



## Convention on Biological Diversity

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### CONFERENCE OF THE PARTIES TO THE CONVENTION ON BIOLOGICAL DIVERSITY

Thirteenth meeting

Cancun, Mexico, 4-17 December 2016

Item 11 of the provisional agenda<sup>\*</sup>

### **FULL REPORT OF THE EXPERT TEAM ON A FULL ASSESSMENT OF THE FUNDS NEEDED FOR THE IMPLEMENTATION OF THE CONVENTION AND ITS PROTOCOLS FOR THE SEVENTH REPLENISHMENT OF THE GLOBAL ENVIRONMENT FACILITY**

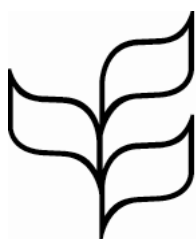
*Note by the Executive Secretary*

#### **INTRODUCTION**

1. The Executive Secretary is circulating herewith, for the information of participants in the thirteenth meeting of the Conference of the Parties, the final report on the full assessment of funding necessary and available for the implementation of the Convention for the period July 2018 to June 2022. In accordance with decision XII/30, paragraph 11, as well as recommendation 1/7 of the Subsidiary Body on Implementation, the final report has been prepared by the team of five experts, including Mr. Carlos Manuel Rodriguez (Costa Rica) and Mr. Appukuttan Nair Damodaran (India) from developing country Parties, Ms. Maria Schultz (Sweden) and Mr. Yasushi Hibi (Japan) from developed country Parties, Mr. Günter Mitlacher (GEF-CSO Network) from international non-governmental organizations, with the representative of the Global Environment Facility, Mr. Mark Zimsky, as an observer. Financial support to the team of five experts was received from the Government of Japan through the Japan Biodiversity Fund and the European Union.
2. The Executive Summary of the full report on the full assessment of funding necessary and available for the implementation of the Convention has been made available as working document UNEP/CBD/COP/13/12/Add.2 and the recommendations related to the second determination of funding requirements for the implementation of the Convention and its Protocols are contained in working document UNEP/CBD/COP/13/12.
3. The full report is presented in the form and language in which it was received by the Secretariat. Its Executive Summary as contained in document UNEP/CBD/COP/13/12/Add.2 is available in all six official languages of the United Nations.

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<sup>\*</sup> UNEP/CBD/COP/13/1.



**Convention on  
Biological Diversity**

**FULL ASSESSMENT OF THE AMOUNT OF FUNDS NEEDED FOR THE  
IMPLEMENTATION OF THE CONVENTION AND ITS PROTOCOLS  
FOR THE SEVENTH REPLENISHMENT PERIOD OF THE TRUST FUND  
OF THE GLOBAL ENVIRONMENT FACILITY**

**An Assessment by the CBD Expert Team Members**

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**Full Report for COP-13  
21 October 2016**

**Montreal**

## Members of the Expert Team

### Representing Developing countries

**Mr. Carlos Manuel Rodriguez** is nominated by the Government of Costa Rica. He is Vice President of Conservation Policy at Conservation International (CI). Mr. Rodriguez is the former Minister of Environment and Energy of the Republic of Costa Rica, and Chair of the CBD's High-level Panel on the Global Assessment of Resources for Implementing the Strategic Plan for Biodiversity 2011-2020. Mr. Rodriguez is also the founder and Board member of several environmental NGOs in Costa Rica and tropical research institutes.

**Mr. Appukuttan Nair Damodaran** is nominated by the Government of India. He is a professor of economics and social sciences at the Indian Institute of Management Bangalore, India, and has worked on financial issues for a wide range of environmental subjects with a number of international and national organizations, including the Biodiversity Financing Strategy for India, a project funded by the National Biodiversity Authority of India (2011-2012). Mr. Damodaran was a member of the CBD's High Level Panel for Global Assessment of Resources for the Convention on Biological Diversity and a member of the team of five experts who prepared the full assessment of funds needed for the implementation of the Convention on Biological Diversity for the GEF-6 replenishment period.

### Representing Developed countries

**Ms. Maria Schultz** is nominated by the Government of Sweden. She is Programme Director of SwedBio at the Stockholm Resilience Centre, a knowledge interface between practice, policy and science. She has held various positions with the Swedish Ministry of Environment as CBD focal point, the Swedish International Development Cooperation Agency (Sida), NGOs, universities and indigenous peoples organizations in the Amazon region. Ms. Schultz was a member of the High-Level Panel on Global Assessment of Resources for Implementing the Strategic Plan for Biodiversity 2011-2020, and a member of the team of five experts who prepared the full assessment of funds needed for the implementation of the Convention on Biological Diversity for the GEF-6 replenishment period. She organized international multi-actor dialogues such as the Quito dialogues.

