United Nations FCCC/CP/2010/5

Framework Convention on Climate Change

Distr.: General
20 September 2010

Original: English

Conference of the Parties
Sixteenth session
Cancun, 29 November to 10 December 2010

Item 7 (a) (ii) of the provisional agenda
Review of implementation of commitments and of other provisions of the Convention
Financial mechanism of the Convention
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 its 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 be made available to the COP through the secretariat.

2. In response to that provision, the GEF secretariat has submitted the attached report (see annex) dated 1 July 2010; it is reproduced here as submitted, without formal editing, and with the original pagination.

3. An update to annex 3 to the report of the GEF, "Status of national communications from Parties not included in Annex I to the Convention", will be issued separately as an addendum to this document.

4. 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 relating to the Convention for the financial mechanism which shall function under the guidance of and be accountable to the COP.

5. 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.

* The French and Spanish versions of the report are available at <http://thegef.org/gef/reports_UNFCCC>.

** This document was received from the Global Environment Facility secretariat on 17 September and was submitted as soon as it was received.

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GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

July 1, 2010

[ENGLISH ONLY]

REPORT OF THE GEF TO THE SIXTEENTH 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
AMR	Annual Monitoring Report
APR	Annual Performance Report
BRT	Bus Rapid Transit
CBA	Community-Based Adaptation
CBD	Convention on Biological Diversity
CBO	Community-Based Organization
CCD	Convention to Combat Desertification
CMSP	Council Member Support Program
CO_{2eq}	Carbon Dioxide Equivalent
COP	Conference of the Parties
CPF	Collaborative Partnership on Forests
CSO	Civil Society Organization
CSP	Country Support Program
DANIDA	Danish International Development Agency
EBRD	European Bank for Reconstruction and Development
EGTT	Expert Group on Technology Transfer
ESTs	Environmentally Sound Technologies
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FSP	Full-Sized Project
FY	Fiscal Year
GEBs	Global Environmental Benefits
GEF	Global Environment Facility
GEF EO	Global Environment Facility Evaluation Office
GHG	Greenhouse Gas
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
INC	Initial National Communication
LEG	Least Developed Countries Expert Group
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
LULUCF	Land Use, Land-Use Change, and Forestry
M&E	Monitoring and Evaluation
MSP	Medium-Sized Project
Mt	Megaton (10^6)
NAPA	National Adaptation Program of Action
NCSA	National Capacity Self Assessment
NCSP	National Communications Support Program

NDI	National Dialogue Initiative
NGO	Nongovernmental Organization
NLBI	Nonlegally Binding Instrument
NMT	Nonmotorized Transport
NPFE	National Portfolio Formulation Exercises
OPS3	Third Overall Performance Study
OPS4	Fourth Overall Performance Study
PAS	Pacific Alliance for Sustainability
PES	Payments for Ecosystem Services
PIF	Project Identification Form
PIR	Project Implementation Report
PPG	Project Preparation Grant
PPP	Public Private Partnership
PSC	Project Steering Committee
RAF	Resource Allocation Framework
RBM	Results-Based Management
REDD	Reducing Emissions from Deforestation and Forest Degradation
RET	Renewable Energy Technology
SBI	Subsidiary Body for Implementation
SCCF	Special Climate Change Fund
SFM	Sustainable Forest Management
SGP	Small Grants Program
SIDS	Small Island Developing States
SIP	Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa
SLM	Sustainable Land Management
SNC	Second National Communication
SP	Strategic Program
SPA	Strategic Priority on Adaptation
STAR	System for Transparent Allocation of Resources
TAG	Technical Advisory Group
TFA	Tropical Forest Account
TNA	Technology Needs Assessment
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forum on Forests
UNIDO	United Nations Industrial Development Organization
V&A	Vulnerability and Adaptation

EXECUTIVE SUMMARY

1. Since its inception in 1991 until June 30, 2010, the GEF supported 738 projects on climate change mitigation and enabling activities with $2.9 billion[1] GEF funding in 154 developing countries and economies in transition. These projects covered enabling activities, energy efficiency, renewable energy, sustainable urban transport, and Land Use, Land-Use Change and Forestry (LULUCF). Most of them were funded from the GEF Trust Fund, while three projects were funded from the Special Climate Change Fund (SCCF).

2. For adaptation, the GEF funded over $280 million for 84 projects in this period. Of these, the GEF funded 26 innovative adaptation pilot projects through the Strategic Priority for Adaptation (SPA), a $50 million pilot established within the GEF Trust Fund in response to the Marrakech Accords guidance (COP7, 2001). The GEF also supported 58 projects in 62 developing countries through the Least Developed Countries Fund (LDCF) and the SCCF with more than $230 million combined.

3. The GEF has also been implementing the Poznan Strategic Program on Technology Transfer. Under this program, 14 pilot projects were funded with $58 million, including $6.2 million from SCCF for three pilot projects. The Technology Needs Assessment (TNA) project for 35 to 45 countries, financed with $9 million by the SCCF, also started in October 2009.

4. During the reporting period (July 1, 2009 to June 30, 2010), the GEF funded 108 projects in climate change, allocating $299.4 million from the GEF Trust Fund, $26.2 million from the LDCF, and $6.2 million from the SCCF. These projects include the following: six enabling activities, 66 full-sized projects (FSPs) and 26 medium-sized projects (MSPs) funded by the GEF Trust Fund; six FSPs and one MSP under the LDCF; and two FSPs and one MSP under the SCCF.

5. During the reporting period, the GEF responded to the catastrophic earthquake that hit Haiti in January 2010 by supporting the Haiti Emergency Project and providing off-grid electricity. The GEF also promoted initiatives for Shanghai Expo 2010 and the 2010 FIFA World Cup to showcase environmentally sound technologies and practices.

6. As of June 2010, 143 non-Annex I Parties have received GEF funding for the preparation of their National Communications to the UNFCCC. The GEF met all requests to support National Communications. As of June 2010, 48 least developed countries (LDCs) have received GEF funding for, and 44 have completed, the preparation of their National Adaptation Programmes of Action (NAPA).

7. During the GEF-4, the GEF Secretariat implemented a number of key reforms directed towards improving the effectiveness and efficiency of the partnership. As a result, the performance of the GEF has improved significantly. Allocation of the funds to LDCs and small island developing states (SIDS) has increased to 18.4 percent of all resources in GEF-4 from 12 percent in GEF-3. The time to process FSPs from concept approval to CEO endorsement has been reduced from 44 months to an average of 16 months. The Results-based Management (RBM) Framework has become the framework for developing the programming strategy. The corporate budget support for the three Implementing Agencies was abolished, and all the GEF Agencies were provided with the same level of fees to implement projects.

[1] All dollar amounts are in U.S. dollars.

8. Negotiations for the GEF-5 replenishment came to a successful conclusion on May 12, 2010. Thirty-five donors pledged $4.34 billion for the GEF-5 period (July 1, 2010, to June 30, 2014), of which approximately $1.4 billion will be programmed under the agreed climate change mitigation strategy. The Russian Federation joined as a new donor to the GEF, and Brazil, following on its pledge to GEF-4, re-engaged as a donor with a significant GEF-5 contribution. As contributing participants significantly increased their contributions, total new donor funding for the GEF increased by 54 percent over GEF-4.

9. The GEF Council approved the GEF-5 replenishment agreement, including GEF-5 policy recommendations, at its special meeting in Uruguay in May 2010. The policy recommendations reflect two main themes of the replenishment discussions: (i) enhancing country ownership; and (ii) improving the effectiveness and efficiency of the GEF network.

10. At its June 2010 meeting, the GEF Council approved implementation measures for the following key GEF-5 reforms:

a. A reformed Country Support Program to (i) facilitate greater coordination among national officers responsible for the GEF, (ii) provide greater visibility and recognition of GEF support to countries, and (iii) refocus the different components of the Country Support Program to help countries undertake new or redesigned GEF activities.
b. Provision of resources to countries to undertake on a voluntary basis National Portfolio Formulation Exercises (NPFE) as a basis for programming GEF resources. The GEF Secretariat will directly provide resources for the preparation of the NFPEs to countries.
c. Eligible countries, at their choice, to apply for and receive GEF resources via direct access for the preparation of National Communications. Non-Annex I Parties will, therefore, be able to have a choice whether to access resources directly or through GEF Agencies to complete their National Communications.
d. Further streamlining of the project cycle to reduce the number of processing steps, and also a new type of programmatic approach that will enable certain qualifying GEF Agencies to use a more streamlined approach.
e. Placement of the entire GEF-5 Programming Strategy within an RBM Framework in which the focal area results frameworks (containing clear objectives and targets) are aligned with the GEF corporate results framework.
f. Introduction of the System for Transparent Allocation of Resources (STAR) to replace the Resource Allocation Framework (RAF) that was implemented during GEF-4. Under the STAR, all countries have an allocation for three focal areas (climate change, biodiversity, and land degradation), which will enable them to better plan how they will use their resources. Smaller countries (countries with total allocations of up to $7 million) will have flexibility to allocate these funds in any or all of these three focal areas.
g. The Council also reviewed the investment guidelines for the GEF's Sustainable Forest Management (SFM)/REDD-plus and LULUCF program, which is funded with resources set aside from the climate change, biodiversity, and land degradation focal areas.

11. The Council also discussed a GEF Secretariat proposal to broaden the range of agencies and entities that are able to access resources directly from the GEF Trust Fund for the preparation and execution of projects, as permitted under Paragraph 28 of the GEF Instrument. The range of entities under consideration includes national institutions, U.N. specialized agencies and programs, international organizations, bilateral development agencies, and nongovernmental organizations (NGOs). The Council asked that the proposal be further developed, with input from a six-member subcommittee of the Council and a task force of independent experts.

12. The GEF Council will discuss further reforms in its November 2010 meeting, which include how to bring additional executing entities into the GEF partnership.

INTRODUCTION

13. The Global Environment Facility (GEF) prepared this report for the sixteenth session of the Conference of the Parties (COP16) to the United Nations Framework Convention on Climate Change (UNFCCC).

14. The report consists of two parts and five annexes. Part I describes achievements of the GEF since its establishment in 1991 to date, including the activities approved and conducted by the GEF during the reporting period from July 1, 2009, to June 30, 2010. They include climate change mitigation, technology transfer, climate change adaptation, and enabling activities funded from the GEF Trust Fund, the Least Developed Countries Fund (LDCF), and the Special Climate Change Fund (SCCF). Part II of the report describes the conclusions of the GEF-5 replenishment, proposed reforms, and GEF-5 programming.

PART I. ACHIEVEMENTS OF THE GEF

15. As an operating entity of the financial mechanism of the UNFCCC, the GEF provides financing to country-driven projects consistent with guidance approved by the Conference of the Parties (COP) on policies, program priorities, and eligibility criteria. Ten agencies manage GEF financed projects.[2]

1. CLIMATE CHANGE MITIGATION

a. Overview and Overall Analysis

16. Since its establishment in 1991, the GEF has been funding projects on climate change mitigation and enabling activities in developing countries and economies in transition all over the world. As of June 30, 2010, the GEF has funded 738 projects on climate change mitigation and enabling activities with $2.9 billion GEF funding[3] in 154 countries. Most of them were funded from the GEF Trust Fund, while three projects were funded from the SCCF. It leveraged $18 billion with an average cofinancing ratio of 1 to 6.2.

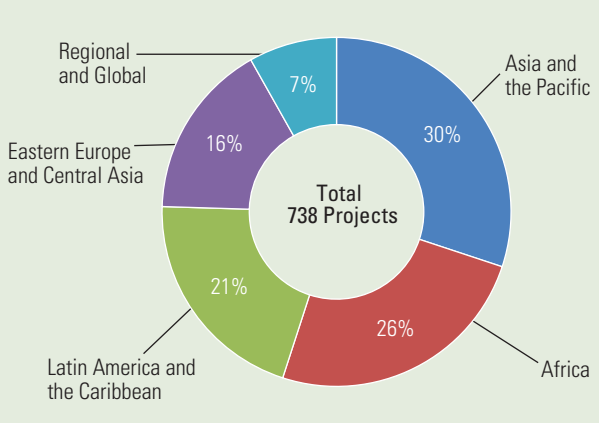
17. These projects cover developing countries in all the regions in a well-balanced manner throughout Asia and the Pacific, Africa, Latin America and the Caribbean, and Eastern Europe and Central Asia. In addition, there are several regional and global projects. All 10 GEF Agencies have participated in the implementation of these GEF climate change projects. UNDP, World Bank, UNIDO, and UNEP have the major shares of the portfolio in the order of appearance in terms of number of projects.

TABLE 1 GEF Projects on Climate Change Mitigation and Enabling Activities by Region

Region	Number of Projects	GEF Amount[1] ($ millions)	Cofinancing Amount
Asia and the Pacific	220	1,135.3	9,916.6
Africa	190	495.2	2,718.6
Latin America and the Caribbean	153	523.4	2,994.4
Europe and Central Asia	121	430.1	1,866.9
Regional and Global	54	274.8	462.2
Total	**738**	**2,858.9**	**17,958.7**

[1] These amounts include $143.7 million from other focal area for multifocal projects.

FIGURE 1 Regional Distribution of the GEF Projects on Climate Change Mitigation and Enabling Activities



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

[3] This figure represents GEF funding from climate change focal area allocations only; additional funding to multifocal area projects from other focal area allocations amounts to $247 million.

TABLE 2 The GEF Projects on Climate Change Mitigation and Enabling Activities by Sector

GEF Phase	Enabling Activities (EA)	Energy Efficiency (EE)	Renewable Energy (RE)	Sustainable Urban Transport	LULUCF	Mixed and Others	Total
GEF Pilot (1991–1994)	6	5	13	2	2	10	38
GEF-1 (1994–1998)	91	16	17			5	129
GEF-2 (1998–2002)	101	31	48	8	1	7	196
GEF-3 (2002–2006)	36	29	57	14	1	15	152
GEF-4 (2006–2010)	8	83	60	21	23	30	223
Total	**240**	**164**	**195**	**45**	**27**	**67**	**738**

18. Among 738 projects, the total share of enabling activities (EA), energy efficiency (EE), and renewable energy (RE) projects is predominant and combined reaches more than 86 percent, while the number of sustainable urban transport and Land Use, Land-Use Change, and Forestry (LULUCF) projects has shown rapid growth, especially in recent years. The number of enabling activity projects has been decreasing from the early days to GEF-4, while the number of projects that seek to mitigate climate change on the ground has been growing steadily.

19. From 1991 to June 2010, the GEF has supported 87 projects in 38 different small island developing states (SIDS) out of 52 SIDS. During GEF-4 (2006–2010), the GEF supported 23 projects in 25 SIDS. In the same period, the GEF invested in 155 projects in 46 least developed countries (LDCs) out of 49 LDCs, whereas 40 projects in 33 LDCs during GEF-4. (See Table 3.)

20. In the following sections, further explanations are provided for each sector.

b. Energy Efficiency

21. From 1991 to June 2010, the energy efficiency portion of the GEF climate change portfolio has included 198 projects, funded with $1.1 billion (average of $5.7 million per project). This GEF funding has been supplemented with $7.1 billion in cofinancing with an average cofinancing ratio of 1 to 6.3. Funding for the energy efficiency portfolio increased steadily from GEF Pilot Phase (1991–1994) to GEF-4. (See Figure 2.) This trend is directly attributable to the increased importance that GEF-recipient countries place on energy efficiency.

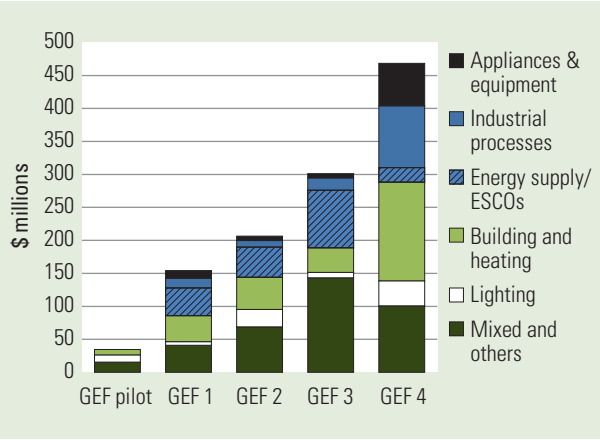
22. Regionally, most of the GEF's climate change investments are in Asia and the Pacific, Eastern

TABLE 3 GEF Financing for SIDS and LDCs on Climate Change Mitigation and Enabling Activities[1]

	GEF Financing for SIDS		GEF Financing for LDCs	
GEF phase	Number of projects	GEF Amount ($ millions)	Number of projects	GEF Amount ($ millions)
GEF Pilot	2	7.8	8	28.0
GEF-1	24	20.5	34	26.1
GEF-2	20	13.5	39	79.8
GEF-3	18	32.8	34	129.0
GEF-4	23	88.8	40	139.4
Total	**87**	**163.4**	**155**	**402.3**

[1] Figures include financing from other focal area in case of multi focal area projects.

FIGURE 2 Level of GEF Financing in Energy Efficiency for Types of Projects

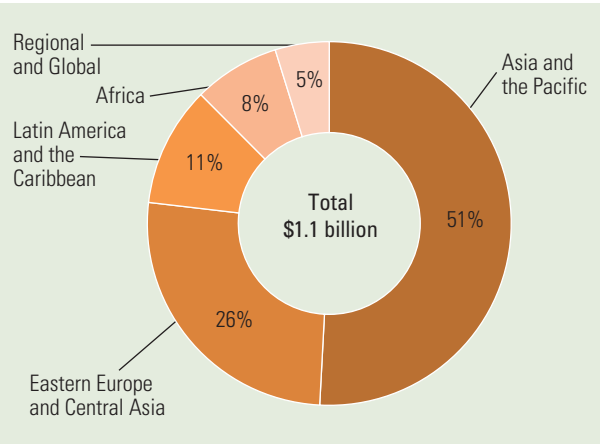


Europe, and Central Asia—reflecting these regions' increased needs for energy, fueled by their high economic growth rates and significant populations. (See Figure 3.)

23. GEF energy efficiency projects span various economic sectors. They are carried out on the municipal, residential, and industrial levels and address market, regulatory, financial, and technological barriers. In addition to building capacity and raising awareness, which are within the scope of all the projects, the GEF relies on the following five general project models to remove existing barriers:

- Projects that focus on policy and regulatory frameworks

FIGURE 3 Regional Distribution of the GEF Projects in Energy Efficiency by Funding Level



- Projects that develop standards and labeling programs
- Projects that rely on market-based approaches
- Projects that establish financial instruments
- Projects that focus on specific sectors and technologies

24. During the GEF Pilot Phase and GEF-1 (1994–1998), the energy efficiency portfolio focused on technology demonstration and policy and regulatory transformation. Under GEF-2 (1998–2002), the distribution was tipped toward technology transfer, standards and labeling, and financial instrument interventions. GEF-3 (2002–2006) was marked by a prevalence of market-based solutions and policy and regulatory transformations.

25. Today, the GEF portfolio focuses on (a) establishing comprehensive standards and labeling programs and regulatory frameworks and (b) demonstrating and deploying energy efficient technologies. In addition, the GEF is expanding the scope of its assistance to encompass more integrated systems approaches, particularly for standards and labeling programs in the industrial and residential sectors.

26. Regionally, Eastern Europe and Central Asia accessed GEF funding mostly during the first three GEF Phases (1994–2006) for projects using market-based or financial mechanisms. Asia and the Pacific (particularly China) also began to receive GEF funding early (in 1991), directing it toward projects dealing with regulatory frameworks, market transformation, and technology transfer. While Asia and the Pacific continued to attract the largest share of GEF funding throughout all GEF phases, the funding share of the economies in transition in Eastern Europe and Central Asia has consistently declined in favor of financing in LDCs, where the focuses of the projects are on regulatory frameworks and market-based approaches, as was the case in the Asian and the Pacific countries in the early GEF Phases.

c. Renewable Energy

27. From 1991 to June 2010, the renewable energy portion of the GEF's climate change portfolio

has included 229 projects funded with $1.2 billion (average of $5.3 million per project). This GEF funding has been supplemented with $7.5 billion in cofinancing. Funding for the renewable energy portfolio increased from the GEF Pilot Phase up to GEF-3. However, it has decreased in GEF-4. (See Figure 4.) This is because of the expansion of the energy efficiency and other portfolios. The high amount of funding directed to renewable energy projects (such as concentrated solar power projects) approved under GEF-3, which are still under implementation, and the decision not to pursue the Strategic Objective for the promotion of off-grid renewable energy technologies (RETs) in GEF-4.

28. Most of the renewable energy investments have taken place in Asia and the Pacific, Africa, and Latin America and the Caribbean. (See Figure 5.)

29. The majority of GEF funding is directed to projects that promote a range of RETs without indicating specific technologies. This is because the GEF's role is to catalyze and transform energy markets generally, not to pick single RETs within the market. That said, however, when local climatic and market conditions clearly favor investing in specific technologies, the GEF has responded effectively by allocating targeted funds.

30. The GEF's catalytic approach to the promotion of renewable energy is multidimensional, mixing interventions that range from "soft" actions (barrier removal and capacity building) to tangible actions (direct financing of investments in RETs). The renewable energy projects undertaken also involve many stakeholders—governments, private firms (manufacturers and dealers), financial intermediaries, recipients of technical assistance, technology suppliers and contractors, and project developers.

FIGURE 4 Level of GEF Financing in Renewable Energy for Groups of Technology

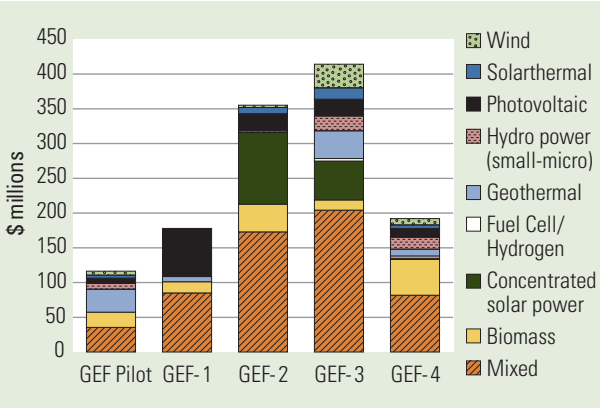
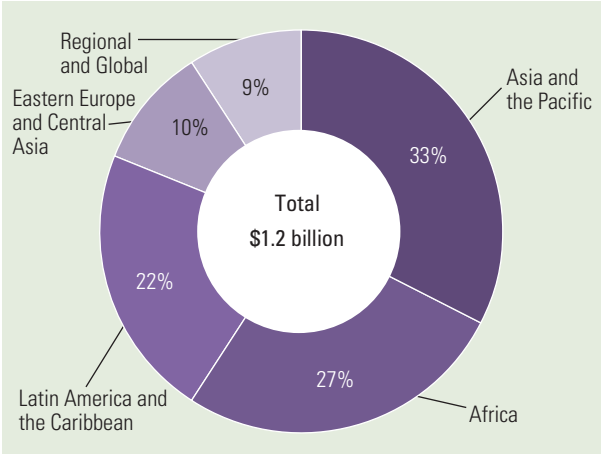


FIGURE 5 Regional Distribution of the GEF Projects in Renewable Energy by Funding Level



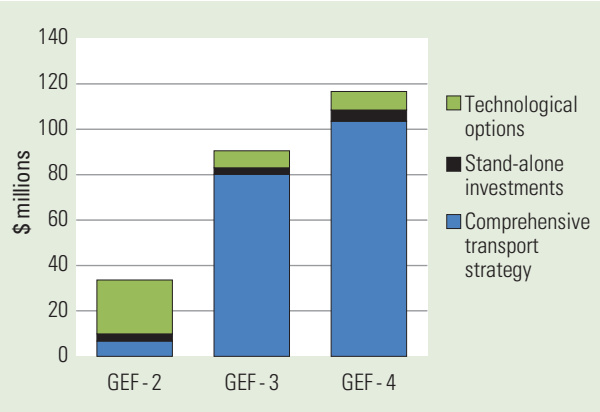
d. Sustainable Urban Transport

31. From 1999 to June 2010, the GEF has approved 45 projects for sustainable urban transport. The GEF has allocated $249 million to these projects (average of $5.5 million per project). This funding has been supplemented by $2.5 billion in cofinancing. This cofinancing ratio of 1 to 9.9 is the highest in all GEF programs as it often requires large-scale investments to develop infrastructures. Funding for sustainable urban transport activities started in 1999 and has continuously increased since then. (See Figure 6.)

32. Most of the sustainable urban transport investments have taken place in Asia and the Pacific, Latin America and the Caribbean, and Africa. (See Figure 7.)

33. The GEF funds sustainable urban transport projects that fall within the following general categories:

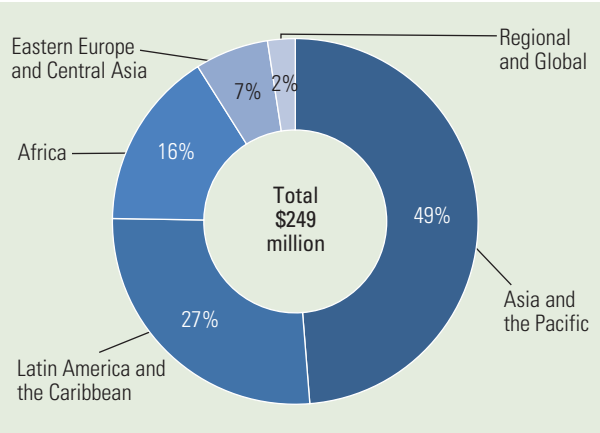
FIGURE 6 Level of GEF Financing in Sustainable Urban Transport for Types of Projects



- Projects focusing on technological solutions, such as fuel cell buses and electric three-wheelers,
- Projects that improve the transport system on an urban scale, either by "stand-alone" investments (public transport infrastructures, nonmotorized transport (NMT) infrastructures), or
- Comprehensive urban strategies, such as urban and transport planning, traffic demand management, public transport infrastructures and fleet improvement, and nonmotorized transport infrastructure.

During GEF-2, the GEF's portfolio focused on technological solutions. Since GEF-3, the focus shifted to comprehensive strategy options. (See Figure 6.) Today, GEF's portfolio focuses on comprehensive transport strategies developed at the city-wide level, including the complementary components that contribute to a modal shift to low greenhouse gas (GHG) intensive transport modes.

FIGURE 7 Regional Distribution of the GEF Projects in Sustainable Urban Transport by Funding Level



34. In addition to these types of projects, the GEF is taking further steps to expand the scope of its assistance to be more comprehensive in its approach. One of the examples is the Global Fuel Economy Initiative (GFEI) Project, which tries to improve fuel economy of light-duty vehicles at the national level in developing countries worldwide.

e. Land Use, Land-Use Change, and Forestry (LULUCF)/Sustainable Forest Management (SFM)

35. The GEF has supported more than 300 projects and programs in the field of Sustainable Forest Management (SFM) since 1991. The GEF has allocated approximately $1.7 billion to forest initiatives, supplemented by more than $5 billion in cofinancing. Also, the GEF has continuously increased its financial flows for forest-related activities. Historically, most of the GEF's investments were dedicated to forest conservation. Although these investments had undoubtedly caused substantial decreases in deforestation and GHG emission rates, the GEF has not been able to exactly quantify the impact of its forest-related activities for climate change mitigation in the past.

36. With regards to SFM, the GEF-4 Phase has been a turning point for the facility and its member countries. The growing international attention given to forests for their potential to mitigate climate change has led to the inclusion of Land Use, Land-Use Change, and Forestry (LULUCF) into the GEF-4 Climate Change focal area strategy. This has allowed recipient countries to use GEF resources to develop policy frameworks to slow the drivers of undesirable land-use changes and to pilot projects to reduce GHG emissions from deforestation. In addition, it opened the way for the GEF to launch a comprehensive SFM Program for GEF-4.

37. COP13 adopted the Bali Action Plan. It calls for consideration of policy approaches to reduce emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks in developing countries, activities which are collectively referred to as REDD-plus. The concepts of REDD and REDD-plus continue to evolve. Through its SFM Program,[4] the GEF has provided substantial resources for piloting projects on REDD-plus. In that context, the GEF has also launched a $50 million initiative at COP13 to protect forest ecosystems and their carbon stocks in the three regions of large and mainly intact tropical forests (Amazonia, the Congo Basin, and Papua New Guinea/Borneo). This initiative, which became known as the Tropical Forest Account (TFA), was designed as a major REDD-plus experiment. Incorporating funding and knowledge from different GEF focal areas, the TFA showed that REDD-plus interventions can be customized to go beyond carbon mitigation by also addressing multiple environmental and social benefits, such as biodiversity protection, soil erosion control, or income generation. In the frame of the TFA, the GEF has joined with the Forest Carbon Partnership Facility (FCPF), the UN-REDD Programme, and other key stakeholder groups, such as the Coalition for Rainforest Nations, in a project designed to develop capacities of non-Annex I countries for climate change mitigation through sustainable management of forests.

38. Launching the SFM program has also allowed the GEF to finance and monitor a wider range of SFM activities in a more coherent way. The SFM program is actively taking early action in the LULUCF/REDD-plus arena through programmatic approaches, such as a $50 million SFM initiative in the Congo Basin, and through individual projects in key forest countries, such as Brazil. The GEF has also invested $5.5 million in an ambitious initiative that will greatly improve the ability to measure carbon benefits from SFM. In that context, the GEF is currently working with a wide range of partners on the development of a reliable methodology to estimate and model carbon stocks and flows in GEF projects. The results derived from the project will not only address the needs of the GEF and its Agencies to assess carbon benefits from the beginning of GEF-5 onwards, but also pave the way for developing countries to engage in the emerging carbon markets with LULUCF activities.

39. Between July 2009 and June 2010, the GEF participated in several international fora focusing on REDD-plus. The GEF, for example, represented the International Organizations Group of the FCPF consisting of 16 multilateral and regional organizations at FCPF Participants Committee and Participants Assembly meetings. In addition, the GEF acted as an observer at UN-REDD Programme Policy Board meetings and Forest Investment Program (FIP) Sub-Committee meetings. In these fora, the GEF has played an important role in continuously advocating the need for the creation of multiple environmental benefits in the frame of REDD-plus programs and projects.

f. Achievements during the Reporting Period

40. During the reporting period (from July 1, 2009, to June 30, 2010), the GEF allocated $299.4 million from the GEF Trust Fund to 98 projects in the climate change focal area, including 6 enabling activities, 66 full-sized projects (FSPs) and 26 medium-sized projects (MSPs). (See Table 4.) These projects will leverage approximately $1.7 billion in cofinancing from the governments of the recipient countries, the private sector, the GEF Agencies, other multilateral and bilateral agencies, and nongovernmental organizations (NGOs). There were also three projects on climate change mitigation and enabling activities funded from the SCCF, for which further explanations are given in the sec-

[4] Although the Bali Action Plan uses the term sustainable management of forests, GEF has long used the term Sustainable Forest Management (SFM).

TABLE 4 Climate Change Projects under the GEF Trust Fund from July 1, 2009, to June 30, 2010

	Number of projects	GEF amount ($ millions)
Enabling activities	6	47.5
Full-sized projects	66	225.1
Medium-sized projects	26	26.8
Total	98	299.4

tions "Technology Transfer" and "Special Climate Change Fund (SCCF)." For project summaries, please see Annex 1 and 2.

41. The approved projects during the reporting period are distributed across countries in six different regions. Out of the 98 projects, 32 are in Asia and the Pacific, 23 are in Latin America and the Caribbean, 22 are in Africa, and 14 are in Europe and Central Asia, while 7 are global and regional projects.

42. The projects are categorized according to the six Strategic Programs that form the basis for mitigation programming for the GEF-4 period, as follows: 31 projects fall under Energy Efficiency in Buildings (Strategic Program (SP) 1); 13 under Energy Efficiency in Industry (SP2); 29 under Renewable Energy (SP3); 21 under Energy Production from Biomass (SP4); 12 under Sustainable Urban Transport (SP5); and 10 under the LULUCF strategic program (SP6), respectively.[5] There are also four projects supporting the preparation of the National Communication (Argentina, Brazil, Turkey, and Mexico), one project supporting Technology Needs Assessment (TNA) in China, and one project supporting mitigation options of GHG emissions in key sectors in Brazil.

43. The projects are distributed over all 10 GEF Agencies. UNDP has the largest share in terms of number of projects: 32 out of the 98 approved projects are with UNDP. This is followed by the World Bank (20), UNIDO (13), UNEP (11), IDB (8), IFAD (4), ADB (3), AfDB (2), EBRD (1), and FAO (1). There are three additional joint projects: one with UNDP-UNEP, one with UNDP-FAO, and one with World Bank-IDB.

44. 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 National Communications. During the reporting period, the GEF provided a total of $6.1 million of project preparation grants (PPGs) for the development of 67 climate change mitigation projects from the GEF Trust Fund.

2. TECHNOLOGY TRANSFER

45. 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 coming from the SCCF. For more information on SCCF, please see the Section "Special Climate Change Fund."

46. CCOP14 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 environmentally sound technologies to developing countries, while recognizing the contribution that this program could make to enhancing technology transfer activities under the Convention. There are three funding windows to support technology transfer under the Poznan Strategic Programme, namely (1) technology needs assessments; (2) piloting priority technology projects linked to TNAs; and (3) dissemination of GEF experience and successfully demonstrated Environmentally Sound Technologies (ESTs).

[5] Nineteen of these projects fall under more than one strategic program.

47. COP decision 2/CP.14 on development and transfer of technologies requested the GEF to report to COP16 on the process made in carrying out the activities listed below and to provide interim reports to the Subsidiary Body for Implementation at its thirtieth and thirty-first sessions (SBI 30 and SBI 31):

- To promptly initiate and expeditiously facilitate the preparation of projects for approval and implementation under the Strategic Program
- To collaborate with the GEF Agencies in order to provide technical support to developing countries in preparing or updating their TNAs
- To consider the long-term implementation of the Strategic Program

48. In accordance with decision 2/CP.14, the GEF presented interim reports to SBI 30 and SBI 31, respectively, on the progress made in carrying out the Poznan Strategic Program on Technology Transfer.

