know-how of pastoral and agro-pastoral communities, as well as improved sustainable technologies and practices. It will promote the community-based adaptation measures in different areas such as: water resources, rangeland management, and livestock health and production.

Regional Program (Cook Islands, Fiji, Kiribati, Marshall Islands, Micronesia, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu): R2R - Pacific Islands Ridge-to-Reef National Priorities – Integrated Water, Land, Forest and Coastal Management to Preserve Biodiversity, Ecosystem Services, Store Carbon, Improve Climate Resilience and Sustain Livelihoods (GEF ID: 5395, UNDP/UNEP/FAO, GEFTF grant: \$90.4 million in total: \$4.1 million from CC, \$34.3 million from BD, \$4.7 million from LD, \$11.2 million from IW, 4.1 million from SFM/REDD+; LDCF grant: \$13.65 million, Total Cost: \$423.4 million). Please see the summary on page 71.

4. Summaries of LDCF Enabling Activity Projects Approved in FY 2013

Equatorial Guinea: Preparation of National Adaptation Plan of Action (NAPA) in response to Climate Change in Equatorial Guinea (GEF ID: 5191, UNDP, LDCF: \$220,000; Total Cost: \$440,000)

This enabling activity project aims to develop a NAPA to identify Equatorial Guinea's most urgent and immediate adaptation needs, following a participatory process. The project examines the current institutional structure for NAPA preparation, and will sponsor public participation and awareness-raising for the NAPA. The completed NAPA will be the basis to access additional funds from the LDCF for specific adaptation projects.

Somalia: Preparation of National Adaptation Plan of Action (NAPA) in response to Climate Change for Somalia (GEF ID: 5007, UNDP, LDCF: \$220,000; Total Cost: \$428,500)

This enabling activity project aims to develop a NAPA to identify Somalia's most urgent and immediate adaptation needs, following a participatory process. This project would support the stocktaking and synthesis of available information, participatory vulnerability assessments, prioritization of adaptation measures, stakeholder consultations and public awareness-raising, and the resulting NAPA would serve as the basis for subsequent adaptation projects under the LDCF.

5. Summaries of SCCF Projects Approved in FY 2013

Albania: Building the Resilience of Kune-Vaini Lagoon through Ecosystem-based Adaptation (EbA) (GEF ID: 5386, UNEP, SCCF-A: \$2.19 million, Total Cost: \$13.19 million)

The target area of this project is a IUCN Category IV Protected Area which provides a range of ecosystem services to the communities living nearby, ranging from coastal protection, fresh water, soil retention, and cultural/tourism value. The project aims to implement ecosystem based adaptation (EbA) measured, through a mix of interventions aimed at improving the national and local capacity to implement EbA in coastal zones. The innovative aspect of the project includes the introduction of microfinance or/and Payment for Ecosystem Services approach as well as private sector engagement as part of the strategy to upscale, sustain, and replicate project results, thus building and improving upon the previous GEF-supported intervention. The project will also engage project stakeholders and management of number of key baseline initiatives, including the Water Resources and Irrigation project funded by the World Bank and SIDA, with the aim of catalyzing changes in the baseline interventions so as to include EbA as a resilience-building approach where appropriate.

Cameroon: Enhancing the resilience of poor communities to urban flooding in Yaounde (GEF ID: 5263, AfDB, SCCF-B Grant: \$4.8 million, Total Cost: \$124.5 million)

The project introduces policy reforms, information products and services, as well as proven technologies to enhance the resilience of vulnerable urban communities in the face of climate change-induced hazards, particularly floods. The project adopts a community-based approach, thus complementing the centrally planned investments carried out by the baseline project, and seeks to understand and address climate change vulnerabilities at the catchment level.

Georgia: Enhancing Resilience of Agricultural Sector in Georgia (GEF ID: 5147, IFAD, SCCF-A: \$5.9 million; Total Cost: \$23.2 million)

This project seeks to enhance the climate resilience of Georgia's agriculture sector, with a focus on rehabilitating and strengthening the physical and natural assets that underpin agricultural production. The project addresses the urgent needs of smallholder farmers who have been affected by severe weather events in recent years, while building the long-term resilience of agricultural production and rural livelihoods. The project builds on IFAD's Agricultural Support Project and its small-scale rural infrastructure component in particular.

Kyrgyz Republic: Promoting Climate Resiliency of Water Supplies in Kyrgyzstan (GEF ID: 5115, EBRD, SCCF-A: \$5.5 million; Total Cost: \$34.06 million)

This project seeks to improve the climate resilience of water supplies in cities in the Kyrgyz Republic by fully mainstreaming climate change considerations into water infrastructure rehabilitation. The project includes tangible investments to enhance the resilience of water infrastructure, measures to integrate climate change assessments into the

development of the water sector, and capacity building for strengthened water governance and community participation. The project builds on current EBRD investments in the water sector.

Lebanon: Sustainable Agricultural Livelihoods in Marginal Areas (GEF ID: 5125, World Bank, SCCF-A: \$7.8 million; Total Cost: \$34.0 million)

This project seeks to increase access to reliable sources of supplementary irrigation in remote, ecologically vulnerable hilly areas using sustainable land and water management approaches. The project takes an integrated approach to climate-resilient water resources management, promoting supply-side measures to enhance upstream water retention, as well as demand-side measures for increased water-use efficiency in agriculture. The project is fully blended with an IBRD loan of \$20 million and also builds on IFAD's Hilly Areas Sustainable Agricultural Development (HASAD) project.

Namibia: Scaling up community resilience to climate variability and climate change in Northern Namibia, with a special focus on women and children (GEF ID: 5343, UNDP, SCCF-A: \$3.5 million, Total Cost: \$43.5 million)

Climate change has brought about an increase in floods and droughts in Northern Namibia. This directly affects rural farmers, who depend on rain-fed subsistence agriculture for their livelihoods. This project seeks to strengthen the adaptive capacity and reduce the vulnerability of rural communities to droughts and floods in Northern Namibia, with a special focus on women and children. It is structured around three principle components, aiming to (i) strengthen the capacities of smallholder farmers to implement climate-resilient agricultural production practices; and (ii) reduce vulnerability to droughts and floods through the restoration of wells and harvesting of floodwater for food security; and (iii) mainstream climate change into national agricultural strategy/sector policy, including adjustments to budgets for replication and up-scaling.

Tunisia: Addressing Climate Change Vulnerabilities and Risks in Vulnerable Coastal Areas of Tunisia (GEF ID: 5105, UNDP, SCCF-A: \$6.2 million; Total Cost: \$61.5 million)

This project seeks to promote innovative adaptation strategies, technologies and financing options to address the additional risks posed by climate change on populations and key socio-economic sectors in Tunisia's most vulnerable coastal areas. The SCCF project strengthens the institutions responsible for coastal land use and planning, and implements concrete adaptation actions to facilitate learning by doing. The project builds on Tunisia's National Program for Coastal Erosion Protection.

6. Summaries of SCCF Multi-Trust Fund Projects Approved in FY 2013

Regional (Angola, Namibia, and South Africa): Enhancing Climate Change Resilience in the Benguela Current Fisheries System (GEF ID: 5113, FAO, LDCF: \$1.8 million, SCCF: \$3.3 million; Total Cost: \$19.9 million.)

Please see the summary on page 81.

Ecuador: Promotion of Climate-smart Livestock Management Integrating Reversion of Land Degradation and Reduction of Desertification Risks in Vulnerable Provinces (GEF ID: 4775, FAO, GEFTF: \$3.9 million in total: \$0.5 million from CC, \$1.8 million from LD, \$1.4 million from SCCF-A; Total Cost: \$16.6 million) Please see the summary on page 66.

7. Summary of SCCF Programs Approved in FY 2013

Regional Program (Kenya, Djibouti, and Sudan): Rural Livelihoods' Adaptation to Climate Change (GEF ID: 5228, AfDB, LDCF: \$13.0 million; SCCF Grant: \$2.8 million; Total Cost: \$155.8 million). Please see the summary on page 81.

Annex 5: Technology Transfer Projects Support in line with the Long-Term Program on Technology Transfer

1. In December 2008, COP 14 welcomed the GEF's Strategic Program on Technology Transfer (renaming it the Poznan Strategic Program on Technology Transfer) as a step toward scaling up the level of investment in the transfer of ESTs to developing countries. In response to decision 2/CP.14, the GEF submitted a Long-Term Program on Technology Transfer to COP 16. The GEF submission included the following elements to further scale up investment in ESTs in developing countries in accordance with the GEF climate change strategy, and to enhance technology transfer activities under the Convention:
 - (a) Support for Climate Technology Centers and a Climate Technology Network;
 - (b) Piloting Priority Technology Projects to Foster Innovation and Investments;
 - (c) PPP for Technology Transfer;
 - (d) Support for TNAs; and
 - (e) GEF as a Catalytic Supporting Institution for Technology Transfer
2. This annex summarizes the status of preparation and implementation of GEF supported initiatives under the first item of the Long-Term Program on Technology Transfer: Support for Climate Technology Centers and a Climate Technology Network. The annex presents the progress made by the GEF Agencies in the delivery of the associated projects and summarizes experiences gained and lessons learned so far.
3. The GEF funded regional and national projects supporting climate technology centers, networks for climate technology transfer and financing are in early phases of implementation. Information on their implementation status and experience, provided by the GEF Agencies concerned, is summarized below.
4. ***Pilot Asia-Pacific Climate Technology Network and Finance Center (ADB & UNEP)***. The project was endorsed by the GEF CEO in May 2012, and has started implementation. Its first steering committee meeting (with ADB, UNEP, and the GEF) was held in November 2012 during COP 18 in Doha, Qatar.
5. This project objective is to pilot a regional approach to facilitating deployment of climate technologies (mitigation and adaptation) that combines capacity development, enhancement of enabling environments for market transformation, financial investments and investment facilitation.
6. As of June 2013:
 - (a) A preliminary list of countries (People's Republic of China, Cambodia and Bangladesh) has been identified for potential strategic engagement aimed at mainstreaming climate technology into countries' development plans and strategies.
 - (b) Technical support and advisory service have been extended for three mitigation projects in ADB's investment pipeline: (i) evaluating design of solar project in Tonga, (ii) preparing due diligence and project feasibility reports for proposed solar power investments in Maharashtra, India, (iii) assistance in feasibility study for solar street lighting in support of potential road projects in Tajikistan. Discussions are also underway to support an adaptation project in Pakistan (Jalalpur Irrigation Project). A detailed analysis of ADB's investment pipeline has been undertaken to identify projects which could benefit from a strengthened climate technology aspect as well as to draw up a preliminary list of priority sectors.
 - (c) The venture capital subproject has broadened its operations to include support for other private sector funds beyond the three venture capital funds initially targeted. It has also started engagement with the Indian INFUSE fund on the delivery of specific technical assistance and knowledge services.
 - (d) The setting up of the Marketplace for Low Carbon Technology has progressed with the engagement of an

Implementation Consultant (firm) who will provide oversight during the design and demonstration stages of the Marketplace for Low Carbon Technology. In preparation for the Marketplace operation, a partnership with WIPO has been established and a database of low carbon technologies created under WIPO Green.