**Mr. Yasushi Hibi** is nominated by the Government of Japan. He is the Vice President of Conservation International and Managing Director of Conservation International Japan. Mr. Hibi has been a member of several advisory committees to the Japanese Ministry of Environment, including the Committee on Resource Mobilization for Biodiversity and the Committee on Promoting Biodiversity in Society/Economy. He also served as the Environment Programme Officer at the Regional Bureau for Asia and the Pacific of the United Nations Development Programme. Mr. Hibi has been involved in the Steering Committee of International Partnership for the SATOYAMA Initiative (IPSI), the Advisory Committee for Social and Environmental Considerations of Japan International Cooperation Agency (JICA) and the Specialists Group for Development of MRV Guidelines for REDD+ Projects with Biodiversity Considerations. Mr. Hibi is also an Advisor to the Biodiversity Working Group of Keidanren Nature Conservation Committee.

### Representing International NGOs:

**Mr. Günter Mitlacher** is nominated by the Non-Governmental Organization (NGO) Network of the Global Environment Facility (known as the GEF-CSO Network) as an expert representing international NGOs. He is the WWF Focal Point for the CBD in Germany and the Global Focal Point for the Intergovernmental Platform on Biodiversity and Ecosystem Services (IPBES). Mr. Mitlacher was one of the NGO representatives who participated in the GEF-5 and the GEF-6 replenishment processes on behalf of the GEF-CSO Network. Mr. Mitlacher was also a member of the team of five experts who prepared the full assessment of funds needed for the implementation of the Convention on Biological Diversity for the GEF-6 replenishment period.

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The Expert Team would very much like to thank the representatives of reporting countries that filled in the questionnaire as this assessment would not have been possible without their participation.

The team expresses its warm gratitude to the following people at the CBD Secretariat: Ravi Sharma, Principal Officer Implementation and Technical Support, who guided the team throughout the process; Yibin Xiang, Programme Analyst, and Markus Lehmann, Senior Programme Management Officer, who supported the Expert Team with analysis, data, contacts, references, background information and comments; Lydia Zemke, Technical Support for Implementation, who coordinated the Expert Team meetings. Amy Fraenkel, Valerie Normand and Charles Gbedemah of the CBD Secretariat reviewed and provided comments on the final draft of the present report.

The Expert Team would like to express its warm gratitude to the following people at the GEF: Dr. Gustavo da Fonseca, Director of Programs, and Mark Zimsky, Biodiversity Focal Area Coordinator and his team, who supported the Expert Team with their analysis of the GEF's funding, valuable comments, and inspiring discussions throughout the process of the assessment.

An informal exchange of views on the assessment took place with GEF Council member and CBD Focal Point Gabriela Blatter from Switzerland and Hem Pande from India on the draft report, which was highly appreciated. The Expert Team is grateful for the Government of India who hosted the Expert Team's second meeting and SwedBio at Stockholm Resilience Centre, the European Commission, and the Japan Biodiversity Fund for providing financial support of the assessment. The Expert Team would also like to thank Andrea Kraljevic, Biodiversity and Natural Resource Management Consultant (Germany) for her research, examination of Parties' reports, and editorial support.

At SBI-1, CBD Party Delegates were invited to provide comments on the draft report. The Expert Team wishes to thank the delegations of Australia, China, Senegal, Switzerland, Timor-Leste for their interventions and the Global Forest Coalition, Community Conservation Resilience Initiative, and ICCA Consortium for their joint intervention on the preliminary report, which assisted the Expert Team in improving the assessment.

The GEF Implementing Agencies, non-governmental organisations, and relevant institutions were invited to comment on the draft report at SBI-1. The Expert Team would like to thank all the other colleagues not mentioned here for sharing ideas, suggestions, and critique in order to make the assessment a useful tool for the improvement of the Convention.

Finally, the Expert Team warmly thanks the Executive Secretary Bráulio Ferreira de Souza Dias for his backing of the GEF-7 funding needs assessment and the work of the entire Expert Team.