49. Subsequently, the conclusions of SBI 31 (FCCC/SBI/2009/L.18) invited the GEF to provide a report on the progress made on the implementation of this program at SBI 32, including reporting on the long-term aspects of the Poznan Strategic Program.

a. Technology Transfer Pilot Projects

50. Guided by the COP decision 2/CP.14, the Call for Proposals for technology transfer pilot projects under Window 2 of the Poznan Strategic Program was issued in March 2009 by the GEF CEO and closed in September 2009. Fourteen proposals of technology transfer pilot projects were prioritized for funding, including 13 FSPs and one MSP. Total GEF funding for the 14 pilot projects amounts to $58 million, and total cofinancing for these projects comes to more than $195 million.

51. The technologies targeted by these projects for development and transfer are diverse and innovative. They include technologies on renewable energy (solar, biomass, wind, wave, and hydrogen production and storage), energy efficiency (insulation materials, and efficient and hydrofluorocarbon-free appliances), transport ("green" trucks), composting, carbon capture and storage from sugar fermentation, and membrane drip irrigation (for adaptation). The projects come from 16 countries in Africa, Asia and the Pacific, Latin America and the Caribbean, and Europe and Central Asia.

52. As of March 2010, GEF Agencies charged with implementing the technology transfer pilot projects have reported considerable progress in project preparation.

b. Technology Needs Assessments

53. The TNA project concept, under Window 1 of the Poznan Strategic Program, was approved by the LDCF/SCCF Council in April 2009 (which was reported by the GEF to SBI 30). Based on this TNA project concept, UNEP, as the GEF Agency, developed a full project document, which was endorsed by the GEF CEO in September 2009. Project implementation by UNEP started in October 2009 and is scheduled for completion within 30 months.

54. The TNA project aims to provide targeted financial and technical support to assist 35 to 45 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. The project seeks to use methodologies in the updated TNA Handbook, which became available in May 2010.

55. Key areas of progress that have been achieved include the following:

- Fifteen countries have been selected as first round participating countries in early 2010. They are: Argentina, Bangladesh, Cambodia, Cote d'Ivoire, Costa Rica, Georgia, Guatemala, Indonesia, Kenya, Mali, Morocco, Peru, Senegal, Thailand, and Vietnam.
- The second round participating countries will be selected in the second half of 2010.

- A project management committee and project implementation teams have been formulated by UNEP.
- A Project Steering Committee (PSC) has been constituted by UNEP, consisting of representatives of the GEF Secretariat, the Expert Group on Technology Transfer (EGTT), the UNFCCC Secretariat, UNEP, UNDP, UNIDO, the World Bank, and UNEP Risoe Centre.
- The second PSC meeting was held in June 2010 to assess the project progress and to discuss country concerns and feedback. The third PSC meeting is planned in late November 2010.
- The TNA project was presented by UNEP at a side event in the margins of COP 15 in Copenhagen.
- A technical workshop was organized by UNEP on February 17–18, 2010, in Paris where representatives from 14 countries participating in the first round of TNA implementation attended and made presentations.
- Country work plans containing all the required activities to implement a quality TNA project have been devised and will be finalized for each country based on feedback from the country.
- Training materials, database, and a website are being developing by the UNEP implementation team, in collaboration with other relevant agencies and stakeholders.
- Country missions have been undertaken by UNEP to conduct stakeholder consultations and finalize work plans in the first round countries.
- Regional capacity building workshops in Asia, Africa, and Latin America for the first round countries have been organized in September 2010. The workshops focus on the technical support and stakeholder engagement process, which have been identified by UNEP and UNDP as two key themes in the review of first round TNAs, and learning from UNFCCC TNA Best Practices workshop and documents.

c. Long-Term Implementation of the Poznan Strategic Program

56. The long-term aspects of implementing the Poznan Strategic Program are reflected in the GEF-5 Climate Change Mitigation Strategy. The entire GEF climate change portfolio can be characterized as supporting technology transfer as defined by the IPCC and the technology transfer framework outlined by the COP. The 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 and practices. The GEF will continue to fund the preparations and updating of TNAs, especially for countries have not been supported for TNAs from GEF-4, in accordance with Convention guidance. Technology transfer projects aimed for support by the GEF should be consistent with the priorities identified in the TNAs, National Communications, or other national policy documents. Furthermore, the GEF is well positioned and ready to support technology centers and networks at the global, regional, and national levels, in accordance with Convention guidance as well as priorities of the GEF recipient countries.

57. The GEF has recently launched a project on dissemination of GEF experiences and successfully demonstrated ESTs, under Window 3 of the Poznan Strategic Program. The project is managed by the GEF Secretariat in collaboration with relevant GEF agencies and other interested parties. The project aims to generate 8 to 10 case studies and modules related to ESTs demonstrated through GEF projects in key sectors and to engage representatives of national agencies, GEF agencies, and other partners in technology exchange and dissemination activities. This project will analyze GEF experiences to date and articulate lessons learned, including programming gaps and how to address them, so as to benefit the design of new projects in the longer term. Through this project, the GEF Secretariat plans to establish collaboration linked to the ongoing and emerging initiatives of the UNFCCC and other partners. The target outcome of this project is the development of 10 to 15 technology transfer proposals for funding by the GEF and other sources of funding.

3. CLIMATE CHANGE ADAPTATION

58. The GEF received a mandate from the UNFCCC in 2001 to finance adaptation projects on the ground. Since then, the GEF has been a pioneer within the area of climate change adaptation, and has been one of the very first international institutions to provide financing for concrete on-the-ground adaptation activities. In response to the Marrakech Accords guidance (COP7, 2001), the 'Strategic Priority for Adaptation' (SPA), a $50 million pilot within the GEF Trust Fund, was established. It has since then financed 26 innovative adaptation pilot projects to mainstream adaptation, while generating global benefits within the GEF focal areas: biodiversity, climate change, land degradation, international waters, persistent organic pollutants, and ozone depletion.

59. In 2001, the GEF was also entrusted with the management of the two new climate change funds established by the UNFCCC: the LDCF and the SCCF. For both funds, adaptation is the top priority. Since their inception, the LDCF and SCCF have mobilized more than $300 million from donors and supported 58 projects in 62 developing countries and more are still coming.

60. These projects are some of the first in the world tackling the actual impacts of climate change across development sectors, such as agriculture and food security, water management, disaster risk management, coastal zone management, health, and the sustainable management of ecosystems. Thanks to these early projects, developing countries are now gaining their first experiences on how to address the impacts of climate change, and are already actively working to reduce the vulnerability of some of the world's poorest and most vulnerable communities.

a. GEF Trust Fund – Strategic Priority for Adaptation (SPA)

61. Climate change poses a serious additional risk to the ecosystems of global significance targeted by GEF projects under the focal areas of biodiversity, climate change mitigation, land degradation, international waters, persistent organic pollutants and ozone depletion. However, very little knowledge existed on how such global environmental assets could be made more resilient to the impacts of climate change, and practically no GEF investments took climate change impacts into consideration when designing their projects. With 26 projects covering 54 countries around the globe, the SPA has thus been a truly groundbreaking initiative, financing some of the first concrete adaptation projects globally and implementing measures for the specific purpose of reducing vulnerability and increasing the adaptive capacity of vulnerable communities and the ecosystems on which they depend. Both geographically and thematically, the SPA has had a very broad scope, covering a range from impacts of climate change on post tsunami coastal restoration in Sri Lanka to over dryland management, to the prevention of desertification in Sub-Saharan Africa, and to the protection of coral reefs in the Pacific Coral Triangle.

62. As initial lessons from these pilot projects begin to materialize, valuable knowledge is generated, which will inform not only future investments under the GEF, but also the global effort to combat the impacts of climate change on environment and livelihoods. The next step of this process will be to utilize the experiences gained in the SPA to integrate climate change adaptation as a natural element of all future GEF projects.

b. Least Developed Countries Fund (LDCF)

63. The LDCF was created in 2001 to support the special needs of the LDCs under the UNFCCC with the priority of preparing and implementing National Adaptation Programmes of Action (NAPAs). To date, the GEF has mobilized more than $200 million for this purpose, and the NAPA process is now at an advanced stage with many NAPA projects already under implementation. Specifically, since its creation, the LDCF has funded the preparation of 48 NAPAs, of which 44 have now been completed, while the remaining few are in the last stages of preparation. Thirty-eight countries have officially submitted one or

more NAPA implementation projects to the GEF, of which 36 projects have now been approved for funding (totaling around $130 million). Of these, 18 projects have now started implementation on the ground, generating real adaptation benefits to some of the world's poorest and most vulnerable communities.

64. The process of converting NAPAs into actual projects on the ground has accelerated dramatically over the past two years as more and more NAPAs have been completed and as countries and the GEF Agencies have gained more practical experience on designing adaptation projects. Furthermore, the GEF has continuously strived to improve the operating procedures of the LDCF to take into account the special needs and capacities of the LDCs as well as the need to further expedite the access to NAPA implementation resources. This rapid progress seen over the last few years is particularly impressive considering the often low capacity of the countries involved and demonstrates that LDCs are global frontrunners when it comes to integrating climate change agenda into the development process. The LDCF's performance and continued importance in the global adaptation financing regime has also been recognized both by the SBI Chair's draft conclusion at COP15, at the 17th Meeting of The Least Developed Countries Expert Group (LEG), and in a recent independent evaluation by the Danish International Development Agency (DANIDA).[6]

65. Early analysis of the LDCF portfolio suggests that agriculture and water management have by far been the most important project components funded to date. This is hardly surprising given the crucial importance of the two sectors in most LDCs, and that these sectors are often especially vulnerable to the impacts of climate change and variability. However, other sectors, such as disaster preparedness, coastal zone management, health, and infrastructure have also been targeted in the GEF adaptation portfolio.

c. Special Climate Change Fund (SCCF)

66. The SCCF was created in 2001 to address the special needs of developing countries under the climate regime, and gave the highest priority to adaptation needs. The GEF has since mobilized close to $150 million for the SCCF, of which $130 million has been for the adaptation window, and this in turn has materialized a global portfolio of 22 projects covering 34 countries. The SCCF remain the only international adaptation funding source open to all developing countries that was established under the UNFCCC, and the demand for SCCF resources have been, and continues to be very high. A large pipeline of unfunded projects is currently on hold because of financial constraints.

67. As is the case in the LDCF, a large portion of the projects funded to date has been focused on food security and water issues, but recent trends has also shown an increasing trend towards projects targeting disaster risk management, coastal zone management and health. Recent additions to the SCCF portfolio include a project in Ghana aimed at reducing the long term risk of climate change impacts on such diseases as malaria, diarrheal diseases, meningococcal meningitis, and asthma. A project in Thailand seeks to reduce the long-term impacts of climate change induced increases in storm activity, flooding, and others in coastal communities that were severely affected by the tsunami in 2004. Geographically, the portfolio is also quite varied with approximately equal resources having been programmed in Africa, Asia/Middle East, Latin America, and SIDS.

d. Achievements during the Reporting Period

GEF Trust Fund–Strategic Priority for Adaptation (SPA)

68. Under the SPA, two projects were CEO endorsed in the reporting period: one in Yemen

[6] 'Joint External Evaluation: Operation of the Least Developed Countries Fund for Adaptation to Climate Change' Published by the Evaluation Department, Ministry of foreign Affairs/DANIDA. Available at: http://www.um.dk/en/menu/DevelopmentPolicy/Evaluations/Publications/ReportsByYear/2009/2009.08+Joint+External+Evaluation+Operation+of+the+Least+Developed+Countries+Fund+for+Adaptatio.htm.

and the other in India, the latter of which was approved earlier in the reporting period. Two regional SPA projects (one in South East Asia and one in the Pacific) are expected to be endorsed before the end of 2010. As these projects will be the last two to be endorsed under the SPA program, it is expected that all SPA projects will be in the implementation stage by the end of 2010. SPA will be undergoing an evaluation by the GEF Evaluation Office (GEF EO).

Least Developed Countries Fund (LDCF)

69. During the reporting period, three additional NAPA have been completed (Afghanistan, Chad, and Togo), bringing the total of completed NAPAs to 44. To date, the countries that have completed their NAPAs are the following: Afghanistan, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Cape Verde, Central African Republic, Chad, Comoros, Democratic Republic of the Congo, Djibouti, Eritrea, Ethiopia, Gambia, Guinea, Guinea Bissau, Haiti, Kiribati, Lao People's Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Maldives, Mali, Mauritania, Mozambique, Niger, Rwanda, Samoa, Sao Tomé and Principe, Senegal, Sierra Leone, Solomon Islands, Sudan, Togo, Tuvalu, Uganda, United Republic of Tanzania, Vanuatu, Yemen, and Zambia.

70. During the reporting period, the GEF allocated $26.2 million from the LDCF to seven FSPs for climate change adaptation. These projects will leverage approximately $51 million in cofinancing from the governments of the recipient countries, the GEF Agencies, other multilateral and bilateral agencies, and NGOs. For project summaries, please see Annex 2.

71. Out of the seven FSPs approved during the reporting period, three are in Africa, two are in East Asia, and two are in the Pacific.

72. In addition, eleven project proposals, totaling $41.8 million in LDCF grants, were CEO endorsed during the reporting period, thus beginning implementation and generating adaptation benefits for some of the most vulnerable people in the world. Including the approved projects in the reporting period, the total of approved and CEO-endorsed projects in the LDCF is now more than $130 million.

Special Climate Change Fund (SCCF)

73. The SCCF finances activities related to climate change that are complementary to those funded by the GEF Trust Fund:

a. Adaptation to climate change
b. Technology transfer
c. Energy, transport, industry, agriculture, forestry, and waste management
d. Economic diversification[7]

74. During the reporting period, the GEF allocated $6.2 million from SCCF to three projects, leveraging approximately $20.8 million in cofinancing from the governments of the recipient countries, the GEF Agencies, other multilateral and bilateral agencies, and NGOs. For project summaries, please see Annex 2. Please also see the Section "Technology Transfer" for projects on technology transfer.

75. The approved projects in the SCCF adaptation program are 22 (16 FSPs and 6 MSPs) totaling $92 million, and under the Poznan Strategic Program on Technology Transfer are three totaling $14 million. All available SCCF adaptation resources have been programmed (with the last of the available funding, received through a recent encashment, tentatively allocated for proposals that are being processed and will be submitted for Council approval at the November SCCF Work Program.), except for $2.9 million. The GEF has not received any project proposals for consideration for SCCF windows c and d.

[7] Initially, the GEF received guidance from the COP to craft funding guidelines for items (a) and (b), only. At COP 12, the GEF Secretariat received additional guidance on how to operationalize a program in the areas of (c) and (d). The subsequent results can be found in document GEF/LDCF.SCCF.2/4/Rev.1, Programming to Implement the Guidance for the SCCF adopted by the COP 12.

4. PROGRAMMATIC APPROACH

76. The GEF Secretariat, in collaboration with the GEF Agencies, has initiated several regional and multicountry programs to help especially LDCs, SIDS, and countries in Africa to mobilize resources from the GEF and other sources to fund projects in those countries. Three such programs merit particular mention: (1) the Pacific Alliance for Sustainability (PAS); (2) the Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa (SIP); and (3) the West Africa Program.

Pacific Alliance for Sustainability (PAS)

77. Recognizing the difficulties that Pacific Island Countries have in accessing GEF resources, the GEF has launched the Pacific Alliance for Sustainability (PAS) Program. The PAS currently consist of a total of 31 projects with approximately $100 million funding from the focal areas of climate change, biodiversity, international waters, and persistent organic pollutants. The PAS includes the following 15 Pacific Island countries: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor Leste, Tonga, Tuvalu, and Vanuatu.

78. The PAS was developed in close and extensive consultation with Pacific Island Country officials and experts. Among the projects anticipated, seven projects will address climate change adaptation, and five projects will address climate change mitigation. The mitigation projects will aim to promote renewable energy and energy efficiency in the participating countries, while the adaptation projects will focus on adaptation issues in a variety of sectors, such as water resources, coastal zone management, and agriculture. So far, a total GEF funding of $95 million has been approved under this program.

Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa (SIP)

79. The Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa (SIP) is a response from the GEF to support Sub-Saharan African countries in pursuing the multi-sector, long-term programmatic approaches needed to scale up Sustainable Land Management (SLM). The SIP aims to directly contribute to the implementation of the national action programs to combat desertification. The projects under SIP will pay specific attention to "climate proof" SLM investments. In June 2007, the GEF Council approved the SIP's programmatic framework and an accompanying portfolio of planned projects to be initiated in 2007–2010, amounting to an overall GEF investment of $150 million during GEF-4.

80. The full SIP portfolio includes a mix of country operations (28), multicountry operations (7), and regional operations (2), and covers 29 countries. Out of the 37 approved projects, 31 have been endorsed. These projects support Burundi, Comoros, Djibouti, Eritrea, Ethiopia, Gambia, Ghana, Kenya, Lesotho, Madagascar, Malawi, Mali, Mauritania, Niger, Nigeria, Rwanda, Senegal, South Africa, Sudan, Swaziland, Tanzania, and Uganda. The six additional projects will support additional countries, as well as regional and civil society organizations.

West Africa Program

81. The West Africa Program is a GEF initiative that consists of a biodiversity component and a climate change component (with a focus on energy). The program covers a total of 18 countries in the region: Benin, Burkina Faso, Burundi, Cape Verde, Chad, Cote d'Ivoire, the Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Mauritania, Niger, Nigeria, Senegal, Sierra Leone, and Togo. The total indicative GEF financing for this program is $84.1 million, including $45.3 million for the climate change/energy component and $38.8 million for the biodiversity component.

82. The development of the West Africa Program has been based on extensive consultation with the ministers and other senior officials and technical experts from the countries in the region. A list of priority projects for each country was endorsed at a ministerial-level meeting in Cotonou, Benin, in August 2008. The Programmatic Framework Document of the West Africa Program was approved by the GEF Council in November 2008.

83. In February 2010, the government of Benin offered to host a follow-up ministerial level meeting to take stock of the implementation of the West Africa Program and consider perspectives for GEF resource programming during the GEF-5 period. At the end of the reporting period (on June 30, 2010), 22 projects were approved, with a total GEF funding of $38.9 million.

5. EARTH FUND

84. The Earth Fund is a public-private partnership initiative aimed at enhancing private sector engagement in the activities of the GEF. It was launched in cooperation with the International Finance Corporation (IFC) at COP13 in Bali (December 2007). The Earth Fund was capitalized with $50 million approved by the GEF Council, with another $10 million contributed by IFC. An additional $80 million has been allocated for private sector outreach in GEF-5.

85. The Earth Fund mobilizes capital for innovative projects, technologies, and business models that will contribute to the protection of the global environment and, thereby, promote sound and sustainable economic development.

86. The Earth Fund is managed based on the concept of "Platforms," under which a portfolio of individual activities or projects is managed. This streamlined delegated structure allows projects to be approved by the entities that manage the Platforms. Mobilization of cofinancing of at least three times the GEF funding is required.

87. Project activity within Platforms can include any of the GEF focal areas or cross-cutting initiatives. The majority of the funding to date has been directed towards climate initiatives.

88. The IFC Earth Fund Platform is the largest operational Platform of the Earth Fund. The Council has already approved $30 million from the Earth Fund for the IFC Platform. IFC has already approved several projects in the climate arena, including a clean tech equity investment in China, energy efficiency lending in Vietnam, debt participation in a sustainable energy fund in Africa, a global clean tech venture capital fund, subordinated debt to a privately sponsored solar power project in Bulgaria, and several advisory initiatives. To date, all of the approvals under the IFC Platform have been for climate initiatives.

89. Four additional platforms have been approved, which fully utilizes the $50 million already approved by the GEF Council for GEF-4. One of these is a climate initiative, titled "Global Market Transformation for Efficient Lighting," where $5 million of core GEF funding is being managed by UNEP. Signed letters evidencing cofinancing commitments from Osram and Philips are already in place. Phasing out incandescent lighting has been an important focus of GEF-4.

6. NATIONAL COMMUNICATIONS[8]

Achievements on National Communications

90. As of June 2010, 143 non-Annex I Parties have received GEF funding for the preparation of their National Communications to the UNFCCC. All requests to support National Communications were met by the GEF. This includes five Parties with FSPs. In this reporting period, 12 Parties (Albania, Bolivia, Congo, Costa Rica, Cote d'Ivoire, Democratic Republic of Congo, Dominican Republic, Georgia, Jordan, Niger, Moldova, and United Arab Emirates) have submitted their Second National Communications (SNCs) to the UNFCCC. Mexico submitted its Fourth National Communication, while Bosnia and Herzegovina submitted its Initial National Communication (INC). For country-by-country details, please see Annex 3.

91. All the National Communications projects, currently under implementation are at different stag-

[8] The GEF compiled this information from inputs provided by UNDP and UNEP.

es of progress. Seventy-four Parties expect to have a draft National Communication report completed by end of 2010, while 32 Parties have reported that a draft report will be completed in 2010. Fourteen Parties would complete their National Communications by 2011 and remaining four by 2012.

92. In responding to the SBI 32 conclusions on concerns about the way the GEF Implementing Agencies are disbursing funds for National Communications, the GEF is now liaising with its Agencies about their disbursement patterns and improving disbursement rates.

93. The GEF will submit an addendum to its COP-16 report, prepared in collaboration with UNDP and UNEP, which updates the COP on the status of National Communications from non-Annex I Parties, including the approximate date of submission of the National Communication.

Appropriate assistance to non-Annex I Parties in formulating and developing project proposals identified in their National Communications

94. The GEF through its Agencies provides assistance to countries in formulating project proposals identified in their National Communications in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2.

95. The GEF Agencies work with the countries in order to identify and formulate project proposals. This active collaboration aims to secure that the proposals will be country driven and consistent with the priorities or programs of the countries, as they are identified in their National Communications and other national strategy papers. The GEF Agencies support the countries during the formulation and the development of proposals through the implementation of capacity building activities (as described in detail in the next paragraphs) and bilateral communications.

96. In order to submit any project proposal for approval, the GEF Agencies have to ensure its consistency with the country's national priorities. The country confirms its endorsement of the proposal by providing a letter signed by the GEF Operational Focal Point. Following the proposal submission, the GEF Secretariat in order to approve it 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 the national priorities, including those identified in their national communications.

97. Under the GEF-5, the GEF has introduced a scheme of National Portfolio Formulation Exercises (NPFE) that can be undertaken by all the countries on voluntary basis and could serve as a basis for seeking GEF support. National Portfolio Formulation Exercises provide additional opportunities for the countries to formulate and develop project proposals identified in their National Communications. In addition, the GEF will utilize other assessments supported within the Convention framework, such as the TNAs, to inform project proposal development on a voluntary basis.

National Communications Support Program (NCSP)

98. The GEF approved $58.5 million to support non-Annex I Parties to prepare their second national communications (SNCs) in April 2004. Demand for technical support under this program, called the National Communication Support Programme (NCSP), has continued over the reporting period, and non-Annex I Parties have continued to make progress in completing their SNCs. To this end, NCSP has continued to offer support including the organization of workshops on the preparation of SNCs, technical trainings geared towards enhancing national capacities in preparing different elements of the National Communications, and technical review of elements of the SNC reports, among other activities.

99. Responding to the needs of specific countries and regions, NCSP organized three technical training workshops over the reporting period. The first, which took place in Malaysia, focused on vulnerability and adaptation (V&A) assessments in the context of National Communications for countries

in Asia. The second, occurring in Fiji, was a follow-up workshop to empower national SNC project staff and thematic working groups with knowledge and skills necessary to update national GHG inventories and conduct mitigation and V&A assessments. The third workshop, taking place in Niger in May 2010, provided technical hands-on training on the use of the PRECIS modeling system,[9] and was a response to the needs of a number of African countries for capacity building in the area of climate scenarios development. NCSP intends to continue holding workshops and trainings in the coming year to further support countries in completing their SNCs.

100. The NCSP provided technical reviews of 15 draft reports on different thematic areas of the National Communication (national circumstances, GHG inventory, climate scenarios, sectoral V&A assessments, and mitigation analysis).

101. The NCSP continues to provide on-line backstopping to countries for the preparation of their National Communications, fielding over 120 country queries over the reporting period. Support includes guidance on methodological issues, identification and recommendation of regional/international consultants for in-country support, advice and examples on how to address specific gaps, and organization of targeted assistance, among others.

102. The NCSP re-launched its newsletter in an effort to further support and engage local experts and practitioners. Unlike in the past, the NCSP Newsletter is now published bimonthly, including excerpts from completed National Communications in an effort to highlight best practices, as well as information on resources and upcoming events.

103. In addition to the NCSP newsletter, and in an effort to provide additional resources to countries completing their National Communications, NCSP has redesigned their website. The website is still being improved, but is expected to be fully functional by the end of the year. In the meantime, interested Parties have access to numerous knowledge products in the thematic areas of greenhouse inventories, V&A, mitigation analysis, TNAs, and mainstreaming climate change.

104. During the reporting period, NCSP has begun two targeted backstopping initiatives to better support the completion of National Communications. In the first initiative, NCSP is culling information from the bi-annual status surveys (collected for GEF reports to the COP) and following up individually with countries that are seeking additional support. In the second initiative, NCSP has allocated additional funding to support the completion of stalled SNCs and is working directly with country teams to devise tailored strategies to address these and emerging challenges hampering effective work delivery. Through this strategy, NCSP tries to reach countries that are facing technical challenges in completing their SNC. Priority is also given to countries that are still preparing their INCs.

105. During discussions on the GEF's Fifth Replenishment, Participant countries noted that funding of national communications is a fundamental obligation of the GEF to the UNFCCC. As such, Participants identified continued support for enabling activities, specifically National Communications, as one of the GEF's six core objectives in its climate change focal area strategy. Participants noted that National Communications have played a foundational role in non-Annex I countries in terms of improving policies and regulatory frameworks and supporting and national priority setting and capacity development.

106. GEF-5 Replenishment Participants and the GEF Council have approved several important changes aimed at improving how assistance is delivered to countries to support the development of national communications. First, under the GEF's new system for allocating resources to countries, STAR,

[9] PRECIS is a regional climate modeling system developed at the Hadley Centre at the UK Met Office in order to help generate high-resolution climate change information for as many regions of the world as possible.

$80 million in resources have been set aside under the climate change focal area, outside of national indicative climate change allocations, to support enabling activities that are UNFCCC obligations, particularly National Communications. This will enable the GEF to provide up to $500,000 to eligible countries to support development of their National Communications on an expedited basis, in addition to their indicative climate change allocations. As in the past, those countries requiring more than $500,000 can request additional resources from their indicative national allocations.

107. An additional, noteworthy reform is that in June 2010, the GEF Council approved procedures and guidelines for countries to access resources for National Communications directly from the GEF without having to go through a GEF Agency. The policies and procedures that countries will use to access GEF resources directly are contained in the GEF Council paper titled: "Policies and Procedures for the Execution of Selected GEF Activities—National Portfolio Formulation Exercises and Convention Reports—with Direct Access by Recipient Countries:." http://www.thegef.org/gef/sites/thegef.org/files/documents/C.38.6.Rev_.1-Policies_and_Procedures_for_Direct_Access_Final Revised_July 01_2010.pdf. During GEF-5, non-Annex I countries will also have the option to continue to receive resources and technical support for national communications through GEF Agencies as is current practice.

7. OTHER INITIATIVES DURING THE REPORTING PERIOD

108. In addition to the activities explained above, the GEF has conducted many initiatives to deliver global environmental benefits in the field of climate change. The following sections explain what has been done during the reporting period.

a. Haiti Emergency Project

109. In responding to the catastrophic earthquake that hit Haiti in January 2010 and destroyed most of the electricity grid and local power plants, the GEF has moved very quickly to support the people and approved an emergency project to provide off-grid electricity and assist relief workers as they look to supply critical medical needs to survivors.

110. The $3 million effort, cofinanced with matching grants from the IDB and the World Bank, has promoted the use of solar energy to produce electricity for medical centers, vaccine refrigeration, and other critical relief efforts. Hand-cranked lanterns were also distributed in refugee camps and residential areas.

111. As part of the rebuilding process, the GEF's two agencies, the IDB and the World Bank, have established a team to coordinate emergency response activities in Haiti's energy sector. This project is part of both institutions' initial response for assessing the energy sector's reconstruction and recovery needs in the earthquake area, particularly for power generation and lighting.

112. Along with the obvious humanitarian benefits of supplying off-the-grid electricity, there is an environmental plus as well: Port au Prince now relies mainly on fossil fuel-based energy sources, and any substitution with renewable energy (in this case, solar power) will reduce GHG emission.

b. World Events

113. World events hosted by developing countries and economies in transition present a unique opportunity to showcase environmentally sound technologies and practices. The GEF provides financial support to projects that help these countries address the infrastructure needs of world events in a sustainable way. During the reporting period, the GEF supported two major world events: World Expo 2010–Shanghai, China; and the 2010 FIFA World Cup, South Africa.

114. China served as the first developing country to host a registered World Exposition by hosting Expo 2010 in Shanghai with the theme "Better City, Better Life." The GEF supported a project

to catalyze the cost reduction and encourage the adoption of energy-efficient fuel cell buses for public transit in Chinese cities. This pilot project, which began with a demonstration at the Olympics in Beijing, entered its second demonstration phase at the World Expo in Shanghai. As a part of this phase of the project, six hydrogen-powered fuel cell buses served the fleet of zero-emission buses, shuttling visitors along the main bus route at the Expo. These green, hi-tech, and energy-efficient vehicles serve as vivid examples of how cities can become greener, better cities that provide better lives for their citizens. This demonstration and other sustainable transport solutions were also being showcased in a GEF exhibit at the Expo called "The Green Line," which displayed information on the GEF's work in climate change. The fuel cell bus demonstration project will be multiplied in additional Chinese cities in an effort to mainstream sustainable transport.

115. The 2010 FIFA World Cup has the largest estimated carbon footprint of any major event that has a goal to be climate neutral—an estimated 0.9 Mt CO_{2eq}, with an additional 1.9 Mt CO_{2eq} and 0.34 Mt CO_{2eq} emitted by international travel and accommodation, respectively (Norad, 2009[10]). Recognizing these issues and the fundamental role of a smoothly functioning transportation system for the 2010 World Cup, the GEF leveraged funding to help improve and promote environmentally sound public transport in South Africa. Implemented by the South African Department of Transport, this project included support for improving urban transport service and systems, improving coordinated and integrated transport planning, and strengthening technical capacity within the South African transport sector.

116. In addition, the GEF leveraged funding to promote use of energy-efficient and low carbon emission technologies and practices by the World Cup audience, in order to address global actions at the local level. The GEF-supported project involves a number of awareness-raising activities, which were show-cased during June and July 2010. These include demonstrations of both solar-powered lights near stadiums and other energy-efficient technologies. Visitors were also encouraged to adopt Green Passport objectives, which encourage travelers to make environmentally responsible decisions in order to reduce their ecological footprints. In addition, this project supports an assessment of best practices and carbon crediting options to help green large sporting events in the future.

c. Publications and Outreach

117. Over the course of the reporting period the GEF has increased the number of its outreach publications and media materials that provide an insight into its mitigation and adaptation portfolio and that are all readily accessible on the GEF website. On the mitigation side, the GEF has provided detailed analyses of its renewable energy, energy efficiency, and sustainable urban transport portfolios in three separate brochures. A brochure describing the GEF's climate change mitigation projects addressing the world's sports events provides a unique perspective on the potential greening opportunities that exist for such major gatherings. The Financing Adaptation Action and the LDCF publications provide an overview of the concrete adaptation projects that the GEF has sponsored around the world.

118. In order to assist the LDCs in accessing funds under the LDCF, LEG has developed a step-by-step guide, under the coordination of UNFCCC Secretariat and in close collaboration with the GEF and its Agencies. This guide has been written to further support LDCs in designing the implementation of NAPAs, and to guide country teams in accessing existing funding from the LDCF for implementing their NAPAs.

119. The GEF has also made available overview fact sheets on its investments and achievements

[10] Source: Norad (Department of Environmental Affairs and Tourism and the Norwegian Government), 2009: Feasibility Study for a Carbon Neutral 2010 FIFA World Cup in South Africa: http://www.norway.org.za/NR/rdonlyres/3E6BB1B1FD2743E58F5B0BEFBAE7D958/114457/FeasibilityStudyforaCarbonNeutral2010FIFAWorldCup.pdf.

over the past 19 years, the climate change focal area, and the technology transfer program, as well as on the System for Transparent Allocation of Resources (STAR). Moreover, the GEF has improved its visibility to the outside world with the launch of its new and more interactive website.

120. In addition, under the LDCF the GEF Secretariat has followed the guidance of the COP decision 8/CP.13, which extended the mandate of the LEG in supporting preparation and implementation strategy of NAPAs. The GEF has, therefore, collaborated with the LEG, the UNFCCC Secretariat, and its Agencies on designing and implementing five training workshops for implementing NAPAs. The workshops' objectives have been to

- Provide technical support to LDC teams in the design of an implementation strategy for the NAPAs, and to build capacity of these teams in the preparation and submission of project documents to the GEF under the LDCF and
- Provide technical support to those LDC Parties that are still preparing their NAPAs.