- (e) The project supported UNEP in organizing the first of a series of CTCN regional expert dialogues to get practitioners views on barriers, needs and priorities, and on how the CTCN can best support countries in each region. The first project partners meeting took place in Bangkok, Thailand in May 2013. Representatives of 15 partner countries participated and indicated their needs and priorities. The information collected from this and future dialogues will be used to support the CTCN Advisory Board in its discussions and decision making to ensure a fully functional and effective CTCN.
7. The project experience to date highlights a few initial elements. Engaging with private sector fund managers on climate technologies is not easy and can be done by showcasing that climate technology investment can provide long term high returns even though they entail technical risks. Knowledge sharing activities and development of knowledge products are important to promote climate technology investment, because they can spark interest to pursue climate technology as an important agenda among policy- and decision-makers. Packages of “hard interventions” (investments) and “soft interventions” are therefore more likely to effectively support climate technologies. Partner countries that conducted Technology Needs Assessments and developed Technology Action Plans appear more advanced and ready to voice clearer requests for climate technology transfer support.
8. A key challenge facing the project is how to operationalize the mainstreaming of climate technology into development plans and strategies within the short timeframe of the project. A response strategy to this challenge is being implemented. Another challenge is in identifying the appropriate climate technologies which is affordable and suitable and hence can be adopted for projects – considering available resources limited in developing countries.
9. **Regional Climate Technology Transfer Center (EBRD).** The project has been endorsed by the GEF CEO in June 2013 and should start implementation by the end of 2013.
10. It aims to accelerate investments in climate change mitigation and adaptation technologies in the Early Transition Countries (ETCs) by combining regional technology transfer networking, technical assistance (for policy makers and projects) with financial support and mechanisms. The project is designed to kick-start the market for climate technology investments in the ETCs.
11. The project has already generated a lot of interest at the EBRD. In that respect, the EBRD has already approved a concept extending the project to Southern and Eastern Mediterranean countries of the EBRD region with its own resources. Despite its early stage, the project has the Energy Efficiency and Climate Change Team of EBRD to identify a pipeline of technology transfer investments in the Kyrgyz Republic and Mongolia (17 projects), in other ETC countries of EBRD region (10 projects), and in the new EBRD countries in the Southern and Eastern Mediterranean (10 projects). The project team is now planning to undertake a project screening in Moldova and Belarus to identify further projects for the pipeline.
12. **Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean (IDB).** The project was approved by the GEF Council in June 2012. It is completing the preparation of a full project proposal for GEF CEO Endorsement request expected to be submitted by September 2013.
13. Its aim is to promote the development and transfer of environmentally sustainable technologies in LAC, in order to contribute to the ultimate goal of reducing GHG emissions and reducing the vulnerability to climate change in specific sectors in LAC. The Project's strategy is to build the national capacities to identify, assess, develop and transfer EST, focusing on (i) the promotion of and support to regional collaborative efforts; (ii) the support to planning and policy-making processes at national and sectoral levels; (iii) the demonstration of policies and enabling mechanisms; and, (iv) the mobilization of private and public financial and human resources.
14. The IDB is collaborating with UNEP with a view to ensuring that the efforts under the project will also contribute to the region's capabilities to engage with and participate in the technology mechanism under the United Nations Framework Convention on Climate Change. The IDB and UNEP have identified potential collaborations around the objectives on regional capacity building, as well as enhanced interaction with regional organizations that are also members of the UNEP-led consortium hosting the Climate Technology Center and Network (CTCN). One such organizations, CATIE (Centro Agronómico Tropical de Investigación y Enseñanza), has also been selected under the project as the leading organization for the activities focusing on the forestry sector. Similar discussions are underway with Fundación Bariloche, another member of the CTCN consortium based in Latin America.

15. ***Pilot African Climate Technology Finance Center and Network (AfDB)***. The project was approved by the GEF Council in June 2012. It is completing the preparation of a full project proposal for GEF CEO Endorsement request expected to be submitted by the end of 2013.
16. The project aims to support on the ground the deployment of technologies for both climate change mitigation and adaptation in developing countries of Africa by (i) catalyzing public and private finance for low-carbon technologies and climate resilient development projects and (ii) assisting with integrating technology transfer considerations into developing countries' policies and investment programs and strengthening design and enforcement capacities of public institutions. It seeks thus to overcome several barriers to technology transfer and especially the lack of information and awareness-raising the lack of access to finance, the lack of adequate policies, technical limitations, the lack of human capacity and the lack of institutional capacity.
17. ***Enhancing Capacity, Knowledge and Technology Support to Build Climate Resilience of Vulnerable Developing Countries (UNEP)***. The project was endorsed in January 2013 and is in the early stages of implementation. The inception workshop was held in April 2013, and concrete on the ground activities have not begun yet.
18. The project aims at reducing risks from increased desertification, floods and erosion, and sea level rise to the target communities in the identified project sites in Mauritania, Nepal and Seychelles respectively. The best practices from on-the-ground interventions supported through the SCCF grant will be disseminated through the regional networks that are a part of the proposed project. The project will also contribute towards developing evidence based indicators for Ecosystem-based approaches to Adaptation. The project will be based in China with China's National Development and Reform Commission (NDRC) as the main executing partner. Project will leverage a number of existing programs such as the South-South Cooperation, Africa Adaptation Network, the Global Adaptation to Climate Change Network and Asia-Pacific Adaptation Network.
19. ***Facility for Low Carbon Technology Deployment (World Bank)***. The project was approved by the GEF Council in June 2012. The World Bank is currently preparing the full project proposal for GEF CEO Endorsement request expected to be submitted by the end of 2013. The project implementation is expected to start by June 2014. This project aims to facilitate identification and deployment of low carbon technologies in India that can address technology gaps to mitigate climate change and improve the economy's energy efficiency. The project will do so through a Facility for Low Carbon Technology Deployment that will bring together government, industry, consumer, academia, and CSO representatives. Four key technology areas are identified to begin operations: refrigeration, air conditioning, lighting, and low-temperature waste heat recovery. It is proposed to be part of the CTCN at the national level.
20. ***Mexico Sustainable Energy Technology Development (World Bank)***. The project was approved by the GEF Council in June 2013. The World Bank is now preparing the full project proposal for GEF CEO Endorsement request. The project objective is to support the development of new and innovative clean energy technologies (energy efficiency, renewable energy) through the linking of the public, academic and productive sectors in Mexico. This will be achieved through (i) the identification of local clean energy technology needs and available capabilities at the regional level among public and private sector stakeholders; (ii) the creation of regional Strategic Alliances and Innovation Networks for Competitiveness on clean energy for a set of potentially high-impact technologies; (iii) the identification of portfolios of high-impact projects in clean energy technology involving the private sector; and (iv) the support and funding of these high-impact projects involving the private sector.
21. The project will be coordinated with the Inter-American Development Bank project "Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean" and with the forthcoming CTCN to make use of potential complementarity and avoid redundancy and duplication of efforts.
22. Although the Project has just been approved and thus has not started implementation, the following lessons drawn from the conceptual preparation of the project: (i) most stakeholders, especially at the local level, do not have access to valuable existing experiences, knowledge, initiatives related to technology transfer; (ii) international stakeholders do not have sufficient knowledge of the existing specific local barriers for technology transfer. Efforts towards the dissemination of existing experiences, results and processes are therefore useful.

Annex 6: Implementation of the Poznan Strategic Program on Technology Transfer

1. This annex summarizes the status of preparations and implementation under the Technology Transfer Pilot Projects supported within the framework of the Poznan Strategic Program on Technology Transfer. The annex presents the progress made by the GEF Implementing Agencies in the delivery of pilot projects and summarizes experiences gained and lessons learned so far, as requested in the SBI 36 agenda item 12 conclusions (see paragraphs 137 to 158 in this document for overall reporting on the progress of the Poznan Strategic Program on Technology Transfer).
2. As indicated in paragraphs 145 to 148 in this document, the call for proposals for technology transfer pilot projects under window two of the Poznan Strategic Program issued in March 2009 by the GEF CEO led to the selection of 14 proposals of pilot projects for funding, including 13 FSPs and one MSP. Only one proposal for adaptation was received for a project in Jordan; this proposal was funded, along with three other proposals that included adaptation elements. The total funding from the GEF Trust Fund and SCCF-B for the 14 pilot projects amounted to initially \$58 million, and total co-financing for these projects initially came to more than \$195 million.
3. As of June 2013, GEF Agencies charged with implementing these 14 pilot projects have reported progress in project preparation and implementation (see Table A5) :
 - (a) Nine projects have been endorsed by the GEF CEO and are progressing in project implementation. These projects take place in Cambodia, Chile, China, Jordan, Mexico, Russia, Sri Lanka and Thailand. The funding from the GEF Trust Fund and SCCF-B for these project amounts respectively to \$41 million and \$2.4 million, and the total co-financing amounts respectively to \$173 million and \$5.5 million.
 - (b) One project was re-submitted by another Agency, and was approved by the GEF Council in November 2011. This project takes place in Colombia, Kenya, and Swaziland. It is currently undergoing preparations for GEF CEO Endorsement.
 - (c) One project, taking place in Cote d'Ivoire, will be endorsed in July 2013.
 - (d) Three projects were cancelled upon request from the GEF Agencies and/or the concerned national government, one in July 2011, one in February 2012 and one in June 2012.
4. The nine CEO-endorsed projects are in early phases of implementation. Information on their implementation status and experience, provided by the GEF Agencies concerned, is summarized below:
 - (a) ***Cambodia: Climate Change related Technology Transfer for Cambodia: Using Agricultural Residue Biomass for Sustainable Energy Solutions (UNIDO)***. The project is under implementation following GEF CEO Endorsement in its May 2012.

The inception workshop to launch the project was organized in February 2013 by the Minister of Industry, Mines and Energy and other institutions. More than 150 participants from various stakeholder groups attended, including policy makers and direct beneficiaries. The project has identified the agro residue biomass sources and energy potential in Cambodia. Business dialogues with investors on technical and commercial applications and work plan for detailed project report and installation and commissioning plan have been conducted and completed. An intensive training on Agricultural Residue and Biomass was conducted on 27-28 July 2012 in collaboration with the relevant institutions. Technology sourcing from 32 international technology suppliers has taken place and detailed offers have been received from 14 technology suppliers. The evaluation of the technical offers has been conducted and commercial offers have been shortlisted. Visits to technology suppliers in Thailand and India and selected units with biomass-based power generation have taken place. Twenty-one units using various biomasses have been visited and users were interviewed for operation, maintenance and viability by experts. Assessments of different technologies with respect to their techno-economic viability, environmental performance and social aspects have taken place. Short listing of vendors has been done and the results have been forwarded to the local clients for final decision and commercial negotiation. The project management unit has organized a study tour to visit the short-listed technology offers in Thailand and India from 10th to 19 June 2013. The final choice of technology suppliers will be finalized and

orders will be placed by the 3rd quarter of 2013. The National project team also visited three target companies in Cambodia to assess possible locations to install power plants with the project. Finally, three capacity building sessions for Agro based Power are planned in 2013.

At this project stage, the following lessons learned can be highlighted: (i) the biomass technologies for the considered unit size need to be more flexible; technologies operating on several/multiple fuels need to be considered due to seasonal variation in fuel availability; (ii) among industry decision-makers, a lack of understanding of their economic and environmental potential for clean and green energy using available surplus biomass has been observed and need to be overcome; (iii) insufficient technical capacity within enterprises and in the market to identify, develop and implement renewable energy projects and measures has been identified and will need to be overcome; (iv) financing and credit constraints faced by private enterprises have been identified and will need to be overcome.

- (b) **Chile: Promotion and Development of Local Solar Technologies in Chile (IDB).** The project was endorsed by the GEF CEO in June 2012. The project is awaiting approval by the Ministry of Finance of Chile, and the establishment of a Decree to start its first disbursement. Execution is expected to start on August 2013.

The Project will include: (i) a high level event and kick off meeting with the Ministry of Energy, the distribution companies, the GEF and the IDB for the beginning of project execution; (ii) the development of standards and monitoring protocols for solar panels and solar systems; (iii) training for public and private stakeholders on Concentrated Solar Power and Photovoltaic Systems, and (iv) public awareness campaign to promote solar technology projects for both solar water heating and power generation. One of the valuable experiences gained has been the usefulness of integrating the distribution companies in the project conversations very early in the process (before the project officially starts) to mitigate any misunderstandings and gain the collaboration of these companies, which will be vital for successfully implementing distributed generation mechanisms in the near future.

- (c) **China: Green Truck Demonstration Project (WB).** Following its endorsement by the GEF CEO in March 2011, the project was launched in October 2011. As of early 2013, the project has managed to reach several key targets: (i) the project website has been established; (ii) 75 government and industry representatives have been trained (the number of enterprise representatives trained stands presently at 50, while the target for project completion is 1,000), (iii) the green freight trade fair was successfully held. Demonstration activities were initiated in September 2012. The participating long-distance trucking companies have begun to install GPS-linked fuel monitoring equipment to support efficiency improvement. This has met with more than anticipated challenges for several reasons. First, many truckers already own GPS devices, so they have been unwilling to invest in the new devices being promoted as part of the demonstration technology package under the project. Secondly, the technology packages were originally designed for trucks with a single fuel tank, with the objective of transmitting real-time fuel consumption data to headquarters to be better able to track efficiency. However, many of the companies have installed multiple fuel tanks to avert refueling during the shipment. These challenges are considered to be surmountable, and it is still expected that the real-time efficiency and fuel monitoring will be an extremely helpful innovation.

Initial experiences will be closely monitored and shared in order to increase interest in participation in second phase demonstration activities. Challenges remain, particularly in attracting more trucking companies and technology vendors to participate in the demonstration scheme of energy efficiency truck technologies. Two reasons may explain why the international technology suppliers have not been as active and forthcoming as originally intended: (i) the 2008 recession in its aftermath has limited the willingness of relatively small companies providing the relatively specialized technologies to participate in the Chinese market; (ii) the subsidies being offered under the project are insufficient to attract foreign investors. The project team continues to encourage both more international participation and additional Chinese companies to participate.

- (d) **Jordan: DHRS Irrigation Technology Pilot Project to Face Climate Change Impact (IFAD).** This adaptation project seeks to reduce the vulnerability of irrigated agriculture to climate change by testing innovative and efficient water-use technologies. The project was endorsed by the GEF CEO in May 2011 and has been re-designed, as initial field trials carried out during the project inception showed that the proposed technologies did not perform as expected under the local conditions. As a result, the Project Steering Committee has decided to adopt alternative technologies for improved water-use efficiency. Due to the need for the re-design, the project is still at a very early stage of implementation. As of June 2013, the institutional arrangements are being undertaken to facilitate implementation and make up for the time lost. 8 different water efficient technologies and approaches for the re-design are already being tested by the executing agency to allow for implementation readiness. This will allow for a broader spectrum of options to be scaled-up based on the different needs and context.