## EXECUTIVE SUMMARY

### I. MANDATE AND METHODOLOGY OF THE FUNDING NEEDS ASSESSMENT

1. The Conference of the Parties at its Twelfth Meeting (COP-12) decided, *in anticipation of the seventh replenishment of the Global Environment Facility Trust Fund, to undertake, at its thirteenth meeting, the second determination of funding requirements for the implementation of the Convention and its Protocols*<sup>1</sup>, and adopted terms of reference (ToR) for the Expert Team to undertake the funding needs assessment of the funding needs ([UNEP/CBD/COP/DEC/XII/30](#), paragraph 11 and Annex). The assessment took into account the three **objectives of the Convention**, Strategic Plan for Biodiversity 2011-2020 and Aichi Biodiversity Targets (Decision X/2), and the objectives and guidance to the Cartagena and Nagoya Protocol. The assessment focused on measures to assist GEF-recipient countries.
2. According to the assessment's **scope**, the funding needs for implementing the Convention from 2018-2022 first necessitates the calculation of total needs to implement activities to achieve the Strategic Plan and the Aichi Targets, as well as activities of the Cartagena and Nagoya Protocols. The GEF-7 time period exceeds the timeframe of the Strategic Plan. However, activities in meeting global and national targets might require more time for implementation. Importantly, the exercise's scope is to focus on **the estimation of the full agreed incremental costs**, and thus needs to respond to GEF's guidelines on the application of the Incremental Cost Principle. In addition, GEF's co-financing policy and GEF's rules and guidelines with regards to eligible activities also have to be taken into account.
3. As requested in paragraph 4 of the ToR, the Executive Secretary appointed a **team of five experts**, composed of two from developing country Parties (Costa Rica and India), two from developed country Parties (Sweden and Japan), and one from an international non-governmental organization (GEF CSO Network) to prepare the report. Three Expert Team meetings were held through which the experts delivered the work plan and discussed the report and its findings.
4. The GEF and the Executive Secretary **reviewed the draft assessment report** to ensure accuracy and consistency of data and approach. Preliminary chapters of the assessment report were circulated to the GEF Secretariat, the CBD Secretariat, and representatives of donor and recipient countries for feedback and advice on further work. The Expert Team reached out to relevant persons and institutions to gather information and seek feedback on the assessment's findings. In addition, relevant literature and other relevant sources of information were also considered.
5. The Expert Team developed a **questionnaire**, as requested in paragraph 11 of the ToR, with support by the CBD Secretariat. The questionnaire was circulated to Parties on 19 August 2015 by notification 2015-094, with an initial deadline for submission by 19 October 2015 and an extended deadline, communicated by notification 2015-124 on 6 November 2015, by 4 December 2015. A draft assessment report was considered by the Subsidiary Body on Implementation at its first meeting, and further to its recommendation I/7, notification 2016-059 was sent on 16 May 2016, inviting Parties to urgently submit the completed questionnaire by 31 August 2016.
6. Expert Team members organized **interviews and arranged several consultation meetings** with Parties' delegates in the margins of the 49<sup>th</sup> GEF Council meeting, CBD SBSTTA-19, IPBES-4, SBI-1, sub-regional workshops of CBD and GEF, UNDP's BIOFIN project, GEF agencies, and various stakeholders. A **side event** was organized in the margins of the SBI-1 meeting (2-5 May 2016) to present the preliminary assessment report. Further consultations were conducted during the regional joint preparatory meetings for Asia and the Pacific, Africa, and Latin America and the Caribbean for the CITES COP-17 and the CBD COP-13 and the associated meetings of the Parties to the Protocols of the Convention on Biological Diversity in August 2016.

<sup>1</sup> Text in italics is quoted from COP decisions or other documents.

7. In order to meet the request of paragraph 14 of the ToR that *the approaches to assessing the funding necessary and available for the implementation of the Convention should be **transparent, reliable and replicable***, ... the CBD Secretariat created a [weblink](#) to post all relevant background information, event dates, Q&A, reports, and questionnaires provided by Parties. Aiming for a “bottom-up” approach, the Expert Team mainly used information and data from Parties and thus relied on the provided information’s accuracy and consistency. All data analysis and calculations are presented in a way to ensure that they are replicable.
8. The Expert Team took the SBI-1 recommendations into account for the finalization of the report as requested in paragraph 15 of the ToR and considered the interventions provided by Parties and stakeholders (UNEP/CBD/SBI/1/14, CBD, 2016d, <https://www.cbd.int/financial/gef2016/sbi-1-interventions.pdf>).