121. The regional LEG workshops targeting Anglophone African LDCs (12 countries), African Francophone LDCs (16 countries, and the Asian LDCs (10 countries) have already taken place in Tanzania, Mali, and Lao PDR, respectively. Two additional workshops, targeting Pacific LDCs (5 countries) and Lusophone LDCs (5 countries), will take place before the end of 2010.

d. Results-Based Management (RBM)

122. In 2008, the GEF climate change focal area in collaboration with the GEF Agencies developed the first set of monitoring indicators for tracking the performance of its energy efficiency, renewable energy, and sustainable urban transport projects. In 2009, a Results-based Management (RBM) framework and a set of indicators were developed to measure the achievements and the success of climate change adaptation projects.

123. Fiscal Year (FY) 2009 was only the second time that the GEF Agencies were asked to report on the climate change mitigation performance measuring indicators. The metrics were reported to the GEF as part of the Project Implementation Reports (PIRs)[11] on an annual basis and were then analyzed and aggregated at a portfolio level.

124. The Annual Monitoring Report (AMR)[12] 2009 provided analysis of climate change mitigation and adaptation projects by drawing on the information provided in the 152 PIRs the GEF Agencies submitted for FY 2009.

125. The results presented in the climate change mitigation part of Table 5 are those reported by 72 out of 133 mitigation projects that were expected to report on GHG emission reductions during FY 2009. (See Table 5.) This means that only 54 percent of FY2009 project cohort reported on the achieved cumulative GHG emission reductions. The project cohort that reported on this indicator consisted mainly of GEF-2 and GEF-3 projects, with only 3 GEF-1 and 2 GEF-4 projects. The total reported number amounts to direct GHG emission reductions of 239 million tons of CO_{2eq}. This is in comparison to the total expected target set out in this project cohort's final and approved project documents (a target to reduce 421 million tons of CO_{2eq} GHG emissions), which shows that 57 percent of the target emission reductions has been achieved. This is a good overall achievement, as most of the projects that reported on their results are still under implementation and have not

[11] GEF Agencies are responsible for monitoring individual project progress against a set of portfolio specific results indicators, which align to GEF focal area indicators, and as appropriate, results indicators are aggregated for each focal area portfolio. Each GEF Agency submits individual annual PIR on all active projects in their respective portfolios. The AMR includes performance ratings by focal area, agency, and region, based on Agency PIRs. All projects that have been under implementation for more than a year after project approval should complete a PIR.

[12] The AMR presents progress towards achieving Global Environmental Benefits (GEBs) to which the projects commit by tracking two categories of results: progress towards outcome results, and implementation and management performance. As outlined in the GEF's

TABLE 5 PIR Results in FY2009

	Cumulative targets for FY2009 project cohort[1]	Cumulative results achieved by FY2009 project cohort reporting on their targets in PIRs	Percent achieved
Mitigation	421 million tons of CO_{2eq} avoided	239 million tons of CO_{2eq} avoided	57 %
	Key expected results and targets under GEF-4	**Results achieved for FY2009**	**Percent achieved**
Adaptation	8 adaptation sector interventions piloted	Interventions piloted in over 8 sectors	100 %

[1] An aggregation of project targets as set out in approved project documents.

reached project closure, at which point more results are to be expected.

126. On the adaptation side, the projects included more than eight sector interventions in 28 countries with an attempt to increase countries' adaptive capacities and reduce their vulnerability to climate change. This result corresponds with the target set out under GEF-4.

127. In terms of portfolio performance, the 2009 PIR cohort projects were rated on the performance towards meeting the project objective and making implementation progress. In 2009, 90 percent of the projects were rated marginally satisfactory or above in the likelihood of achieving project development objectives. Out of this, 50 percent were rated satisfactory (S), 32 percent marginally satisfactory (MS), and 8 percent highly satisfactory (HS). This exceeds the GEF target of having 70 percent of projects rated as MS or above. On the progress towards implementation, 88 percent were ranked marginally satisfactory or above. With 48 percent rated as S, 34 percent as MS and 6 percent as HS. As in the case of development objectives progress ratings, they also exceed the GEF target of having 70 percent of the projects rated as MS or above.

128. Overall, the 2009 PIR/AMR exercise demonstrated the existence of a number of successful stories and useful lessons learned from the project cohort and that the GEF climate change portfolio has been instrumental in leveraging additional financing and catalyzing support to improve the efficiency of energy use, the scope of renewable energy generation, the advancement of low-carbon technologies and low-carbon transport, as well as to reduce developing countries' vulnerabilities to the adverse impacts of climate change and increase their adaptive capacities. The lessons and the specific recommendations received from the GEF Agencies will be used to inform and strengthen the design and review processes of future project proposals, the refinement of monitoring indicators for the climate change focal area, and the further development of the GEF's knowledge management functions.

e. GEF Evaluation Office (GEF EO) Activities

129. The most important activity for the GEF Evaluation Office during the fiscal year 2010 was completion of the Fourth Overall Performance Study (OPS4). The study assessed the performance of the Global Environment Facility and provided inputs to the discussions and negotiations of the fifth replenishment of the GEF. The findings of this study are reflected and referred to in various sections of this report. More details are provided in

project cycle (GEF/C.31/7), it is the responsibility of the GEF Secretariat to determine and review the work program content. The AMR is an important accountability tool that helps the GEF fulfill this responsibility. As outlined in the GEF RBM policy, the AMR is designed to provide performance information regarding the overall health of GEF's portfolio of active projects. The report provides an overview on the GEF's active portfolio of projects, an assessment of portfolio achievements, and progress towards results targets.

the Annex 5 of this report. In this section the key findings of the Annual Performance Report (APR) 2009 as relevant to the climate change focal area have been covered.

Annual Performance Report: Climate Change Focal Area

130. The Annual Performance Report (APR) of the GEF, which the GEF Evaluation Office (GEF EO) prepares, presents a detailed account of some aspects of project results, of processes that may affect these results, and of monitoring and evaluation (M&E) arrangements in completed GEF projects. The assessments are primarily based on the evidence presented in the terminal evaluation reports of the completed projects. This section is based on the data and analysis presented in APR 2009 and covers some aspects of performance of completed GEF projects on climate change.

131. The GEF EO gives the outcome ratings based on an assessment of the extent to which the completed GEF projects achieved expected outcomes. During FY2009, terminal evaluations for 16 climate change projects were submitted. Of these, the GEF EO rated outcome achievements of 13 (81 percent) projects in the satisfactory range. The performance of the cohort of the climate change projects covered in FY2009 is consistent with the long-term average of 83 percent projects rated in the satisfactory range. The long-term performance of the climate change projects in terms of outcome achievements ratings is similar to that of the projects from other focal areas.

132. GEF had invested $56 million in the 16 completed climate change projects covered in APR2009. At the start of the projects, an aggregate cofinancing of $242 million was promised for these projects. The GEF Agencies reported that during implementation a cofinancing of $243 million materialized—that is, $4.3 was promised per dollar of GEF funding. For nine projects (60 percent) the materialized cofinancing was equal to or greater than the cofinancing promised at inception. For the FY2009 cohort, as has also been a long-term trend, the cofinancing raised for climate change projects has been higher than that for other focal areas. For projects from other focal areas a cofinancing of $2.6 was reported to have materialized per dollar of GEF funding. However, cofinancing mobilized by the climate change projects is significantly facilitated by the nature of the projects undertaken. These projects tend to have both: a higher potential for mobilization of cofinancing and a greater proportion of national benefits vis-à-vis the incremental global environmental benefits.

133. Of the 16 projects covered for APR2009, three (19 percent) were completed within a year of the completion date expected at project start. Four projects (25 percent) were completed with a delay of more than three years. Of the 67 climate change projects, for which terminal evaluation reports have been submitted since FY 2005 (including those submitted in FY2009), data on project completion delays is available for 62 projects. Thirty-one percent of these projects were completed on time or within one year of the completion date expected at project start. Twenty-three percent of the projects were completed after a delay of three years or more.

134. Terminal evaluations provide an assessment of project accomplishments and shortcomings, and form the building blocks for the assessment of performance of completed projects presented in the APR. Of the 16 addition projects covered in FY2009 APR, for 14 (88 percent) quality of terminal evaluation was rated in the satisfactory range. The GEF EO has been tracking quality of terminal evaluation reports for completed projects since APR 2004 and so far it has rated quality of 75 terminal evaluations for projects from the climate change focal area. Overall quality of 85 percent of these reports was rated in the satisfactory range.

8. COUNTRY SUPPORT PROGRAM AND CAPACITY BUILDING

135. The GEF Secretariat has strengthened several aspects of its country relations function to provide countries with direct access for programming discussions. The Country Profile web page

has been providing access since December 2007 to all countries, allowing them to see the status and full details of all approved projects in any country. Under a password entry system, the webpage also provides access to the national GEF Focal Points to all data on project concepts under process. This has been supported and amplified by activities under the various GEF corporate programs such as the National Dialogue Initiative (NDI), Country Support Program (CSP), and Council Member Support Program (CMSP).

National Dialogue Initiative (NDI)

136. The National Dialogue Initiative (NDI) is one of the activities of the GEF corporate program, CSP, which is managed by UNDP. The NDI provides a forum for consultations on global environmental management and national sustainable development issues in GEF recipient countries. They also provide an opportunity for GEF partners to dialogue with key stakeholders representing a wide range of national and local interests and areas of expertise. At the country level, each National Dialogue is managed as a collaborative effort involving the national GEF Focal Points, the GEF Secretariat, and the GEF Agencies.

137. Following the guidance provided in COP decision 7/CP.13, the GEF has taken multiple steps to continue the enhancement of the NDI. During GEF-4, the NDI has focused in responding to new country opportunities and challenges associated with the Resource Allocation Framework (RAF[13]). During the period November 2007 to date, based on guidance from the Inter-agency Steering Committee, National Dialogues aimed to be responsive and flexible in their delivery, and tailored to country needs and requests. National Dialogues have been continuing to complement the three components of the CSP: (i) the online Knowledge Facility; (ii) Direct Support Funding; and (iii) Subregional Workshops for GEF Focal Points—by sharing the goal of supporting GEF Focal Points and other stakeholders to enhance and strengthen their engagement with the GEF in countries.

138. Since November 2007 to date, 13 Dialogues were held with more than 1,300 participants.

Subregional Workshops

139. The subregional workshops for GEF Focal Points provide an opportunity for GEF Focal Points to meet with their counterparts from other countries in the region and GEF partners to discuss and review policies and procedures and to share lessons and experiences from development and implementation of GEF projects and their integration within national policy frameworks. The design and content of the subregional workshops are based on the evolving needs and requests expressed by GEF Focal Points during earlier GEF consultation workshops. The workshops provide for a rich peer-to-peer exchange of experience and knowledge in national and regional GEF project formulation, implementation and monitoring, national GEF coordination, integrating GEF into national plans and priorities, and priority-setting for national RAF allocations.

140. Since November 2007 to date, 19 regional workshops were held with attendance of 282 recipient countries in total.

Council Member Support Program (CMSP)

141. The Council approved the new four-year phase of the CMSP in June 2005. This Program was developed in response to the evaluation of the first Focal Point Support Program, and in response to the recommendations of the Third Overall Performance Study (OPS3), as well as the GEF-3 replenishment.

142. The CMSP provides Council Members with financial assistance to facilitate communication between the Council Member and Constituency Members. Council Members can hold up to two constituency meetings per year to enhance co-

[13] The RAF is a resource allocation system that was first introduced and implemented during the GEF-4. Under the RAF, resources were being allocated to countries based on their potential to generate global environmental benefits and their capacity, policies, and practices to successfully implement GEF projects.

ordination, cooperation, and communication. This Program provides financial and logistical support, including travel arrangements, hotel, and daily subsistence allowance. To date, 63 constituency meetings have taken place with over 500 participants.

Capacity Building through the National Capacity Self-Assessment Projects (NCSAs)

143. The National Capacity Self-Assessment projects (NCSAs) have the long-term goal of building the foundational capacities necessary for countries to meet their obligations under the UNFCCC, as well as that for the Convention on Biological Diversity (CBD) and Convention to Combat Desertification (CCD). To this end, their focus has been to assess the critical gaps in countries' capacities to sustain monitoring and reporting activities in the GEF focal areas. The NCSAs have also provided inputs for the formulation of MSPs that include objectives to build capacity in climate change and other specific areas of global environmental management.

144. A total of 153 countries received GEF funding to implement an NCSA out of 165 eligible countries. Out of these 153 countries, seven NCSA projects were cancelled because of nondelivery of NCSA products, with the remaining 146 projects implemented or under final completion stage. The value of the NCSA portfolio was $28.7 million, with average allotment of $200,000 per NCSA.

145. The alignment between the NCSA objectives and the country commitments to the multilateral environmental agreements was intended to facilitate countries' first step towards developing the capacities for an effective environmental management framework. Through the NCSA process, more than 87 percent of countries have identified a need to support developing capacity to:

- Incorporate convention obligations into national consultation, policy, and institutions development,
- Promote economic instruments and sustainable financing mechanisms,
- Establish institutional/organizational mandates, structures, and frameworks,
- Develop and enforce of policy, legal, and regulatory frameworks,
- Establish subnational and local governance structures in environmental management,
- Use scientific information in policy, planning and management,
- Motivate individual skills and motivation.

146. As of April 2010, a total of 119 countries have completed their NCSA. The quality of the NCSA Final Reports and Action Plans was assessed by a team of independent reviewers and given an overall rating of 3.4 on a scale between 1 and 5, ranging from poor to excellent.

Supporting Community Actions for Climate Change and Capacity Development through the Small Grants Program

147. Launched in 1992, the Small Grants Programme (SGP) is a mechanism by which the GEF contributes to the overall objective of the UNFCCC at the community level. SGP contributes to the achievement of GEBs through support to community climate change projects. Grants are made directly to civil society organizations (CSOs) and community-based organizations (CBO) in recognition of the key role they play as a resource and constituency for climate change concerns. SGP supports initiatives in the areas of renewable energy, energy efficiency, environmentally sustainable transport projects, and community-based adaptation (CBA).

148. These projects also become capacity building endeavors at the institutional level, because of the highly decentralized and demand-driven nature of these projects and the use of processes that encourage maximum country and community-ownership. SGP operates on the premises that local people are empowered to protect the environment when they are organized to take actions, have a measure of control over access to the natural resource base, can deploy the necessary information and knowledge, and believe that their social and economic welfare is dependent on sound long-term natural resource management—all of which are integral aspects of SGP projects.

149. Despite the general small size of grants (maximum $50,000), numerous SGP projects have helped shape national policies. To date, SGP supported over 220 projects in the climate change focal area, representing some $7.5 million in GEF grants with $4.4 million cofinancing.

9. EFFORTS TO BE ACCOUNTABLE AND RESPONSIVE TO CONVENTION GUIDANCE

150. Since the start of the Convention, guidance to the GEF has been provided within the context of the overall guidance to the financial mechanism. Table 6 tracks all the guidance given so far to the GEF, including to the LDCF and the SCCF. Since the GEF's inception, the number of articles of the COP decisions to guide the GEF reached 160. During GEF-4, the COP has provided guidance to the GEF with 34 articles.

151. Since its establishment, the GEF has continued to be responsive to COP guidance by incorporating the guidance into its climate change mitigation and adaptation strategies, approving projects, and adapting its policies and procedures. The OPSs prepared by the GEF EO supported the view that since its inception the GEF has been responsive to the COP guidance.

152. The GEF has been improving communication with the UNFCCC Secretariat. The GEF has also increased its efforts at the country level to promote consultations among the GEF Secretariat and the Convention Focal Points.

153. During GEF-4, several changes have improved GEF's relationship to the UNFCCC.

- The GEF Secretariat staffs participate on a regular basis in meetings and events organized under the UNFCCC.

TABLE 6 Number of Guidance Articles to the GEF in the COP Decisions[1]

Year	COP	Number of guidance articles
1995	COP1	10
1996	COP2	10
1997	COP3	2
1998	COP4	9
1999	COP5	5
2000	COP6	3
2001	COP7	10
2002	COP8	19
2003	COP9	3
2004	COP10	48
2005	COP11	7
2006	COP12	13
2007	COP13	9
2008	COP14	12
2009	COP15	0
Total		160

Source: the UNFCCC website.

- The UNFCCC Secretariat participated in the Technical Advisory Groups (TAGs) that were developing the GEF-5 Strategies. The UNFCCC and the GEF secretariats have held retreats; the GEF Secretariat has noted that more frequent retreats will take place in the future.
- During GEF-4, the Scientific and Technical Advisory Panel (STAP)[14] has undertaken missions to the UNFCCC Secretariat and established working connections to their Subsidiary Bodies, and Convention Focal Points have participated in STAP meetings.
- Some UNFCCC Focal Points have participated in the most recent GEF Familiarization Seminar, where the GEF was introduced to newcomers to the GEF partnership. At the country level, many of the convention Focal Points are part of GEF national committees and of the decision-making process of prioritization exercises.

[14] The STAP provides strategic scientific and technical advice to the GEF on its strategy and programs. The STAP consists of six members who are internationally recognized experts in the GEF's key areas of work and are supported by a network of experts.

- The UNFCCC Secretariat provides updates on how it is advancing during the Council meetings.

154. COP15 was the first COP where no specific additional guidance was provided to the GEF. The COP adopted a decision[15] in which it requested the SBI to continue its consideration of additional guidance to the GEF at SBI 32 with a view to recommending a draft decision for adoption by COP 16. On the matters relating to the LDCs under the SBI, the draft conclusions proposed by the Chair express SBI's appreciation to the GEF and its Agencies for the steps taken to improve the processing of application for funding of the implementation of NAPA projects under the LDCF and for the constructive dialogues among the LDC Parties, the LEG and the GEF and its Agencies on the provision of enhanced support for the preparation and implementation of NAPAs and encouraged those involved to continue this dialogue.[16]

155. Table 7 provides summaries of the reported responses of the GEF to the COP guidance during GEF-4.

10. GEF-4 REFORM ACHIEVEMENTS

156. At the conclusion of the negotiations for the GEF-4 replenishment in June 2006, agreement was reached on the policy recommendations to be implemented during GEF-4. In December 2006, the GEF CEO presented to Council a five point sustainability compact to increase the efficiency and impact of the GEF.

157. In responding to this guidance and commitments, the GEF implemented a number of key reforms during GEF-4 to improve its effectiveness and efficiency:

- The design and implementation of the RAF to direct funds to countries under a more objective set of criteria, and to put countries in the lead when it comes to setting programming priorities;
- The development of programmatic approaches so that issues of national, regional, and global importance can be better tackled in coordination with GEF Agencies and other cofinanciers;
- The continued streamlining and shortening of the project cycle on the basis of an independent joint evaluation, and the development of rules and procedures for the management of project cycle processes to increase efficiency and transparency;
- The design of a RBM strategy to show how GEF delivers on its objectives;
- The development of a new simplified methodology of applying incremental cost on the basis of the report of the GEF EO;
- The creation of a strengthened communications and outreach strategy;
- The establishment of a level playing field among all the GEF Agencies to equalize program and project-level opportunities among those with similar comparative advantages;
- The launch of the Earth Fund with an initial capitalization of $50 million to enhance engagement with the private sector; and
- The establishment of minimum fiduciary standards and the review of compliance by the GEF Agencies.

158. As a result of these reforms, the performance of the GEF has improved on a number of measures. First, the provision of indicative resource allocations to countries under the RAF was found to have increased country ownership, particularly in terms of the ability of countries to make programming decisions. Second, the increased use of programmatic approaches helped increase the share of resources flowing to LDCs and SIDS: whereas LDCs and SIDS received less than 12 percent of all resources in GEF-3, they received 18.4 percent of resources in GEF-4. The project cycle was streamlined from three approval steps to two approval steps and as a result the processing time for FSPs, from concept approval to CEO endorsement, was reduced from

[15] FCCC/SBI/2009/L.30.
[16] FCCC/SBI/2009/L.27.

TABLE 7 COP Guidance to the GEF during GEF-4 and GEF's Response (Summary[1])

Guidance of the COP	GEF's response
Guidance received at COP 12 and GEF's response reported to COP 13	
Decision 1/CP.12 requested that the GEF operationalize the guidance pertaining to operationalize items (c) and (d) of the SCCF and to begin to mobilize resources for that fund. **Decision 2/CP.12 requested the GEF to:** a. Give due priority to adaptation activities in accordance with the guidance provided by the COP; b. Strengthen work awareness-raising on GEF programs and procedures in order to assist developing countries to access GEF funds; c. Explore options for understanding land use and land-use change projects within the climate change focal area of the GEF, in light of past experience; d. Continue its promotion of energy efficiency projects; e. Recognize and respond to the challenges faced by SIDS and LDCs in accessing GEF funding highlighted in OPS3 of the GEF. f. Report on its responses to the recommendations of OPS3 and the Third Review of the Financial Mechanism; project cycle changes; and efforts to engage the private sector in providing resources to address climate change. **Decision 3/CP.12 provided to the GEF to** explore options to address concerns regarding leveraging of funds; to give a detailed assessment of resources made available to Parties; to continue to provide financing for technology transfer, to simplify procedures and improve efficiency for National Communications; and to provide simple guidelines on how to enhance activities relating to Article 6 in project proposals.	**Response to Decision 1/CP.12:** The GEF took steps to operationalize the "windows" 2 (c) and 2 (d) of decision 7/CP.7, i.e. energy, transport, industry, agriculture, forestry, and waste management; and activities to assist developing country Parties referred to under Article 4, paragraph 8(h), in diversifying their economies. In October 2007, the GEF Council approved the document entitled "Programming to Implement the Guidance for the Special Climate Change Fund Adopted by the Conference of the Parties to the United Nations Framework Convention on Climate Change at its Twelfth Session" (GEF/LDCF.SCCF.2/4/Rev.1). **Response to Decision 2/CP.12:** ***Adaptation Activities*** The GEF introduced several innovative initiatives relating to adaptation to climate change, including SPA under the Trust Fund, which addresses the adverse impacts of climate change through adaptation actions aimed at decreasing vulnerability and increasing adaptive capacity of countries, communities and their ecosystems. A climate change impact assessment methodology was developed for application to all projects supported by GEF. Outside of the Trust Fund, there was a dramatic increase in GEF funding to adaptation activities from both the LDCF and the SCCF. ***Awareness-raising on GEF Programs and Procedures*** The GEF put a variety of mechanisms in place to support recipient countries in their engagement with the GEF, including subregional workshops, the NDI, the CSP, and the CMSP. The GEF initiated direct dialogues with recipient countries to ensure that GEF-4 resources were programmed in accordance with: (i) the strategic directions as outlined in the GEF-4 focal area strategies: (ii) country priorities emerging from national sustainable development programs and global environmental commitments; and (iii) the comparative advantage of the GEF Agencies. Subregional Workshops were held in many subregions. ***Land Use and Land-Use Change Projects*** In the GEF-4 strategy, new strategic program called "Management of LULUCF as a Means to Protect Carbon Stocks and Reduce GHG Emissions" was opened for GEF programming. This strategic program also featured in the GEF's cross-cutting SFM program.

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TABLE 7 COP Guidance to the GEF during GEF-4 and GEF's Response (Summary[1]) *(continued)*

Guidance of the COP	GEF's response
	Energy Efficiency Projects The revised GEF-4 programming strategy placed increased emphasis on enhancing energy efficiency as a means to reduce GHG emissions. Buildings energy efficiency and industrial energy efficiency were identified as two key strategic programs in the climate change focal area during GEF-4. Funding for energy efficiency projects during the reporting period continued to be strong. ***Support for SIDS and LDCs*** The GEF initiated a programmatic approach for the SIDS that started with the 15 countries in the Pacific region. The two other initiatives that were good examples of the programmatic approach as it increases the economic and ecological resilience to climate change in the Pacific SIDS were The Micronesia Challenge and The Coral Triangle Initiative. ***Response to the Recommendations of OPS3 and the Third Review of the Financial Mechanism*** Under the guidance of the GEF CEO, the GEF Secretariat and the GEF Agencies were involved in the process of responding to all of the recommendations of OPS3 through the GEF reform process. ***Simplification of GEF Project Procedures and Process*** A new project cycle was introduced and approved by the GEF Council in June 2007, with the objective of processing a proposal from identification to start of implementation in less than 22 months without compromising project quality or undermining financial accountability. ***Efforts to Engage the Private Sector*** In June 2007, the GEF Council endorsed the GEF Public Private Partnership (PPP) Initiative. The objective of the PPP was to facilitate strategic engagement of the private sector in the GEF's efforts to address global environmental challenges in developing countries. **Response to Decision 3/CP.12:** ***Requirements for Leveraging Additional Funds for Projects*** As the application of incremental cost had been recognized as complex and not always transparent, the GEF developed a new pragmatic and simplified approach for determining increment costs as part of the GEF-4 Reform Process. The GEF, especially in the climate change focal area, adopted a flexible, pragmatic approach to cofinancing requirements. The amount of cofinancing requirement depended on the type of the project and the circumstances of the country where the project would be undertaken.

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TABLE 7 COP Guidance to the GEF during GEF-4 and GEF's Response (Summary[1]) *(continued)*

Guidance of the COP	GEF's response
	Report on Resource Availability under the RAF The GEF published, and updated, information on the availability and utilization of the RAF resources to each country. ***Technology Transfer*** The GEF continued to provide support to countries wishing to undertake TNAs. The GEF continued to support projects providing technology transfer through resources provided to mitigation and adaptation projects supported under the GEF Trust Fund and programming strategy. In addition, it worked closely with its Agencies, particularly UNEP, to prepare a new program to facilitate technology transfer using resources made available to the SCCF Program (b) on Technology Transfer. ***National Communications*** 134 countries submitted their INCs. Over 90 countries received support as a follow-up of the INCs that were partially used for TNAs. For SNCs, an amount of 1.68 million was added to the umbrella project to provide funding to 4 additional non-Annex I Parties that requested for such funding. The GEF initiated programming dialogues, with all recipient countries to assist them in identifying their priorities for GEF funding. ***Article 6 to the Convention*** The GEF worked with the Implementing Agencies to develop simple guidelines for countries to include activities related to Article 6 in project proposals submitted for GEF funding. ***Capacity Building*** The GEF provided a report in response to para 1(b) of 4/CP.12. In response to 2/CP.7 and 2/CP.10, the GEF took actions after several discussions with the GEF Implementing Agencies, countries, and the GEF EO. ***Carbon Capture and Storage*** The GEF requested the assistance of its STAP in addressing this guidance. Together with the GEF Secretariat, STAP convened a two-day expert workshop to address this issue. ***Evaluation of Capacity Building*** In 2007, the GEF EO began work on the evaluation of GEF Capacity Development Activities. The evaluation team completed its approach paper, literature reviews, and two country case studies. The GEF EO decided that further work was needed to analyze capacity development across the GEF portfolio.

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TABLE 7 COP Guidance to the GEF during GEF-4 and GEF's Response (Summary[1]) *(continued)*

Guidance of the COP	GEF's response
Guidance Received at COP 13 and GEF's Response Reported to COP 14	
Decision 7/CP.13 requested the GEF to: a. Continue to take the necessary steps to enhance its country dialogues, including ensuring the clarity, transparency, and timeliness in its communications with Parties on changes undertaken in the GEF reform agenda; b. Inform the Implementing/Executing Agencies of the GEF of the relevant Convention provisions and decisions of the COP in the performance of their GEF obligations, and to encourage them, as a first priority, whenever possible, to use national experts/consultants in all aspects of project development and implementation; c. Continue to simplify and streamline the application of the incremental cost principle, building on its recent reforms and taking into account lessons learned on the constraints in resource mobilization by developing countries; d. Take fully into account lessons learned in the strategic priority "Piloting an Operational Approach to Adaptation," including the application of incremental cost, to help inform on how the GEF could best support climate adaptation activities; e. Continue to improve access to GEF funds, as highlighted in the OPS3 of the GEF, for those countries that are particularly vulnerable to the adverse effects of climate change; f. Submit the report of the GEF to the COP within a time frame that would allow Parties to the Convention to examine the report carefully prior to the start of the sessions of the COP; g. Continue to ensure that financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention; h. Take into consideration the request contained in paragraph (g) above in its planned mid-term review in 2008;	**Response to Decision 7/CP.13:** ***CSPs and Capacity Building*** The GEF continued to support country dialogues ensuring the clarity, transparency and timeliness in its communications with Parties of UNFCCC on changes undertaken in the GEF reform agenda. The GEF has funded several programs supporting effective and efficient implementation of the Convention through the NDI, CSP, and capacity building through NCSA, cross-cutting capacity building, as well as the SGP. ***Simplifying the Application of the Incremental Cost Principle*** In June 2007, the GEF Council approved the Operational Guidelines for the Application of the Incremental Cost Principle, which provides a simple five-step process for determining the incremental costs of a GEF project. ***Lessons Learned from SPA*** The pilot program, SPA, was close to completion, and was to be evaluated by the independent GEF Office of Evaluation. The evaluation was to take into account both the lessons learned and the challenges and opportunities in developing the first adaptation portfolio. ***Support to Vulnerable States through Programmatic Approaches*** In April 2008, the GEF Council approved the application of programmatic approaches to support countries in accessing GEF funding. Using programmatic approaches, the GEF had assisted many countries, particularly those in the group allocation category under the RAF, to plan utilization of resources available to them in a more effective and efficient manner. The GEF, in collaboration with its Implementing/Executing Agencies, initiated several regional and multi-country programs to help especially LDCs and SIDS to mobilize resources from the GEF and other sources to fund projects in those countries. ***Shift of GEF Reporting Cycle*** Starting in 2009 the cut-off date of the GEF reporting period was to be shifted to June 30. ***Provision of Financial Resources to Meet Convention Obligations*** Under the RAF, each eligible country was guaranteed $1 million in the climate change focal area during a four-year GEF phase. This provision was judged to be adequate to cover the costs incurred by most countries to implement their national report preparation process. In addition, for the SNCs, the GEF took a programmatic approach whereby an envelope of resources approved by the Council, with delegated approval authority to the Implementing Agencies with regard to individual country proposals.

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TABLE 7 COP Guidance to the GEF during GEF-4 and GEF's Response (Summary[1]) *(continued)*

Guidance of the COP	GEF's response
i. Work with its Implementing Agencies to continue to simplify its procedures and improve the effectiveness and efficiency of the process through which non-Annex I Parties receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations; j. Refine, as appropriate, operational procedures to ensure the timely disbursement of funds to meet the agreed full costs incurred by those non-Annex I Parties that are in the process of preparing their Third, and where appropriate, Fourth National Communications, in the light of paragraph 1 (g)-(i) above; k. Assist, as appropriate, non-Annex I Parties in formulating and developing project proposals identified in their National Communications in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2; l. Ensure, together with its Implementing Agencies, that the analysis of project proposals for the financing of Second and subsequent National Communications is consistent with the guidelines for the preparation of National Communications from non-Annex I Parties. **Further, Decision 7/CP.13 invited the GEF to:** a. Continue to provide information on funding for projects identified in the National Communications of non-Annex I Parties in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved; b. Consider the views of, and any concerns expressed by, Parties regarding their current experiences with the GEF and its Implementing Agencies in relation to the provision of financial support for the preparation of National Communications from non-Annex I Parties, as contained in documents FCCC/SBI/2007/MISC.13 and Add.1;	***Support for National Communications*** By 2008, 143 non-Annex I Parties had received GEF funding for the preparation of their National Communications to the UNFCCC. The NCSP provided a wide range of technical support, including organization of workshops on the preparation of SNCs with a focus on climate change vulnerability and adaptation assessments. ***GEF Evaluation Activities*** The GEF EO in its mid-term review of the RAF looked at the available funding for enabling activities, which was the modality used for funding National Communications. ***Overview of GEF Evaluation Reports and Work in Progress*** The GEF EO completed several assessments (Annual Performance Report and Country Portfolio Evaluations) that were already presented to the GEF Council in April 2008 and that were to be presented to the Council in November 2008. Furthermore, work had started on OPS4 of the GEF, which was planned to lead to a report to the replenishment process in August 2009.

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TABLE 7 COP Guidance to the GEF during GEF-4 and GEF's Response (Summary[1]) *(continued)*

Guidance of the COP	GEF's response
Decision 7/CP.13 requested the GEF to include, in its regular report to the COP, information on the specific steps it has taken to implement the above-mentioned guidance and to continue to provide, as appropriate, financial resources to developing country Parties, in particular the LDCs and SIDS among them, and to report regularly to the COP on the activities it has supported.	
Guidance received at COP 14 and GEF's response reported to COP 15	
Decision 4/CP.14 requested the GEF to:	**Response to Decision 4/CP.14:**
a. Fully address issues raised over the implementation of the RAF; b. Provide information on a regular basis on the composition and objective of the cofinancing for projects funded by the GEF; c. Continue to enhance action on mitigation and, as appropriate, adaptation, in developing country Parties, including to promote, facilitate and finance, as appropriate, transfer of, or access to, environmentally sound technologies and know-how; d. Continue to improve access for all developing countries, in particular LDCs, SIDS and countries in Africa, to GEF resources; e. Continue to encourage its Implementing and Executing Agencies to perform their functions as efficiently and transparently as possible, in accordance with guidance of the COP; f. Ensure, as a top priority, that sufficient financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention, noting and welcoming that a number of non-Annex I Parties plan to initiate the preparation of their Third or Fourth National Communications by the end of the GEF-4;	***Implementation of the RAF*** At the June 2009 meeting the Council agreed with the principles for allocating the remaining GEF-4 resources, mandated the Secretariat to implement the allocation of the remaining GEF-4 resources in accordance with these principles, and, in collaboration with the Trustee, to undertake periodic reviews of the projected available resources and to adjust the allocations as needed. Also, the GEF Council in its June 2009 meeting decided that project concepts from countries with individual RAF allocations be processed and cleared up to the country allocation levels as of July 2008, until the overall cap for the focal area is reached. Project concepts from group allocation countries were also to be processed until the limit of available funds, with priority given to concepts that belong to programmatic approaches approved by Council. ***Composition and Objective of Cofinancing*** Mitigation projects that were financed with GEF funds during the reporting period, from September 1, 2008 to June 30, 2009, were to leverage approximately $2.1 billion in cofinancing. The objective of cofinancing for GEF projects is to expand the resources available for project implementation, since the limited financial resources of GEF have to serve the growing demand for assistance; maximize and sustain their impacts by ensuring their success and local acceptance; and demonstrate the commitment of the beneficiaries, counterparts and agencies. In the case of the LDCF, and in accordance with its mandate to finance additional costs of adaptation, the minimum cofinancing ratio is 1:1 for projects ranging from $500,000 to $6 million, and there is no minimum cofinancing requirement for projects below $500,000. In the case of the SCCF, the minimum cofinancing request for average projects requiring between $1 and $5 million is of 1:3 ratio. For projects requiring less than $1 million of SCCF funding, the minimum is of 1:1 ratio, and for projects requesting more than $5 million, the ratio is 1:4.