- (e) ***Mexico: Promotion and Development of Local Wind Technologies in Mexico (IDB)***. The project was approved by IDB in May 2012, following the GEF CEO Endorsement in December 2011. The project implementation started in May 2013. The Project will develop: (i) guidelines and operational manuals for wind power application for Small Power Producers (SPPs); (ii) training courses in the Regional Wind Technology Center to improve installation, operation and maintenance skills for distributed generation applications; and (iii) a public awareness campaign that will be targeting universities and energy related research centers, among other institutions to promote the use of wind power for the development of distributed generation by SPPs. These activities are expected to be carried out during 2014. As part of the kick off meeting of the project, an event will be held to launch this project probably, with participation of the Executing Agency (IIE, the Secretariat of Energy, the Knowledge Science and Technology Agency of Mexico, the GEF and the IDB.
- (f) ***Russian Federation: Phase out of HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation through Technology Transfer (UNIDO)***. The project has started its implementation in March 2011. Both the technical and institutional aspects have gained attraction with public and private stakeholders. Significant progress has been made in prioritizing and accelerating the phase out of HCFCs, using new non-HCFC technologies and improving energy efficiency. The Government has received good stakeholder support and the necessary legislation of banning import of HCFC is put in place. Proposals for state incentives for the development of natural refrigerant production and for a compulsory certification system of refrigeration system installation and maintenance technicians were submitted to the Government of the Russian Federation. Rapid-response analyzers for ODS smuggling identification were delivered. In the latter half of 2013, training courses for government specialists are to be organized, and analytical equipment for national laboratories to perform chemical analysis of ODS and afford proofs of illegal trade to the court are to be delivered. Moreover, the implementation of HCFCs legislation has been replicated in Kazakhstan and Belarus due to the existing trade agreement between those countries.

The project contributed to the organization of the Microclimate, Energy Efficiency and Building Automation Center, which will support spreading of environmentally-friendly and energy-efficient heating, ventilation, air-conditioning and refrigeration (HVAC&R) systems within the framework of the public education system of the Russian Federation. This Center joins prominent players in the Russian HVAC&R market and such organizations as the Russian Energy Agency, Ministry of Energy and the Nonprofit Partnership “Green Standards Environmental Certification Center”. The equipment for the Centre has been partially provided. It conducted its first training on the use of hydrocarbon refrigerants in air conditioners during September 3–7, 2012. The project experience highlights the importance of strengthening the cooperation between the private sector and the government, especially to take into consideration the private sector’s interests when amending laws.

- (g) ***Senegal: Typha-based Thermal Insulation Material Production in Senegal (United Nations Development Program - UNDP)***. The project was endorsed by the GEF CEO in August 2012. It has started implementation. Project activities are in the process of initiation, to be fully operational in 2013. Its implementation is coordinated with another GEF-UNDP project on designing and implementing thermal building codes for new constructions for the very first time in Senegal. This project illustrates the merits of project preparation, stakeholder engagement, and awareness-raising. The project preparation phase generated significant interest among various stakeholders, both from the private and public sectors. National institutions (Ministry of Environment, Ministry of Energy, Energy Efficiency Agency, Ministry of Education and Professional Training and others) began discussing how to work together towards the promotion of an energy efficient building sector. The project is also raising the interest of neighboring countries as well as of regional institutions such as the Economic Commission for West African States (ECOWAS). In particular, the ECOWAS Center for Renewable Energy and Energy Efficiency, one of the contributors to the project, is keen to communicate the findings and duplicate the approach to other countries in the region. Also, the Government of Mauritania is very keen to follow the implementation of this technology transfer project, and possibly to duplicate its approach in Mauritania since the invasion of *Typha australis* affects both banks of the Senegal River and therefore impacts also Mauritania. The stakeholder engagement and dialogue during the project preparation phase has generated insight into the importance of a favorable policy environment for technology transfer. In order to maximize and accelerate such technology transfer, the appropriate national enabling conditions must be established and met. For instance, mandatory thermal building codes are key to ensure a market robust enough for the private sector to invest in the manufacture of local thermal building insulation.

(h) ***Sri Lanka: Bamboo Processing for Sri Lanka (UNIDO)***. The project was endorsed by the GEF CEO in April 2012. The launching of the project took place in September 2012. A Project Management Unit has been established and a Steering Committee appointed. The first Steering Committee was held on 29th November 2012 at the Ministry of Industry and Commerce. In 2013 the piloting phase is taking place for initial steps on each of the components. The mapping has been started using GIS to assess the Bamboo resource spread in Sri Lanka. An initial bamboo resource map has been developed for the identification of pilot sites. During the piloting stage of the project, representative sites will be selected for pilot activities. The project has assigned these experts to identify pilot sites. Once the pilot sites will be identified, UNIDO will demonstrate bamboo processing technology transfer to showcase the results. At the same time, UNIDO started a negotiation to establish a national bamboo association for the ownership but also linkage to a non-grant instrument for various technology replications. Local community association will also be involved to create community based bamboo production for various purposes. The Agency has reported that there is a very strong interest by local stakeholders to implement this technology transfer project.

(i) ***Thailand: Overcoming Policy, Market and Technological Barriers to Support Technological Innovation and South-South Technology Transfer: The Pilot Case of Ethanol Production from Cassava (UNIDO)***. The project was endorsed by the GEF CEO in March 2012. Following Thailand's cabinet reshuffle at the end of 2012, the project main partner in Thailand changed. The National Science and Technology Development Agency withdrew from the project and an agreement was reached with a new partner: the King Mongkut University of Technology Thonburi (KMUTT), one of Thailand's most advanced and well-known research institutes on renewable energy technologies. UNIDO and KMUTT expect to officially resume back the project activities in July 2013 and to organize the first project steering committee in September 2013.

5. For the remaining project preparing project documents for endorsement by the GEF CEO, the following initial elements were presented by the GEF Agencies concerned:

(a) ***Colombia, Kenya, Swaziland; SolarChill: Commercialization and Transfer (UNEP)***. This project was initially approved with the World Bank as the Implementing Agency. However, the World Bank withdrew in 2010 from the project. The project was then re-submitted by UNEP with the addition of Swaziland. The GEF Council approved the project in November 2011. The request for endorsement by the GEF CEO is expected to be submitted in 2013.

6. For the remaining projects, the status of the preparations for endorsement by the GEF CEO is as follows:

(a) ***Cote d'Ivoire: Construction of 1000 Ton per day Municipal Solid Wastes Composting Unit in Akouedo Abidjan (AfDB)***. This project is expected to be endorsed by the GEF CEO in July 2013. The project preparation faced significant challenges, as it coincided with the period of instability in the country, with changes in the political environment as well as in government priorities.

The preparation phase provided two additional insights. It showed that, beside technology viability and the existing or implementation of national regulations for waste management, other factors such as the land availability, its price for the composting plant, and the logistics to collect the organic waste were also key and often neglected. It also showed that when local private sector stakeholders are involved and they want to deploy a new technology there is need to support them in the project pre-investment phase, in the pricing structure and in financing mechanism.

(b) ***Colombia, Kenya, Swaziland; SolarChill: Commercialization and Transfer (UNEP)***. This project was initially approved with the World Bank as the Implementing Agency. However, the World Bank withdrew in 2010 from the project. The project was then re-submitted by UNEP with the addition of Swaziland. The GEF Council approved the project in November 2011. The request for endorsement by the GEF CEO is expected to be submitted in the second half of 2013.

Table A6. 1

Implementation Progress of Technology Transfer Pilot Projects Under the Poznan Strategic Program (as of June 30, 2012)

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Poznan Program Funding (\$ millions)^a</i> | <i>Total GEF Funding (\$ millions)^a</i> | <i>Co-financing (\$ millions)</i> | <i>Status of Project</i> |
|---------------|----------------------------|---------------|--|---|---|-----------------------------------|--|
| 4040 | Brazil | UNDP | Renewable CO ₂ Capture and Storage from Sugar Fermentation Industry in Sao Paulo State | 3.0 | 3.0 | 7.7 ^b | The project was cancelled in February 2012 upon request from the Agency. The project preparation identified investment costs far higher than initially expected, exceeding the available financing. |
| 4042 | Cambodia | UNIDO | Climate Change Related Technology Transfer for Cambodia: Using Agricultural Residue Biomass for Sustainable Energy Solutions | 1.9 | 1.9 | 4.6 ^c | The project was endorsed by the GEF CEO in May 2012. The project is under implementation. |
| 4136 | Chile | IDB | Promotion and Development of Local Solar Technologies in Chile | 3.0 | 3.0 | 31.8 ^c | The project was endorsed by the GEF CEO in June 2012. Execution is expected to start on August 2013. |
| 4119 | China | WB | Green Truck Demonstration Project | 3.0 | 4.9 | 9.8 ^c | The project was endorsed by the GEF CEO in March 2011 and approved by the World Bank Board in April 2011. Project Launch took place in China in October 2011. The project is under implementation. |
| 4682 | Colombia, Kenya, Swaziland | UNEP | SolarChill: Commercialization and Transfer | 2.8 | 3.0 | 5.7 ^b | The project was re-submitted by UNEP after the World Bank requested its cancellation in December 2010. The GEF Council approved the project in November 2011. The project has expanded to include Swaziland, in addition to Colombia and Kenya. The GEF CEO Endorsement request is expected to be submitted in 2013. |
| 4071 | Cote d'Ivoire | AfDB | Construction of 1000 Ton-per-day Municipal Solid Waste Composting Unit in Akouedo Abidjan | 3.0 | 3.0 | 36.9 ^c | The project is expected to be endorsed by the GEF CEO in July 2013, to be followed by the beginning of implementation. |
| 4060 | Jamaica | UNDP | Introduction of Renewable Wave Energy Technologies for the Generation of Electric Power in Small Coastal Communities | 0.8 | 0.8 | 1.4 ^b | The project was cancelled in October 2011 upon request from the Agency. |

| <i>GEF ID</i> | <i>Country</i> | <i>Agency</i> | <i>Title</i> | <i>GEF Poznan Program Funding (\$ millions)^a</i> | <i>Total GEF Funding (\$ millions)^a</i> | <i>Co-financing (\$ millions)</i> | <i>Status of Project</i> |
|--|----------------------|---------------|---|---|---|---------------------------------------|--|
| 4036 | Jordan | IFAD | DHRS Irrigation Technology Pilot Project to Face Climate Change Impact | 2.4 | 2.4 | 5.5 ^c | The project was endorsed by the GEF CEO in August 2011. Project implementation is underway. |
| 4132 | Mexico | IDB | Promotion and Development of Local Wind Technologies in Mexico | 3.0 | 5.5 | 33.7 ^c | Project was endorsed by the GEF CEO in December 2011. Project implementation started in May 2013. |
| 4120 | Russia Federation | UNIDO | Phase-out of HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation through Technology Transfer | 3.0 | 20.0 | 40.0 ^c | The project was endorsed by the GEF CEO in August 2010. Project implementation is underway. |
| 4055 | Senegal | UNDP | Typha-based Thermal Insulation Material Production in Senegal | 2.3 | 2.3 | 5.6 ^c | The project was endorsed by the GEF CEO in August 2012 and has started implementation. |
| 4114 | Sri Lanka | UNIDO | Bamboo Processing for Sri Lanka | 2.7 | 2.7 | 21.3 ^c | The project was endorsed by the GEF CEO in April 2012. The project is under implementation. |
| 4037 | Thailand | UNIDO | Overcoming Policy, Market and Technological Barriers to Support Technological Innovation and South-South Technology Transfer: The Pilot Case of Ethanol Production from Cassava | 3.0 | 3.0 | 31.6 ^c | The project was endorsed by the GEF CEO in March 2012. It is awaiting country clearance. |
| 4032 | Turkey, Cook Islands | UNIDO | Realizing Hydrogen Energy Installations on Small Island through Technology Cooperation | 3.0 | 3.0 | 3.5 ^b | The project was cancelled in March 2012 upon request from the Agency following changes in the concerned governments' priorities. |
| TOTAL | | | | 36.9 | 58.4 | 180.8 | |
| Total (cancelled projects excluded) | | | | 30.1 | 51.6 | 235.5 | |

^a Includes Agency fees and project preparation grants

^b Co-financing amount at the GEF Council Approval

^c Co-financing amount at the GEF CEO Endorsement

Annex 7: Status of National Communications from Parties Not Included in Annex I to the Convention

Information was compiled by the Implementing Agencies (UNDP and UNEP) as of March 2013. The table below was submitted to the GEF by the National Communications Support Program.