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TABLE 7 COP Guidance to the GEF during GEF-4 and GEF's Response (Summary[1]) *(continued)*

Guidance of the COP	GEF's response
Decision 4/CP.14 invited the GEF to inform its Implementing Agencies of the guidelines for the preparation of National Communications from non-Annex I Parties and of relevant provisions of the Convention, in particular its Article 4, paragraph 3, on the provision of new and additional financial resources to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention; **Further, Decision 4/CP.14 reiterated the following requests made by the COP at its thirteenth session to the GEF to:** a. Continue to ensure that financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention; b. Refine, as appropriate, operational procedures to ensure the timely disbursement of funds to meet the agreed full costs incurred by those non-Annex I Parties that are in the process of preparing their Third and, where appropriate, Fourth National Communications; c. Assist, as appropriate, non-Annex I Parties in formulating and developing project proposals identified in their National Communications in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2; d. Work with its Implementing Agencies to continue to simplify their procedures and improve the effectiveness and efficiency of the process through which non-Annex I Parties receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations;	***Action on Mitigation (and Adaptation as Appropriate) and Technology Transfer*** During the reporting period, the GEF allocated $233.15 million from the Trust Fund to 71 projects in the climate change focal area. These projects will leverage approximately $2.07 billion in cofinancing. The GEF Secretariat submitted a report on the completion of the SPA to the GEF Council in November 2008. The SPA program will be evaluated by the independent GEF Office of Evaluation. Further support for adaptation from the GEF Trust Fund will depend on future decisions of the GEF Council and evolving guidance from the UNFCCC. COP14 welcomed the GEF's (renaming it the Poznan) Strategic Program on Technology Transfer as a step toward scaling up the level of investment in the transfer of environmentally sound technologies to developing countries while recognizing the contribution that this program could make to enhancing technology transfer activities under the Convention. With the facilitation of the GEF Secretariat, UNEP drafted a project concept for a global TNA project for GEF funding, to be drawn from the SCCF. UNEP finalized the global TNA project concept in late March, 2009. The full project document was endorsed by the GEF CEO on August 18, 2009. On March 25, 2009, the GEF CEO circulated a call for proposals for technology transfer pilot projects to all national GEF operational focal points, copied to the GEF agencies and the UNFCCC Secretariat. The GEF Secretariat identified technology transfer as a long-term priority objective of the GEF in the climate change focal area. Technology transfer was featured in the draft GEF-5 strategy in the climate change focal area. ***Improve Access for LDCs, SIDS, and Africa*** The GEF Secretariat, in collaboration with its Implementing and Executing Agencies, initiated several regional and multi-country programs to help especially LDCs, SIDS, and countries in Africa to mobilize resources from the GEF and other sources to fund projects in those countries. Three such programs merit particular mention: (1) the PAS Program; (2) the SIP; and (3) the West Africa Program. ***Encourage Agencies to Perform Their Functions and Follow COP Guidance*** The GEF was in close cooperation with the Agencies in order to encourage them to perform their functions in the most efficient manner, and to follow the guidance provided by the COP.

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TABLE 7 COP Guidance to the GEF during GEF-4 and GEF's Response (Summary[1]) *(continued)*

Guidance of the COP	GEF's response
Decision 4/CP.14 reiterated the invitation made by the COP at its thirteenth session to the GEF to continue to provide information on funding for projects that have been identified in the National Communications of non-Annex I Parties in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved; **Decision 4/CP.14 reiterated its request to the GEF to** make continued efforts to provide adequate financial resources to support the implementation of capacity-building activities consistent with decision 2/CP.7; **Decision 4/CP.14 requested the GEF to** continue to include, in its regular report to the COP, information responsive to guidance of the COP.	***Support for National Communications*** As of June 2009, 143 non-Annex I Parties have received GEF funding for the preparation of their National Communications to the UNFCCC. The NCSP provided support which included organization of workshops on the preparation of SNCs with a focus on climate change vulnerability and adaptation assessments as well as technical review and comments to the SNC projects. ***Appropriate Assistance to Non-Annex I Parties in Formulating and Developing Project Proposals Identified in their National Communications*** The GEF through its Agencies continued to provide assistance to countries in formulating project proposals identified in their National Communications in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2. The GEF Agencies worked with the countries in order to identify and formulate project proposals. ***Support for the implementation of capacity-building activities consistent with Decision 2/CP.7*** The GEF continued to support country dialogues ensuring the clarity, transparency and timeliness in its communications with Parties of UNFCCC on changes undertaken in the GEF reform agenda. The GEF funded several programs supporting effective and efficient implementation of the Convention through the NDI, CSP, and capacity building through NCSA, cross-cutting capacity building, as well as the SGP. ***GEF Evaluation Activities*** The GEF EO presented to the Council during the reporting period the APR 2008 and the Annual Country Portfolio Evaluations Report 2009. The GEF EO also worked on follow-up activities on the International Conference on Evaluating Climate Change and Development, which took place in May 2008 in Egypt. Furthermore, the OPS4 was finalized in September 2009.

[1] All the information in this table comes from past GEF reports to the UNFCCC.

44 months to an average of 16 months in GEF-4. The GEF's RBM framework has become the framework in which the programming strategy is developed and results are tracked. Finally, reforms to put the ten GEF Agencies on a level playing field have shown clear results. The share of project resources implemented through the seven GEF Executing Agencies has increased from under 5 percent in GEF-3 to about 21 percent in GEF-4.

11. THE 4TH GEF ASSEMBLY

159. The Fourth GEF Assembly was convened in Punta del Este, Uruguay, in May 25–26, 2010. The meeting attracted over 1,000 participants, including delegates from 180 countries, the GEF Agencies, the convention secretariats, civil society organizations, and other stakeholders. The Assembly is the GEF's highest governing body. Its main roles are to review the general policies of the GEF, review and evaluate the GEF's operations based on reports submitted by the GEF Council, and to consider, for approval by consensus, amendments to the GEF Instrument based on recommendations by the GEF Council. The Assembly approved two changes to the GEF instrument. The first was to approve the availability of the GEF to serve as the financial mechanism of the UNCCD. The second set of decisions concerned the process for selecting the GEF CEO and the CEOs term limits. The GEF Assembly does not discuss or take decisions on individual policy matters as this is the purview of the GEF Council.

160. The SBI 32 invited the GEF to provide "detailed, accurate, timely, and complete information on the outcomes of the most recent GEF Assembly related to the national communications from non-Annex I Parties. The GEF can report that the Fourth GEF Assembly did not discuss National Communications from non-Annex I Parties. Therefore, there are no outcomes to report on this matter.

PART II. GEF-5 REPLENISHMENT, REFORMS AND PROGRAMMING

1. GEF-5 REPLENISHMENT

161. Negotiations for the GEF-5 replenishment came to a successful conclusion on May 12, 2010. Thirty-five donors pledged $4.34 billion for programming in the FY2011–FY2014 period), out of which approximately $1.4 billion will be programmed under the Climate Change Mitigation Strategy. The donors expressed their commitment to a significant and substantial replenishment, despite the challenges posed by the global financial crisis and concomitant impacts on budgetary resources. The Russian Federation joined as a new donor to the GEF, and Brazil re-engaged as a donor with a significant contribution. New donor contributions increased by 54 percent over GEF-4.

162. The replenishment process began in November 2008 when the Trustee and the GEF Secretariat, acting under the direction of the GEF Council, invited prospective Participants to a planning meeting in Washington, DC. Replenishment discussions progressed through six meetings convened during 2009 and 2010, where participants discussed OPS 4 findings, the programming approach for GEF-5, the policy recommendations to support further evolution of the institution, and financial arrangements and burden-sharing. The replenishment process was the most inclusive to date with the participation of nondonor recipient country representatives—one each from the regional groupings of Africa, Asia, and Latin America and Caribbean—as well as two NGO representatives as observers.

2. GEF-5 REFORMS PROPOSED

163. The GEF-5 policy recommendations reflect the two main themes of the replenishment discussions: (i) enhancing country ownership; and (ii) improving the effectiveness and efficiency of the GEF network. These policy recommendations build on success achieved with the reform measures undertaken during GEF-4.[17] A majority of these reforms were approved by the GEF Council at its meeting in June 2010.

Enhancing Country Ownership

164. At its June 2010 meeting, the GEF Council approved a reformed CSP to: (i) facilitate greater coordination among national officers responsible for the GEF from different perspectives, such as GEF Focal Points, Convention Focal Points, ministries of finance, ministries of environment, and CSOs, (ii) provide greater visibility and recognition of GEF support to countries; and (iii) refocus the different components of the CSP to help countries undertake new or redesigned GEF activities.

165. The CSP will be implemented by the GEF Secretariat, and comprised of following elements:

- Provision of resources for voluntary NPFE
- Multi-stakeholder dialogues along the lines of the current NDI
- Constituency-level workshops to keep national GEF Focal Points, Convention Focal Points and other key stakeholders, including civil society abreast of GEF Strategies, policies, and procedures
- Council Member support

[17] Policy recommendations emerged from the replenishment process after negotiation among the Contributing Participants to the Replenishment. The full replenishment package that includes the programming strategy and the policy recommendations was then approved by the GEF Council. The GEF Council then considered details of proposals for implementing each policy recommendation as a GEF reform.

- Direct support to Operational Focal Points
- Knowledge management tool
- Familiarization Seminars

166. A key reform to enhance country ownership is the provision of resources to countries to undertake on a voluntary basis NPFE as a basis for programming GEF resources. Resources for the preparation of the NFPEs will be provided directly by the GEF Secretariat.

167. Another key reform approved by the GEF Council in June 2010 is the provision of resources for convention reports, including National Communications, directly to recipient countries from the GEF Secretariat. Eligible countries will be able to directly submit proposals to the GEF Secretariat for National Communications. The GEF Secretariat will review the proposals and the GEF CEO will approve them. The GEF CEO will then enter into a grant agreement with the recipient country for the provision of grant resources and will make arrangements for disbursement and other due diligence measures associated with resource management. This reform represents a specific step that the GEF has taken to respond to concerns expressed at UNFCCC meetings about the way the GEF Implementing Agencies are disbursing funds for National Communications.

168. The resource allocation system of the GEF has been reformed by transforming it into the STAR, which will be simpler, more transparent, more flexible, and better takes into account the challenges of low income countries. The STAR is explained in greater detail in the following section.

169. The GEF-5 replenishment participants called on the Secretariat to prepare a proposal to broaden the GEF partnership by bringing in additional entities, including qualified national entities, which will be able to receive resources directly from the GEF to prepare and implement projects. This reform is expected to widen the range of skills that the GEF can draw upon and will provide countries with more choices as to the agency with which they wish to work. As permitted under paragraph 28 of the GEF Instrument, the range of entities under consideration includes international entities, regional entities, NGOs, and national entities.

170. At its June 2010 meeting, the GEF Council established a subcommittee to develop the eligibility criteria for admitting additional executing entities. The GEF Council also requested the Secretariat to establish a task force to develop an accreditation methodology for additional entities.

Improving the Effectiveness and Efficiency of the GEF Network

171. The GEF-5 policy recommendations call for increased engagement between the GEF and convention secretariats, including participation by the convention secretariats in GEF Council discussions on focal area strategies and programming. The GEF Council is scheduled to discuss a proposal to enhance such engagement at its November 2010 meeting.

172. At its June 2010 meeting, the GEF Council approved further streamlining of the project cycle to reduce the number of processing steps, and also approved a new type of programmatic approach to enable those GEF Agencies that meet certain qualifying criteria to follow a more streamlined programming approach.

173. Council has requested the GEF EO to conduct an assessment of the GEF Earth Fund, which was established in GEF-4 and will be discussed in November 2010. Following this, a private sector strategy will be presented to the GEF Council for implementation in GEF-5.

174. The GEF-5 programming strategy is set within the context of a RBM framework that establishes an overall corporate results framework. The strategies include results frameworks, with clear indicators and targets, for each GEF focal area as well as for the GEF's new SFM/REDD-plus and LULUCF program, as well as for GEF's corporate programs and its activities with the private sector. A GEF-wide knowledge management initiative will be implemented in GEF-5.

175. Donors also agreed to a framework clarifying the roles and responsibilities of GEF entities.

3. SYSTEM FOR TRANSPARENT ALLOCATION OF RESOURCES (STAR)

176. The GEF Council agreed for a new allocation system —the STAR—to replace the RAF starting in GEF-5. The STAR is a system that will allocate resources to countries based on objective criteria in three focal areas: climate change, biodiversity, and land degradation. 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 improve country ownership of GEF projects and programs.

177. The STAR was designed to address the shortcomings found with the RAF, as identified through the mid-term evaluation conducted by the GEF EO. It also took into account the views of recipient countries and the experience of the GEF Secretariat and the GEF Agencies in implementing the RAF. An important change under the STAR is all countries will have individual indicative allocations for each of the three focal areas that can be used to fund GEF-5 projects. The STAR also sets minimum allocations (that is, floors) for all countries as follows: $2 million for climate change, $1.5 million for biodiversity, and $0.5 million for land degradation. Therefore, those countries that receive allocations in the three focal areas will have indicative allocations totaling at least $4 million that can be programmed in GEF-5. This will ensure that 112 countries previously included in the GEF-4 "group allocation" will receive transparent individual allocations for GEF-5.

178. The STAR has also built in flexibility for countries for which total allocations in the three focal areas falls under a threshold of $7 million. Such countries will have flexibility to allocate these resources $7 million in any or all of these three focal areas in accordance with national priorities for generating global environmental benefits. Sixty-one countries will benefit from this feature. This threshold was set to ensure that at least 90 percent of total GEF-5 resources in each of the three focal areas are ultimately used for projects in these focal areas.

179. SBI 32 invited the GEF to report on the implications of the STAR on the funding of National Communications. The GEF can clarify that in contrast with GEF-4, additional resources, above and in addition to the individual country STAR allocations, have been set aside to fund enabling activities, such as National Communications. Non-Annex I Parties will be able to access up to $500,000, in addition to any climate change allocation, to fund preparation of their National Communications. Those Parties with climate change allocations under the STAR will also be able to choose to program higher amounts to fund their National Communications by using resources from their indicative STAR allocations. This responds directly to the requests of many countries expressed in UNFCCC meetings.

4. FOCAL AREA STRATEGIES

180. The overall approach to programming builds on the achievements of the first four phases of the GEF, and on the refinements made in the focal area strategies during GEF-4. The GEF-5 focal area strategies reflect the strategic positioning for GEF-5, and a move towards a transformational scale-up of activities. The following sections explain the focal area strategies that are most relevant to climate change, namely climate change mitigation, SFM/REDD-plus and LULUCF, and land degradation. It also illustrates the proposed climate change adaptation strategy for the LDCF and the SCCF.

a. GEF-5 Climate Change Mitigation Strategy

181. The Fourth Assessment Report of the Intergovernmental Panel on Climate Change (IPCC) concludes that climate change resulting from human activities is now a virtual certainty and that even if the international community resolves itself

to aggressively mitigate GHG emissions, climate change impacts will continue to increase in the future. It is widely recognized that the overall costs and risks of climate change will far exceed the cost of action to mitigate climate change.

Guiding Principles

182. Development of GEF-5 strategy in the climate change focal area drew on past experience and was guided by three principles: (i) responsiveness to Convention guidance; (ii) consideration of national circumstances of recipient countries; and (iii) cost-effectiveness in achieving global environmental benefits. GEF-5 will endeavor to make a transformative impact in helping GEF-recipient countries move to a low-carbon development path through market transformation of and investment in environmentally sound, climate-friendly technologies.

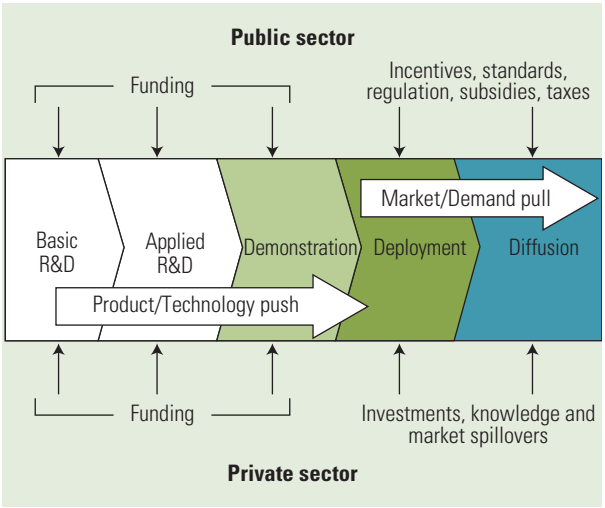
183. Recent decisions reached by the COP have given the GEF guidance, particularly in the areas of development and transfer of environmentally sound technologies and of land use and land-use change. At COP13, the GEF was requested to elaborate a strategic program to scale up the level of investment in technology transfer to help developing countries address their needs for environmentally sound technologies. COP14 welcomed the technology transfer program presented by the GEF as a step toward scaling up the level of investment in technology transfer to developing countries and requested the GEF to consider the long-term implementation of the strategic program on technology transfer. On LULUCF, COP12 requested the GEF to explore options for undertaking land use and land-use change projects within the climate change focal area in light of past experience. Furthermore, the Bali Action Plan highlighted new issues, such as measurable, reportable, and verifiable (MRV) nationally appropriate mitigation actions (NAMAs) by developing countries in the context of sustainable development, supported and enabled by technology, financing, and capacity building.

184. GEF-recipient countries vary significantly in terms of their stage of development, technical and institutional capacity, and market potential to reduce GHG emissions. The GEF-5 climate change strategy will endeavor to provide options for countries with different national circumstances to tackle climate change mitigation, while supporting sustainable development.

185. The GEF-5 climate change strategy will promote a broad portfolio of environmentally sound, climate-friendly technologies to achieve large GHG reductions in the GEF-recipient countries in accordance with each country's national circumstances. The portfolio will include technologies at various stages of development in the innovation chain, with a focus on the stages of market demonstration, deployment, and diffusion. (See Figure 8.) GEF support will involve a combination of technology push and market pull interventions.

186. In GEF-5, NPFE will be introduced to support countries in identifying priority areas for GEF support in line with the countries' development objectives and climate change policy and strategies. Programming of GEF resources at the country level will be based on the priority sectors, technologies, and activities identified by the countries themselves. The GEF will endeavor to make transformative impacts in all GEF-recipient countries, taking national circumstances into consideration. The use of

FIGURE 8 Technology Development Cycle and Innovation Chain



Source: IPCC, 2007: Technical Summary, in Climate Change 2007: Mitigation, Contribution of Working Group III to the Fourth Assessment Report of the IPCC.

nongrant instruments will be promoted in countries where conditions are suitable and demand exists in order to catalyze commercial financing and leverage investment from the private sector.

187. In large, medium-income developing countries and rapidly growing economies, the GEF will continue to support programs and projects that will bring significant GHG reductions, such as market transformation in the building, industry, and transport sectors. In relatively small, low-income countries, the GEF will boost its support in investment and in technical and institutional capacity building and will expand its efforts in helping these countries access modern energy from renewable sources. Technology innovation and transfer will be promoted in all GEF-eligible countries: in large, medium-income countries with strong technical capacity and market potential, emphasis will be placed on market demonstration and commercialization of new, emerging technologies; in relatively small, low-income countries, GEF support will focus on adapting commercially available technologies to local market conditions for deployment and diffusion through investment, capacity building, and technology cooperation.

188. Furthermore, the GEF can play a useful and growing role in the emerging carbon markets, which is expected to increase rapidly in the future. The GEF is uniquely positioned to expand its engagement in the carbon markets given its extensive network of partner institutions, its rich experience in financing clean energy and sustainable urban transport activities and in promoting the transfer of a broad range of environmentally sound technologies to developing countries, and finally its strong track record in reducing GHG emissions cost-effectively from its investments. In fact, GEF's early intervention in many cases—be it demonstrating technologies for landfill gas and coal bed methane utilization or putting policy and regulatory frameworks in place to stimulate investment in renewable energy—has laid the foundation for the carbon market to function and replicate subsequently. Options to be explored by the GEF may include: (i) capacity building related to sectoral targets, NAMAs, MRVs, programmatic carbon finance, and other activities under the post-2012 climate regime; (ii) risk mitigation for projects at an early stage of technological innovation; and (iii) cofinancing of innovative projects, with credits to be retained in the recipient country for further project replication. GEF engagement in carbon finance activities will complement other programs and reforms in GEF-5.

Goal and Objectives

189. 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. The long-term impact of the GEF work will be slower growth in GHG emissions to the atmosphere from the GEF-recipient countries and contribution to the ultimate objective of the UNFCCC, which is to achieve "stabilization of GHG concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system."

190. The climate change mitigation strategy for GEF-5 will consist of six objectives. (See Table 8.) The first objective will focus on technologies at the stage of market demonstration or commercialization where technology push is still critical. The second through fifth objectives focus on technologies that are commercially available 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. GEF-5 Sustainable Forest Management (SFM)/REDD-PLUS and Land Use, Land-Use Change and Forestry (LULUCF) Strategy

191. Forest ecosystems provide a variety of benefits that are realized at the global, subregional, national, and local scales. Threats to forest ecosystems are also multiple—ranging from the impacts of climate change to all aspects of competing land uses that lead to forest degradation and deforestation. On a global scale, deforestation contributes to approximately 17 percent of GHG emissions.

TABLE 8 Climate Change Mitigation Strategy for GEF-5: Results-Based Framework

Objective 1: Promote the demonstration, deployment, and transfer of innovative low-carbon technologies	
Key expected outcomes	**Core outputs**
• Technologies successfully demonstrated, deployed, and transferred • Enabling policy environment and mechanisms created for technology transfer • GHG emissions avoided	• Innovative low-carbon technologies demonstrated and deployed on the ground • National strategies for the deployment and commercialization of innovative low-carbon technologies adopted
Objective 2: Promote market transformation for energy efficiency in industry and the building sector	
Key expected outcomes	**Core outputs**
• Appropriate policy, legal, and regulatory frameworks adopted and enforced • Sustainable financing and delivery mechanisms established and operational	• Energy efficiency policy and regulation in place • Investment mobilized • Energy savings achieved
Objective 3: Promote investment in renewable energy technologies	
Key expected outcomes	**Core outputs**
• Favorable policy and regulatory environment created for renewable energy investments • Investment in renewable energy technologies increased • GHG emission avoided	• Renewable energy policy and regulation in place • Renewable energy capacity installed • Electricity and heat produced from renewable sources
Objective 4: Promote energy efficient, low-carbon transport and urban systems	
Key expected outcomes	**Core outputs**
• Sustainable transport and urban policy and regulatory frameworks adopted and implemented • Increased investment in less-GHG intensive transport and urban systems	• Cities adopting in low-carbon programs • Investment mobilized • Energy savings achieved
Objective 5: Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change, and forestry	
Key expected outcomes	**Core outputs**
• Restoration and enhancement of carbon stocks in forests and non-forest lands, including peat land • Good management practices in LULUCF adopted both within the forest land and in the wider landscape • GHG emissions avoided and carbon sequestered	• Carbon stock monitoring systems established • Forests and nonforest lands under good management practices
Objective 6: Support enabling activities and capacity building under the UNFCCC	
Key expected outcomes	**Core outputs**
• Adequate resources allocated to support enabling activities under the UNFCCC • Human and institutional capacity of recipient countries strengthened	• Countries receiving GEF support for National Communication, etc. • National communications, etc. completed and submitted to the UNFCCC as appropriate

192. The importance of forests in the global carbon equation has prompted significant policy discussions on the now called REDD-plus framework. These discussions emphasize the crucial role of reducing emissions from deforestation and forest degradation and call for the provision of positive incentives for such actions, particularly addressing the need for new and additional resources to be made available for REDD-plus.

193. Beyond their key role in climate change mitigation of land-based emissions, forests harbor a significant fraction of the world's biodiversity wealth and are responsible for the provision of key ecosystem services, including functioning as carbon sinks and storehouses, buffering against soil degradation and desertification, and sustaining the livelihoods of hundreds of millions of rural people everywhere. These linkages imply that forests can be conserved and managed for multiple benefits, if the different objectives can be pursued synergistically.

194. Acting on these inter-linkages proactively and under the GEF Council guidance, GEF-4 introduced a more strategic approach to SFM, which included the role of forests in climate change mitigation under the LULUCF framework. The successful GEF-4 strategy was operationalized through a SFM program, which rapidly emerged as a diverse portfolio of investments that address individual GEF focal area aspects of forests or emphasize the multiple benefits character of forest ecosystems through major programmatic approaches. Over the past three years, the GEF approved close to $350 million for SFM.

195. The investment strategy in SFM for GEF-5 will build on the very promising experience with the SFM portfolio development gained in GEF. Unlike in GEF-4, all types of forests are eligible for funding under the SFM/REDD-plus/LULUCF program. The primary focus of the program will be implementation at the national and subnational levels, including through programmatic approaches. The portfolio is expected to be made up of a wide spectrum of SFM management tools, such as protected area creation and management, integrated watershed management, certification of timber and nontimber forest products, payments for ecosystem services (PES) schemes, financial mechanisms related to carbon, development and testing of policy frameworks to slow the drivers of undesirable land-use changes, and work with local communities to develop alternative livelihood methods to reduce emissions and sequester carbon. In connection with these projects and programs, the GEF may also support activities that develop systems to measure and monitor carbon stocks and fluxes from forest and nonforest lands.

196. GEF-funded interventions will cover the spectrum of land-use categories consistent with the IPCC. In seeking to address potential trade-offs, the strategy does not support the substitution of native forests with plantations, regardless of whether benefits in carbon sequestration would be anticipated.

197. The SFM/REDD-plus/LULUCF program will reinforce GEF Council guidance to foster a convergence of investments in more efficient and cost-effective projects and programmatic approaches. According to GEF projections, a funding envelope of $250 million, set aside from the allocations of biodiversity, climate change and land degradation, and operating as a challenge account, would be able to mobilize $750 million in country allocations, not considering the leveraging opportunities from other sources triggered by GEF direct investments. The allocation of resources to projects and programs on SFM/REDD-plus will draw on a transparent and equitable investment algorithm that finances countries with a ratio of 3:1. In other words, for every three dollars of investment from STAR resources from two or more focal areas allocated to a particular country, one dollar will be released from a SFM/REDD-plus/LULUCF incentive mechanism (the challenge account) to a proposed project. For example, a country that decides to allocate $6 million from two or more focal area STAR allocations would leverage $2 million from the SFM/REDD-plus/LULUCF challenge account. To ensure that countries have access to sufficient funding to invest in SFM/REDD-plus/LULUCF at an ecologically and operationally significant scale, each country

will be required to invest a minimum of $2 million from their combined allocations in order to qualify for incentive investments from the challenge account. Individual countries will be allowed to invest a maximum of $30 million from their combined allocations.

198. The GEF-5 SFM/REDD-plus/LULUCF strategy mirrors the guidance coming from the three conventions dealing with forests, and for which the GEF is an operating entity of the financial mechanism (UNFCCC, CBD and UNCCD), and reflects the evolving consensus around the SFM concept,[18] as promoted by the Collaborative Partnership on Forests (CPF) and stated in the nonlegally binding instrument (NLBI) on all types of forests of the United Nations Forum on Forests (UNFF). The SFM concept is often recognized as encompassing seven thematic elements: extent of forest resources, biological diversity, forest health and vitality, productive functions of forests, protective functions of forests, socioeconomic functions, and the legal, policy and institutional framework. These broadly defined elements can be applied from production forests, including planted forests, all the way to protected forests and to degraded forests in need of restoration.

199. The GEF has a significant comparative advantage in directing the investments that support measures to control and prevent deforestation and forest degradation as essential and cost-effective means to deliver multiple global environmental benefits, including the protection of forest habitats, forest ecosystem services, mitigation of climate change and protection of international waters, reflecting the transversal nature of forests globally. The GEF-5 strategy will better reflect these key synergies, working with and supporting the NLBI framework on all types of forests of the UNFF, which calls for international cooperation and national action to reduce deforestation, prevent forest degradation, promote sustainable livelihoods and reduce poverty for all forest-dependent peoples. Finally, the GEF will continue to strengthen its long-standing processes of co-operation with other multilateral and bilateral initiatives on SFM/REDD-plus/LULUCF.

200. In its fifth replenishment cycle, the GEF will particularly strengthen its SFM efforts in the field of climate change mitigation in order to take advantage of the priority and opportunities being opened for forests in the international agenda during the next four to six years. The overall goal for GEF-5 investment in SFM/REDD-plus/LULUCF is to achieve multiple global environmental benefits from the management of all types of forests and strengthen sustainable livelihoods for people dependent on forest resources. The GEF-5 strategy identifies two objectives that will drive the SFM/REDD-plus/LULUCF portfolio and contribute to reach that goal:

a. Reduce pressures on forest resources and generate sustainable flows of forest ecosystem services
b. Strengthen the enabling environment to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from LULUCF activities

c. GEF-5 Land Degradation Strategy

201. Land degradation affects close to 2.6 billion people across more than 100 countries. Degraded land is costly to reclaim and, if severely impacted, results in diminished ecosystem functions that are crucial to the provision of environmental, social, economic, and nonmaterial benefits on which society depends, and which keep development options open. The Millennium Ecosystem Assessment identified three major direct drivers for terrestrial ecosystem degradation: *land use change, natural resources consumption,* and *climate change*. These direct drivers are also emphasized in the 10-year strategy of the UNCCD and in the NLBI on forests of UNFF. With the current debate on the role of agriculture and forest management in LULUCF, there

[18] Although the Bali Action Plan of the UNFCCC uses the term "sustainable management of forests", GEF has long used the term Sustainable Forest Management (SFM).

TABLE 9 SFM/REDD-plus/LULUCF Strategy for GEF-5: Results-Based Framework

Objective 1: Reduce pressures on forest resources and generate sustainable flows of forest ecosystem services	
Key expected outcomes	**Core outputs**
• Enhanced enabling environment within the forest sector and across sectors. • Good management practices developed and applied in existing forests. • Good management practices in the wider forest landscape developed and adopted by relevant economic sectors.	• PES systems established (number). • Types of services generated from forests. • Forest area (hectares) under sustainable management, separated by forest type.
Objective 2: Strengthen the enabling environment to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from LULUCF activities.	
Key expected outcomes	**Core outputs**
• Enhanced institutional capacity to account for GHG emission reduction and increase in carbon stocks. • New revenue for SFM created through engaging in the voluntary carbon market.	• National forest monitoring systems in place, which include carbon (number). • Innovative financing mechanisms established (number). • Carbon credits generated (number).

are emerging opportunities also for further enhancing the SLM agenda in the rural landscape.

202. The GEF-5 strategy for the land degradation focal area will maintain overall coherence with the GEF-4 strategy and support efforts to remove key barriers to the sustainable management of crop and livestock systems, as well as forest landscapes. More emphasis will be given to the management of competing land uses (such as food production and biomass production), because they not only result in changes in land cover and ecosystem dynamics but also contribute to increase the emission of GHGs.

203. By emphasizing the management of natural resources in an integrated way and in support of livelihoods of millions of people, the land degradation strategy has been made fully consistent with the overall approach to natural resources management across the GEF focal areas of biodiversity, climate change mitigation/LULUCF, and international waters. In this regard, joint programming with other focal areas will be actively pursued, especially in the context of integrated watershed management in priority transboundary catchments and groundwater recharge areas (links with the international waters focal area), increasing forest and tree cover in production landscapes (links with the climate change focal area), and implementation of landscape approaches for protected area management (links with the biodiversity focal area).

204. The goal of the land degradation focal areas is to contribute to arresting and reversing current global trends in land degradation, specifically desertification and deforestation. To achieve this goal, the strategy encompasses four objectives: (i) maintain or improve flow of agro-ecosystem services to sustaining the livelihoods of local communities; (ii) generate sustainable flows of forest ecosystem services in arid, semi-arid, and subhumid zones, including sustaining livelihoods of forest-dependent people; (iii) reduce pressures on natural resources from competing land uses in the wider landscape; and (iv) increase capacity to apply adaptive management tools in SLM.

205. The GEF will seek to strengthen its role in two major ways to effectively combat land degradation, stabilize ecosystem services, and reduce livelihood vulnerability of rural populations. First, the GEF will step-up its contribution to country and regional efforts in building effective enabling environments for SLM at multiple scales. The increased allocation of resources will allow the GEF to pursue its mandate of generating GEBs in the context of supporting national and regional development priorities in the coming decade. This will include in-

stitutional strengthening in agriculture, rangeland, and forest management, and cross-sector collaboration. Second, the GEF will scale-up its investment through comprehensive and integrated approaches that cover increasingly larger geographical areas. Improved management of agro-ecosystems and forest landscapes over larger geographical areas will safeguard soil and water resources, increase carbon stocks[19] and reduce emissions, and protect biodiversity. In the case of drylands, the large surface area also makes them an important target for carbon storage[20] and sequestration. The benefits of reducing carbon emissions through SLM will help position the GEF to play an influential role in future financing options for climate change mitigation in agriculture.

206. Table 10 summarizes outcomes and core outputs for the four objectives of the GEF-5 LDFA strategy. Based on allocation of $400 million, GEF's catalytic role in the LDFA will emphasize implementation of the 10-year UNCCD strategy, leveraging investments in SLM from diverse sources, scaling-up SLM innovations, and mobilizing baseline knowledge, and tracking tools for long-term monitoring and assessment of land degradation impacts and trends.

207. The allocation of $400 million (*potentially leveraging up to $2 billion*) will allow the GEF to invest in SLM interventions to generate measureable GEBs (improve provisioning of ecosystems services, reduce GHG emissions, and conserve biodiversity) in agro-ecosystems, rangelands, and forest landscapes, while providing direct benefits for human livelihoods. GEF financing will be particularly important in countries that already have or are developing appropriate enabling conditions for SLM and SFM, including policy frameworks, investment strategies, and regulatory mechanisms. It is, therefore, expected that GEF will catalyze SLM and SFM investments to cover an estimated 500 million hectares of production landscapes, including in drylands and affected transboundary areas, with the potential to benefit one billion smallholder farmers and pastoralists.

d. Climate Change Adaptation Strategy for the Least Developed Countries (LDCF) and the Special Climate Change Fund (SCCF)

208. The LDCF and the SCCF are currently the only operating funds whose mandate has been defined under the UNFCCC. The rationale for establishing and maintaining these funds is based on the experience that business-as-usual development does not systematically incorporate climate change risks and adaptation measures to reduce vulnerability and increase adaptive capacity of vulnerable countries and communities. As highlighted at COP15 in Copenhagen, new and additional financing is needed to support a different approach to development—one that is climate-resilient—to be implemented. The GEF has and will continue to play a pivotal role in the multilateral community to catalyze climate-resilient development financing and operations.

209. The adaptation strategy is based on (a) COP Guidance on LDCF and SCCF, (b) responsiveness to developing country needs and consequent need for predictability of resources, and (c) scaling up the programmatic approach in the next phase of LDCF and SCCF. In addition, complementarity among different adaptation-related funds and external evaluations' recommendations, reflecting GEF's responsiveness, constitute key considerations.

210. The GEF has received a significant amount of guidance on adaptation throughout the last 14 years from the UNFCCC. COP guidance on adaptation has dramatically evolved from the initial staged approach (COP1, COP4), particularly

[19] In 2000, the IPCC estimated that feasible improvements in cropland management, grazing land management, agroforestry, and rice systems within existing land uses could increase carbon stocks by 125, 240, 25, and 7 MtC per year by 2010.

[20] The Millennium Ecosystem Assessment (2005) estimated that the total dryland soil organic carbon reserves comprise 27 percent of the global soil organic carbon reserve.

TABLE 10 Land Degradation Strategy for GEF-5: Results-Based Framework

Objective 1. Maintain or improve flow of agro-ecosystem services to sustaining the livelihoods of local communities	
Key expected outcomes	**Core outputs**
• An enhanced enabling environment within the agricultural sector. • Improved agricultural management. • Functionality and cover of agro-ecosystems maintained.	• Country level policy, legal, and regulatory frameworks that integrate SLM principles developed. • Diverse sources of investment for SLM interventions at multiple scales (e.g., PES). • Hectares of tree cover in agro-ecosystems.
Objective 2. Generate sustainable flows of forest ecosystem services in drylands, including sustaining livelihoods of forest dependant people	
Key expected outcomes	**Core outputs**
• An enhanced enabling environment within the forest sector in drylands. • Improved forest management in drylands. • Functionality and cover of forest ecosystems in drylands maintained.	• Country level policy, legal and regulatory frameworks that integrate SFM principles developed. • Diverse sources of investment for SFM interventions (e.g., PES, small credit schemes, voluntary carbon market). • Hectares of forest cover in production landscapes.
Objectives 3. Reduce pressures on natural resources from competing land uses in the wider landscape	
Key expected outcomes	**Core outputs**
• Enhanced enabling environments between sectors in support of SLM. • Good management practices in the wider landscape demonstrated and adopted by relevant economic sectors.	• Government agencies collaborating on SLM initiatives across sectors and at multiple scales. • Number and types of investment sources in SLM from successfully tested sustainable finance reflow schemes. • Information on SLM (wider landscape) technology and good practices disseminated.
Objective 4. Increase capacity to apply adaptive management tools in SLM	
Key expected outcomes	**Core outputs**
• Increased capacities of countries to fulfill their obligations in accordance with the provisions provided in the UNCCD. • Improved project performance using new and adapting existing tools and methodologies	• Number of countries reporting on UNCCD activities and with improved monitoring of impacts at national level. • Number of GEF projects financed under LD Objectives 1–3 addressing priorities identified in UNCCD action programs and national reporting process. • Number of GEF-financed projects reflecting knowledge from targeted research projects or number of projects with targeted research component.

in Marrakech (COP7, 2001), when the GEF was requested to finance pilot or demonstration projects to show how adaptation planning and assessment can be practically translated into projects that will provide real benefits, and to manage the newly established climate change funds, the LDCF and the SCCF. In response to increasing scientific concern and empirical evidence, COP guidance has addressed both the impacts of climate change on human life and development, as well as on vulnerable ecosystems, and has begun responding to assessments showing the costs of adaptation to developing countries, estimated to amount to tens of billions of dollars. Responsiveness to specific COP guidance on adaptation is discussed in the section "Efforts to be Accountable and Responsive to the Convention Guidance."

211. In 2008–2009, DANIDA carried out, together with the GEF EO, a "Joint External Evaluation on the Operation of the Least Developed Countries Fund" in order to evaluate the results and lessons learned from the use of the LDCF in financing and promoting climate change adaptation in the LDCs and in order to provide recommendations regarding the future role of the LDCF and the implementa-

tion of NAPAs. The evaluation resulted in a number of recommendations, including (a) dramatically increasing the resources of the LDCF in order the meet the needs of the LDCs and to fulfill the mandates of the Fund; (b) simplifying the procedures for accessing funds under the LDCF; (c) facilitating improved understanding for accessing funds; and (d) addressing bottlenecks in relation to individual and institutional capacity in many LDCs.

212. A follow-up to the evaluation was carried out by DANIDA and completed in May 2010. The evaluation found that the GEF Secretariat has moved forward vigorously to respond to and to implement many of the recommendations of the 2009 Evaluation Report. It also stated that "[t]he general uncertainty about the future financial regime for adaptation should not be allowed to hinder the process of improvement, which is clearly underway in the management of the LDCF." In summary, the LDCF was found to have transitioned into a period marked by significant improvement. The signs are now promising that the GEF will continue to build on its earlier experience and has initiated concrete steps that will involve successful implementation of the NAPAs.

213. The follow-up review also considered the SCCF. It concluded that the GEF and its Agencies have managed to deliver on time the funds committed to the SCCF. A growing focus at the country level on environmentally sound technologies and on better project identification increase the perspectives for a successful outcome under the SCCF on the medium to long term, if funds are being committed by relevant donors. Continued focus on programmatic approach, shorter process time on projects, collection, and dissemination of lessons learned and monitoring were found to be crucial by the review.

214. The goal of the adaptation strategy in 2010–2013 is to support developing countries to increase resilience to climate change through both immediate and longer-term adaptation measures in development policies, plans, programs, projects, and actions. The desired impact is to reduce absolute losses resulting from climate change, including variability. The goal will be achieved through two equally important objectives. One is to reduce vulnerability to climate change of sectors, areas, countries, communities, and ecosystems. The other is to increase adaptive capacity.

215. The desired outcomes include the following:

- Adaptation objectives and budget allocations incorporated in broader development frameworks
- Risk analysis and vulnerability assessment incorporated as part of development programs and project planning
- Adaptation practices developed and implemented to respond to climate change-induced stresses in development sectors and vulnerable ecosystems
- Climate change and variability-induced disaster planning mechanisms developed and applied
- Reduced absolute losses resulting from climate change, including variability
- Awareness raised and communities involved in disaster planning, preparedness, and prevention
- Strengthened institutional adaptive capacity to implement adaptation measures
- Diversified and strengthened livelihoods
- Enhanced climate resilience of relevant development sectors and natural resources

216. The strategy is focused on a robust replenishment of the LDCF and the SCCF. If properly financed, these two climate change funds currently have the possibility to meet a significant share of the demand for adaptation of some of the most vulnerable countries in the world.

217. The proposed adaptation strategy utilizes a RBM Framework to be adopted at project/program design stage and applied to measure progress throughout implementation.

Proposed Innovative Features of the LDCF and the SCCF

218. It is worth noting that the climate change funds (LDCF and SCCF) follow the operational rules of the GEF Trust Fund, except for when Convention guidance decides otherwise. For example,

the GEF project cycle, fiduciary standards, voting modalities and other procedures fully apply to the SCCF. The LDCF has (per COP guidance request) a streamlined project cycle. Both funds do not apply the RAF (STAR under GEF-5, as the system has been developed for climate change mitigation). They apply the additional costs principle associated to adaptation benefits as opposed to the incremental costs and global benefits.

219. Based on this principle, all GEF-5 reform proposed, if appropriate, may be utilized in managing the LDCF and SCCF, including the following: the expanded access for additional executing entities; and the option to engage countries more directly with the GEF Secretariat and develop national plans on adaptation, if predictable resources are available under these funds.

220. Another important issue is the relative comparative advantage of the different GEF Agencies for support of adaptation projects. This topic has been discussed by GEF stakeholders. Some of the GEF Agencies have proved to be leaders in adaptation activities, but others have yet to develop or implement any adaptation project or program, or have showed a lack of specific development and adaptation expertise. For this reasons, GEF partners, countries and other stakeholders have emphasized the need to expand the network of the GEF Agencies so as to include a wider range of adaptation experience and capabilities. For example, entities such as the International Red Cross, with direct expertise on disaster risk management and prevention, and the World Food Program, with a strong presence in the field managing food security and community-level services relevant to climate variability and change, have been identified as appropriate candidates to execute projects under the LDCF and the SCCF.

221. The LDCF and SCCF, whose priority is adaptation, are managed and administered independently from the GEF Trust Fund. The LDCF and SCCF strategy proposes to channel all adaptation financing resources through these independent funds, taking advantage of their specifically designed, streamlined operational procedures. The mandate of the SCCF is broad enough to incorporate the category of projects that were so far financed under the SPA (under the GEF Trust Fund).

Moving to the Next Stage of LDCF and SCCF Funding – A Programmatic Approach

222. An important element of the proposed structure of future funding is that it would also entail a shift to a more programmatic approach to adaptation than what has previously been the practice for the two funds. Funding under the LDCF and SCCF has, to date, largely been of a pilot project nature, in which the primary purpose of the activities supported has been to demonstrate how adaptation can practically be addressed on the ground in individual sectors and across regions. Out of this pilot phase has evolved a significant amount of learning, as well as the initiation of a national process for addressing climate change adaptation in a number of developing countries. The natural continuation to this pilot phase, therefore, is to now start a process of national and global scaling up.

223. With this second phase of funding, the LDCF and SCCF will, therefore, move away from a project-by-project approach, and start implementing adaptation at the scale necessary to catalyze climate-resilient development in the vulnerable sectors, priority areas of intervention and regions. This phase will likely continue to include project like investments in adaptation activities directly on the ground, but will also, to a much larger degree than what is currently the case, include policy support aimed at helping countries to mainstream adaptation into policies and planning, creating the capacity necessary to absorb and utilize adaptation technology transfer, and supporting a process to achieve more climate resilient economies.

224. This second phase of scaling up and mainstreaming will require both higher levels of total financial resources and a much higher degree of predictability in resources available to be successful—and the request for a replenishment of at least $500 million for each fund is linked to these needs.

LDCF – Current and Projected Financing Needs

225. A recent assessment of the financing needs to support the implementation of NAPAs carried out by the UNFCCC Secretariat estimates that the costs of adaptation range between $800 million and $1.7 billion. These estimates were reinforced during COP15, where the Parties recognized the conclusions of a paper prepared by the LEG, "Support needed to fully implement national adaptation programmes of action (NAPAs)", and stressed the need for financial resources for the full implementation of priorities identified in 48 NAPAs as being at least $1.93 billion. As the LDCF is the fund especially established under the UNFCCC to pay these costs, the estimated financing need for the LDCF is consistent with the analysis of the UNFCCC Secretariat. The activities to be financed will be consistent with the priorities identified by the NAPAs, through a programmatic approach that will build on project experience and maximize impact by reducing vulnerability and increasing the adaptive capacity of the most important and vulnerable development sectors.

SCCF – Current and Projected Financing Needs

226. GEF stakeholders, including the GEF Agencies and the client countries, emphasized that the major obstacle is the uncertainty that currently exists with respect to how much money is available to develop adaptation projects under the SCCF. The SCCF is the only fund established under the UNFCCC whose resources are currently available under for all vulnerable developing countries (only LDC countries, by definition, are eligible for LDCF resources). The demand under the SCCF to date is about $125 million per year, with much greater demand expected to come in the near future, while the fund totals $110 million, of which only $100 million is for adaptation. (More projects might be also proposed if more resources were available.) To meet the demand and ensure financing predictability, the GEF estimates the need for $500 million for the SCCF adaptation window for a four-year replenishment cycle to finance the necessary adaptation activities under the priority sectors listed above.

227. The mandate of the SCCF is broad enough to incorporate the category of projects that were so far financed under the SPA, for example, those that address the vulnerability of ecosystems. An example of activities that were previously financed under the SPA and could be financed under the SCCF include addressing climate impacts on coral reefs, mangrove, forest and other vulnerable ecosystems, and agro-biodiversity of global significance.

228. Finally, based on COP guidance, as reinforced at COP15, responsiveness to developing countries needs—including predictability of resources—and a commitment to complementarity and maximization of climate change funds and resources, this strategy includes a request for a strong replenishment of the LDCF and the SCCF. To fund the SCCF and LDCF at the appropriate level, and to better align the GEF's resources planning and budgeting with that of the donors', it is proposed that these funds be replenished on either two renewable two-year cycles or a conventional four-year cycle.

ANNEX 1: SUMMARIES OF PROJECTS APPROVED UNDER THE GEF TRUST FUND

GEF TRUST FUND

Argentina: Sustainable Use of Biogas from Agro Industrial and Solid Waste Applications (IDB, GEF: $3.2 million; Total Cost: $24.1 million)

The project will support the generation and efficient use of biogas from livestock manure, agro-industrial residual biomass, and solid municipal waste. Several biogas uses will be explored, such as power generation, combined heat power applications, and substitute for fuel for transportation. Further, a financing mechanism to promote the up-scaling of biogas projects will be designed and implemented.

Armenia: Armenia Energy Efficiency Project (World Bank, GEF: $2.1 million; Total Cost: $15.9 million)

The project objective is to reduce energy intensity of the economy by funding public sector energy efficiency investments and removing existing information, knowledge, regulatory, and financial barriers that hamper the wide penetration of energy efficiency investments in public buildings and the commercial and residential sectors. The four project components are as follows: (a) raising awareness about energy efficiency; (b) improving regulatory framework; (c) strengthening the institutional framework and building capacity; and (d) promoting energy efficiency investments in public buildings.

Belarus: LGGE Improving Energy Efficiency in Residential Buildings in the Republic of Belarus (UNDP, GEF: $5 million; Total Cost: $18.3 million)

The objective of this project is to overcome barriers to help ensure that energy efficiency best practices are carried out in the construction of new residential buildings in Belarus. The four project components envisaged by this project are as follows: (a) developing the legal and regulatory framework and mechanisms to enforce the legislation for improving energy efficiency in newly constructed residential buildings; (b) enhancing the expert capacity of Belarusian specialists for implementing new energy efficiency standards and norms for new residential buildings; (c) demonstrating energy and cost-saving potential of new energy efficient measures in two Belarusian cities; and (d) fostering outreach and dissemination.

Bhutan: Promoting Sustainable Rural Biomass Energy (UNDP, GEF: $2 million; Total Cost: $4.1 million)

The project will remove the barriers to sustainable utilization of available biomass resources in the country and application of biomass energy technologies that can support economic and social development in the country's rural sector, in order to reduce GHG emissions. The main components of this project are as follows: (a) mainstreaming sustainable biomass energy by addressing the institutional and policy related barriers to the sustainable production, conversion, and utilization of biomass energy resources in rural Bhutan; (b) promoting innovative practices for local sustainable biomass energy technology development and promotion in line with addressing the technical and market barriers that beset the widespread application of BET and biomass energy-supported products; (c) building capacity building and knowledge management by specifically addressing the barriers of low level of public awareness, technical knowledge and market information regarding improved and efficient biomass energy applications.

Brazil: Pilot Project for Methane Mitigation and Recovery from Hydroelectric Power Reservoirs (IDB, GEF: $2.9 million; Total Cost: $15.4 million)

The project will promote the adoption of methane gas (CH_4) recovery technologies in hydroelectric power reservoirs and facilities for electricity generation and to promote GHG mitigation and

recovery. The objectives are to (i) assess CH_4 concentration levels dissolved in water on the selected hydropower plant, (ii) test different technologies and devices for CH_4 mitigation and CH_4 recovery from CH_4-rich reservoir waters and identify the most adequate one to be used in the selected hydropower, (iii) develop a pilot project for CH_4 mitigation and recovery; and (iv) conduct a technical and economical feasibility study for electricity generation using recovered CH_4.

Brazil: Third National Communication to the UNFCCC (UNDP, GEF: $6.3 million; Total Cost: $12.2 million)

The project will assist the government of Brazil to strengthen its capacity in designing sectoral policies and measures for mitigation and adaptation to climate change and to evaluate the environmental, social, and economic impact of their implementation, while fulfilling its reporting obligations to the UNFCCC.

Brazil: Mitigation Options of GHG Emissions in Key Sectors in Brazil (UNEP, GEF: $4.7 million; Total Cost: $16.1 million)

The project will assist the government of Brazil to strengthen its technical capacity in supporting the implementation of its mitigation actions for GHG emissions in key economic sectors (energy, forests, industry, agriculture and animal husbandry, transportation, civil construction, and residues) in Brazil (including costs) as identified in the Brazilian National Policy and Plan on Climate Change.

Burkina Faso: SPWA-CC Promotion of Jatropha Curcas as a Resource of Bioenergy in Burkina-Faso (UNDP, GEF: $1.5 million; Total Cost: $15.2 million)

The project will validate the potential of GHG reduction through the promotion of Jatropha Curcas oil as a substitute to diesel in Burkina-Faso. This project has the following three components: (a) systemic, institutional and individual capacity to implement the legal and regulatory framework to agro fuels development; (b) demonstration of best agro practices and economic/technical assessment for sustainable production/utilization of Jatropha oil; (C) knowledge management, dissemination of lessons learned and best practices.

Burundi: SPWA-CC Energy Efficiency Project (World Bank, GEF: $2 million; Total Cost: $24.5 million)

The objective of this project is to scale-up the usage of energy efficient and modern lighting products to household electricity users in Burundi. The GEF will fund the following components: (a) distribution and promotion of compact fluorescent lights; (b) utility energy audits; and (c) promotion of energy efficiency investments by large consumers.

Cambodia: TT-Pilot (GEF-4): Climate Change Related Technology Transfer for Cambodia: Using Agricultural Residue Biomass for Sustainable Energy Solutions (UNIDO, GEF: $1.9 million; Total Cost: $5.7 million)

This project concept is to promote the sustained transfer to Cambodia of 3–5 MW biomass-fuelled power and steam generation technologies from one or more countries where these technologies are already proven. In all cases, the biomass fuel will be agricultural wastes or other organic residues. The project will address the issue of sustained replicability by using an integrated approach that will combine the technical support in the implementation, commissioning, and performance evaluation of the pilot demonstrations, with interventions at the institutional and policy levels and in the market place so as to assure the development of a technology transfer mechanism that is appropriate for a country such as Cambodia.

Cape Verde: SPWA-CC Promoting Market-based Development of Small to Medium Scale Renewable Energy Systems in Cape Verde. (UNIDO, GEF: $2 million; Total Cost: $4.3 million)

This project provides a systematic approach to addressing barriers to the development of small to medium scale renewable energy based systems in Cape Verde. GHG emission reductions will be realized and sustained through the following interventions: demonstrating the technical and commercial viability of small to medium scale renewable energy systems with combined capacity of 2MW, either in

grid connected or stand alone format; and developing a national investment strategy for the replication of the pilots to the rest of the country.

Chile: Encouraging the Setting Up and Consolidation of an Energy Service Market in Chile (IDB, GEF: $2.6 million; Total Cost: $15.3 million)

The project will contribute to the creation of an energy efficiency market in Chile, by promoting the active participation of the engineering firms and energy service companies (ESCOs), as intermediaries, in the development of saving and energy efficiency usage projects. This objective will be supported by two components as follows: (a) design a financial mechanism geared towards engineering firms and energy efficiency usage projects; and (b) implement the financial mechanism to facilitate access to financing and catalyze energy efficiency investments.

Chile: TT-Pilot (GEF-4): Promotion and Development of Local Solar Technologies in Chile (IDB, GEF: $3 million; Total Cost: $35.1 million)

The project will support the government of Chile and the National Energy Commission development of a solar technology industry, for both solar water heating and power generation in Chile. This will be achieved through the promotion of transfer of technology, institutional strengthening and capacity building in solar technology, the development of demonstration projects using solar technologies, and the design of incentives, financial mechanisms, and public awareness campaign to promote solar technology projects.

Chile: Sustainable Land Management (World Bank, GEF: $0.95 million from CC, $4 million from LD, $1.5 million from BD; Total Cost: $83.5 million)

The project objective is to develop a national incentive program for mainstreaming Sustainable Land Management (SLM) planning and practices in order to protect vital carbon assets, combat land degradation, and conserve biodiversity of global importance. The project will result in the following activities: (a) development of a national SLM incentive system; (b) pilot projects to increase carbon stock and to reduce degradation and habitat loss; (c) national monitoring and evaluation program, including carbon monitoring; and (d) institutional capacity building.

China: China Energy Efficiency Promotion in Industry (World Bank, GEF: $4.5 million; Total Cost: $24.2 million)

The objective of the project is to improve energy efficiency and reduce GHG emissions in key industrial sectors in China by addressing both the management and technical aspects of rational use of energy. The project would effectively implement the China Energy Efficiency Promotion in Industry (CEEPI) project across key industrial sectors. The following activities will be developed: (a) strengthening of policy mechanisms for promoting industrial energy conservation, management, and efficiency; (b) capacity building exercises for energy managerial personnel; (c) demonstration of pilot projects in key industries and provinces; and (d) information dissemination through campaigns and workshops.

China: Eco-Transport in City Clusters: Model Development and Pilots (World Bank, GEF: $5.5 million; Total Cost: $25.3 million)

This project aims to develop and implement a strategy for city-cluster based sustainable urban transport systems (SUTS), with a pilot demonstration in the city cluster of Changsha-Zhuzhou-Xiangtan, located in Hunan Province in central China. It has an overall goal of increasing the efficiency of resource use and reducing transport energy consumption and GHG emissions, while meeting the need for transport accessibility and mobility in city clusters. This project has the following major components: (a) development of a strategy for city-cluster based sustainable transport systems (SUTS); (b) pilot implementation of city-cluster based SUTS in the city cluster of Changsha-Zhuzhou and Xiangtan (CZX) in Hunan Province; (c) capacity building.

China: Sino-Singapore Tianjin Eco-City Project (SSTECP) (World Bank, GEF: $7 million; Total Cost: $30.9 million)

The objective of the project is to help Tianjin Municipal Government/ Sino-Singapore Tianjin Eco-City Administrative Committee (SSTECAC)

develop Sino-Singapore Tianjin Eco-City (SSTEC) as an energy and resource efficient and low GHG emission city. The project has three components: (a) technical assistance, software, and equipment for implementation framework of SSTEC master plan and dissemination activities; (b) technical assistance for public transport system; and (3) green building pilot investment and technical assistance.

China: Technology Need Assessment on Climate Change (World Bank, GEF: $5.5 million; Total Cost: $5.8 million)

The project supports China's efforts in technology needs assessment to complete a detailed assessment of the current situation of the technology development and potential technology needs in mitigation and adaptation, including implementation options (technical, institutional, policy, regulatory and capacity dimensions) and support to the pilot implementation of technology transfer for a few priority technologies.

Colombia: Catalytic Investments for Geothermal Power (IDB, GEF: $3 million; Total Cost: $195.6 million)

The project will promote and support the geothermal potential in Colombia through the development and implementation of a demonstrative geothermal project in the Macizo Volcanico del Ruiz. GEF resources will help finance the upfront studies that are required to assess the technical, economical, and physical potential of the selected geothermal field.

Colombia: Mechanism for Voluntary Mitigation of GHG Emissions in Colombia (IDB, GEF: $3.1 million; Total Cost: $10.4 million)

This project is to formulate and establish the technological and institutional platform basis for a Verified Emission Reduction Unit (VER) market mechanism to facilitate efforts of voluntary mitigation of GHG emissions in Colombia. It will (a) create a market platform for nationally produced VERs accessible to national or international buyers; (b) support the issuing of VERs from agriculture, forestry and/or REDD projects developed in Colombia; and (c) foster local demand of VERs through corporate carbon mitigation and offsetting strategies.

Cote d'Ivoire: SPWA-CC Promoting Renewable Energy-based Grids in Rural Communities for Productive Uses (UNIDO, GEF: $1 million; Total Cost: $3.3 million)

This project is expected to remove the institutional, technical, knowledge, and awareness-related barriers to the promotion of a market approach for the development of mini-grid connected renewable energy systems to meet the growing need for access to electricity in rural areas, which is currently met or likely to be met by fossil fuels. This will be done mainly through (a) creating a critical mass of skilled and knowledgeable technicians and public officers, (b) building awareness about the appropriate technologies and the best practices, (c) linking energy services with productive uses, and (d) putting in place policies encouraging the involvement of the private sector and providing access to innovative and smart financial mechanisms. GEF is supporting the investment in five pilot mini grid (photovoltaics, waste-to-energy) systems. The project will be coordinated with other similar GEF projects in the region under the West Africa Programmatic Approach.

Cote d'Ivoire: SPWA-CC Promotion of Energy Efficiency Lighting in Public, Commercial and Residential Buildings (under West Africa Energy Program: 3789) (UNEP, GEF: $1 million; Total Cost: $3.8 million)

The main objective of the project is GHG emissions reductions through efficient lighting market transformation and progressive phasing out of incandescent bulbs in the residential, municipal and institutional sectors. The national project undertaken on behalf of the Ministry of Energy will be linked to the GEF global market transformation project that serves as an umbrella program. The project objectives will be achieved with the implementation of specific barrier removal programs that will involve the following: (a) updating energy efficiency policies, standards and guidelines on lighting applications; (b) building institutional and technical capacity; (c) disseminating consumer education and information; (d) developing and implementing appropriate financing mechanisms; and (e) mitigating environmental impacts of the widespread utilization of energy efficient lighting.

Ecuador: Industrial Energy Efficiency in Ecuador (UNIDO, GEF: $1.1 million; Total Cost: $4.8 million)

The project will promote energy efficiency improvements in the Ecuadorian industry through the development of national energy management standards and application of system optimization. This objective will be supported by four components as follows: (a) development of national industrial energy efficiency policy framework with supporting financing scheme; (b) national program to implement ISO—compatible energy management standard; (c) capacity building for personnel involved in energy efficiency; and (d) pilot implementation of system optimization projects.

El Salvador: Energy Efficiency in Public Buildings (EEPB) (UNDP, GEF: $1.1 million; Total Cost: $6.5 million)

The project will promote energy efficiency measures in public buildings in El Salvador. It will support pilot energy efficiency investments in public schools, and prepare the replication of these investments in a large national program (1,000 schools) through policies, regulations, and technical capacity building of designers, engineers, and constructors.

Fiji: PAS Fiji Renewable Energy Power Project (FREPP) (UNDP, GEF: $1.1 million; Total Cost: $2.5 million)

The project will support the removal of major barriers to the widespread and cost-effective use of grid-based renewable energy supply via commercially viable renewable energy technologies.

The proposed project consists of four main components: (a) energy policy and regulatory frameworks; (b) renewable energy resource assessments; (c) renewable-based power generation demonstrations; and (d) institutional strengthening.

Georgia: Promotion of Biomass Pellet Production and Utilization in Georgia (UNDP, GEF: $1.1 million; Total Cost: $5.5 million)

The overall objective of the project is to assist the development of the pellet production and utilization industry in Georgia through demonstration activities, including the launch of a pilot plant. This project will address the barriers for it through creating the confidence and knowledge base and increasing awareness on pellet production and utilization in the country, facilitating the establishment of a supply-demand chain for the pellet market, and supporting the establishment of an enabling policy environment for pellet production and utilization.

Global (China): TT-Pilot (GEF-4)—Green Truck Demonstration Project (World Bank, GEF: $4.9 million; Total Cost: $21.8 million)

This project will accelerate transfer and deployment of clean transport technologies, reduce GHG emissions from freight transport, and improve urban air quality in project cities, through a pilot in Guangdong province. It will support the following activities: (a) retrofitting more than 150 trucks; (b) purchasing more than 150 new trucks equipped with green truck technologies through innovative financing mechanisms; (c) providing training to about 600 truck drivers; and (d) assisting local enterprises to become green truck technology suppliers.

Global (Colombia, Kenya): TT-Pilot (GEF-4): Solar Chill: Commercialization and Transfer (World Bank, GEF: $2.8 million; Total Cost: $7.6 million)

The project will conduct in-situ tests of the SolarChill, a vaccine refrigeration technology, in remote rural areas in Colombia and Kenya to address challenges in the vaccine cooling sector related to fuel availability and costs, performance challenges, and environmental considerations with respect to the chemicals used as insulation foam blowing agents in the production of predominant vaccine cooling technologies. These tests are expected to bring the SolarChill vaccine refrigerator technology to the final stages of commercialization in both countries and to allow for the transfer of the technology to local and regional private sector producers. In tandem, the project will explore the potential to market the SolarChill B, an early prototype household/light commercial refrigerator that makes use of the same technological innovations as the SolarChill, to help preserve food in nonelectrified rural areas in developing countries.

Global (Cook Islands, Turkey): TT-Pilot (GEF-4): Realizing Hydrogen Energy Installations on Small Islands through Technology Co-operation (UNIDO, GEF: $3 million; Total Cost: $6.2 million)

The erection and operation of two highly visible renewables-to-hydrogen energy installations is a corner stone of the technology transfer objectives of the proposed project. The installations will be erected on two islands: Bozcaada Island in Turkey and Aitutaki Island in the Cook Islands. The experience from existing hydrogen installations is planned to be exploited for the optimal design and realization of the two proposed sites.

Global (Global, Cote d'Ivoire): TT-Pilot (GEF-4): Construction of 1000 Ton per day Municipal Solid Wastes Composting Unit in AKOUEDO Abidjan (AfDB, GEF: $3 million; Total Cost: $39.6 million)

The project aims to transfer a composting technology to improve the sustainable waste management in the agglomeration of Abidjan. It will build a 1,000 tons/day industrial composting unit contributing to the GHGs emission reduction and producing residuals that have agricultural applications. The transfer of technology includes activities on the site in Abidjan (such as adaptation of the composting process to local conditions and training on the existing sites in China for the engineering and construction team, operation and maintenance staff), as well as activities in other places of the country.

Global (Global, India): Reversing Environmental Degradation and Rural Poverty through Adaptation to Climate Change in Drought Stricken Areas in Southern India: A Hydrological Unit Pilot Project Approach (under India: SLEM) (FAO, GEF: $0.9 million; Total Cost: $3.4 million [SPA])

Establish a knowledge base for large-scale interventions in 650 habitations in Andhra Pradesh for adaptation to climate change in relation to natural resource management. Knowledge and capacities of communities in Pilot Hydrological Units in Andhra Pradesh, India, will be strengthened to respond to climate change impacts.

Global (Mexico): TT-Pilot (GEF-4): Promotion and Development of Local Wind Technologies in Mexico (IDB, GEF: $5.5 million; Total Cost: $23.6 million)

The project will support Mexico to become a key player in the world's wind energy market, expanding its wind generation capacity by enabling local development and implementation of wind mill technologies. It will support the local development of a national wind turbine market, by structuring a value chain for the production of goods and services at the national level, by building human and technical capacities for the manufacturing, and by testing and certification of wind turbines. Further, it will support the development and provide capacity building to promote wind power application through distributed generation by small-power producers.

Global (Russian Federation): TT-Pilot (GEF-4): Phase Out HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation through Technology Transfer (UNIDO, GEF: $9.9 million from CC, $9.9 million from ODS; Total Cost: $58.2 million)

The objective of this project is to phase out ozone depleting substances (HCFCs) and to promote energy efficiency in the foam and refrigeration manufacturing sectors in the Russian Federation. The project will consist in the main following components: (a) institutional capacity building; (b) phase out of HCFC consumption in the key consuming sectors of foam and refrigeration and development of ozone depleting substances destruction facility and supporting recovery network; (c) technology transfer for design of higher efficiency, HFC-free refrigeration and air conditioning systems, and purchase of production lines for demonstration projects; and (d) stimulation of market growth for energy efficient equipments.

Global: National Communications to the UNFCCC (UNDP/UNEP, GEF: $27.5 million; Total Cost: $29.2 million)

The project will provide financial and technical support for the preparation of National Commu-

nications to the UNFCCC, which are responsive to national developments needs in 50 non-Annex I Parties that have completed preparation of their current National Communications. The intention is to assist countries meet the reporting obligations of the UNFCCC for non-Annex I Parties, while at the same time ensuring that the national capacities and institutional mechanisms created through the preparation of their previous National Communications are not lost or disrupted as a result of funding gaps.