Table A7. 1

**STATUS OF NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED
IN ANNEX I TO THE CONVENTION**

Important note: Information was compiled by the Implementing Agencies (UNDP and UNEP). The table below was submitted to the GEF by the National Communications Support Program (NCSP). We kindly request parties to inform their respective Implementing Agencies if there are inconsistencies in the information below.

(INC – Initial National Communication, SNC – Second National Communication, TNC – Third National Communication, FNC – Fourth National Communication IA-Implementing Agency, EA-Executing Agency)

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|------------------------|--------|---|--|----------------------------|---|---|--|---|
| 1. Afghanistan | UNEP | INC under preparation | 12-Feb-08 | 420,000 | 16-Mar-10 | December 2012 | June 2013 | <input checked="" type="checkbox"/> Preparation of all INC components completed <input checked="" type="checkbox"/> SNC project document under preparation |
| 2. Albania | UNDP | 23-Nov-09 (SNC) | 18-Nov-11 | 500,000 | 18-Sep-12 | December 2014 | September 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis : Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 3. Algeria | UNDP | 25-Nov-10 (SNC) | -- | -- | -- | -- | -- | |
| 4. Angola | UNEP | 6-Feb-12 (INC) | 11-Jul-12 | 500,000 | 23-Jul-12 | -- | -- | <input checked="" type="checkbox"/> SNC Project Document has been submitted by EA to UNEP for review |
| 5. Antigua and Barbuda | UNEP | 29-Nov-11 (SNC) | 11-May-12 | 500,000 | 4-Jun-12 | -- | -- | <input checked="" type="checkbox"/> TNC Inception Workshop held |
| 6. Armenia | UNDP | 7-Sep-10 (SNC) | 27-Jul-11 | 500,000 | 12-Dec-11 | February 2014 | September 2014 | <input checked="" type="checkbox"/> National Circumstances: <25% Completed <input checked="" type="checkbox"/> GHG Inventories: 25-50% Completed <input checked="" type="checkbox"/> V & A Analysis : <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information : <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 7. Azerbaijan | UNDP | 7-Jun-11 (SNC) | 16-May-11 | 500,000 | 22-Feb-12 | September 2014 | March 2015 | <input checked="" type="checkbox"/> National Circumstances: <25% Completed <input checked="" type="checkbox"/> GHG Inventories: 25-50% Completed <input checked="" type="checkbox"/> V&A Analysis: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis:<25% Completed <input checked="" type="checkbox"/> Other Information: <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 8. Bahamas | UNDP | 5-Nov-01 (INC) | 22-May-06 | 420,000 | 19-Jun-06 | May 2013 | November 2013 | <input checked="" type="checkbox"/> All components completed |
| 9. Bahrain | UNEP | 15-Mar-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC Project document under preparation |
| 10. Bangladesh | UNDP | 26-Dec-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal submitted to GEF for review and approval. |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|----------------------------|--------------------------|---|--|----------------------------|---|---|--|---|
| 11. Barbados | UNDP | 30-Oct-01 (INC) | 22-Nov-06 | 420,000 | 2-Mar-07 | August 2013 | September 2013 | <input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> V&A Analysis: 25-50% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information: <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed |
| 12. Belize | UNDP | 28-Oct-11 (SNC) | 27-Sep-11 | 500,000 | 11-Nov-11 | March 2014 | July 2014 | <input checked="" type="checkbox"/> National Circumstances: 25-50% Completed <input checked="" type="checkbox"/> GHG inventories: 25-50% Completed <input checked="" type="checkbox"/> V&A Assessment: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% Completed |
| 13. Benin | UNDP (SNC) UNEP (TNC) | 23-Nov-11 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 14. Bhutan | UNDP | 28-Nov-11 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 15. Bolivia | UNDP | 2-Dec-09 (SNC) | 11-Feb-11 | 500,000 | Sept-11 | December 2014 | December 2014 | <input checked="" type="checkbox"/> National Circumstances: 25-50% Completed <input checked="" type="checkbox"/> GHG Inventory: <25% Completed <input checked="" type="checkbox"/> V&A Assessment: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other information: 25-50% Completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed |
| 16. Bosnia and Herzegovina | UNDP | 26-May-10 (INC) | 29-Sep-10 | 500,000 | 6-Dec-10 | January 2013 | September 2013 | <input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> Other information: >75% Completed <input checked="" type="checkbox"/> V&A Assessment: >75% Completed <input checked="" type="checkbox"/> GHG Inventory: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% Completed <input checked="" type="checkbox"/> TNC project proposal under preparation |
| 17. Botswana | UNDP | 8-Jan-13 | -- | -- | -- | -- | -- | |
| 18. Brazil | UNDP | 30-Nov-10 (SNC) | 6-Jun-10 | 5,720,000 | 14-Dec-10 | December 2013 | December 2014 | <input checked="" type="checkbox"/> National Circumstances: <25% Completed <input checked="" type="checkbox"/> GHG Inventories: <25% Completed <input checked="" type="checkbox"/> V&A Assessment: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information: <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|------------------------------|--------------------------|---|--|----------------------------|---|---|--|--|
| 19. Burkina Faso | UNDP (SNC) UNEP (TNC) | 16-May-02 (INC) | 5-Jun-06 | 420,000 (SNC) | 27-Jul-06 | November 2012 | June-December 2013 | <input checked="" type="checkbox"/> All components completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 20. Burundi | UNEP | 28-Jun-10 (SNC) | - | - | - | - | - | <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 21. Cambodia | UNDP (SNC) UNEP (TNC) | 8-Oct-02 (INC) | 9-May-06 | 420,000 (SNC) | 24-Jun-06 | April 2013 | October 2013 | <input checked="" type="checkbox"/> All components completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 22. Cameroon | UNEP | 31-Jan-05 (INC) | 03-Feb-09 | 420,000 | 17-Feb-09 | July 2013 | September 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis : Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information : 75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 75% Completed |
| 23. Cape Verde | UNDP | 21-Oct-11 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> Finalizing TNC Project document |
| 24. Central African Republic | UNEP | 10-Jun-03 (INC) | 30-Aug-06 | 420,000 | 13-Nov-06 | November 2013 | December 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: 75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 50% Completed <input checked="" type="checkbox"/> Other Information : 50% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 50% Completed |
| 25. Chad | UNDP (SNC) UNEP (TNC) | 29-Oct-01 (INC) | 30-Jan-07 | 420,000 | Jun-07 | June 2012 | April 2013 | <input checked="" type="checkbox"/> All components completed <input checked="" type="checkbox"/> Project Cooperation Agreement for the preparation of TNC sent to EA for signature |
| 26. Chile | UNDP | 24-Oct-11 (SNC) | 27-Jul-12 | 500,000 | 12-Oct-12 | December 2016 | December 2016 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: <25% Completed <input checked="" type="checkbox"/> V & A Analysis: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 27. China | UNDP | 8-Nov-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> PIF request for a TNC Full-Size Project (\$7,280,000) approved by GEF Council in November 2012 <input checked="" type="checkbox"/> TNC Full-Size Project Proposal under preparation |
| 28. Colombia | UNDP | 7-Dec-10 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> PIF request for TNC Full-Size Project (\$2,000,000) approved by GEF Council in November 2011 <input checked="" type="checkbox"/> TNC Full-Size Project Proposal to be submitted to GEF by April 2013 |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|---|--------|---|--|----------------------------|---|---|--|--|
| 29. Comoros | UNEP | 5-Apr-03 (INC) | 30-Mar-07 | 420,000 | 14-May-07 | May 2013 | July 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information :75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 75% Completed |
| 30. Congo (Republic of) | UNEP | 27-Nov-09 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Project Cooperation Agreement for the preparation of TNC sent to EA for signature |
| 31. Congo Democratic Republic | UNEP | 28-Nov-09 (SNC) | 30-Sep-11 | 500,000 | 2-Nov-11 | June 2014 | September 2014 | <input checked="" type="checkbox"/> National Circumstances: Less than 25% Completed <input checked="" type="checkbox"/> GHG Inventories: More than 75% Completed <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 32. Cook Islands | UNDP | 12-Apr-12 (SNC) | -- | -- | -- | -- | -- | |
| 33. Costa Rica | UNDP | 7-Oct-2009 (SNC) | 21-Mar-12 | 500,000 | 14-Aug-12 | December 2014 | June 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: 25-50 % Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> V & A Analysis: <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 34. Côte d'Ivoire | UNEP | 26-Apr-10 (SNC) | 11-May-12 | 500,000 | 10-Jul-12 | June 2015 | December 2015 | <input checked="" type="checkbox"/> National Circumstances: 25-50% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 35. Cuba | UNDP | 28-Sep-01 (INC) | 15-Mar-08 | 420,000 | Mar-08 | June 2013 | December 2013 | <input checked="" type="checkbox"/> All Components completed <input checked="" type="checkbox"/> TNC project proposal under preparation |
| 36. Democratic People's Republic of Korea | UNEP | 7-May-04 (INC) | 25-Apr-05 | 420,000 | 04-May-05 | July 2013 | September 2013 | <input checked="" type="checkbox"/> All SNC Components completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for TNC between DPRK and UNEP finalized |
| 37. Djibouti | UNEP | 06-Jun-02 (INC) | 08-Jun-06 | 420,000 | 13-Jun-06 | October 2012 | November 2012 | <input checked="" type="checkbox"/> All SNC Components completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for TNC sent to EA by UNEP |
| 38. Dominica | UNEP | 20-Nov-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 39. Dominican Republic | UNDP | 17-Dec-09 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project Document under preparation |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|-----------------------|--------------------------|---|--|----------------------------|---|---|--|---|
| 40. Ecuador | UNDP | 2-Apr-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal with BUR component under preparation. |
| 41. Egypt | UNDP | 7-Jun-2010 (SNC) | 27-Apr-11 | 500,000 | 6-Jun-11 | August 2014 | December 2014 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: 25-50% Completed <input checked="" type="checkbox"/> V & A Analysis: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed |
| 42. El Salvador | UNDP | 10-Apr-00 (INC) | 30-May-07 | 420,000 | Sep-07 | March 2013 | April 2013 | <input checked="" type="checkbox"/> All components completed <input checked="" type="checkbox"/> TNC project proposal under preparation |
| 43. Eritrea | UNDP (SNC) UNEP (TNC) | 10-Aug-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 44. Equatorial Guinea | UNEP | INC under preparation | 02-Mar-09 | 420,000 | 23-Apr-09 | April 2014 | June 2014 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: 50-75 % Completed <input checked="" type="checkbox"/> V & A Analysis: Between 25-50% Completed <input checked="" type="checkbox"/> Mitigation Analysis: < 25% Completed <input checked="" type="checkbox"/> Other Information: < 25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 45. Ethiopia | UNDP | 16-Oct-01 (INC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> SNC Project document currently under review |
| 46. Fiji | UNEP | 18-May-06 (INC) | 09-Apr-09 | 420,000 | 24-Apr-09 | July 2013 | September 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: More than 75% Completed <input checked="" type="checkbox"/> Other Information: More than 75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: More than 75% Completed |
| 47. Gabon | UNDP | 8-Dec-11 (SNC) | -- | -- | -- | -- | -- | |
| 48. Gambia | UNEP | 28-Jan-13 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC Project Inception Workshop planning underway |
| 49. Georgia | UNDP | 2-Oct-09 (SNC) | 19-May-11 | 500,000 | 31-Jan-12 | October 2014 | December 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: 50-75% Completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% Completed <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 50. Ghana | UNEP | 12-Oct-11 (SNC) | 25-Jan-12 | 500,000 | 09-Feb-12 | October 2014 | December 2014 | <input checked="" type="checkbox"/> National Circumstances: 25-50 % Completed <input checked="" type="checkbox"/> GHG Inventories: 25-50 % Completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50 % Completed <input checked="" type="checkbox"/> Other Information : Less than 25 % Completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|-------------------------------|--------|---|--|----------------------------|---|---|--|---|
| 51. Grenada | UNDP | 21-Nov-00 (INC) | 8-Sep-06 | 420,000 | May-07 | March 2013 | December 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 52. Guatemala | UNDP | 1-Feb-02 (INC) | 7-Nov-06 | 420,000 | Dec-06 | December 2013 | April 2014 | <input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> V & A Analysis: 50-75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information : 50-75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed |
| 53. Guinea | UNEP | 28-Oct-02 (INC) | 24-Sep-07 | 420,000 | 01-Oct-07 | June 2013 | October 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: More than 75% completed <input checked="" type="checkbox"/> Mitigation Analysis: More than 75 completed <input checked="" type="checkbox"/> Other Information: Between 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25- 50% completed |
| 54. Guinea Bissau | UNEP | 29-Oct-11 (SNC) | 4-July-11 | 500,000 | 21-Jul-11 | October 2014 | December 2014 | <input checked="" type="checkbox"/> National Circumstances: Between completed <input checked="" type="checkbox"/> GHG Inventories: 50% completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 55. Guyana | UNEP | 24-Sep-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Stocktaking, national consultation and TNC project document preparation initiated |
| 56. Haiti | UNEP | 3-Jan-02 (INC) | 29-Sep-05 | 420,000 | 06-Oct-05 | May 2013 | August 2013 | <input checked="" type="checkbox"/> All SNC Components complete <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for TNC between Haiti and UNEP finalized <input checked="" type="checkbox"/> TNC stocktaking and Project Document Preparation initiated |
| 57. Honduras | UNDP | 5-Apr-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal under preparation |
| 58. India | UNDP | 4-May-12 (SNC) | GEF council approved | 9,101,604 | -- | -- | -- | <input checked="" type="checkbox"/> CEO Endorsement request for a TNC Full-Size Project (\$9,010,604) submitted to GEF for review and approval on 22 Feb 2013. |
| 59. Indonesia | UNDP | 14-Jan-11 upd. 19-Jan-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> PIF/PPG request for Full-size project (\$4,585,000) approved by GEF in June 2012 <input checked="" type="checkbox"/> TNC Project preparation phase underway |
| 60. Iran, Islamic Republic of | UNDP | 23-Nov-11 (SNC) | 20-Dec-11 | 500,000 | 20-Jan-12 | June 2015 | December 2015 | <input checked="" type="checkbox"/> National Circumstances: <25% Completed <input checked="" type="checkbox"/> GHG Inventories: <25% Completed <input checked="" type="checkbox"/> V & A Analysis: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information: <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% Completed |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|--------------------------------------|--------------------------|---|--|----------------------------|---|---|--|--|
| 61. Iraq | UNDP | INC under preparation | 29-Jun-11 | 500,000 | 23-Apr-12 | December 2013 | March 2014 | <input checked="" type="checkbox"/> Constraints & Gaps:<255% Completed <input checked="" type="checkbox"/> GHG Inventories: 25-50% Completed <input checked="" type="checkbox"/> V & A Analysis: 50-75% Completed <input checked="" type="checkbox"/> Other Information : 25-50% Completed <input checked="" type="checkbox"/> National Circumstances: 50-75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% Completed |
| 62. Jamaica | UNDP | 2-Dec-11 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal with BUR component under preparation |
| 63. Jordan | UNDP | 08-Dec-09 (SNC) | 01-Aug-11 | 500,000 | 3-Nov-11 | February 2014 | September 2014 | <input checked="" type="checkbox"/> National Circumstances: <25% Completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% Completed <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : 25-50% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% Completed |
| 64. Kazakhstan | UNDP | 4-Jun-09 (SNC) | 22-Jun-10 | 500,000 | 7-Dec-10 | July 2013 | November 2013 | <input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> V & A Analysis: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% Completed <input checked="" type="checkbox"/> Other Information : 50-75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% Completed |
| 65. Kenya | UNEP | 22-Oct-02 (INC) | 26-Oct-05 | 420,000 | 18-Nov-05 | December 2013 | January 2014 | <input checked="" type="checkbox"/> National Circumstances: Between 50-75% completed <input checked="" type="checkbox"/> GHG Inventories: Between 25-50% completed <input checked="" type="checkbox"/> V & A Analysis: Between 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed |
| 66. Kiribati | UNDP | 30-Oct-99 (INC) | 31-Jan-07 | 420,000 | May-07 | December 2012 | May 2013 | <input checked="" type="checkbox"/> All components completed |
| 67. Kuwait | UNEP | 30-Nov-12 (INC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> SNC CEO approval document under preparation |