Global: The Global Fuel Economy Initiative (UNEP, GEF: $1.1 million; Total Cost: $3.1 million)

The project aims at stabilizing GHG emissions from the global light duty vehicles fleet through a 50 percent improvement of vehicles fuel efficiency worldwide by 2050. This project's objective is to develop and launch plans and strategies for improved auto fuel efficiency policies in four developing countries and a global fuel economy policy toolkit, as part of Phase I of this global effort. The project includes the following interrelated components: (a) collect, analyze, and communicate improved data and analysis of the current situation on fuel economy around the world and at the national, including assessing the potential for improvements, and monitor trends and progress over time towards a 50 percent improvement by 2050; (b) engage partners at the regional, subregional, and national levels by developing GFEI launch events at the regional and subregional levels in Latin America, Europe, and Africa to create networks of auto fuel economy practitioners and develop a GFEI working presence in the regions of implementation; (c) engage national governments and industry partners to develop sound, consensus-driven plans and strategies for policies that encourage fuel economy improvements over time for vehicles produced or sold in-country, and (as appropriate and reasonable) to improve consistency and harmonization in the policies across countries, within regions, and worldwide to help lower transaction cost and maximize the benefits of improving vehicle fuel economy in a global approach; (d) work with industry leaders and stakeholders to better understand the potential for fuel economy improvement in new and used vehicle markets and engage their expertise toward improved fuel economy in non Annex I countries; (e) develop and support global and regional awareness efforts to provide consumers and decision makers with information on options, costs, and available resources to improve fleet performance and reduce CO_2 and non-CO_2 emissions.

Haiti: Emergency Program for Solar Power Generation and Lighting for Haiti, as a Consequence of the Earthquake in Port au Prince. (World Bank/IDB, GEF: $1.1 million; Total Cost: $3 million)

The project will support the country's emergency responses to the Port au Prince Earthquake by providing autonomous energy and lighting using solar applications. It will produce clean electricity for medical centers, vaccine refrigeration, and other critical relief efforts. Hand-cranked lanterns will also be distributed in refugee camps and residential areas that are in the dark a week after a 7.0 magnitude temblor destroyed most of the electricity grid and local power plants.

India: Low Carbon Campaign for Commonwealth Games 2010 Delhi (UNDP, GEF: $0.9 million; Total Cost: $2.9 million)

The project will develop and promote a low carbon campaign for the 2010 Commonwealth Games as a means of inducing a behavioral change amongst the citizens, athletes, and visitors for the adoption of environmentally sustainable practices. The project will also support some investments, especially a planting program that is expected to be replicated in five other cities.

India: Market Development and Promotion of Solar Concentrators Based Process Heat Applications in India (UNDP, GEF: $5 million; Total Cost: $23.9 million)

The project will help to introduce solar concentrators for different medium temperature process heat applications in industries and institutions to reduce GHG produced resulting from the use of fossil fuels, such as furnace oil. Providing interest subsidy to buyers of solar concentrator systems, assisting

manufacturers and suppliers in market development, providing technical support for new industrial applications, increasing awareness will be the activities to achieve the objective. The program will focus on certain industries having large potential, such as dairy processing, textile, hospital, chemical processing, and institutional cooking.

Indonesia: Chiller Energy Efficiency Project (World Bank, GEF: $4 million; Total Cost: $22.7 million)

The project aims at replacing older chillers by more energy efficient, ozone depleting substance-free chillers. This objective will be achieved by fulfilling the following project components: (a) removal of market and techno-economic barriers for early adoption through provision of financial incentives directly to chiller owners; (b) improvement of access to capital for chiller replacement through grant funds to cover the cost of loan guarantees; (c) increase of awareness of chiller owners of the upcoming ban of CFC and HCFC consumption and production; and (d) removal of chiller owners' perceived technology risks by demonstrating significant rate-of-return on investment of chiller replacement.

Indonesia: Wind Hybrid Power Generation (WHyPGen) Marketing Development Initiatives (UNDP, GEF: $2.5 million; Total Cost: $9.8 million)

The project will facilitate the commercial application of on-grid Wind Hybrid Power Generation (WHyPGen) systems for environmentally sustainable electricity supply in Indonesia. The envisioned major activities include the following: (1) validation of the WHyPGen technology potentials for grid electricity supply; (2) demonstration of feasible WHyPGen technology applications in selected gird networks; (3) development of appropriate financial schemes to support WHyPGen application projects; (4) development of institutional and policy frameworks that are supportive of WHyPGen projects; (5) promotional and advocacy programs for WHyPGen applications; and (6) technical support for the local manufacturing of WHyPGen system components and development of the WHyPGen market.

Iran: Industrial Energy Efficiency in Key Sectors (UNIDO, GEF: $6.1 million; Total Cost: $20.7 million)

This project aims at improving the energy efficiency in the industrial sector in Iran. It will focus on five key industrial sectors that collectively consume 71 percent of all industrial energy. It will consist in the following components: (a) establishment of energy management systems and definition of energy targets for each sector (b) in terms of iron and steel: energy audits, optimization through waste heat recovery; (c) in terms of petrochemicals: energy audits, optimization through cogeneration and equipment upgrades; (d) in terms of refinery: energy audits, optimization through cogeneration, equipment upgrade, improved catalyst technologies, and reduction of waste streams; (e) in terms of brick: energy audits, improvements of kiln insulation and heat recovery; and (f) in terms of cement: energy audits, energy leakage improvements, use of other industrial waste.

Iran: LGGE Policy Reforms and Market Transformation of the Energy Efficient Buildings Sector in the I.R. Iran (UNDP, GEF: $4.5 million; Total Cost: $39.7 million)

The project objective is to reduce GHG emissions from the building sector in Iran through legislative and policy and regulatory reforms. The main components of the project are (a) definition of legislative, policy, and regulatory framework, (b) implementation of a large pilot that aims at improving the heating system and implementing solar heating water systems on government buildings, and (c) implementation of market transformation strategy.

Jamaica: LGGE Promoting Energy Efficiency and Renewable Energy in Buildings in Jamaica (UNEP, GEF: $2.6 million; Total Cost: $7.1 million)

The main objective of the project is to demonstrate that far higher standards of energy and resource-efficiency are possible in building practices and policies in tropical and subtropical regions. It will construct a prototype net zero energy, zero-carbon 'smart' building as a demonstration project in Jamaica, accompanied with active dissemination and training programs. The project will develop some highly innovative and adaptive solutions, with both

active control and passive design features, and an integrated design for maximum efficiency. The building will also be designed to withstand severe hurricane conditions, as most projections for climate change indicate that there may be a higher incidence of powerful hurricanes in future.

Kazakhstan: Sustainable Transport in the City Of Almaty (UNDP, GEF: $5.6 million; Total Cost: $34.6 million)

The project aims to reduce GHG emissions from ground transport in Almaty through the promotion of a long-term modal shift to more efficient and less polluting forms of transport. This project focuses on elimination of the barriers and proposes interventions in Almaty road transport sector with the main objective to ensure modal shifts towards more sustainable transport, such as public and nonmotorized modes. The project will work on (a) improved efficiency and quality of services of public transport through standard public service contract, regulatory, and enforcement mechanisms, (b) improvement of traffic management practices, (c) support for the revision of fuel standards and creation of a monitoring system for transport related emissions of CO_2 and local pollutants, d) demonstration and promotion in the context of 7th Asian Winter Games in 2011 a number of sustainable transport modes, that is, rapid transit systems, bicycles, and walking.

Kazakhstan: LGGE Promotion of Energy Efficient Lighting in Kazakhstan (UNDP, GEF: $3.8 million; Total Cost: $11.7 million)

The objective of the project is to facilitate transformation of Kazakhstan's lighting market towards more energy efficient appliances. This is to be achieved through the combination of regulatory tools such as energy performance and product quality standards. The project will work on (a) strengthening the regulatory, and institutional framework, (b) providing training to public authorities, retailers, appliance professionals, and other relevant stakeholders, and (c) exploring and testing typical and most cost-effective energy efficient lighting solutions complemented by extensive public outreach campaigns.

Kiribati: PAS Grid Connected Solar PV Central Station Project (World Bank, GEF: $1.1 million; Total Cost: $2.9 million)

This project will support the investment into a 500kV grid connected photovoltaic system, future energy sector planning for the public utility, and training for the public utility and small private sector initiatives. It will jump start a low carbon development within the public utility of Kiribati.

Lao PDR: Rural Electrification Phase II (World Bank, GEF: $2 million; Total Cost: $36.6 million)

This project aims to support Lao in achieving (i) increased efficiency of energy supply by Eel (Electricite du Laos) and consumption by customers; and (ii) substantial adoption of renewable energy in the government's rural electrification program, together resulting in GHG emission reductions as increased hydropower exports to and reduced electricity import from Thailand, which substitute or reduce thermal power production in Thailand.

Mali: Promotion of the Use of Agrofuels from the Production and Use of Jatropha Oil in Mali (UNDP, GEF: $1.1 million; Total Cost: $5.4 million)

The project will promote the use of a less-polluting, renewable energy source in place of fossil fuels in Mali. It will support the production and use of Jatropha oil, especially in rural areas by removing the political, institutional, and technical barriers faced by the actors. Support will be given to the implementation of the new regulatory framework for the agrofuels in Mali and research conducted on the varieties and equipments. Pilot activities will be conducted on production, extraction, and use of Jatropha as fuel. Lessons learnt and experiences will be capitalized and diffused to strengthen actor's capacities.

Mauritius: Removal of Barriers to Solar PV Power Generation in Mauritius, Rodrigues and the Outer Islands (UNDP, GEF: $2.3 million; Total Cost: $13.1 million)

The project is designed to offer a systematic approach to remove associated market barriers to investments in renewable energy. The project will

specifically seek to accelerate the development of on-grid photovoltaic systems by removing institutional barriers, through technology transfer and development of sustainable delivery models and financing mechanisms.

Mexico: Lighting and Appliances Efficiency Project (World Bank, GEF: $7.8 million; Total Cost: $232.1 million)

The objective of this project is to reduce GHG emissions by increasing the use of energy efficient equipments. The project blends several other sources of funding, especially carbon finance and the Clean Technology Fund and will consist in the following activities: (a) replacement of incandescent bulbs with compact fluorescent lamps in the residential sector; (b) replacement of refrigerators and air-conditioners; (c) public street lighting; and (d) technical assistance and institutional strengthening.

Mexico: SFM Mitigating Climate Change through Sustainable Forest Management and Capacity Building in the Southern States of Mexico (States of Campeche, Chiapas, and Oaxaca) (IFAD, GEF: $5.6 million; Total Cost: $18.6 million)

The project contributes to climate change mitigation through better forest management, including both a reduction in emissions from deforestation and an increase in the carbon capture potential of forests. The project encompasses the following three components: (a) dissemination of strategies appropriate to poor and vulnerable rural inhabitants; (b) strengthening of local capacities to carry out activities that will help to increase carbon capture and reduce GHG emissions; and (c) investments for LULUCF and SFM activities.

Mexico: Fifth National Communication to the UNFCCC (UNDP, GEF: $3 million; Total Cost: $7.2 million)

To assist the government of Mexico in strengthening its capacity to design public policies, including mitigation and adaptation measures, and evaluate the environmental, social, and economic impacts of their implementation, in order to fulfill its commitments to the UNFCCC, in agreement with Articles 4.1 and 12.1 of the Convention.

Moldova: Biogas Generation from Animal Manure Pilot Project (World Bank, GEF: $1.1 million; Total Cost: $3.5 million)

The project will provide an integrated approach to piloting the use of renewable energy sources, in particular, biogas. It will contribute to the reduction of climate change effects, the reduction of water resource pollution, and bring benefits to the energy sector through the introduction of environmentally friendly energy installations, as well as increase efficiency in the agricultural sector. The project is a follow-up to the GEF's Agricultural Pollution Control Project (APCP), which piloted the installation of manure management platforms on private farms and in village communities. The project will provide capacity building support to Moldova's animal producers and local producers of biogas and co-generation systems, and to a wider farming population on new, environmentally friendly technologies. In addition, GEF funding will be provided to finance matching grants for pilot biodigesters and co-generation systems in up to two livestock farms.

Morocco: Energy Efficiency in the Industrial Sector (AfDB, GEF: $3.1 million; Total Cost: $11.7 million)

The objective of this project is to improve energy efficiency in small- and medium-enterprises in Morocco. It will develop the legal environment to promote energy efficiency investments in industry (standards and enforcement mechanisms, incentives, monitoring). It will also strengthen the capacity of the governmental institutions, as well as industrial stakeholders. Finally, the project will implement a demonstration program (audits and energy efficiency investments).

Morocco: Market Transformation for Energy Efficient Lighting in Morocco (UNEP, GEF: $1 million; Total Cost: $4.8 million)

The main objective of the project is to reduce GHGs emissions reductions through energy efficiency lighting market transformation and progres-

sive phasing out of incandescent bulbs. The project will encompass the following activities: (a) energy efficiency policy enhancement; (b) compact fluorescent lamps quality improvement (technology and standards); (c) generation of demand for compact fluorescent lamps through applicable consumer financing and, as applicable, financial support schemes; and (d) information, consumers' education, and awareness raising.

Namibia: Concentrating Solar Power Technology Transfer for Electricity Generation in Namibia (NAM CSP TT) (UNDP, GEF: $1.9 million; Total Cost: $20.2 million)

The project will help to increase the share of renewable energies in the Namibian energy mix by developing the necessary technological framework and conditions for the successful transfer and deployment of concentrating solar power (CSP) technology for on-grid power generation. It will promote deployment of locally appropriate CSP platforms so that through adaptive learning from a pre-commercial plant (5 MW) many of the country's barriers can be sufficiently addressed.

Nepal: Kathmandu Sustainable Urban Transport (SUT) Project (ADB, GEF: $3.1 million; Total Cost: $27.8 million)

The ultimate objective of the project is to slow down the rate of increase in GHG emissions from Nepal's transport sector through energy-efficient and cleaner public urban transport solutions. This will be accomplished primarily through the refinement and implementation of the SUT Strategic Vision that is currently being formulated. At the core of this project is the improvement and attractiveness of the public transport system to encourage modal shift away from private transport. The project consists of three components: (i) planning, capacity building, and other policy implementation support activities; (ii) design of sustainable transport infrastructure; and (iii) development of SUT infrastructure. The results of the project will lay the basis for a larger program in Kathmandu valley, with the support of the ADB and other development partners.

Nicaragua: Integrated Management in Lakes Apanas and Asturias Watershed (IDB, GEF: $2.9 million from CC, $1.6 million from BD; Total Cost: $48 million)

The project seeks to foster biodiversity conservation and mitigate climate change through: (a) the implementation of sustainable forest and land management activities that will increase forest carbon sequestration, reduce GHG emissions, and protect fragile ecosystems; and (b) the establishment of a scheme of payment for ecosystem services directed to farmers or private owners of forested reserves to be financed by the compensation for water use to be made by the hydroelectric power within the watershed.

Niger: SPWA-CC: Integration of GHG Emission Reductions in Niger's Rural Energy Service Access program (UNDP, GEF: $2 million; Total Cost: $2.1 million)

The project consists in systematically favoring low carbon solutions in every component of the first phase of the Niger's Rural Energy Service Access Program (PRASE) addressing 20 rural communities. The project introduces an innovative institutional model to deliver and maintain access to sustainable energy services through energy service operators. The project is designed along five project components. Two deal with capacity building, consolidation of national institution and policy framework, capitalizing from experience. The other three address each of the specific sectors: collective infrastructure, productive services, and households.

Pakistan: Promoting Sustainable Energy Production and Use from Biomass in Pakistan (UNIDO, GEF: $2.1 million; Total Cost: $9.1 million)

The project will promote market based adoption of modern biomass energy conversion technologies for process heat generation in small- and medium-enterprises in clusters and power generation in rural areas in Pakistan. The project will demonstrate the technical feasibility and economic viability of the use modern biomass energy conversion technologies, and gasification in particular and install three demonstration projects. With regards to the lack

of policy and associated regulatory framework, the project will develop a comprehensive policy for promoting the use of modern biomass conversion technologies in small- and medium-enterprise clusters in rural areas to be adopted by the government. In addition, the project will develop investment strategy for modern biomass conversion technologies to advance the operationalization of the new policy and stimulate greater investments of these technologies in small and medium enterprise clusters. With regards to the weak institutional framework to support market players and enablers, the project will conduct a detailed assessment of capacity needs of all key institutions, develop targeted training programs, and conduct training programs. To increase capacity and raise awareness of market players and enables, the project will assess capacity needs of various stakeholders, including project developers, technology manufacturers, policy makers, and financial services providers. The project will also conduct training programs and awareness raising activities. It is envisaged that these project activities will catalyze the scaling up of the use of modern biomass energy conversion technologies in small and medium enterprises in clusters and in rural areas with a possibility of being used in other sectors.

Panama: Sustainable and Climate-friendly Development in Veraguas Province-Proyecto Participa (IFAD, GEF: $1.7 million; Total Cost: $14 million)

The project will reduce GHG emissions and increase carbon sequestration through sustainable rural development and environmental management. It will consist in two main components: (a) climate change mitigation through reforestation and agroforestry; (b) capacity building for monitoring and reporting on carbon stock and changes.

Papua New Guinea: PAS PNG Energy Development Project (World Bank, GEF: $1 million; Total Cost: $6.2 million)

GEF will finance the development of the policies and the assessment of resources that are essential for launching a national effort on the development of renewable energy-based mini-grids.

Peru: Lighting Market Transformation in Peru (UNEP, GEF: $1.8 million; Total Cost: $10.5 million)

The project aims to promote and implement the utilization of energy saving lamps in Peru through transformation of the local lighting products market and the phasing-out of incandescent lamp imports and sales. This objective will be achieved by fulfilling the following project components: (a) establishment of policy and institutional support program; (b) operationalization of local lighting distribution and customs enhancement programs; (c) achievement of improved quality assurance and quality control frameworks; (d) achievement of improved recycling practices and facilities; (e) work on energy saving lamps market development; and (f) raising of consumer education and awareness.

Regional (Antigua and Barbuda, Belize, Grenada, St. Lucia, Trinidad and Tobago): Energy for Sustainable Development in the Caribbean (ESD-Caraibes) (UNEP, GEF: $5.5 million; Total Cost: $11.3 million)

This project will transfer and implement energy efficiency policies and instruments to the Caribbean countries to enable cost effective GHG emission reductions of 20 to 50 percent in the coming decades. The project will include the following activities: (a) establishment of an assessment and monitoring system for energy efficiency and strengthening of national capacity; (b) development of appropriate financial and market based mechanisms to support energy efficiency; (c) demonstration program; (d) development of regulatory framework to promote energy efficient buildings; and (e) regional public awareness, knowledge management and sharing, and replication strategy.

Regional (Burkina Faso, Burundi, Benin, Cote d'Ivoire, Cape Verde, Ghana, Gambia, Guinea, Guinea-Bissau, Liberia, Mali, Mauritania, Niger, Nigeria, Sierra Leone, Senegal, Chad, Togo): SPWA-CC Promoting Coherence, Integration and Knowledge Management under Energy Component of SPWA (UNIDO, GEF: $0.8 million; Total Cost: $1.4 million)

The project aims at supporting low-carbon economic development in West African countries through

knowledge sharing, capacity building (including training and coherence in the projects approved under the energy component), strengthening integration, providing solutions to issues of regional dimension, and deepening programmatic framework approach adopted under the GEF SPWA.

Regional (Cook Islands, Tonga, Vanuatu, Samoa): PAS: Promoting Energy Efficiency in the Pacific (ADB, GEF: $6 million; Total Cost: $24.1 million)

The project provides a least-cost means of reducing GHG emissions from the energy sector and promotes energy security through energy efficiency improvements in the residential, commercial, and governmental sectors. The project has three major components: (a) mainstream energy efficiency across all sectors through policy support and capacity building. Energy saving targets will be incorporated into national energy. Minimum energy efficiency standards for energy-consuming appliances and building codes to promote energy efficiency best-practice will be developed and implemented. Fiscal incentive programs to promote energy efficiency, such as subsidy schemes for compact fluorescent lamps, will also be implemented. Strategies will also be developed to ensure the sustainability of energy efficiency initiatives over the long run. (b) Implement five concrete energy efficiency programs (Power Factor Correction, LED & HPS Street Lighting, Residential CFL Program, Energy Efficiency in the Hotel Sector, Energy Efficiency for Public Buildings). It will carry out in-depth energy audits of major energy users and carry out the implementation of energy efficient technology. (c) Encourage sustainability of energy efficiency initiatives and ensure the effectiveness of programs. Steps will be taken to monitor and evaluate energy efficiency initiatives in the five countries and to promote the public awareness of the issue.

Regional (Ethiopia, Kenya, Uganda): Promoting Sustainable Transport Solutions for East Africa (UNEP, GEF: $3.3 million; Total Cost: $5.8 million)

This project is to increase awareness of and support for the implementation of sustainable transport solutions, amongst policy makers, stakeholders, and the general public in East Africa and beyond. It will provide technical assistance and institutional support for the design and implementation of interrelated sustainable transport projects in the three capital cities of Kenya, Uganda, and Ethiopia. The activities include 1) bus rapid transit and nonmotorized transport design and feasibility study for Nairobi, Kampala and Addis Ababa, 2) implementation of public transport system plan in those cities, 3) nonmotorized transport master plan for the three capital cities, 4) policy and regulatory reform to improve the public mass transport system, 5) implementation of Transport Demand Management (TDM) and Land Use Plan (LUP) measures and instruments, with a special focus on air quality improvement and CO_2 emissions reduction, 6) institutional and technical training for key target groups, and 7) creation of institutional framework for encouraging the replication of sustainable transport options for cities in the region and beyond.

Regional (Nauru, Niue, Tuvalu): PAS Low Carbon-Energy Islands—Accelerating the Use of Energy Efficient and Renewable Energy Technologies in Tuvalu, Niue, and Nauru (UNEP, GEF: $1.5 million; Total Cost: $3.4 million)

As part of the GEF Pacific Alliance for Sustainability program, this project will provide support and innovative pilot investments (embedded decentralized generation, smart meters) of photovoltaic and wind to Nauru, Niue, and Tuvalu. This new approach will help overcome problems of land scarcity and donor-dependency, which are associated with centralized investments. The project will also include strengthening national capacities to formulate policies, plans, strategies, and programs for the accelerated private sector led medium-term and long-term deployment of low-carbon energy.

Regional (Central African Republic, Congo, Cameroon, Gabon, Equatorial Guinea, Congo DR): CBSP—A Regional Focus on Sustainable Timber Management in the Congo Basin (UNEP, GEF: $1 million from CC, $1.5 million from BD, $1 million from LD; Total Cost: $10 million)

This project will contribute to SFM through harmonization of forest policies in Central Africa

with a focus on illegal logging, market incentives, and governance issues. It will focus on developing (a) a harmonized policy on illegal logging across the Congo basin countries through the development and adoption of a regional "subagreement," which will elaborate on institutional and legal frameworks, taxation, penalties standards and norms, (b) market incentives for and value adding for local and foreign timber companies in the region, (c) a well regulated governance system, and (d) a project-based monitoring and evaluation.

Regional: GHG Assessment Methodologies in Public Transport (ADB, GEF: $1.1 million; Total Cost: $2 million)

The project will promote sustainable, low-carbon public transport through development and deployment of better routine assessment of global and local benefits, and increased engagement of national and international funding in public urban transport. The project consists of four main components: (a) the refinement, application, and validation of a robust but easily applicable methodology to assess global (CO_2) and local benefits (air pollution, congestion, noise, safety) from urban transport. The methodology to be developed will be an integral part of the Management Information Systems of public transport companies and the city governments and is expected to inspire these companies to put in place concrete actions to reduce GHG emissions. The methodology will be piloted in two companies who do not yet have detailed GHG assessment systems in place. (b) Capacity building to ensure that sustainable low carbon public transport is integrated in a more structured manner in public transport policies. To inform policy makers and managers of transport companies best practice guidelines will be prepared. (c) Catalyze investments for public transport in cities. The project will explore the possibility to link gap financing from climate funds with gap financing from private sector funds and develop recommendations on how the specific objectives of the different climate instruments can complement each other to support urban transport and how methodologies under the different instruments can be harmonized for sustainable urban transport. (d) Dissemination of the project results at national level.

Romania: Financing Public Building Efficiency (EBRD, GEF: $5.2 million; Total Cost: $86 million)

The project promotes GHG emissions reductions in Romania by improving efficient use of energy in public buildings. The project capitalizes on the existing positive policy environment by addressing barriers to municipal project financing through a targeted technical assistance program. The project helps local authorities overcome common obstacles to financing energy efficiency improvements, such as allocation of resources for energy audits and project preparation, tendering procedures, and management of larger-scale programs that may need additional dedicated resources. Investment barriers are addressed through Performance Contracting (energy service companies) and the introduction of the sale of receivables (forfeiting).

Romania: LGGE Improving Energy Efficiency in Low-Income Households and Regions of Romania (UNDP, GEF: $3.4 million; Total Cost: $43.5 million)

This project will reduce energy consumption and associated GHGs emissions in buildings in low-income households and regions of Romania. The project will improve policies to support energy efficiency, develop capacity to reduce fuel consumption in low-income communities, and reduce energy consumption through community based retrofits and training.

Russian Federation: Greening 2014 Sochi Olympics: A Strategy and Action Plan for the Greening Legacy (UNDP, GEF: $1.1 million; Total Cost: $3 million)

The project will produce a Greening Strategy and Action Plan for the 2014 Winter Olympics in Sochi. The project will develop greening recommendations and action plans in six specific sectors. By introducing an early climate change planning, the project will help set up "carbon neutral" event and unleash the potential for GHG emissions reduction during preparation to and convening the Sochi Olympics.

Russian Federation: Reducing GHG Emissions from Road Transport in Russia's Medium-sized Cities (UNDP, GEF: $6.1 million; Total Cost: $40.8 million)

The project is to reduce GHG emissions from urban transport system in medium-sized Russian cities. The project will introduce sustainable urban mobility models in two pilot medium-size cities and establishing national policy and regulatory framework to support market transformation towards more efficient and less carbon intensive transport modes. By tightening fuel efficiency standards, along with introducing car labeling and public awareness campaigns, the project will speed up efficient renewal of the country's car fleet and drive the desired changes in consumer behavior. The project will also capitalize on the opportunity to demonstrate sustainable and low-carbon transport solutions at a big international event: 2013 World University Games in Kazan, Tatarstan Republic (XXVII Summer Universiade).

Senegal: National GHG Reduction Program through Energy Efficiency in the Built Environment (UNDP, GEF: $1.1 million; Total Cost: $4 million)

The project will promote the reduction of GHG emissions from the commercial and residential sectors in Senegal. It will consist of the following activities: (a) identifying, testing, and demonstrating energy efficiency in construction techniques and building materials; (b) developing a thermal and energy efficiency building code; (c) strengthening institutional, economic, and policy framework and local capacity for an effective implementation of new building code; (d) strengthening of technical capacities.

Senegal: SPWA-BD Participatory Conservation of Biodiversity and Low Carbon Development of Pilot Ecovillages at the Vicinity of Protected Areas in Senegal (UNDP, GEF: $1.1 million from CC, $2.2 million from BD; Total Cost: $15.7 million)

The project aims to promote a participatory approach for biodiversity conservation and low carbon development of pilot ecovillages in the vicinity of Protected Areas in Senegal. The logical framework is based on five components: (a) to improve the governance of biological resources and energy in ecovillages; (b) to establish demonstration activities in ecovillages adjacent to three important protected areas; (c) to reduce GHG emissions in key sectors and develop strategy towards energy self sufficiency (improved cooking stoves, use of jatropha oil and energy hubs); (d) to strengthen capacities for carbon sequestration (payment for ecosystem services schemes, plant nursery, mangrove regeneration, production of compost); and (e) to monitor and assess the performance with a participatory approach.

Senegal: TT-Pilot (GEF-4): Technology Transfer: Typha-based Thermal Insulation Material Production in Senegal (UNDP, GEF: $2.3 million; Total Cost: $5.5 million)

This project will facilitate the transfer of the technology for producing an innovative thermal insulation material out of bulrush (typha australis), which is an invasive species causing serious problems for Senegal's ecosystem and economy. Typha can be harvested and become a valuable raw material, solving yet another problem in the country: shortage of electric power and inadequate insulation of the buildings. The project will be working on research and development, certification and patenting, establishing the local production chain through investment in a production facility for the innovative insulation material, adapting the innovative insulation material to local conditions, and showing the demonstration in a public building.

Seychelles: Grid-Connected Rooftop Photovoltaic Systems (UNDP, GEF: $1.3 million; Total Cost: $2.9 million)

The project will support the development and implementation of legal and policy frameworks, capacity building activities necessary to enable the adoption and replication of grid-connected photovoltaic systems, and demonstrating such systems. The project will support implementation of grid-connected rooftop photovoltaic systems for commercial buildings on the main islands of the Seychelles and for overall power generation on selected smaller outer islands.

Solomon Islands: Development of Community-based Renewable Energy Mini-Grids (World Bank, GEF: $1 million; Total Cost: $3 million)
The objective of this project is to promote development of community-based renewable energy mini-grids in the Solomon Islands through technical assistance, capacity building, and demonstration investment. At least two renewable energy-based mini-grids will be financed under the project with the host communities, taking an active role in obtaining financing and operating and maintain the systems.

South Africa: Reducing the Carbon Footprint of Major Sporting Events, FIFA 2010 and the Implementation of the National Greening Programme in Liaison with 2010 FIFA LOC (UNEP, GEF: $1.1 million; Total Cost: $4.4 million)
The project aims to demonstrate and popularize the emission mitigating potential of efficient public appliances and the role of renewable energy during the 2010 FIFA World Cup event. It will develop green tourism initiatives in host cities to raise awareness among the visitors about their environmental impact. Finally, the project will collect and disseminate all the lessons learned from the event to help the next major sport events to mainstream the environment as upstream as possible.

Sri Lanka: TT-Pilot (GEF-4): Bamboo Processing for Sri Lanka (UNIDO, GEF: $2.7 million; Total Cost: $13.2 million)
The project supports to develop a bamboo supply chain and product industry in Sri Lanka, leading to reduced global environmental impact from GHG emissions and a sustainable industry base. This project involves the transfer of bamboo processing technology from India (and possibly also China) to Sri Lanka. Development of a bamboo industry in Sri Lanka will particularly require technology transfer from these countries for key steps in the bamboo processing chain.

Sri Lanka: Promoting Sustainable Biomass Energy Production and Modern Bio-Energy Technologies (UNDP/FAO, GEF: $2.3 million; Total Cost: $10.3 million)
The project is to remove the major barriers to sustainable biomass production in dedicated fuel wood plantations; and the widespread application of dendro thermal technology both for power and thermal application purposes in the industry sector particularly the industrial small, medium and micro enterprises (SMMEs) in Sri Lanka to facilitate the realization of the significant potentials of the application of dendro-thermal energy in the sector particularly among the SMMEs. The project will address the barriers by designing appropriate policy instruments and tools, by demonstrating integrated plantation models, enhancing sustainable biomass market potentials, and efficient supply chain and fuel wood thermal conversion technologies.

Sudan: Integrated Carbon Sequestration Project in Sudan (IFAD, GEF: $4.1 million; Total Cost: $14.7 million)
The project aims to promote a climate-friendly rural development path in Central and Eastern Sudan by increasing the carbon stock and reducing net GHGs through sustainable energy from biomass. The project has four components: reforestation, management of the carbon stock, sustainable energy, and capacity building.

Syria: LGGE Energy Efficiency Buildings Codes (UNDP, GEF: $4 million; Total Cost: $15.1 million)
The project is to reduce GHG emissions through implementation of thermal and energy efficient building codes for new construction in Syria. The project intends to transform construction practice in Syria through introducing energy efficiency design, material, and equipment in new buildings. The project also includes a provision to adapt a new construction to changing climate, relying on synergism between climate change adaptation and mitigation measures.

Tajikistan: Technology Transfer and Market Development for Small Hydropower in Tajikistan (UNDP, GEF: $2.2 million; Total Cost: $8.2 million)
The project will significantly accelerate the development of small-scale hydropower by removing barriers through enabling legal and regulatory framework, building capacity, and developing sustainable delivery models, thus substantially avoid-

ing the use of conventional biomass and fossil fuels for power and other energy needs.

Tanzania: Mini-Grids Based on Small Hydropower Sources to Augment Rural Electrification (UNIDO, GEF: $3.8 million; Total Cost: $12.2 million)

This project aims at facilitating the implementation of the national energy policy and removing the barriers for improving the rural energy situation in Tanzania. The project will focus on the country's small hydropower resources. The specific objectives are to facilitate the creation of the enabling policy framework and the market environment to harness the abundant hydropower resources in the country. Issues related to the regulatory and institutional frameworks, as well as financing issues for setting up mini-grids, will be tackled.

Thailand: LGGE Promoting Energy Efficiency in Commercial Buildings in Thailand (PEECB) (UNDP, GEF: $4.1 million; Total Cost: $15.7 million)

The project aims at reducing GHG emissions from the operation of commercial buildings through the application of energy efficiency technologies and practices. It will encompass three main components: (a) awareness enhancement on building energy efficiency technologies and practices; (b) energy efficiency building policy frameworks; and (c) energy efficiency building technology applications demonstrations.