| 68. Kyrgyzstan | UNEP | 1-Dec-08 (SNC) | 11-May-12 | 500,000 | 18-Jun-12 | March 2015 | June 2015 | <input checked="" type="checkbox"/> National Circumstances: 50 % completed <input checked="" type="checkbox"/> GHG Inventories: 50% completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 69. Lao People's Democratic Republic | UNDP (SNC) UNEP (TNC) | 2-Nov-00 (INC) | 17-May-07 | 420,000 | 17-May-07 | March 2013 | March 2013 | <input checked="" type="checkbox"/> All components completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|------------------------------|--------|---|--|----------------------------|---|---|--|--|
| 70. Lebanon | UNDP | 16-Mar-11 (SNC) | 01-Dec-11 | 500,000 | 02-Mar-12 | September 2014 | December 2014 | <input checked="" type="checkbox"/> National Circumstances: <25% Completed <input checked="" type="checkbox"/> GHG Inventories: <25% Completed <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 71. Lesotho | UNEP | 17-Apr-00 (INC) | 04-Sep-06 | 420,000 | 25-Oct-06 | May 2013 | August 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 72. Liberia | UNEP | INC under preparation | 31-Aug-05 | 420,000 | 31-Aug-05 | April 2013 | June 2013 | <input checked="" type="checkbox"/> All Project components completed <input checked="" type="checkbox"/> SNC Project Inception Workshop preparation initiated |
| 73. Libyan Arab Jamahiriya * | UNEP | INC under preparation | 31-Jan-02 | 275,000 | 20-Feb-02 | -- | -- | <input checked="" type="checkbox"/> GHG Inventories: More than 50% completed * Project approved before commencement of umbrella project * IA did not receive a response to request for updated information from EA |
| 74. Madagascar | UNEP | 7-Dec-10 (SNC) | 17-Oct-11 | 500,000 | 02-Nov-11 | October 2014 | December 2014 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Between 25–50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Between 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed |
| 75. Malawi | UNEP | 9-May-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> National consultations and stocking exercise and TNC project document preparation underway |
| 76. Malaysia | UNDP | 14-Apr-11 | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal with BUR component submitted to GEF for review and approval |
| 77. Maldives | UNEP | 5-Nov-01 (INC) | 1-Nov-2011 | 500,000 | 13-Aug-10 | April 2013 | July 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% Completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% Completed <input checked="" type="checkbox"/> Other Information: 25-50% Completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 78. Mali | UNDP | 4-May-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal under preparation |
| 79. Malta | UNDP | 27-Jul-10 (SNC) | -- | -- | -- | -- | -- | |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|---------------------------------------|--------|---|--|----------------------------|---|---|--|---|
| 80. Marshall Islands | UNDP | 24-Nov-00 (INC) | 30-Jan-07 | 420,000 | 7-Aug-07 | October 2013 | March 2014 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% Completed <input checked="" type="checkbox"/> V & A Analysis: 50-75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : 50-75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 81. Mauritania | UNEP | 6-Dec-08 (SNC) | 3-Mar-11 | 500,000 | 17-Mar-11 | December 2013 | March 2014 | <input checked="" type="checkbox"/> National Circumstances: Between 50–75% completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Between 50-75% completed <input checked="" type="checkbox"/> Other Information: Between 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Between 25-50% completed |
| 82. Mauritius | UNEP | 9-Nov-11 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Project Cooperation Agreement processes initiated between Mauritius and UNEP for TNC |
| 83. Mexico | UNDP | 6-Dec-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> PIF request for Sixth NC Full-Size Project (\$3,636,364) approved by GEF in November 2012 <input checked="" type="checkbox"/> 6NC Full-Size Project Proposal under preparation |
| 84. Micronesia (Federated States of)* | UNDP | 4-Dec-97 (INC) | 20-Aug-06 | 420,000 | Aug-06 | Draft report completed | June 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% Completed *IA did not receive a response to request for updated information from EA |
| 85. Mongolia | UNEP | 10-Dec-10 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC Project document under review by IA |
| 86. Montenegro | UNDP | 12-Oct-10 (INC) | 27-Apr-11 | 500,000 | 12-Jul-11 | December 2013 | June 2014 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: 25-50% Completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% Completed <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 87. Morocco | UNDP | 3-Nov-10 (SNC) | 5-Jun-12 | 500,000 | 23-Jan-13 | December 2014 | March 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis : Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 88. Mozambique | UNEP | 6-Jun-06 (INC) | 11-Oct-06 | 420,000 | 25-Oct-06 | April 2013 | July 2013 | <input checked="" type="checkbox"/> All project components completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for SNC between Mozambique and UNEP sent to Country for signature |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|---------------|--------|---|--|----------------------------|---|---|--|---|
| 89. Myanmar | UNEP | 26-Dec-12 SNC | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for SNC between Myanmar and UNEP sent to Country for signature |
| 90. Namibia | UNDP | 4-Oct-11 (SNC) | 5-Jun-12 | 500,000 | 19-Jul-12 | January 2015 | December 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 91. Nauru | UNDP | 30-Oct-99 (INC) | 25-May-07 | 420,000 | Jul-07 | June 2013 | October 2013 | <input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> V & A Analysis: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% Completed <input checked="" type="checkbox"/> Other Information : >75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% Completed |
| 92. Nepal | UNEP | 1-Sep-04 (INC) | 8-Jul-09 | 420,000 | 14-Jul-09 | September 2013 | November 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: More than 75% completed <input checked="" type="checkbox"/> Other Information: Between 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Between 25-50% completed |
| 93. Nicaragua | UNDP | 22-Jun-11 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal submitted to GEF for review and approval |
| 94. Niger | UNDP | 9-Dec-09 (SNC) | 19-Jan-12 | 500,000 | 13-Jun-12 | April 2015 | June 2015 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: <25% Completed <input checked="" type="checkbox"/> V & A Analysis: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 95. Nigeria | UNDP | 17-Nov-03 (INC) | 30-Mar-06 | 420,000 Includes TNA | 1-Aug-06 | June 2013 | September 2013 | <input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> V & A Analysis: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% Completed <input checked="" type="checkbox"/> Other Information : >75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% Completed |
| 96. Niue | UNEP | 2-Oct-01 (INC) | 11-Nov-04 | 420,000 | 20-Dec-04 | June 2013 | August 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information : Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for TNC between Niue and UNEP sent to Country for signature |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|-----------------------------|--------|---|--|----------------------------|---|---|--|--|
| 97. Oman | UNDP | INC under preparation | 15-May-07 | 300,000 | 7-Jul-07 | November 2012 | Not reported | <input checked="" type="checkbox"/> National Circumstances : >75% Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information : Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed <input checked="" type="checkbox"/> Project approved before commencement of umbrella project |
| 98. Pakistan* | UNEP | 15-Nov-03 (INC) | Project Document under preparation | -- | -- | -- | -- | * Information based on previous survey. IA did not receive a response to request for updated information from EA after repeated request. |
| 99. Palau | UNEP | 18-Jun-03 (INC) | 9-Dec-05 | 420,000 | 13-Dec-05 | July 2013 | September 2013 | <input checked="" type="checkbox"/> All components completed <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for TNC between Palau and UNEP sent to country for signature. |
| 100. Panama | UNDP | 2-Mar-12 (SNC) | -- | -- | -- | -- | -- | |
| 101. Papua New Guinea | UNDP | 27-Feb-02 (INC) | 17-Jul-06 | 420,000 | Feb-07 | June 2013 | September 2013 | <input checked="" type="checkbox"/> National Circumstances : >75% completed <input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V & A Analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed |
| 102. Paraguay | UNDP | 8-Dec-11 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal with BUR component under preparation |
| 103. Peru | UNDP | 28-Sep-10 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal being finalized |
| 104. Philippines | UNDP | 19-May-00 (INC) | 18-Apr-06 | 420,000 | 2-Aug-06 | March 2013 | June 2013 | <input checked="" type="checkbox"/> All components completed <input checked="" type="checkbox"/> TNC project proposal with BUR component under preparation |
| 105. Republic of Moldova | UNEP | 27-Jan-10 (SNC) | 6-Oct-10 | 500,000 | 12-Oct-10 | October 2013 | November 2013 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V & A Analysis: More than 75% completed <input checked="" type="checkbox"/> Mitigation Analysis: More than 75% completed <input checked="" type="checkbox"/> Other Information: More than 75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 106. Rwanda | UNEP | 5-Jun-2012 (SNC) | - | - | - | - | - | <input checked="" type="checkbox"/> PCA sent to IA by EA for signature |
| 107. Saint Kitts and Nevis* | UNDP | 30-Nov-01 (INC) | 25-Oct-06 | 420,000 | May-07 | November 2013 | December 2013 | <input checked="" type="checkbox"/> National Circumstances: <25% completed <input checked="" type="checkbox"/> GHG Inventories: <25% completed <input checked="" type="checkbox"/> V&A Assessment: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated * Information based on previous survey. IA did not receive a response to request for updated information from EA after repeated request. |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|--|--------|---|--|----------------------------|---|---|--|---|
| 108. Saint Lucia | UNEP | 19-Apr-12 (SNC) | 26-Jul-12 | 500,000 | 6-Aug-12 | - | - | <input checked="" type="checkbox"/> TNC Project Document preparation under review by UNEP |
| 109. Saint Vincent and The Grenadines* | UNDP | 21-Nov-00 (INC) | 7-Jun-06 | 420,000 | 27-Jun-06 | December 2012 | April 2013 | <input checked="" type="checkbox"/> National Circumstances: completed <input checked="" type="checkbox"/> GHG Inventories: completed <input checked="" type="checkbox"/> V&A Assessment: completed <input checked="" type="checkbox"/> Mitigation Analysis: completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed * Information based on previous survey. IA did not receive a response to request for updated information from EA after repeated request. |
| 110. Samoa | UNDP | 14-Jun-10 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC Project proposal under preparation |
| 111. Sao Tome and Principe | UNDP | 3-Oct-12 (SNC) | -- | -- | -- | -- | -- | |
| 112. Saudi Arabia | UNEP | 25-Oct-11 (SNC) | 28-Jun-12 | 500,000 | 12-Jul-12 | -- | -- | <input checked="" type="checkbox"/> TNC Project Document Inception Workshop preparation initiated |
| 113. Senegal | UNEP | 16-Sep-10 (SNC) | 20-May-11 | 500,000 | 26-May-11 | December 2013 | April 2014 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Between More than 75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Between 25-50% completed <input checked="" type="checkbox"/> Other Information: Between 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Between 25-50% completed |
| 114. Serbia | UNDP | 29-Nov-10 (INC) | 22-May-12 | 500,000 | 17-Aug-12 | July 2015 | December 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 115. Seychelles | UNDP | 15-Nov-00 (INC) | 9-Jun-06 | 420,000 | 16-Jun-06 | Complete | April 2013 | <input checked="" type="checkbox"/> All components completed |
| 116. Sierra Leone | UNEP | 2-Dec-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for the preparation of TNC sent to EA for signature |
| 117. Solomon Islands | UNDP | 29-Sep-04 (INC) | 30-Jan-07 | 420,000 | 16-Aug-07 | March 2013 | June 2013 | <input checked="" type="checkbox"/> All components completed |
| 118. South Africa | UNEP | 16-Nov-11 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Preparation of a full- size Third National Communication project document underway |
| 119. Sri Lanka | UNDP | 16-Mar-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project proposal under preparation |
| 120. Sudan | UNDP | 7-Jun-03 (INC) | 10-May-07 | 420,000 | 16-Sep-07 | December 2012 | June-December 2013 | <input checked="" type="checkbox"/> All components completed |
| 121. Suriname | UNDP | 26-Mar-06 (INC) | 27-Jan-09 | 420,000 | Jan-09 | February 2013 | April 2013 | <input checked="" type="checkbox"/> All components completed |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|--|--------|---|--|----------------------------|---|---|--|---|
| 122. Swaziland | UNEP | 31-Mar-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project document submitted to IA for review |
| 123. Syrian Arab Republic | UNDP | 29-Dec-10 (INC) | 21-May-12 | 500,000 | -- | -- | -- | <input checked="" type="checkbox"/> SNC Project Document awaiting signature |
| 124. Tajikistan | UNDP | 31-Dec-08 (SNC) | 14-Apr-11 | 500,000 | 23-May-11 | August 2014 | November 2014 | <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A Assessment: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 125. Tanzania United Republic of | UNEP | 4-Jul-03 (INC) | 21-July-06 | 420,000 | 15-Aug-06 | August 2013 | November 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: 75% completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: 75 % completed <input checked="" type="checkbox"/> Other Information: Between 50-75 % completed <input checked="" type="checkbox"/> Constraints & Gaps: completed |
| 126. Thailand | UNDP | 24-Mar-11 (SNC) | -- | -- | -- | -- | - | <input checked="" type="checkbox"/> TNC project proposal with BUR component under preparation |
| 127. The Former Yugoslav Republic of Macedonia | UNDP | 15-Jan-09 (SNC) | 03-Nov-11 | 500,000 | 02-Dec-11 | September 2013 | December 2013 | <input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% Completed <input checked="" type="checkbox"/> Other Information : <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% Completed |
| 128. Togo | UNDP | 15-Sep-11 (SNC) | 6-Mar-12 | 500,000 | 4-Jul-12 | November 2015 | November 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 129. Timor Leste | UNDP | INC Under Preparation | 14-Aug-09 | 420,000 | 1-Sep-09 | September 2013 | November 2013 | <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> V & A Analysis: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% Completed <input checked="" type="checkbox"/> Other Information : 25-50% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% Completed |
| 130. Tonga | UNDP | 2-May-12 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC Project Document approved |
| 131. Trinidad and Tobago* | UNDP | 30-Nov-01 (INC) | 6-Jun-06 | 420,000 | May-07 | September 2012 | Not reported | <input checked="" type="checkbox"/> All SNC components completed * Information based on previous survey. IA did not receive a response to request for updated information from EA after repeated request. |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|-------------------|--------|---|--|--|---|---|--|--|
| 132. Tunisia* | UNDP | 27-Oct-01 (INC) | 8-Jun-05 | 405,000 Did not request self-assessment funds | 25-Aug-05 | March 2012 | November 2013 | <input checked="" type="checkbox"/> All SNC components completed <input checked="" type="checkbox"/> TNC self-Assessment funds approved <input checked="" type="checkbox"/> TNC Project Document under preparation * Information based on previous survey. IA did not receive a response to request for updated information from EA after repeated request. |
| 133. Turkmenistan | UNEP | 29-Nov-10 (SNC) | 20-Feb-12 | 500,000 | 24-Feb-2012 | February 2015 | June 2015 | <input checked="" type="checkbox"/> National Circumstances: 50-75% completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% completed <input checked="" type="checkbox"/> V & A Analysis: 25-50 % completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 134. Tuvalu | UNDP | 30-Oct-99 (INC) | 17-Jan-07 | 420,000 | May-07 | October 2012 | November 2013 | <input checked="" type="checkbox"/> National Circumstances: completed <input checked="" type="checkbox"/> GHG Inventories: completed <input checked="" type="checkbox"/> V&A Assessment: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed |
| 135. Uganda | UNEP | 26-Oct-02 (INC) | 28-Aug-08 | 420,000 | 10-Sep-08 | May 2014 | August 2014 | <input checked="" type="checkbox"/> National Circumstances: 50% completed <input checked="" type="checkbox"/> GHG Inventories: 25% completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed |
| 136. Uruguay | UNDP | 18-Nov-10 (TNC) | 27-Apr-11 | 500,000 | 2-Aug-11 | August 2015 | November 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: 50-75% completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% completed <input checked="" type="checkbox"/> Other Information: < 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: < 25% completed |
| 137. Uzbekistan | UNEP | 3-Dec-08 (SNC) | 30-Jan-12 | 500,000 | 01-Feb-12 | October 2015 | December 2015 | <input checked="" type="checkbox"/> National Circumstances: Less than 25% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed |
| 138. Vanuatu* | UNDP | 30-Oct-99 (INC) | 22-Dec-05 | 420,000 | 24-Jul-06 | September 2013 | December 2013 | <input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% completed <input checked="" type="checkbox"/> V&A Assessment: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed *Information based on previous survey. IA did not receive a response to request for updated information from EA after repeated requests |

| Party | Agency | Submission date of the last report to COP | Date of approval by Implementing Agency (IA) of most recent NC project | Total Amount Approved US\$ | Date of initial disbursement of funds by IA | Approximate date of completion of Draft NC Report | Approximate date of NC submission to the COP | Status of project activities |
|---|--------------------------|---|--|----------------------------|---|---|--|---|
| 139. Venezuela (Bolivarian Republic of) | UNDP | 13-Oct-05 (INC) | 21-Sep-12 | 420,000 | 14-Dec-12 | June 2015 | December 2015 | <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis : Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated |
| 140. Vietnam | UNEP | 7-Dec-10 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> Preparation of a MSP CEO Approval document for TNC and BUR underway |
| 141. Yemen* | UNDP | 29-Oct-01 (INC) | 8-Nov-06 | 470,000 Includes TNA | Sep-07 | Complete | April 2013 | <input checked="" type="checkbox"/> All SNC components completed <input checked="" type="checkbox"/> TNC Project proposal with BUR component under preparation *Information based on previous survey. IA did not receive a response to request for updated information from EA after repeated requests |
| 142. Zambia | UNDP (SNC) UNEP (TNC) | 18-Aug-04 (INC) | 2-Feb-07 | 470,000 Includes TNA | 17-Aug-07 | October 2012 | May 2013 | <input checked="" type="checkbox"/> All SNC components completed <input checked="" type="checkbox"/> Project Cooperation Agreement processes for TNC initiated between Zambia and UNEP |
| 143. Zimbabwe | UNEP | 31-Jan-13 (SNC) | -- | -- | -- | -- | -- | <input checked="" type="checkbox"/> TNC project document under review by UNEP |

Annex 8: Status of Resources Approved by the GEF Secretariat for the Preparation of Biennial Update Reports from Parties Not Included in Annex I to the Convention

As of June 30, 2013 the GEF Secretariat has received 11 requests for support to prepare BURs. All of the requests have been approved by the GEF Secretariat and are either undergoing project preparation or awaiting approval from the GEF Council. Table A8.1 below provides information on the status of the requests.

Table A8.1

Status of Request for Resources for Biennial Update Reports (as of June 30, 2013)

| Party | Agency | Date of Project Technical Clearance by GEF Secretariat | Date of Approval by GEF Council | Status of Project |
|------------------|---------------|---|--|--|
| 1. Azerbaijan | UNDP | 7-June-2013 | Approved by the CEO 10-June-2013 | CEO Approved |
| 2. Brazil | UNDP | 12-Apr-2013 | 23-Apr-2013 | BUR request included in the full size project proposal under preparation |
| 3. China | UNDP | 1-Oct-2012 | 15-Nov-2012 | BUR request included in the full size project proposal under preparation |
| 4. Ghana | UNEP | 5-June-2013 | Approved by the CEO 5-June-2013 | CEO Approved |
| 5. India | UNDP | 26-Jan-2012 | 29-Feb-2012 | BUR request included in the full size project proposal, submitted to GEF for CEO Endorsement |
| 6. Indonesia | UNDP | 6-Apr-2012 | 6-Jun-2012 | BUR request included in the full size project proposal under preparation |
| 7. Lebanon | UNDP | 20-June-2013 | Approved by the CEO 20-June-2013 | CEO Approved |
| 8. Macedonia | UNDP | 14-May-2013 | Approved by the CEO 29-May-2013 | CEO Approved |
| 9. Mexico | UNDP | 1-Oct-2012 | 15-Nov-2012 | BUR request included in the full size project proposal under preparation |
| 10. South Africa | UNEP | 20-Feb-2013 | 12-Apr-2013 | BUR request included in the full size project proposal under preparation |
| 11. Uruguay | UNDP | 27-Dec-2012 | Approved by the CEO 27-Dec-2012 | Project under implementation |

Annex 9: Status Report on the LDCF and the SCCF

1. **The Least Developed Countries Fund for Climate Change (LDCF)** was established in November 2002 to address the needs of the least developed countries whose economic and geophysical characteristics make them especially vulnerable to the impact of global warming and climate change. **The Special Climate Change Fund (SCCF)** was established in November 2004 to finance activities, programs and measures relating to climate change that are complementary to those funded by resources from the GEF Trust Fund and with bilateral and multilateral funding. The GEF administers both the SCCF and LDCF and the World Bank acts as trustee for both funds.

1. Least Developed Countries Fund

a. Status of Pledges and Contributions

2. As of June 30, 2013, pledges had been received from 25 Contributing Participants: Australia, Austria, Belgium, Canada, Czech Republic, Denmark, Finland, France, Germany, Hungary, Iceland, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Portugal, Romania, Spain, Sweden, Switzerland, the United Kingdom and the United States. The total amount pledged to date is \$772.8 million eq.⁴⁴ Table A9. 1 shows details of the status of pledges, contributions⁴⁵ and payments made to the LDCF since inception.
3. During the financial year July 1, 2012 to June 30, 2013, the Trustee has received pledges for \$232.5 million eq and payments against signed contribution agreements for \$154.2 million eq.

b. Summary of Funding Approvals, Trustee Commitments and Cash Transfers

4. As of June 30, 2013, cumulative net funding decisions by the Council and the CEO amounted to \$608.8 million, of which \$547.4 million was for projects and project preparation activities, \$53.5 million was for fees, and \$7.8 million was for administrative expenses and corporate activities of the LDCF. This represents an overall increase of \$276.5 million since June 30, 2012.
5. Funding approved by the Council and the CEO is committed by the Trustee and transferred following established procedures for all financial transactions as agreed between the Trustee and the Agencies. The Trustee has committed a total amount of \$216.9 million, of which \$190.9 million relates to projects and project preparation activities, \$19.2 million to fees, and \$6.8 million to cover corporate activities and administrative expenses.
6. Cash transfers were made to Agencies on an as-needed basis to meet their projected disbursement requirements. Out of the cumulative commitments of \$216.9 million, upon request from Agencies, the Trustee has transferred \$132.9 million as of June 30, 2013. As a result, \$84 million remains payable to Agencies. Details of funding approvals, commitments and cash transfers can be found in Table A9. 2.

c. Schedule of Funds Available

7. Funds held in trust pending transfers to Agencies total \$491.2 million eq, comprising of cash, investments and promissory notes. Of this amount, \$473.4 million has been set-aside to cover funding approved by the Council or endorsed by the CEO. Consequently, net funds available for approval by the Council or the CEO amounts to \$17.8 million eq. Details on the funds available for Council or CEO approval as of June 30, 2013 can be found in Table A9. 3.

d. Investment Income

8. Pending cash transfers to Agencies, cash contributions paid to LDCF Trust Fund are held in trust by the World Bank and maintained in a commingled investment portfolio ("Pool") for all trust funds administered by the World Bank. The assets in the Pool are managed in accordance with the investment strategy established for all of the trust funds administered by the World Bank. The LDCF had cumulative investment returns of \$17.8 million eq as of June 30, 2013.