Thailand: Promoting Small Biomass Power Plants in rural Thailand for Sustainable Renewable Energy Management and Community Involvement (UNIDO, GEF: $1.1 million; Total Cost: $4 million)

The project will promote an on-grid small biomass based power plant as a means of sustainable management and use of biomass in rural Thailand. This project encourages the use of biomass wastes and residues that are underutilized for the production of dedicated energy services in modern efficient technologies. Specifically, the project aims to strengthen and complement the Forest Industry Organization's ongoing efforts to remove the barriers by focusing on two significant areas: (a) the holistic management of a small biomass power plant with community involvement; and (b) replication of community-based biomass power plants in rural Thailand. The project will undertake a demonstration of a holistically managed small-scale biomass power plant, including the gathering and preparation of the biomass fuel, the operation and maintenance of the conversion technology, and the financial management of the plants to ensure their long-term financial viability. The demonstration site will serve as a learning center for any potential community to learn from and replicate.

Thailand: SFM: Integrated Community-based Forest and Catchment Management through an Ecosystem Service Approach (CBFCM) (UNDP, GEF: $0.5 million from CC, $1.5 million from BD; Total Cost: $12.6 million)

This project seeks to create an enabling policy and institutional environment for scaling-up of integrated community-based forest and catchment management (CBFCM) practices through harnessing of innovative financing mechanisms in Thailand. The objective of the project will be achieved through the following two components; (a) strengthening systemic capacities in sustainable forest and catchment management at the local, regional and national levels, which involves establishment of improved technical information and operational knowledge management system, as well as harmonized policies and legal instruments for CBFCM and PES and biocarbon schemes; (b) expanding CBFCM coverage through pilot testing of defined PES and biocarbon financing mechanisms and up scaling of best practices at selected locations to operationalize the mechanisms, tools, and strategies developed in the first component.

Thailand: Sustainable Urban Transport in Chiang Mai (World Bank, GEF: $0.8 million; Total Cost: $1.8 million)

The main project objectives are to (i) improve the technical capacity of Chiang Mai Municipality to develop and implement sustainable urban transport plans, (ii) demonstrate how nonmotorized transport could be preserved and promoted as a key element

of a sustainable urban transport system; and (iii) establish Chiang Mai as a sustainable urban transport model that could be replicated in other medium-sized cities in Thailand and the Mekong region.

Thailand: TT-Pilot (GEF-4): Overcoming Policy, Market and Technological Barriers to Support Technological Innovation and South-South Technology Transfer: The Pilot Case of Ethanol Production from Cassava (UNIDO, GEF: $3 million; Total Cost: $11 million)

The project will remove barriers to promote technology transfer in the production of ethanol and to enhance South-South cooperation in technology transfer. The envisaged technology is the Simultaneous Saccharification and Fermentation (SSF), which includes improved cultural techniques, raw material preparation, and the fermentation technology and the short-cuts to the fermentation processes, together with options for net energy reduction throughout the project cycle. The project also aims to further increase the fermentation efficiency, presently at 85 percent, during the project lifetime, and to subsequently, transfer these technologies to other recipient countries, especially those in Southeast Asia.

Tunisia: Energy Efficiency and Cogeneration Investment Scale-Up and Biomass Pilot (World Bank, GEF: $2.8 million; Total Cost: $123.9 million)

The project will scale up the previous work in industry, and will seek to address areas not sufficiently covered by the previous activity, including biomass—drawing lessons from previous experience. In order to address the barriers to scaling-up energy efficiency/cogeneration investments, this project targets mainly at enhancing energy efficiency/cogeneration related technical skills in the financial community, and financial and project implementation skills in the industrial community seeking energy efficiency/cogeneration financing. In addition, this project will seek to tap the vast biomass potential through specifically designed technical assistance and capacity building, feasibility studies to prepare the development of pilot projects, and financing and cofinancing of the first pilot projects. Those pilot projects would mostly be implemented in the poultry droppings sector, which has the highest potential in Tunisia and currently generates significant pollution, within individual farms and production units.

Turkey: Enabling Activities for the Preparation of Turkey's Second National Communication to the UNFCCC (UNDP, GEF: $0.6 million; Total Cost: $1.6 million)

The project is to assist the Republic of Turkey in the implementation of obligations under UNFCCC by preparation of the SNC, as well as to strengthen its technical and institutional capacities to help the government fulfill its commitments to the Convention.

Turkmenistan: LGGE Improving Energy Efficiency in the Residential Building Sector (UNDP, GEF: $2.9 million; Total Cost: $18.1 million)

The project will reduce GHG emissions by improving energy management and reducing energy consumption in the residential sector in Turkmenistan. It will consist of the following activities: (a) development and enforcement of energy efficient building codes; (b) demand-side energy management through a partnership with the national gas utility; (c) improved design measures for major residential consumers; (d) replication through partnerships with other developers and support for housing reforms that encourage energy efficiency.

Uruguay: PROBIO – Electricity Production from Biomass in Uruguay (UNDP, GEF: $1.1 million; Total Cost: $7 million)

The project will promote the integration of electric power producers using domestic biomass resources into the national grid by improving the existing regulatory framework, mapping available resources, and developing scenarios to optimize large-scale use of biomass within the national energy mix.

Vanuatu: PAS Geothermal Power and Electricity Sector Development Project (World Bank, GEF: $1 million; Total Cost: $29.2 million)

The project will support the development of grid development plans and an electricity access roadmap, which will mainstream the use of renewable energy. Also, GEF resources will be used to assist

the government in preparing and negotiating the power purchase agreement for a 4MW geothermal power plant.

Venezuela: Promotion of Sustainable and Climate-Compatible Rural Development in Lara and Falcon States PROSALAFA-GEF: (IFAD, GEF: $4.1 million; Total Cost: $25 million)

The project aims at increasing the carbon stock potential in a rural area of Venezuela, through sustainable rural development. It will implement community-based forest management plans and raise awareness on biocarbon stock among the communities. The project will also build capacity at the national level on carbon monitoring, and disseminate the results of the projects to ensure replicability.

Yemen: Removing Barriers to Energy Efficiency Improvements (World Bank, GEF: $1 million; Total Cost: $14.5 million)

The project will reduce GHG emissions in the household, government, commercial sectors, and some selected industrial subsectors—through the adoption of energy efficient technologies and electric appliances in these sectors, enabled by the market-based mechanisms, regulatory tools, and institutional capacity developed under the project activities.

ANNEX 2: SUMMARIES OF PROJECTS APPROVED UNDER THE LDCF AND THE SCCF

LDCF

Cambodia: Vulnerability Assessment and Adaptation Programme for Climate Change in the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems (UNEP, LDCF: $1.9 million; Total Cost: $4.7 million)

The project aims to reduce vulnerability of coastal communities to climate change by providing policy advice at the national level, making available scientific tools for proper adaptation planning, and demonstrating targeted local interventions to increase ecosystem resilience at the community level. The project will function at the national, provincial, and community levels in the four coastal provinces of Cambodia and takes an integrated and cross-sectoral approach to reducing vulnerability. The risks to be addressed include changes to patterns in floods, drought, and changes in precipitation on coastal region systems, including coastal agriculture systems and mangrove ecosystems. The adaptation benefits will be achieved through the following outcomes: (a) increased and strengthened institutional capacity to design and implement climate change adaptation measures; (b) improved adaptation planning by identifying climate change hotspots and ecosystem buffers against climate stresses; (c) reduced vulnerability of productive systems to increased floods; and (d) increased resilience of coastal buffers to climate change and improved livelihoods.

Ethiopia: Promoting Autonomous Adaptation at the Community Level in Ethiopia (UNDP, LDCF: $5.3 million; Total Cost: $22.7 million)

The project objective is supporting local communities and administrations at the lowest level of government to design and implement adaptation actions aimed at reducing vulnerability and building resilience, especially in those communities that are particularly vulnerable in Ethiopia. The project aims to deliver adaptation benefits by strengthening institutional capacities, both on local and regional levels, for coordinated climate-resilient planning and investment, access to appropriate technologies for communities, and climate risk reduction. Climate risk reduction will include building community capacity for climate-resilient livelihoods, and managing climate-related risks. Furthermore, community vulnerability considerations and early warning responses will be included in the multi-sector planning at regional and local levels.

Guinea-Bissau: Strengthening Resilience and Adaptive Capacity to Climate Change in Guinea-Bissau's Agrarian and Water Sectors (UNDP, LDCF: $4.5 million; Total Cost: $17.3 million)

This project aims to enhance Guinea-Bissau's resilience and adaptive capacity to climate change risks in the agrarian and water sectors. The project thus responds directly to the Guinea Bissauan NAPA, which identified food security and the water as the two top priorities for urgent intervention. The project is articulated through three components: (a) capacity building for decision makers, technical staff, and extension workers, including a review and update process for relevant sectoral policies; (b) pilot demonstration activities in selected communities, including such measures as improved grain storage, crop diversification, small ruminant breeding, micro reservoirs, small dykes and low-cost irrigation systems; and (c) knowledge management and up scaling.

Kiribati: Increasing Resilience to Climate Variability and Hazards (World Bank, LDCF: $3.3 million; Total Cost: $6.3 million)

The project objective is to strengthen the resilience of Kiribati to the impact of climate variability, climate change, and climate-related hazards by reducing the impact of storm surges and coastal erosion. It will reduce the impact of drought and storm surges on the quality and availability of freshwater resources

and reduce vulnerabilities of coastal communities to sea-level rise and extreme weather events by incorporating climate and disaster risk concerns into development policies and investments.

Lao PDR: Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts (UNDP, LDCF: $5 million; Total Cost: $9 million)

The project's objective is to minimize food insecurity resulting from climate change in Lao PDR and to reduce vulnerability of farmers to extreme flooding and drought events. The project aims to achieve this objective through a three pronged strategy of capacity building. First, the project will compile all existing climate hazard and vulnerability information from a multitude of sources, and make the information available for detailed local analysis and application in the agricultural sector. Second, the capacities of key stakeholders responsible for planning and management in the agricultural sector are to be increased through targeted training, and key policies and plans are to be reviewed to take into account the impacts of climate change in the agricultural sector. Third, demonstration activities are to be undertaken in selected pilot communities representing two key climate change vulnerabilities in the agricultural sector: the risk of increasing frequency and severity of droughts, and more intense flooding episodes. Taken together, these pilots should provide the insights necessary for addressing climate change induced drought and flooding risks in an integrated manner, and eventually enable upscaling of successful community based strategies at the national level. In addition, the three aspects of capacity building will provide Lao PDR with a solid institutional and human capacity for enhancing adaptation planning, as well as with some examples of practical on-the-ground experiences that can be replicated outside of the pilot regions.

Samoa: Integration of Climate Change Risk and Resilience into Forestry Management (ICCRIFS) (UNDP, LDCF: $2.7 million; Total Cost: $4.9 million)

The objective of the ICCRIFS Project is to increase the resilience and adaptive capacity of Samoa's forest areas and communities depend on them for livelihoods to the threat of climate change through targeted adaptation interventions in (i) lowland agro-forestry and (ii) upland native forest subsectors. The project will enhance the capacity of foresters and communities on climate resilient agroforestry practices in lowland forest areas and upland native forests and protected areas, as well as develop new guidelines and recommendations, for the climate resilient management of lowland agroforestry and upland native forests.

Tanzania: Developing Core Capacity to Address Adaptation to Climate Change in Tanzania in Productive Coastal Zones (UNEP, LDCF: $3.5 million; Total Cost $7.6 million)

This project aims to develop the necessary institutional capacity to manage climate change impacts in the productive coastal zones of Tanzania. The project contains two key elements: (a) creating scientific and technical capacity for effective analysis and response to climate change threats in the coastal zone (for example, through support for scientifically founded local climate change vulnerability assessments and government training and awareness programs), and (b) implementing pilot projects for reducing specific vulnerabilities in the coastal zone (for example, relocating coastal shallow water wells to account for sea-level rise induced salt water intrusion and changed precipitation patterns, and restoring mangroves as coastal buffer zones).

SCCF

Brazil: TT-Pilot (GEF-4): Renewable CO2 Capture and Storage from Sugar Fermentation Industry in Sao Paulo State (UNDP, SCCF: $3 million; Total Cost: $10.4 million)

The main objective of the project is to remove the barriers to the deployment, diffusion, and transfer of renewable CO_2 capture and storage (RCCS) technology from sugar fermentation in the production of ethanol. The project comprises of three core components. The main investment and technology demonstration component of this project will be accompanied by activities aimed at the establish-

ment of enabling environment for RCCS technology, which will focus on two critical barriers for the RCCS technology transfer process, that is, the completion of the technical and financial studies for the construction and installation of RCCS system equipment for the pilot project and streamlining the licensing requirements for RCCS projects. In addition, a component on capacity building for RCCS technology application will involve the industry sector but also scientific and technical institution that will contribute to the documentation of the results and their dissemination through courses, seminars, printed materials, and on-the-job training for local technicians, students, and professionals.

Jamaica: TT-Pilot (GEF-4): Introduction of Renewable Wave Energy Technologies for the Generation of Electric Power in Small Coastal Communities in Jamaica (UNDP, SCCF: $0.8 million; Total Cost: $2.2 million)

The main objective of the project is the introduction of renewable wave energy in a Small Island Developing States, such as Jamaica, for the electrification of coastal rural communities (both on and off-grid) and to contribute to lowering the risk of these communities exposure to high energy storm waves. In addition, the proposed project would demonstrate that renewable wave energy technology is applicable in Small Island Developing States, not only for distributed electric power generation but also for beach erosion control and reduction of vulnerability because of storm waves. The project framework is based on four major components: (a) wave energy conversion technology assessment; (b) capacity building and training; (c) policy and regulatory support; and (d) demonstration wave energy pilot projects. It is estimated that one or two small coastal communities will benefit from renewable wave energy in Jamaica as a result of the project implementation. It is further expected that in two to five years, resulting from replication of similar projects in the Caribbean Region, up to 50 additional small coastal communities will benefit from wave energy conversion technologies.

Jordan: TT-Pilot (GEF-4) DHRS: Irrigation Technology Pilot Project to Face Climate Change Impact (IFAD, SCCF: $2.4 million; Total Cost: $8.2 million)

This project will upscale an innovative irrigation technology, which enables the reuse of waste water for agricultural purposes. With climate change projected to significantly reduce the availability of already scarce water resources in Jordan, effective ways of reducing demand for clean fresh water will be an essential element of reducing the climate change vulnerability of the agricultural system in Jordan. The approach of this project is centered on the link between technology transfer, climate change response, and rural development. The project is articulated through two components: (a) installation of the Dutyion Root Hydration System irrigation technology system in pilot sites; (b) targeted training on the technology.

ANNEX 3: STATUS OF NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

Note: *Information was compiled by the Implementing Agencies (UNDP and UNEP) as of March 2010. The table below was submitted to the GEF by the National Communications Support Programme (NCSP)*

Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
1. Afghanistan	UNEP	INC to be prepared	12-Feb-08	420,000	16-Mar-10	Dec-11	☑ National Circumstances: Less than 25% completed ☑ GHG Inventories: 25–50% completed ☑ V & A Analysis: Less than 25% completed ☑ Mitigation Analysis: Not yet initiated ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed
2. Albania	UNDP	13-Sep-02	4-Feb-05	420,000	14-Apr-05	Completed	☑ SNC submitted to COP, November 2009
3. Algeria	UNDP	30-Apr-01	12-Dec-05	420,000	6-Feb-06	Jun-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: More than 75% completed
4. Angola	UNEP	INC to be prepared	04-Sept-08	420,000	01-Apr-09	Oct-2010	☑ National Circumstances: Completed ☑ GHG Inventories: More than 75% completed ☑ V & A Analysis: Less than 25% completed ☑ Mitigation Analysis: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Not yet initiated
5. Antigua and Barbuda	UNDP	10-Sep-01	18-Apr-06	420,000	6-Jun-06	Mar-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: less than Completed ☑ Constraints & Gaps: 50–75% completed
6. Argentina	WB	7-Mar-08				Completed	☑ SNC submitted to COP, 7 March 2008
7. Armenia	UNDP	4-Nov-98	29-Jul-05	420,000	24-Sep-05	Apr-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: More than 75% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
8. Azerbaijan	UNDP	23-May-00	21-Jul-05	420,000	28-Jul-05	Oct-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
9. Bahamas	UNDP	5-Nov-01	22-May-06	420,000	19-Jun-06	Dec-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: less than 25% completed ☑ National Circumstances: 50–75% completed ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
10. Bangladesh	UNDP	12-Nov-02	2-Aug-07	420,000	10-Nov-08	Nov-10	☑ GHG Inventories: 25–50% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: 25–50% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed
11. Bahrain	UNEP	20-April-05	31-Jan-07	420,000	04-Apr-07	Dec-10	☑ National Circumstances: More than 75% completed ☑ GHG Inventories: Completed ☑ V & A Analysis: 25–50% completed ☑ Mitigation Analysis: 25–50% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: 25–50% completed
12. Barbados	UNDP	30-Oct-01	22-Nov-06	420,000	1-Dec-06	May-11	☑ GHG Inventories: Not yet initiated ☑ V&A Analysis: Not yet initiated ☑ Mitigation Analysis: Not yet initiated. ☑ National Circumstances: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
13. Belize	UNDP	16-Sep-02	24-Mar-06	470,000 Includes TNA	2-May-06	Oct-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed. ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other information: Completed ☑ Constraints & Gaps: Completed
14. Benin	UNDP	21-Oct-02	26-Oct-06	420,000	Jul-07	Oct-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: 50–75% completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: 25–50% completed
15. Bhutan	UNDP	13-Nov-00	30-May-07	420,000	Aug-07	Jul-11	☑ GHG Inventories: Completed ☑ V&A Analysis: Not yet initiated ☑ Mitigation Analysis: Not yet initiated ☑ National Circumstances: Completed ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
16. Bolivia	UNDP	16-Nov-00	10-Jun-05	420,000	9-Aug-05	Nov-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
17. Bosnia & Herzegovina	UNDP	INC under preparation	8-Dec-05	420,000	27-Apr-06	Oct-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
18. Botswana	UNDP	22-Oct-01	23-Dec-05	420,000	3-Feb-06	Oct-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed
19. Brazil	UNDP	10-Dec-04	8-Nov-05	3,400,000	13-Dec-06	Sep-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
20. Burkina Faso	UNDP	16-May-02	5-Jun-06	420,000	27-Jul-06	Oct-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: * Information not provided.
21. Burundi	UNDP	23-Nov-01	22-May-06	420,000	29-Jun-06	Sept-09	☑ GHG Inventories: Complete ☑ V&A Analysis: Complete ☑ Mitigation Analysis: Complete ☑ National Circumstances: Complete ☑ Other Information: Complete ☑ Constraints & Gaps: Complete
22. Cambodia	UNDP	8-Oct-02	9-May-06	420,000	24-Jun-06	Jun-10	☑ GHG Inventories: Completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: Completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: Less than 25% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
23. Cameroon	UNEP	31-Jan-05	03-Feb-09	420,000	17-Feb-09	Feb-11	☑ National Circumstances Less than 25% completed ☑ GHG Inventories: Less than 25% completed ☑ V & A Analysis Less than 25% completed ☑ Mitigation Analysis: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
24. Cape Verde	UNDP	13-Nov-00	30-Jan-07	420,000	July-07	Jul-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 50–75% completed ☑ Mitigation Analysis: more than 75% completed ☑ National Circumstances: more than 75% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed
25. Central African Republic	UNEP	10-Jun-03	30-Aug-06	420,000	13-Nov-06	Dec.-11	☑ National Circumstances: More than 75% completed ☑ GHG Inventories: Less than 25% completed ☑ V & A Analysis: Less than 25% completed ☑ Mitigation Analysis: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
26. Chad[1]	UNDP	29-Oct-01	30-Jan-07	420,000	Jun-07	Sept-11	☑ GHG Inventories: Completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: Completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
27. Chile	UNDP	8-Feb-00	8-Sep-06	420,000	Aug-07	Jul-10	☑ GHG Inventories: More than 75% completed ☑ V&A analysis: More than 75% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: Completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
28. China	UNDP	10-Dec-04	18-Jan-07	5,350,000 Includes PDF funds	Dec-08	Jun-12	☑ GHG Inventories: 25–50% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Not yet initiated
29. Colombia	UNDP	18-Dec-01	8-Sep-06	420,000	Dec-06	Apr-10	☑ GHG Inventories: Completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
30. Comoros	UNEP	5-Apr-03	30-Mar-07	420,000	14-May-07	May-11	☑ National Circumstances: More than 75% completed ☑ GHG Inventories: 25–50% completed ☑ V & A Analysis: 25–50% completed ☑ Mitigation Analysis: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
31. Congo (Republic of)	UNDP	30-Oct-01	24-Apr-06	420,000	24-Jun-06	Completed	☑ SNC submitted in November 2009
32. Congo Democratic Republic	UNEP	21-Nov-00	11-Oct-05	420,000	08-Nov-05	Completed	☑ SNC submitted in November 2009
33. Cook Islands	UNDP	30-Oct-99	22-Dec-05	420,000	21-Apr-06	Jun-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
34. Costa Rica	UNDP	18-Nov-00	12-Apr-06	105,000 Complement to NC funds approved prior to the GEF Umbrella Project Includes TNA	12-May-06	Completed	☑ SNC submitted in October 2009
35. Cuba[2]	UNDP	28-Sep-01	15-Mar-08	420,000	Mar-08	Sept-11	☑ GHG Inventories: 25–50% completed ☑ V&A Analysis: Less than 25% completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
36. Côte d'Ivoire	UNEP	2-Feb-01	08-Jun-05	420,000	10-June-05	June-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
37. Democratic People's Republic of Korea	UNEP	7-May-04	25-Apr-05	420,000	04-May-05	June-08	☑ National Circumstances: 50% completed ☑ GHG Inventories: 25% completed ☑ Further work stalled due to lack of communication with country
38. Djibouti	UNEP	06-Jun-02	08-Jun-06	420,000	13-Jun-06	Nov-2010	☑ National Circumstances: Completed. ☑ GHG Inventories: More than 75% completed ☑ V & A Analysis: Between 50–75% completed ☑ Mitigation Analysis: Not yet initiated ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
39. Dominica	UNDP	4-Dec-01	16-Feb-06	420,000	4-Apr-06	Sep-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: 50–75% completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: More than 75% completed
40. Dominican Republic	UNDP	4-Jun-03	11-Nov-05	420,000	21-Nov-06	Completed	☑ SNC submitted in December 2009
41. Timor Leste	UNDP	INC	14-Aug-09	420,000	1-Sept-09	Nov-12	☑ GHG Inventories: Not yet initiated ☑ V&A Analysis: Not yet initiated ☑ Mitigation Analysis: Not yet initiated ☑ National Circumstances: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
42. Ecuador	UNDP	15-Nov-00	8-Feb-06	420,000	23-Mar-06	May-10	☑ GHG Inventories: Completed ☑ V&A Analysis: completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
43. Egypt	UNDP	19-Jul-99	7-Nov-05	420,000	16-Mar-06	Oct-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
44. El Salvador[3]	UNDP	10-Apr-00	30-May-07	420,000	Sep-07	Jun-10	☑ GHG Inventories: 50–75% completed ☑ V&A Analysis: Less than 25% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
45. Eritrea	UNDP	16-Sep-02	30-Jan-07	420,000	Jun-07	Aug-11	☑ GHG Inventories: Completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: 25–50% completed ☑ Other Information: 50–75% completed ☑ Constraints & Gaps: 25–50% completed
46. Equatorial Guinea	UNEP	INC to be prepared	02-Mar-09	420,000	23-Apr-09	March-12	☑ National Circumstances: Less than 25% completed ☑ GHG Inventories: Less than 25% completed ☑ V & A Analysis: Not yet initiated ☑ Mitigation Analysis: Less than 25% completed ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
47. Ethiopia	UNDP	16-Oct-01	Has submitted self-assessment funds in April 09				
48. Fiji	UNEP	18-May-06	09-Apr-09	420,000	24-Apr-09	May-11	☑ National Circumstances: Less than 25% completed ☑ GHG Inventories: Less than 25% completed ☑ V & A Analysis: Less than 25% completed ☑ Mitigation Analysis: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
49. Gabon	UNDP	22-Dec-04	31-Jan-07	420,000	May-07	Jul-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: 50–75% completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: 50–75% completed
50. Gambia	UNEP	6-Oct-03	05-Sep-06	420,000	02-Jan-07	Dec-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Between 25–50% completed ☑ Mitigation Analysis: Between 25–50% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: Between 50–75% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
51. Georgia	UNDP	10-Aug-99	5-May-05	420,000	24-Jun-05	Completed	☑ SNC submitted in October 2009
52. Ghana	UNDP	2-May-01	10-May-06	420,000	29-Jun-06	Jun-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: Completed ☑ Other Information: 50–75% Completed ☑ Constraints & Gaps: More than 75% completed
53. Grenada[4]	UNDP	21-Nov-00	8-Sep-06	420,000	May-07	Jun-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: 50–75% completed ☑ National Circumstances: 50–75% completed ☑ Other Information: 50–75% completed ☑ Constraints & Gaps: 25–50% completed
54. Guatemala	UNDP	1-Feb-02	7-Nov-06	420,000	Dec-06	Jul-10	☑ GHG Inventories: More than75% completed ☑ V&A Analysis: Less than 25% completed ☑ Mitigation Analysis: not yet initiated. ☑ National Circumstances: 50–75% completed ☑ Other Information: 50–75% completed ☑ Constraints & Gaps: No information provided
55. Guinea	UNEP	28-Oct-02	24-Sept-07	420,000	01-Oct-07	June-11	☑ National Circumstances: Completed ☑ GHG Inventories: More than 75% completed ☑ V & A Analysis: Less than 25% completed ☑ Mitigation Analysis: Less than 25% completed ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
56. Guinea Bissau	UNDP	1-Dec-05	1-Nov-06	470,000 Includes TNA	Apr-07	Jul-10	☑ GHG Inventories: Completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: 50–75% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
57. Guyana	UNDP	16-May-02	5-Apr-07	470,000 Includes TNA	Aug-07	Sep-10	☑ GHG Inventories: 50–75% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: Not yet initiated ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: Not yet initiated
58. Haiti	UNEP	3-Jan-02	29-Sept-05	420,000	06-Oct-05	Dec-10	☑ National Circumstances: More than 75% completed ☑ GHG Inventories: More than 75% completed ☑ V & A Analysis: Less than 25% completed ☑ Mitigation Analysis: Between 25–50% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Not yet initiated
59. Honduras	UNDP	15-Nov-00	2-Dec-05	420,000	Mar-07	Jun-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
60. India	UNDP	22-Jun-04	GEF council approved	3,849,000 Includes PDFB	Jul-07	Sep-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: No information provided ☑ National Circumstances: 25–50% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed
61. Indonesia	UNDP	27-Oct-99	16-Jan-07	420,000	Jul-07	Nov-09	☑ GHG Inventories: completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: 50–75% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
62. Iran, Islamic Republic of	UNDP	31-Mar-03	22-Dec-05	420,000	23-Jan-06	Mar-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
63. Jamaica	UNDP	21-Nov-00	21-Apr-06	420,000	7-Jul-06	Dec-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed. ☑ Mitigation Analysis: completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
64. Jordan	UNDP	6-Mar-97	29-Dec-05	420,000	25-Jan-06	Jul-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
65. Kazakhstan	UNDP	5-Nov-98	3-Mar-05	420,000	15-May-05	Completed	☑ SNC to be submitted to COP June 2009
66. Kenya	UNEP	22-Oct-02	26-Oct-05	420,000	18-Nov-05	Dec-10	☑ National Circumstances: Between 50–75% completed ☑ GHG Inventories: Between 25–50% completed ☑ V & A Analysis: Between 25–50% completed ☑ Mitigation Analysis: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
67. Kiribati	UNDP	30-Oct-99	31-Jan-07	420,000	May-07	Jun-10	☑ GHG Inventories: 50–75% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: 25–50% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: Less than 25% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
68. Kyrgyzstan	UNDP	1-Dec-08	2-Jun-05	420,000	5-Jul-05	Completed	☑ SNC Submitted to COP December 2008
69. Lao People's Democratic Republic	UNDP	2-Nov-00	17-May-07	420,000	17-May-07	May-12	☑ GHG Inventories: Less than 25% completed ☑ V&A Analysis: Less than 25% completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
70. Lebanon	UNDP	2-Nov-99	8-Jul-05	420,000	14-Mar-06	Oct-10	☑ GHG Inventories: Completed ☑ V&A Analysis: 50–75% completed ☑ Mitigation Analysis: 50–75% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed
71. Lesotho	UNEP	17-April-00	04-Sept-06	420,000	25-Oct-06	Dec-10	☑ National Circumstances: Completed ☑ GHG Inventories: More than 75 % completed ☑ V&A Analysis: Between 25–50% completed ☑ Mitigation Analysis: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps Less than 25% completed
72. Liberia	UNEP	INC under preparation	31-Aug-05	420,000	31-Aug-05	Dec-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V&A Analysis: More than 50% completed ☑ Mitigation Analysis: More than 75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
73. Libyan Arab Jamahiriya*	UNEP	INC under preparation	31-Jan-02	275,000	20-Feb-02	Dec-08	☑ 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