⁴⁴ US Dollar Equivalent

⁴⁵ Represents the amounts for which Contributing Participants have signed trust fund contribution agreements.

2. Special Climate Change Fund

a. Status of Pledges and Contributions

9. As of June 30, 2013, pledges had been received from 15 Contributing Participants: Belgium, Canada, Denmark, Finland, Germany, Ireland, Italy, the Netherlands, Norway, Portugal, Spain, Sweden, Switzerland, the United Kingdom and the United States. The total amount pledged to date is \$327.5 million eq. Table A9. 4 shows details of the status of pledges, contributions⁴⁶ and payments made to the SCCF since its inception; Table A9. 5 presents this information broken down by program.
10. During the financial year July 1, 2012 to June 30, 2013, the Trustee has received pledges for \$86.5 million eq and payments against signed contribution agreements for \$46.1 million eq.

b. Summary of Funding Approvals, Trustee Commitments and Cash Transfers

11. As of June 30, 2013, cumulative net funding decisions taken by the Council and the CEO amounted to \$252.9 million, of which \$225 million was for projects and project preparation activities, \$22.7 million was for fees, and \$5.2 million was for administrative expenses and corporate activities of the SCCF. This represents an increase of \$53.1 million since June 30, 2012.
12. Funding approved by the Council and CEO is committed by the Trustee and transferred following established procedures for all financial transactions as agreed between the Trustee and the Agencies. Out of total funding approvals of \$252.9 million, the Trustee has committed \$152.5 million, of which \$134.3 million relates to projects and project preparation activities, \$13.7 million to fees, and \$4.5 million to cover corporate activities and administrative expenses.
13. The Trustee transfers cash to Agencies on an as-needed basis to meet the projected disbursement requirements of the Agencies. As of June 30, 2013, out of total cumulative commitments of \$152.5 million, the Agencies have requested and the Trustee has transferred \$109.6 million. As a result, \$42.8 million remains payable to Agencies, pending their request. Details of funding approvals, commitments and cash transfers can be found in Table A9. 6.

c. Schedule of Funds Available

14. Funds held in Trust, comprising cash and investments held in trust pending transfer to Agencies, total \$147.6 million eq (for both the Adaptation program and Transfer of Technology program). Of this amount, \$141.8 million has been set-aside to cover funding approved by the Council and endorsed by the CEO. Consequently, net funds available for approval by the Council or the CEO amount to \$5.7 million eq. Details on the funds available for Council or CEO approval as of June 30, 2013 can be found in Table A9. 7, which shows the funding status by program.

d. Investment Income

15. The SCCF shares the same investment management as the LDCF. Its overall investment return was \$12.6 million eq from inception.

⁴⁶ Represents the amounts for which Contributing Participants have signed trust fund contribution agreements.

Table A9. 1
LDCF Status of Pledges and Contributions as of June 30, 2013

| 1 | Total Pledges Outstanding and Contributions Finalized a/ | | | Pledges Outstanding | | Contribution Agreements Finalized | | | | |
|--------------------------|--|-------------|--------------------|---------------------|--------------------|-----------------------------------|-------------------------|--------------------|------------------------|-------------------|
| | 2 | 3 = 5+7 | 4 = 6+9+11 | 5 | 6 | 7 = 8+10 | Paid (Receipts) | | Unpaid | |
| | | | | | | | 8 | 9 | 10 | 11 |
| Contributing Participant | Currency | Amount | USDeq. b/ | Amount | USDeq. b/ | Total Contributions | Amount Paid in Currency | USDeq. a/ | Amount Due in Currency | USDeq. b/ |
| Australia | AUD | 46,500,000 | 42,967,350 | 0 | 0 | 46,500,000 | 46,500,000 | 42,967,350 | 0 | 0 |
| Austria | EUR | 400,000 | 580,400 | 0 | 0 | 400,000 | 400,000 | 580,400 | 0 | 0 |
| Belgium | EUR | 37,440,000 | 49,706,945 | 12,000,000 | 15,680,945 | 25,440,000 | 25,440,000 | 34,026,000 | 0 | 0 |
| Canada | CAD | 30,000,000 | 27,358,972 | 0 | 0 | 30,000,000 | 30,000,000 | 27,358,972 | 0 | 0 |
| Czech Republic | EUR | 18,000 | 25,454 | 0 | 0 | 18,000 | 18,000 | 25,454 | 0 | 0 |
| Denmark | DKK | 170,400,000 | 30,230,398 | 0 | 0 | 170,400,000 | 170,400,000 | 30,230,398 | 0 | 0 |
| Finland | EUR | 18,381,304 | 24,460,182 | 0 | 0 | 18,381,304 | 18,381,304 | 24,460,182 | 0 | 0 |
| France | EUR | 10,850,000 | 14,617,380 | 0 | 0 | 10,850,000 | 10,850,000 | 14,617,380 | 0 | 0 |
| Germany | EUR | 165,000,000 | 218,577,875 | 50,000,000 | 65,337,271 | 115,000,000 | 105,000,000 | 140,173,150 | 10,000,000 c/ | 13,067,454 |
| Hungary | EUR | 1,000,000 | 1,344,300 | 0 | 0 | 1,000,000 | 1,000,000 | 1,344,300 | 0 | 0 |
| Iceland | USD | 283,500 | 283,500 | 0 | 0 | 283,500 | 283,500 | 283,500 | 0 | 0 |
| Ireland | d/ EUR | 4,634,869 | 6,002,144 | 0 | 0 | 4,634,869 | 4,634,869 | 6,002,144 | 0 | 0 |
| | USD | 8,000,000 | 8,000,000 | 0 | 0 | 8,000,000 | 8,000,000 | 8,000,000 | 0 | 0 |
| Italy | USD | 1,000,000 | 1,000,000 | 0 | 0 | 1,000,000 | 1,000,000 | 1,000,000 | 0 | 0 |
| Japan | USD | 250,000 | 250,000 | 0 | 0 | 250,000 | 250,000 | 250,000 | 0 | 0 |
| | EUR | 1,000,000 | 1,582,900 | 0 | 0 | 1,000,000 | 1,000,000 | 1,582,900 | 0 | 0 |
| Luxembourg | d/ EUR | 4,120,000 | 4,120,000 | 0 | 0 | 4,120,000 | 4,120,000 | 4,120,000 | 0 | 0 |
| | USD | 55,200,000 | 72,947,487 | 20,000,000 | 26,134,908 | 35,200,000 | 35,200,000 | 46,812,578 | 0 | 0 |
| Netherlands | d/ EUR | 2,100,000 | 2,100,000 | 0 | 0 | 2,100,000 | 2,100,000 | 2,100,000 | 0 | 0 |
| | USD | 8,100,000 | 5,808,840 | 0 | 0 | 8,100,000 | 8,100,000 | 5,808,840 | 0 | 0 |
| New Zealand | NZD | 158,000,000 | 26,723,309 | 0 | 0 | 158,000,000 | 136,000,000 | 23,077,605 | 22,000,000 | 3,645,704 |
| Norway | d/ NOK | 2,000,000 | 2,001,658 | 0 | 0 | 2,000,000 | 2,000,000 | 2,001,658 | 0 | 0 |
| | USD | 50,000 | 64,065 | 0 | 0 | 50,000 | 50,000 | 64,065 | 0 | 0 |
| Portugal | EUR | 150,000 | 214,005 | 0 | 0 | 150,000 | 150,000 | 214,005 | 0 | 0 |
| Romania | EUR | 1,354,185 | 1,773,184 | 0 | 0 | 1,354,185 | 1,354,185 | 1,773,184 | 0 | 0 |
| Spain | EUR | 517,000,000 | 75,559,227 | 0 | 0 | 517,000,000 | 402,000,000 | 58,455,930 | 115,000,000 | 17,103,296 |
| Sweden | SEK | 8,800,000 | 8,445,630 | 0 | 0 | 8,800,000 | 7,800,000 | 7,387,149 | 1,000,000 | 1,058,481 |
| Switzerland | CHF | 42,000,000 | 66,027,800 | 0 | 0 | 42,000,000 | 42,000,000 | 66,027,800 | 0 | 0 |
| United Kingdom | GBP | 80,000,000 | 80,000,000 | 25,000,000 | 25,000,000 | 55,000,000 | 55,000,000 | 55,000,000 | 0 | 0 |
| United States | USD | | | | | | | | | |
| | | | <u>772,773,004</u> | | <u>132,153,124</u> | | | <u>605,744,944</u> | | <u>34,874,936</u> |

a/ Represents (1) the actual US dollar value of paid-in cash contributions and (2) June 30, 2013 value of amount pending FX.
b/ Valued at the exchange rates available on - June 30, 2013
c/ Payable in installments in the years 2013, 2014 and 2015.
d/ Contributions made in more than one currency.

Table A9. 2

LDCF Summary of Allocation, Commitments and Disbursements as of June 30, 2013 (in \$)

| <i>Cumulative Net Amounts</i> | | | | |
|---------------------------------------|-----------------------------|--------------------|--------------------|-------------------------------|
| Entity | Approved Allocations (1) | Commitments (2) | Transfers (3) | Amount Due (4) = (2) - (3) |
| Projects | | | | |
| AfDB | 48,541,323 | 6,855,335 | 525,335 | 6,330,000 |
| FAO | 27,871,677 | 5,008,818 | 4,908,818 | 100,000 |
| GEFSEC | 700,000 | 0 | 0 | 0 |
| IBRD | 50,465,320 | 23,436,110 | 23,329,063 | 107,047 |
| IFAD | 31,446,686 | 11,716,204 | 11,518,864 | 197,340 |
| UNDP | 336,029,348 | 121,289,760 | 61,020,664 | 60,269,096 |
| UNEP | 52,382,980 | 22,609,005 | 9,729,555 | 12,879,450 |
| Sub-total | 547,437,334 | 190,915,232 | 111,032,298 | 79,882,933 |
| Fees | | | | |
| AfDB | 4,600,036 | 684,284 | 0 | 684,284 |
| FAO | 2,755,263 | 500,382 | 218,182 | 282,200 |
| IBRD | 4,634,010 | 2,180,991 | 2,176,697 | 4,294 |
| IFAD | 3,094,268 | 1,175,814 | 1,156,480 | 19,334 |
| UNDP | 33,212,021 | 12,368,631 | 10,735,650 | 1,632,981 |
| UNEP | 5,211,816 | 2,288,151 | 2,193,246 | 94,905 |
| Sub-total | 53,507,414 | 19,198,253 | 16,480,255 | 2,717,998 |
| Corporate Budget ^{a/} | | | | |
| Secretariat | 5,602,706 | 4,634,698 | 3,643,978 | 990,720 |
| Evaluation | 118,500 | 106,568 | 66,568 | 40,000 |
| STAP | 271,600 | 220,072 | 105,072 | 115,000 |
| Trustee | 1,825,200 | 1,825,200 | 1,546,200 | 279,000 |
| Sub-total | 7,818,006 | 6,786,537 | 5,361,817 | 1,424,720 |
| Total for LDCF | 608,762,754 | 216,900,022 | 132,874,371 | 84,025,651 |

a/ Includes amounts allocated to cover administrative expenses to manage the LDCF and Corporate activities, including annual audit.

Table A9.3

LDCF for Climate Change Schedule of Funds Available updated as of June 30, 2013

| | | (in USDeq.) |
|---|-------------|---------------------------------|
| 1. Funds held in Trust | | 491,249,125^{a/} |
| Cash and investments | 491,249,125 | |
| Promissory notes | 0 | |
| 2. Restricted Funds | | 0 |
| Reserve to cover foreign exchange rate fluctuations | 0 | |
| 3. Funds held in Trust with no restrictions (3 = 1 - 2) | | 491,249,125 |
| 4. Approved Amounts pending disbursement | | 473,392,139 |
| Amounts Trustee Committed | 84,025,651 | |
| Amounts pending Council/CEO approval and/or CEO endorsement | 389,366,488 | |
| Monthly approvals for processing | 0 | |
| 5. Funds Available for Council/CEO approval and/or CEO endorsement (5 = 3 - 4) | | 17,856,986 |

a/ Unencashed promissory notes and amounts pending FX are valued at exchange rate as of June 30, 2013.