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
74. Madagascar	UNEP	22-Feb-04	7-Nov-05	420,000	25-Nov-05	Mar-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
75. Malawi	UNDP	2-Dec-03	8-Feb-06	420,000	Dec-06	Jun-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
76. Malaysia	UNDP	22-Aug-00	2 1-Dec-05	420,000	Jan-07	Jun-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
77. Maldives	UNDP	5-Nov-01	Has not yet requested self-assessment funds				
78. Mali	UNDP	13-Nov-00	8-Sep-06	420,000	11-Sep-06	Oct-10	☑ GHG Inventories: 50–75% completed ☑ V&A Analysis: 50–75% completed ☑ Mitigation Analysis: Less than % completed ☑ National Circumstances: More than 75% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed
79. Malta	UNDP	16-Jun-04	9-Apr-07	420,000	May-07	Feb-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ GHG Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
80. Marshall Islands	UNDP	24-Nov-00	30-Jan-07	420,000	7-Aug-07	Dec-10	☑ GHG Inventories: Less than 25% completed ☑ V&A Analysis: Less than 25% completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
81. Mauritania	UNEP	30-Jul-02	14-Jul-05	420,000	15-Aug-05	Completed	☑ SNC submitted in December 2008
82. Mauritius	UNEP	28-May-99	22-Feb-07	420,000	30-Apr-07	Jun-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
83. Mexico	UNDP	11-Nov-06	20-Jun-05	405,000 Did not request self-assessment funds	11-Jul-05	Completed	☑ Fourth NC submitted to the COP December 2009
84. Micronesia Federated States of	UNDP	4-Dec-97	20-Aug-06	420,000	Aug-06	Jun-10	☑ GHG Inventories: 25–50% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: 25–50% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed
85. Moldova	UNEP	13-Nov-00	12-Oct-05	420,000	27-Oct-2005	Completed	☑ SNC submitted in January 2010
86. Mongolia	UNEP	1-Nov-01	28-Aug-06	420,000	15-Sept-06	June-10	☑ National Circumstances: More than 75% completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Completed ☑ Mitigation Analysis: More than 75% Completed ☑ Other Information: More than 75% Completed ☑ Constraints & Gaps: More than 75% Completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
87. Montenegro	UNDP	Initial Communication under preparation	2-Feb-07	420,000	1-Jun-07	Oct-09	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: 50–75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
88. Mozambique	UNEP	6-Jun-06	11-Oct-06	420,000	25-Oct-06	Dec-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Between 25–50% completed ☑ Mitigation Analysis: Between 25–50% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
89. Morocco	UNDP	1-Nov-01	2-Mar-05	455,000 Includes TNA. Did not request self-assessment funds	13-May-05	Mar-10	☑ GHG Inventories: Completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
90. Myanmar	UNEP	INC under preparation	26-Dec-06	420,000	12-Mar-07	Sept-10	☑ National Circumstances: Completed 28 Feb. 10 ☑ GHG Inventories: 75% completed ☑ V & A Analysis: 75% completed ☑ Mitigation Analysis: Between 25–50% completed ☑ Other Information: Between 50–75% completed ☑ Constraints & Gaps: Between 25–50% completed
91. Namibia	UNDP	7-Oct-02	14-Dec-05	420,000	24-Jan-06	Jul-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
92. Nauru	UNDP	30-Oct-99	25-May-07	420,000	July-07	Jun-10	☑ GHG Inventories: 50–75% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: 25–50% completed ☑ Other information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
93. Nepal	UNEP	1-Sept-04	8-July-09	420,000	14-July-09	July-12	☑ National Circumstances: Less than 25% completed ☑ GHG Inventories: Less than 25% completed ☑ V & A Analysis: Less than 25% completed ☑ Mitigation Analysis: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
94. Nicaragua	UNDP	25-Jul-01	4-Feb-05	420,000	7-Mar-05	Completed	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
95. Niger	UNDP	13-Nov-00	12-Dec-05	420,000	4-Jan-06	Oct-09	☑ SNC submitted in December 2009
96. Nigeria	UNDP	17-Nov-03	30-Mar-06	420,000 Includes TNA	1-Aug-06	Mar-11	☑ GHG Inventories: Not yet initiated ☑ V&A Analysis: Not yet initiated ☑ Mitigation: Not yet initiated ☑ National Circumstances: Not yet initiated ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Not yet initiated
97. Niue	UNEP	2-Oct-01	11-Nov-04	420,000	20-Dec-04	September-10	☑ National Circumstances: More that 75% completed ☑ GHG Inventories: Between 50–75% completed ☑ V & A Analysis: Between 50–75 completed ☑ Mitigation Analysis: Between 25–50% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: Less than 25% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
98. Oman[5]	UNDP	INC under preparation	15-May-07	300,000	7-Jul-07	Mar-11	☑ GHG Inventories: Not yet initiated ☑ V&A Analysis: Not yet initiated ☑ Mitigation: Not yet initiated ☑ National Circumstances: Not yet initiated ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Not yet initiated
99. Pakistan	UNEP	15-Nov-03	Project document under preparation				☑ IA did not receive a response to request for updated information from EA
100. Panama	UNDP	20-Jul-01	7-Jun-06	420,000	Sept-06	Jul-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: 50–75% complete ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: More than 75% completed
101. Palau	UNEP	18-Jun-03	9-Dec-05	420,000	13-Dec-05	Mar-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
102. Papua New Guinea	UNDP	27-Feb-02	17-Jul-06	420,000	Feb-07	Dec-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: Less than 25% completed ☑ Mitigation Analysis: Not yet initiated ☑ National Circumstances: Not yet initiated ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Not yet initiated
103. Paraguay[6]	UNDP	10-Apr-02	8-Dec-05	420,000	10-Mar-06	Jan-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
104. Peru	UNDP	21-Aug-01	20-Jul-05	1,849,350 Includes PDF	July-06	Oct-09	☑ GHG Inventories: Completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: More than 75% completed
105. Philippines	UNDP	19-May-00	18-Apr-06	420,000	2-Aug-06	Jun-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ GHG Mitigation Analysis: More than 75% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
106. Rwanda	UNEP	6-Sep-05	22-Sep-06	420,000	16-Oct-06	June-10	☑ National Circumstances: More that 75% completed ☑ GHG Inventories: Completed ☑ V & A Analysis: 50–75 Completed ☑ Mitigation Analysis: Completed ☑ Other Information: Between 50–75% completed ☑ Constraints & Gaps: Between 50–75% completed
107. Saint Kitts and Nevis	UNDP	30-Nov-01	25-Oct-06	420,000	May-07	Aug-11	☑ Project in early stages of implementation ☑ IA unable to obtain updated status of EA
108. Saint Lucia	UNDP	30-Nov-01	9-Jun-06	420,000	14-Jun-06	Sep-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: 50–75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: Less than 25%
109. Saint Vincent and the Grenadines	UNDP	21-Nov-00	7-Jun-06	420,000	27-Jun-06	Dec-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: Not yet initiated ☑ National Circumstances: More than 75% completed ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
110. Samoa	UNDP	30-Oct-99	21-Jul-05	420,000	27-Oct-05	Dec-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
111. São Tome and Principe	UNDP	19-May-05	24-Sept-07	420,000	Dec-07	Dec-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Not yet initiated ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: Completed ☑ Other Information: 25–50% Completed ☑ Constraints & Gaps: 25–50% Completed
112. Saudi Arabia	UNDP	29-Nov-05	30-May-07	420,000	Dec-07	Sep-10	☑ GHG Inventories: 50–75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: 50–75% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: 50–75% completed ☑ Constraints & Gaps: 50–75% completed
113. Senegal	UNEP	1-Dec-97	8-Jun-06	420,000	20-June-06	Jan-2010	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
114. Serbia	UNDP	Initial Communication under preparation	21-Mar-07	385,000	4-Apr-07	Dec-11	☑ GHG Inventories: Not yet initiated ☑ V&A Analysis: Not yet initiated ☑ Mitigation Analysis: Not yet initiated ☑ National Circumstances: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
115. Seychelles	UNDP	15-Nov-00	9-Jun-06	420,000	16-Jun-06	Dec-12	☑ GHG Inventories: Less than 25% completed ☑ V&A Analysis: Not yet initiated ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: Less than 25% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: 25–50% completed
116. Sierra Leone	UNDP	8-Jan-07	21-Apr-08	420,000	Oct-08	Mar-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: More than 75% completed ☑ Other Information: Completed ☑ Constraints & Gaps: No information provided
117. Solomon Islands	UNDP	29-Sep-04	30-Jan-07	420,000	16-Aug-07	Aug-10	☑ GHG Inventories: 50–75% completed ☑ V&A Analysis: 25–50% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: Completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: Less than 25% completed
118. South Africa	UNEP	11-Dec-03	18-Oct-2007	420,000	09-Nov-2007	Oct-2009	☑ National Circumstances: More than 75% completed ☑ GHG Inventories: More than 75% completed ☑ V & A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ Other Information: Between 50–75% completed ☑ Constraints & Gaps: Between 50–75% completed
119. Sri Lanka	UNDP	6-Nov-00	30-May-07	420,000	Jul-07	Jul-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
120. Sudan	UNDP	7-Jun-03	10-May-07	420,000	16-Sep-07	Jun-10	☑ GHG Inventories: More than 75% completed ☑ V&A analysis: 50–75% completed ☑ Mitigation Analysis: less than 25% completed ☑ National Circumstances: 25–50% completed ☑ Other information: more than 75% completed ☑ Constraints & Gaps: 25–50% completed
121. Syrian Arab Republic	UNDP	INC under preparation	20-July-2006	420,000	Jan-07	Mar-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: More than 75% completed
122. Swaziland	UNDP	21-May-02	29-March-2007	470,000 Includes TNA	May-07	Jun-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
123. Suriname	UNDP	26-Mar-06	27-Jan-09	420,000	Jan-09	Dec-11	☑ Project in initial stage of implementation.
124. Tajikistan	UNDP	31-Dec-08	26-May-05	420,000	7-Jul-05	Completed	☑ SNC Submitted to COP, 31 December 2008
125. Thailand	UNDP	13-Nov-00	31-May-06	420,000	Dec-06	Jan-10	☑ GHG Inventories: completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: 50–75% completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: Not yet initiated
126. The Former Yugoslav Republic of Macedonia	UNDP	15-Jan-09	4-Feb-05	420,000	16-Feb-05	Completed	☑ SNC submitted to COP, 15 January 2009

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
127. Tanzania United Republic of	UNEP	4-Jul-03	21-July-06	420,000	15-Aug-06	Jan-10	☑ National Circumstances: Completed ☑ GHG Inventories: More than 75% completed ☑ V & A Analysis: More than 75% completed ☑ Mitigation Analysis: Between 50–75% completed ☑ Other Information: Between 25–50% completed ☑ Constraints & Gaps: Between 25–50% completed ☑ IA did not receive a response to request for updated information from EA
128. Togo	UNDP	20-Dec-01	8-Sep-06	420,000	Apr-07	Sep-10	☑ GHG Inventories: Completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: Less than 25% completed ☑ National Circumstances: Completed ☑ Other Information: 50–75% completed ☑ Constraints & Gaps: less than 25% completed
129. Tonga	UNDP	21-Jul-05	17-Jan-07	405,000 Did not request self-assessment funds	Jan-07	Mar-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: More than 75% completed ☑ Other Information: 50–75% completed ☑ Constraints & Gaps: 50–75% completed
130. Trinidad and Tobago	UNDP	30-Nov-01	6-Jun-06	420,000	May-07	Sep-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ National Circumstances: Completed ☑ Other Information: More than 75% completed ☑ Constraints & Gaps: More than 75% completed
131. Tunisia	UNDP	27-Oct-01	8-Jun-05	405,000 Did not request self-assessment funds	25-Aug-05	Nov-09	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Constraints & Gaps: Completed

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(continued)

Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
132. Turkmenistan	UNEP	11-Nov-00	8-June-06	420,000	9-June-06	April-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
133. Tuvalu	UNDP	30-Oct-99	17-Jan-07	420,000	May-07	Dec-10	☑ GHG Inventories: 25–50% completed ☑ V&A Analysis: 50–75% completed ☑ Mitigation Analysis: 25–50% completed ☑ National Circumstances: 25–50% completed ☑ Other Information: Less than 25% completed ☑ Constraints & Gaps: Less than 25% completed
134. Uganda	UNEP	26-Oct-02	28-Aug-08	420,000	10-Sept-08	Aug-11	☑ National Circumstances: Between 50–75% completed ☑ GHG Inventories: Less than 25% completed ☑ V & A Analysis: Not yet initiated ☑ Mitigation Analysis: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated
135. Uruguay	UNDP	11-May-04	5-May-05	405,000 Did not request self-assessment funds	30-Aug-05	Jul-10	☑ GHG Inventories: Completed ☑ V&A Analysis: Completed ☑ Mitigation Analysis: Completed ☑ National Circumstances: Completed ☑ Other Information: Completed ☑ Constraints & Gaps: Completed
136. Uzbekistan	UNEP	22-Oct-99	10-Feb-05	420,000	21-Feb-05	Completed	☑ SNC submitted in December 2008
137. Vanuatu	UNDP	30-Oct-99	22-Dec-05	420,000	24-Jul-06	Jun-10	☑ GHG Inventories: 50–75% completed ☑ V&A Analysis: 50–75% completed ☑ Mitigation Analysis: 50–75% completed. ☑ National Circumstances: 50–75% completed ☑ Other Information: 25–50% completed ☑ Constraints & Gaps: 25–50% completed

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Parties	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total amount approved $	Date of initial disbursement of funds by IA	Approximate date of completion of draft NC report	Status of project activities
138. Venezuela	UNDP	13-Oct-05	Under preparation				
139. Vietnam	UNEP	2-Dec-03	7-Jun-06	420,000	19-June-06	Oct-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: More than 75% completed ☑ Mitigation Analysis: More than 75% completed ☑ Other Information: Between 50–75% completed ☑ Constraints & Gaps: Between 50–75% completed
140. Yemen	UNDP	29-Oct-01	8-Nov-06	470,000 Includes TNA	Sep-07	Jul-10	☑ GHG Inventories: More than 75% completed ☑ V&A Analysis: More than 75% completed ☑ Mitigation Analysis: more than 75% completed ☑ National Circumstances: more than75% completed ☑ Other information: more than 75% completed ☑ Constraints & Gaps: more than 75% completed
141. Zambia	UNDP	18-Aug-04	2-Feb-07	470,000 Includes TNA	17-Aug-07	Jun-10	☑ GHG Inventories: 50–75% completed ☑ V&A analysis: 25–50% completed ☑ Mitigation Analysis: 50–75% completed ☑ National Circumstances: 50–75% completed ☑ Other Information: 50–75% completed ☑ Constraints & Gaps: 50–75% completed
142. Zimbabwe	UNEP	25-May-98	24-Apr-06	420,000	13-Jun-06	Dec-10	☑ National Circumstances: Completed ☑ GHG Inventories: Completed ☑ V & A Analysis: Not yet initiated ☑ Mitigation Analysis: Not yet initiated ☑ Other Information: Not yet initiated ☑ Constraints & Gaps: Not yet initiated

[1] Status as per latest available information from country (November 2008)
[2] Status as per latest available information from country (October 2009)
[3] Status as per latest available information from country (October 2009)
[4] Status as per latest available information from country (May 2009)
[5] Project Approved before commencement of GEF National Communications Umbrella Project
[6] Status as per latest available information from country (May 2009).

ANNEX 4: 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 least developed countries whose economic and geophysical characteristics make them especially vulnerable to the impact of global warming and climate change. The GEF administers both the SCCF and LDCF and the World Bank acts as trustee for both funds. **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.

I. LEAST DEVELOPED COUNTRIES FUND (LDCF)

A. Status of Pledges and Contributions

2. As of August 4, 2010, pledges had been received from 22 contributing participants: Australia, Austria, Belgium, Canada, Czech Republic, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, the United Kingdom, and the United States. The total amount pledged to date is equivalent to $290 million. Table 1 shows the details of the status of pledges, commitments, and payments made to the LDCF since inception.

3. The following key financial events impacted the LDCF between April 26, 2010 (the date of the latest quarterly Trustee Report) and August 4, 2010 (the date of the latest monthly Trustee Report):

- Payments were received during the period from Australia, Finland, France, Germany, and New Zealand.
- In addition, pledges from the following countries were received:
  - Dollar equivalent to 7,667,100 from Australia
  - Dollar equivalent 13,217,548 from Belgium
  - Dollar equivalent 14,192,324 from Denmark
  - Euro 800,000 from Finland
  - Dollar equivalent 1,974,781from New Zealand
  - $30 million from United States

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

4. As of May 31, 2010 (the date of the latest quarterly Trustee Report), cumulative net funding decisions taken by the Council and the CEO amounted to $135 million, of which $120 million was for projects and project preparation activities, $12 million was for fees, and $3 million was for administrative expenses and corporate activities of the LDCF.

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 approved amount of $76 million, of which $66 million relates to projects and project preparation activities, $7 million to fees, and $3 million[21] to cover corporate activities and administrative expenses.

6. Cash transfers are made to Agencies on an as-needed basis to meet their projected disbursement

[21] Does not include $700,000 for expenses used for the Multi-donor Trust Fund for the Secretariat for the Adaptation Fund Board which has been reimbursed to the LDCF.

requirements. As of May 31, 2010, out of total cumulative commitments of $76 million, the Trustee has transferred $24 million. As a result, $52 million remains payable to Agencies. Details of funding approvals, commitments, and cash transfers can be found in Table 2.

C. Schedule of Funds Available

7. Current assets held in trust total dollar equivalent of 164 million, comprising cash and investments. Of this amount, $108 million is set aside to cover funding approved by Council and the CEO pending transfer to Agencies. Consequently, net funds available for approval by the Council or the CEO amounts to dollar equivalent of 56 million. Details on the funds available for Council or CEO approval as of May 31, 2010, can be found in Table 3.

D. Investment Income

8. Donor contributions to LDCF are held in trust by the World Bank and maintained in a commingled investment portfolio 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 investment returns of approximately 0.3 percent from January through May 2010 (dollar equivalent of 438,802 on an average fund balance of dollar equivalent of 135 million).

II. SPECIAL CLIMATE CHANGE FUND (SCCF)

A. Status of Pledges and Contributions

9. As of August 4, 2010, pledges had been received from 14 contributing participants: 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 dollar equivalent of 169 million. Table 4 shows details of the status of pledges, commitments[22] and payments made to the SCCF since its inception.

10. The following key financial events impacted the SCCF between April 26, 2010, and August 4, 2010 (the date of the latest monthly Trustee Report):

- Payments were received during this period from Germany.
- In addition, pledges from the following countries were received:
  - Euro 500,000 from Finland
  - Dollar 20,000,000 from United States

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

11. As of May 31, 2010 (the date of the latest quarterly Trustee Report), cumulative net funding decisions taken by the Council and the CEO amounted to $109 million, of which $97 million was for projects and project preparation activities, $9 million was for fees, and $2.1 million was for administrative expenses and corporate activities of the SCCF.

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 $109 million, the Trustee has committed $79 million, of which $70 million relates to projects and project preparation activities, $6.7 million to fees, and $1.9 million to cover corporate activities and administrative expenses. As a result, $30 million remains to be committed by the Trustee to Agencies.

13. The Trustee transfers funds to Agencies on an as-needed basis to meet the projected disbursement

[22] Represents the amounts for which contributing participants have signed trust fund administration agreements.

requirements of the Agencies. As of May 31, 2010, out of total cumulative commitments of $79 million, the Trustee has transferred $28 million. As a result, $50 million remains payable to the Agencies. Details of funding approvals, commitments and cash transfers can be found in Table 6.

C. Schedule of Funds Available

14. Current assets, comprising cash and investments held in trust, a total dollar equivalent of 92 million (for both the Adaptation program and Transfer of Technology program). Of this amount, $77 million is set aside to cover Council approved funding pending transfer to Agencies. Consequently, net funds available for approval by the Council or the CEO amount to a dollar equivalent of 15 million. Details on the funds available for Council or CEO approval as of August 4, 2010 can be found in Table 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 is approximately 0.3 percent from January through May 2010 (a dollar equivalent of 299,800 on an average fund balance of dollar equivalent of 92 million).

TABLE A4.1. Least Developed Countries Fund. Status of Pledges and Contributions as of August 4, 2010

		Total Pledges Outstanding and Contributions Finalized		Pledges Outstanding		Contribution Agreements Finalized				
							Paid (Receipts)		Unpaid	
1	2	3 = 5 + 7	4 = 6 + 9 + 11	5	6	7 = 8 + 10	8	9	10	11
Contributing Participant	Currency	Amount	USD eq. [a/]	Amount	USD eq. [b/]	Total Contributions	Amount Paid in Currency	USD eq. [a/]	Amount Due in Currency	USD eq. [b/]
Australia	AUD	16,500,000	14,267,850	0	0	16,500,000	16,500,000	14,267,850	0	0
Austria	EUR	400,000	580,400	0	0	400,000	400,000	580,400	0	0
Belgium	EUR	10,440,000	13,855,548	10,000,000	13,217,548	440,000	440,000	638,000	0	0
Canada	CAD	10,000,000	6,518,366	0	0	10,000,000	10,000,000	6,518,366	0	0
Czech Republic	EUR	18,000	25,454	0	0	18,000	18,000	25,454	0	0
Denmark	DKK	170,400,000	30,159,929	80,000,000	14,192,324	90,400,000	90,400,000	15,967,606	0	0
Finland	EUR	7,700,000	10,454,990	0	0	7,700,000	7,700,000	10,454,990	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	40,000,000	54,494,971	0	0	40,000,000	30,000,000	41,277,424	10,000,000 [c/]	13,217,548
Ireland	USD	8,000,000	8,000,000	0	0	8,000,000	8,000,000	8,000,000	0	0
Ireland	EUR	1,384,869	1,749,794	0	0	1,384,869	1,384,869	1,749,794	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
Luxembourg	EUR	1,000,000	1,582,900	0	0	1,000,000	1,000,000	1,582,900	0	0
Luxembourg	USD	4,120,000	4,120,000	0	0	4,120,000	4,120,000	4,120,000	0	0
Netherlands	EUR	10,200,000	14,242,600	0	0	10,200,000	10,199,984	14,242,578	0	0
Netherlands	USD	2,100,000	2,100,000	0	0	2,100,000	2,100,000	2,100,000	0	0
New Zealand	NZD	8,100,000	5,843,341	0	0	8,100,000	6,800,000	4,892,521	1,300,000	950,821
Norway	USD	2,000,000	2,001,658	0	0	2,000,000	2,000,000	2,001,658	0	0
Norway	NOK	38,000,000	6,419,406	0	0	38,000,000	38,000,000	6,419,406	0	0
Portugal	EUR	50,000	64,065	0	0	50,000	50,000	64,065	0	0
Spain	EUR	1,162,185	1,520,781	0	0	1,162,185	1,162,185	1,520,781	0	0
Sweden	SEK	72,000,000	9,912,143	0	0	72,000,000	72,000,000	9,912,143	0	0
Switzerland	CHF	4,800,000	4,231,686	0	0	4,800,000	4,800,000	4,231,686	0	0
United Kingdom	GBP	12,000,000	22,020,974	0	0	12,000,000	12,000,000	22,020,974 [d/]	0	0
United States	USD	60,000,000	60,000,000	60,000,000	60,000,000	0	0	0	0	0
			290,034,236		87,409,871			188,455,975		14,168,368

a/ Represents (1) the actual US dollar value of paid-in cash contributions and (2) the August 4, 2010 value of unencashed promissory notes and amounts due.
b/ Valued at exchange rates available on August 4, 2010.
c/ This amount is payable in two equal installments of EUR 5m each in July 2011 and July 2012.
d/ This contribution has been paid by way of a promissory note which will be encashed in 2010.

TABLE A4.2. Least Developed Countries Fund. Summary of Allocation, Commitments and Disbursements as of May 31, 2010 *(in USD)*

		Cumulative Net Amounts			
	Entity	**Approved Allocations**	**Commitments**	**Disbursements**	**Amount Due**
		(1)	(2)	(3)	(4) = (2) - (3)
Projects					
	AfDB	274,475	274,475	274,475	0
	FAO	2,181,818	75,000	75,000	0
	IBRD	14,159,772	832,500	806,554	25,946
	IFAD	6,344,800	200,000	200,000	0
	UNDP	80,898,555	58,303,105	11,520,664	46,782,441
	UNEP	16,484,555	6,874,555	3,309,555	3,565,000
	Sub-total	120,343,975	66,559,635	16,186,248	50,373,387
Fees					
	FAO	218,182	7,500	7,500	0
	IBRD	1,404,977	72,250	44,000	28,250
	IFAD	634,480	20,000	20,000	0
	UNDP	8,129,279	5,859,734	4,362,984	1,496,750
	UNEP	1,681,701	720,701	506,201	214,500
	Sub-total	12,068,619	6,680,185	4,940,685	1,739,500
Corporate Budget and Workshop [a/]					
	Secretariat [b/]	2,253,642	2,253,642	2,253,642	0
	Trustee	773,000	773,000	773,000	0
	Sub-total	3,026,642	3,026,642	3,026,642	0
Total for LDCF		**135,439,236**	**76,266,462**	**24,153,575**	**52,112,887**

a/ Includes amounts allocated to cover administrative expenses to manage the LDCF and Corporate Activities.

b/ USD 700,000 loan to The Adaptation Fund Secretariat and Board Trust Fund is deducted.

TABLE A4.3. Least Developed Countries Fund for Climate Change. Schedule of Funds Available. Updated as of August 4, 2010 *(in USD eq.)*

		USD eq.
1. Funds held in Trust		**163,584,274**
Cash and investments	144,465,338	
Promissory notes	19,118,936	
2. Restricted Funds		**0**
Reserve to cover foreign exchange rate fluctuations	0	
3. Funds held in Trust with no restrictions (3 = 1 - 2)		**163,584,274**
4. Approved Amounts pending disbursement		**108,028,356**
Amounts Trustee Committed	46,096,908	
Amount Council Allocated not yet CEO Endorsed	61,821,448	
Monthly approvals for processing	110,000	
5. Funds Available for Council Allocation or CEO Approval (5 = 3 - 4)		**55,555,918**

TABLE A4.4. Special Climate Change Fund. Status of Pledges and Contributions as of August 4, 2010

	Total Pledges Outstanding and Contributions Finalized [a/]			Pledges Outstanding		Contribution Agreements Finalized				
							Paid (Receipts)		Unpaid	
1	2	3 = 5 + 7	4 = 6 + 9 + 11	5	6	7 = 8 + 10	8	9	10	11
Contributing Participant	Currency	Total Contribution	USD eq.	Amount	USD eq. [b/]	Total Contribution	Amount Paid in Currency	USD eq.	Amount Due in Currency	USD eq. [b/]
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	USD	367,592	367,592	0	0	367,592	367,592	367,592	0	0
Finland	EUR	3,970,000	5,496,573	0	0	3,970,000	3,970,000	5,496,573	0	0
Germany	EUR	20,000,000	27,183,186	0	0	20,000,000	12,400,000	17,137,850	7,600,000 [c/]	10,045,336
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 [d/]	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	121,000,000	21,676,866	0	0	121,000,000	121,000,000	21,676,866	0	0
Portugal	EUR	1,070,000	1,299,099	0	0	1,070,000	1,070,000	1,299,099	0	0
Spain	EUR	5,000,000	6,861,900	0	0	5,000,000	5,000,000	6,861,900	0	0
Sweden	SEK	40,000,000	6,120,153	0	0	40,000,000	40,000,000	6,120,153	0	0
Switzerland	CHF	4,275,000	3,591,221	0	0	4,275,000	4,275,000	3,591,221	0	0
Switzerland	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	40,000,000	40,000,000	0	0	0	0	0
			168,790,198		40,000,000			113,744,862		15,045,336

a/ Pledged contributions are made towards the Program for Adaptation and for the Transfer of Technology.
b/ Valued at exchange rates available on August 4, 2010.
c/ This amount is payable in installments: EUR 3m in July 2011 & July 2012 and EUR 1.6m in July 2013
d/ This amount was due in February 2008.

TABLE A4.5. Special Climate Change Fund. Status of Contributions by Program as of May 31, 2010

			Contribution Agreements Finalized			
Contributing Participant	Currency	Total Contribution	Amount Paid in Currency	USD eq. [a/]	Amount Due in Currency	USD eq. [b/]
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	EUR	3,620,000	3,120,000	4,462,108	500,000	608,428
Finland	USD	367,592	367,592	367,592	0	0
Germany	EUR	20,000,000	10,400,000	14,494,340	9,600,000 [c/]	11,681,817
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	104,500,000	104,500,000	18,675,328	0	0
Portugal	EUR	1,070,000	1,070,000	1,299,099	0	0
Spain	EUR	4,000,000	4,000,000	5,562,900	0	0
Sweden	SEK	37,000,000	37,000,000	5,690,107	0	0
Switzerland	CHF	2,925,000	2,925,000	2,502,709	0	0
Switzerland	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	20,000,000	0	0	0	0
				94,036,883		17,290,244
II. Program for Technology Transfer						
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	1,350,000	1,350,000	1,088,512	0	0
				16,451,369		0
Total for SCCF				**110,488,252**		**17,290,244**

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

b/ Valued at exchange rates available on June 4, 2010.

c/ This amount is payable in installments: EUR 2.0m in 07/2010, EUR 3.0m in 07/2011 & 07/2012 and EUR 1.6m in 07/2013

d/ This amount was due in February 2008.

TABLE A4.6. Special Climate Change Fund. Summary of Allocations, Commitments and Disbursements as of May 31, 2010 *(in USD)*

		Cumulative Net Amounts			
	Entity	**Approved Allocations**	**Commitments**	**Disbursements**	**Amount Due**
		(1)	(2)	(3)	(4) = (2) - (3)
Projects					
	ADB	2,230,200	50,000	50,000	0
	IBRD	36,998,454	28,719,000	10,579,000	18,140,000
	IFAD	6,502,000	375,000	225,000	150,000
	UNDP	42,308,836	31,600,363	5,169,503	26,430,860
	UNEP	9,206,818	9,206,818	5,025,000	4,181,818
	Sub-total	97,246,308	69,951,181	21,048,503	48,902,678
Fees					
	ADB	223,020	5,000	5,000	0
	IBRD	3,529,045	2,662,400	1,537,200	1,125,200
	IFAD	650,200	37,500	22,500	15,000
	UNDP	4,113,022	3,052,175	3,037,025	15,150
	UNEP	918,182	918,182	918,182	0
	Sub-total	9,433,469	6,675,257	5,519,907	1,155,350
Corporate Budget [a/]					
	Secretariat	1,306,715	1,085,254	1,085,254	0
	Trustee	804,000	804,000	774,000	30,000
	Sub-total	2,110,715	1,889,254	1,859,254	30,000
Total for SCCF		**108,790,492**	**78,515,692**	**28,427,664**	**50,088,028**

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

TABLE A4.7. Special Climate Change Fund. Schedule of Funds Available. Updated as of August 4, 2010 *(in USD eq.)*

		USD eq.
Program for Adaptation		
1. Funds held in Trust		**78,301,695**
Cash and investments	78,301,695	
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)		**78,301,695**
4. Approved Amounts pending disbursement		**66,445,099**
Amounts Trustee Committed	47,605,360	
Amount Council Allocated not yet CEO Endorsed	18,839,739	
Amount pending confirmation and/or Intersessional Work Programm	0	
5. Funds Available for Council Allocation or CEO Approval (5 = 3 - 4)		**11,856,596**
Program for Transfer of Technology		
6. Funds held in Trust		**13,364,578**
Cash and investments	13,364,578	
Promissory notes	0	
7. Restricted Funds		**0**
Reserve to cover foreign exchange rate fluctuations	0	
8. Funds held in Trust with no restrictions (8 = 6 - 7)		**13,364,578**
9. Approved Amounts pending disbursement		**10,324,718**
Amounts Trustee Committed	4,423,218	
Amount Council Allocated not yet CEO Endorsed	5,115,000	
Intersessional projects not yet approved.	786,500	
10. Funds Available for Council Allocation or CEO Approval (10 = 8 - 9)		**3,039,860**
Total SCCF Funds Available for Council Allocation of CEO Approval (5 + 10)		**14,896,457**

ANNEX 5: FOURTH OVERALL PERFORMANCE STUDY OF THE GEF (OPS4)

1. The Fourth Overall Performance Study (OPS4), undertaken by the GEF Evaluation Office in 2009, assessed the performance of the GEF and provided inputs to the discussions and negotiations of the fifth replenishment of the GEF. Specifically, OPS4 assessed the extent to which the GEF is achieving its objectives and identifies potential improvements. The OPS4 report is organized into five chapters: (1) Main Conclusions and Recommendations, (2) The GEF in a Changing World, (3) Progress Toward Impact, (4) Performance, and (5) Governance and Partnership. Issues pertinent to climate change mitigation and adaptation are addressed in these chapters.

GEF and Relationship with Conventions

2. The OPS4 reports that GEF continues to respond to COP guidance through incorporating guidance into GEF strategies, approving projects, and adapting its policies and procedures. It found that COP guidance to the GEF continues to accumulate, although some conventions are moving into longer term strategies that could provide a better way for the GEF to develop future strategies. The OPS4 assessed two aspects of the relationship between the GEF and the conventions: 1) quality of reporting from the GEF to the conventions; and (2) relationships between the GEF and the secretariats of the conventions. The OPS4 reported the perception of the convention secretariats that reporting by the GEF to the conventions was weak as it primarily consists of a short and inadequate brief of new GEF strategies and how COP guidance was incorporated in these strategies, including a list of projects funded by the GEF. It reported that conventions consider information on cofinancing, assessment of project implementation experiences, feedback on guidance implementation and incorporation, and results of GEF support to achievement of convention objectives to be crucial to improving quality of reporting. The OPS4 reported that there has been an improvement in the communications and cooperation among the GEF and the conventions because of the steps undertaken in the last four years. This has been facilitated by greater involvement of the conventions in development of programming strategies of the GEF, and through the creation of greater opportunities for interaction between the convention staff and GEF. The study notes the steps taken to improve relationship between UNFCCC and the GEF through retreats and participation of the convention Focal Points in the GEF familiarization seminar as a good practice that could be adopted by the GEF to improve relationship with other conventions. OPS4 maintains that there is room for further improvement in the relationships. First, the GEF Council does not receive direct feedback from the conventions on its reports. Second, further clarification of roles among the different parts of the GEF would also improve relationships.

The GEF Climate Change Portfolio

3. Up to FY2009, the GEF had provided a cumulative funding of $2.74 billion for climate change projects through the GEF Trust Fund. An additional funding of $0.18 billion had been provided through the LDCF and the SCCF. The OPS4 focuses on reporting on the activities funded through the GEF Trust Fund. Overall, of the total funding provided by the GEF up to the end of FY 2009, projects that specifically address climate change related issues accounted for 32 percent.

GEF Projects on Climate Change Mitigation

4. GEF climate change funding has supported a solid level of achievement of progress toward intended global environmental benefits, both in terms

of reduction or avoidance of GHG emissions and of sustainable market changes. The data for 31 completed projects shows that against an expected CO_2 (or equivalent) emission reduction of 194 megatons, the actual reported achievement at completion was about 254 megatons. In terms of cost efficiency, the actual GEF funding required per ton of CO_2 (or equivalent) emission reduction was $0.67 vis-à-vis and expected $ 0.97. In terms of reported CO_2 emissions reduction at completion vis-à-vis expected reduction at project inception, the projects that addressed energy efficiency related issues fared better than those that addressed renewable energy issues. Despite this achievement, the GEF contribution to reduction in GHG emissions is quite small compared to that required at the global level to ensure a more sustainable development path. Renewable energy projects were reported to have achieved less than half the targeted emissions reductions.

5. Of the 51 completed projects, assessed for OPS4, 38 percent had already made strong progress towards intended long-term impacts at the point of project completion. The assessment informs that projects that show better progress toward global environmental benefits demonstrate more specific attention in their design or implementation to steps necessary to catalyze government commitment from national to local levels; coherent financial, policy, tariff, and/or tax incentives to influence the market; commitment of the resources needed to scale up project benefits; and measures to generate and encourage the lasting commitment of key national stakeholders. Progress toward global environmental benefits also depends on ongoing and long-term support from governments, the private sector, and local communities after project completion. At the other extreme, 22 percent of projects had made little progress toward achieving their long-term environmental impacts. The remaining 40 percent of the projects had made moderate progress.

GEF Projects on Climate Change Adaptation

6. The funding through the GEF Trust Fund for adaption is still relatively new and the portfolio of the SCCF is relatively young. No independent evaluation of those funds is yet available. The exception in this area is the LDCF, which was the subject of an evaluation jointly undertaken by the Evaluation Department of the Danish International Development Agency (DANIDA) and the GEF Evaluation Office.

7. Within the GEF Trust Fund and climate change focal area, the GEF Council allocated $50 million to support projects on adaptation that deal with global environmental benefits. As of the end of FY 2009, the Council had approved 22 projects totaling $47.4 million from the GEF. About half of them are in the biodiversity focal area, 35 percent in land degradation, and 20 percent in international waters.

8. The GEF has responded to COP decisions to create the SCCF to finance activities in the following areas: (1) adaptation; (2) transfer of technologies; (3) energy, transport, industry, agriculture, forestry, and waste management; and (4) activities to assist developing countries whose economies are highly dependent on income generated from the production, processing, and export or on consumption of fossil fuels and associated energyintensive products in diversifying their economies. Donors are allowed to allocate their contribution to particular items. About $114 million has been approved, covering 38 projects. About three quarters of the funding has gone to adaptation, for 27 projects; this was identified by the parties as the top priority. No projects (or funding) have been approved for projects in the fourth set of activities listed above.

The Joint LDCF Evaluation

9. The LDCF was established in 2001 at COP7 to support the LDC work program, including the preparation of NAPAs to identify and fund urgent and immediate adaptation actions in LDCs and to strengthen national capacity. The fund has covered the agreed full cost of preparing all relevant NAPAs, and 44 of 48 have been completed.

10. Since the issuance of the OPS4 of the GEF Evaluation Office, DANIDA has carried out a re-

view of the follow up on the LDCF Evaluation and information update on the LDCF and SCCF concluded in May 2010. The review has found that the GEF Secretariat had moved forward vigorously to respond to and implement many of the recommendations of the 2009 Evaluation Report. Section "Climate Change Adaptation Strategy for the Least Developed Countries (LDCF) and the Special Climate Change Fund (SCCF)" discussed the LDCF Joint Evaluation of DANIDA and its follow-up in more detail.