Table A9. 4
SCCF Status of Pledges and Contributions as of June 30, 2013

| 1 | Total Pledges Outstanding and Contributions | | | | Pledges Outstanding | | Contribution Agreements Finalized | | | | |
|--------------------------|---|--------------------|--------------------|------------|---------------------|--------------------|-----------------------------------|--------------------|------------------------|-------------------|----|
| | Finalized a/ | | | | | | Paid (Receipts) | | | Unpaid | |
| | 2 | 3 = 5 + 7 | 4 = 6 + 9 + 11 | | 5 | 6 | 7 = 8 + 10 | 8 | 9 | 10 | 11 |
| Contributing Participant | Currency | Total Contribution | USDeq. b/ | Amount | USDeq. b/ | Total Contribution | Amount Paid in Currency | USDeq. c/ | Amount Due in Currency | USDeq. b/ | |
| Belgium | EUR | 31,000,000 | 40,612,445 | 12,000,000 | 15,680,945 | 19,000,000 | 19,000,000 | 24,931,500 | 0 | 0 | |
| Canada | CAD | 13,500,000 | 12,894,703 | 0 | 0 | 13,500,000 | 13,500,000 | 12,894,703 | 0 | 0 | |
| Denmark | DKK | 50,000,000 | 9,041,885 | 0 | 0 | 50,000,000 | 50,000,000 | 9,041,885 | 0 | 0 | |
| Finland | e/ EUR | 8,170,000 | 11,033,213 | 0 | 0 | 8,170,000 | 8,170,000 | 11,033,213 | 0 | 0 | |
| | USD | 367,592 | 367,592 | 0 | 0 | 367,592 | 367,592 | 367,592 | 0 | 0 | |
| Germany | EUR | 90,017,000 | 119,115,482 | 30,000,000 | 39,202,363 | 60,017,000 | 52,400,000 | 69,959,640 | 7,617,000 d/ | 9,953,480 | |
| Ireland | USD | 2,125,000 | 2,125,000 | 0 | 0 | 2,125,000 | 2,125,000 | 2,125,000 | 0 | 0 | |
| Italy | USD | 10,000,000 | 10,000,000 | 0 | 0 | 10,000,000 | 5,000,000 | 5,000,000 | 5,000,000 | 5,000,000 | |
| Netherlands | EUR | 2,400,000 | 3,128,880 | 0 | 0 | 2,400,000 | 2,400,000 | 3,128,880 | 0 | 0 | |
| Norway | NOK | 183,000,000 | 32,250,354 | 0 | 0 | 183,000,000 | 168,000,000 | 29,764,646 | 15,000,000 | 2,485,707 | |
| Portugal | EUR | 1,070,000 | 1,299,099 | 0 | 0 | 1,070,000 | 1,070,000 | 1,299,099 | 0 | 0 | |
| Spain | EUR | 9,000,000 | 12,349,100 | 0 | 0 | 9,000,000 | 9,000,000 | 12,349,100 | 0 | 0 | |
| Sweden | SEK | 40,000,000 | 6,120,153 | 0 | 0 | 40,000,000 | 40,000,000 | 6,120,153 | 0 | 0 | |
| Switzerland | e/ CHF | 8,600,000 | 8,169,172 | 0 | 0 | 8,600,000 | 7,350,000 | 6,846,071 | 1,250,000 | 1,323,101 | |
| | USD | 400,000 | 399,973 | 0 | 0 | 400,000 | 400,000 | 399,973 | 0 | 0 | |
| United Kingdom | GBP | 10,000,000 | 18,603,167 | 0 | 0 | 10,000,000 | 10,000,000 | 18,603,167 | 0 | 0 | |
| United States | USD | 40,000,000 | 40,000,000 | 10,000,000 | 10,000,000 | 30,000,000 | 30,000,000 | 30,000,000 | 0 | 0 | |
| | | | <u>327,510,219</u> | | <u>64,883,308</u> | | | <u>243,864,623</u> | | <u>18,762,288</u> | |

a/ Pledged contributions are made towards the Program for Adaptation and for the Transfer of Technology.
b/ Valued at the exchange rates available on June 30, 2013
c/ Represents the actual US dollar value of paid-in cash contributions.
d/ This amount is payable in installments in the years 2013, 2014 and 2015.
e/ Contributions made in more than one currency.

Table A9. 5
SCCF Status of Contributions by Program as of June 30, 2013

| Contribution Agreements Finalized | | | | | | |
|--|-----------------|---------------------------|--------------------------------|------------------------------|-------------------------------|------------------------------|
| <u>Contributing Participant</u> | <u>Currency</u> | <u>Total Contribution</u> | <u>Amount Paid in Currency</u> | <u>USD eq. ^{a/}</u> | <u>Amount Due in Currency</u> | <u>USD eq. ^{b/}</u> |
| I. Program for Adaptation | | | | | | |
| Canada | CAD | 11,000,000 | 11,000,000 | 10,342,172 | 0 | 0 |
| Denmark | DKK | 40,000,000 | 40,000,000 | 7,233,508 | 0 | 0 |
| Finland | e/ EUR | 7,820,000 | 7,820,000 | 10,611,848.04 | 0 | 0 |
| | USD | 367,592 | 367,592 | 367,592 | 0 | 0 |
| Germany | EUR | 60,017,000 | 52,400,000 | 69,959,640 | 7,617,000 ^{c/} | 9,953,480 |
| Ireland | USD | 1,275,000 | 1,275,000 | 1,275,000 | 0 | 0 |
| Italy | USD | 5,000,000 | 0 | 0 | 5,000,000 ^{d/} | 5,000,000 |
| Netherlands | EUR | 2,400,000 | 2,400,000 | 3,128,880 | 0 | 0 |
| Norway | NOK | 166,500,000 | 151,500,000 | 26,763,107.82 | 15,000,000 | 2,485,707 |
| Portugal | EUR | 1,070,000 | 1,070,000 | 1,299,099 | 0 | 0 |
| Spain | EUR | 8,000,000 | 8,000,000 | 11,050,100 | 0 | 0 |
| Sweden | SEK | 37,000,000 | 37,000,000 | 5,690,107 | 0 | 0 |
| Switzerland | e/ CHF | 5,750,000 | 5,000,000 | 4,695,557 | 750,000 | 793,861 |
| | USD | 400,000 | 400,000 | 399,973 | 0 | 0 |
| United Kingdom | GBP | 10,000,000 | 10,000,000 | 18,603,167 | 0 | 0 |
| United States | USD | 30,000,000 | 30,000,000 | 30,000,000 | 0 | 0 |
| | | | | <u>201,419,752</u> | | <u>18,233,048</u> |
| II. Program for Technology Transfer | | | | | | |
| Belgium | EUR | 19,000,000 | 19,000,000 | 24,931,500 | 0 | 0 |
| Canada | CAD | 2,500,000 | 2,500,000 | 2,552,531 | 0 | 0 |
| Denmark | DKK | 10,000,000 | 10,000,000 | 1,808,377 | 0 | 0 |
| Finland | EUR | 350,000 | 350,000 | 421,365 | 0 | 0 |
| Ireland | USD | 850,000 | 850,000 | 850,000 | 0 | 0 |
| Italy | USD | 5,000,000 | 5,000,000 | 5,000,000 | 0 | 0 |
| Norway | NOK | 16,500,000 | 16,500,000 | 3,001,539 | 0 | 0 |
| Spain | EUR | 1,000,000 | 1,000,000 | 1,299,000 | 0 | 0 |
| Sweden | SEK | 3,000,000 | 3,000,000 | 430,046 | 0 | 0 |
| Switzerland | CHF | 2,850,000 | 2,350,000 | 2,150,514 | 500,000 | 529,241 |
| | | | | <u>42,444,871</u> | | <u>529,241</u> |
| Total for SCCF | | | | 243,864,623 | | 18,762,288 |

a/ Represents actual US dollar value of paid-in cash contributions.

b/ Valued at exchange rates on June 30, 2013

c/ This amount is payable in installments in the year 2013, 2014 and 2015.

d/ This amount was due in February 2008.

e/ Contribution made in more than one currency.

Table A9. 6

SCCF Summary of Allocations, Commitments and Disbursements as of June 30, 2013 (in \$)

| <u>Entity</u> | <u>Cumulative Net Amounts</u> | | | |
|---------------------------------------|-------------------------------|--------------------|--------------------|-------------------|
| | <u>Approved Allocations</u> | <u>Commitments</u> | <u>Transfers</u> | <u>Amount Due</u> |
| | (1) | (2) | (3) | (4) = (2) - (3) |
| <u>Projects</u> | | | | |
| ADB | 3,895,080 | 3,618,182 | 1,283,000 | 2,335,182 |
| AfDB | 11,984,778 | 125,000 | 0 | 125,000 |
| EBRD | 9,745,249 | 2,927,067 | 0 | 2,927,067 |
| FAO | 5,556,818 | 69,735 | 31,818 | 37,917 |
| IADB | 6,032,250 | 0 | 0 | 0 |
| IBRD | 80,273,634 | 54,341,600 | 48,168,084 | 6,173,516 |
| IFAD | 21,964,541 | 9,568,570 | 6,478,570 | 3,090,000 |
| UNDP | 69,140,854 | 49,074,036 | 28,169,503 | 20,904,533 |
| UNEP | 16,459,818 | 14,556,818 | 10,031,818 | 4,525,000 |
| <i>Sub-total</i> | 225,053,022 | 134,281,008 | 94,162,793 | 40,118,215 |
| <u>Fees</u> | | | | |
| ADB | 602,940 | 361,818 | 361,818 | 0 |
| AfDB | 1,126,137 | 165,091 | 0 | 165,091 |
| EBRD | 974,525 | 292,707 | 0 | 292,707 |
| FAO | 548,182 | 62,343 | 3,182 | 59,161 |
| IADB | 603,225 | 0 | 0 | 0 |
| IBRD | 7,699,864 | 5,480,851 | 4,543,015 | 937,836 |
| IFAD | 2,196,000 | 967,300 | 658,750 | 308,550 |
| UNDP | 7,286,723 | 4,911,192 | 4,795,292 | 115,900 |
| UNEP | 1,633,467 | 1,452,682 | 1,443,182 | 9,500 |
| <i>Sub-total</i> | 22,671,063 | 13,693,984 | 11,805,239 | 1,888,745 |
| <u>Corporate Budget</u> ^{a/} | | | | |
| Secretariat | 3,054,863 | 2,449,093 | 1,958,925 | 490,168 |
| Evaluation | 308,500 | 248,426 | 218,426 | 30,000 |
| STAP | 271,600 | 220,072 | 105,072 | 115,000 |
| Trustee | 1,558,756 | 1,558,756 | 1,397,656 | 161,100 |
| <i>Sub-total</i> | 5,193,719 | 4,476,347 | 3,680,079 | 796,268 |
| Total for SCCF | 252,917,804 | 152,451,339 | 109,648,111 | 42,803,228 |

a/ Includes amounts allocated to cover administrative expenses to manage the SCCF and Corporate activities, including annual audit.

Table A9. 7

SCCF Schedule of Funds Available updated as of June 30, 2013

(in USDeq.)

| | | |
|--|-------------|-------------------------|
| <u>Program for Adaptation</u> | | |
| <u>1. Funds held in Trust</u> | | 115,784,987 |
| Cash and investments | 115,784,987 | |
| Promissory notes | 0 | |
| <u>2. Restricted Funds</u> | | 0 |
| Reserve to cover foreign exchange rate fluctuations | 0 | |
| 3. Funds held in Trust with no restrictions (3 = 1 - 2) | | 115,784,987 |
| <u>4. Approved Amounts pending disbursement</u> | | 110,105,385 |
| Amounts Trustee Committed | 37,750,385 | |
| Amounts pending Council/CEO approval and/or CEO endorsement | 72,355,000 | |
| Monthly approvals for processing | 0 | |
| 5. Funds Available for Council/CEO approval and/or CEO endorsement (5 = 3 - 4) | | 5,679,602 |
| <u>Program for Transfer of Technology</u> | | |
| <u>6. Funds held in Trust</u> | | 31,772,975 |
| Cash and investments | 31,772,975 | |
| Promissory notes | 0 | |
| <u>7. Restricted Funds</u> | | 0 |
| Reserve to cover foreign exchange rate fluctuations | 0 | |
| 8. Funds held in Trust with no restrictions (8 = 6 - 7) | | 31,772,975 |
| <u>9. Approved Amounts pending disbursement</u> | | 31,727,985 |
| Amounts Trustee Committed | 5,052,843 | |
| Amounts pending Council/CEO approval and/or CEO endorsement | 26,675,142 | |
| Monthly approvals for processing | 0 | |
| 10. Funds Available for Council/CEO approval and/or CEO endorsement (10 = 8 - 9) | | 44,990 |
| Total SCCF Funds Available for Council/CEO approval and/or CEO endorsement (5 + 10) | | <u>5,724,592</u> |