## II. GUIDANCE TO THE FINANCIAL MECHANISM AND PROVISION OF FUNDS

### *Guidance to the financial mechanism and financial implications*

9. The funding needs assessment took into account the **guidance to the financial mechanism from the COP**, which calls for future financial resources (paragraph 3b of the ToR). The following decisions are relevant in this regard: [Decision X/24](#) (consolidated guidance), [Decision X/25](#) (additional guidance by COP-10), [Decision XI/5](#) (*other guidance by COP-11*), and [Decision XII/30](#) (particular guidance related to the Cartagena and Nagoya Protocol). The guidance to the financial mechanism for a specific replenishment period consists of a **consolidated list of programme priorities** that defines what is to be financed and an outcome oriented framework, taking into account the Strategic Plan for Biodiversity 2011-2020, including its Aichi Biodiversity Targets and associated indicators (Decision X/24, para 4). The CBD Secretariat created a webpage for all [existing guidance to the financial mechanism](#).
10. In order to reduce the complex system of guidance to the financial mechanism, the Expert Team provided a consolidated and **comprehensive list of thematic areas**, which Parties used to identify their **national thematic approaches and priorities for the GEF-7 period**, in line with NBSAPs or other national priorities. For ease of linking country-specific priorities to the GEF guidance, a list of codes was developed and circulated with the questionnaire (see Table 1 of the full report). The thematic areas refer to the overall guidance by the COPs, GEF-6 Focal Areas, CBD Protocols, and additional relevant thematic areas, which are not covered by the GEF-6 Focal Area Strategies (see the GEF-6 Focal Areas Programming Directions: <https://www.thegef.org/gef/GEF6-Programming-Directions>).
11. In the consolidated guidance to the financial mechanism adopted by Decision X/24, the COP recalled the **eligibility criteria** for countries to receive funding from the GEF. In Decision XII/30, paragraphs 19 and 20, the COP adopted the eligibility criteria for the financial mechanism under the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing. For the assessment, the Expert Team used the list of recipient countries provided by the GEF.
12. The assessment’s scope is focused on the estimation of the **agreed full incremental costs** (paragraph 2 of ToR). The GEF’s particular mandate is to finance such agreed incremental costs of projects related to the provision of global environmental benefits. The GEF Council approved the **Operational Guidelines for the Application of the Incremental Cost Principle** at its 31<sup>st</sup> meeting in 2007 ([GEF/C.31/12](#)). In the questionnaire, Parties were requested to indicate the expected funding from GEF-7 based on incremental cost reasoning.
13. Paragraph 5(c) of the ToR requests an analysis of the estimated financial implications from the COP’s guidance to the financial mechanism. The Expert Team states that there is **no available estimate of the financial implications** of each guidance element or the entire suite of guidance to the financial mechanism. During this assessment, the Expert Team did not attempt to calculate financial implications from a “top-down” perspective as was done with the first assessment for the GEF-6 period 2014-2018



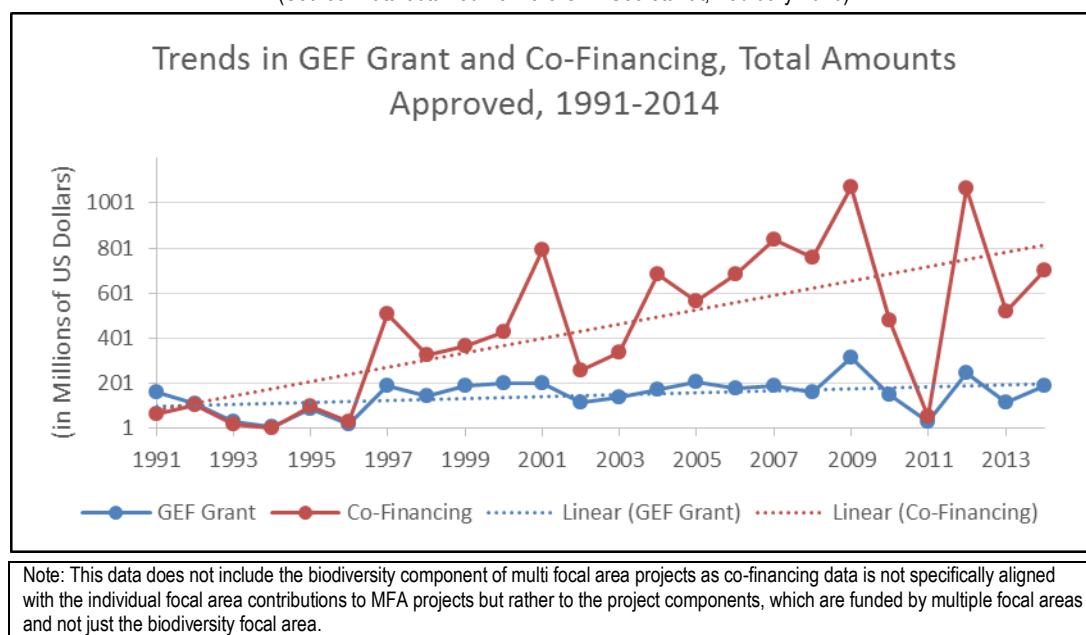
(report see UNEP/CBD/COP/11/INF/35), due to methodological constraints, data and knowledge gaps, and varying cost structures of different countries to implement project activities.

#### **Provision of funds by the financial mechanism**

14. In May 2014, the GEF Council adopted the *Proposal for the System of Transparent Allocation of Resources (STAR) for GEF-6*, which describes the application of the **STAR allocation system**. To determine the indicative STAR allocations for GEF-6 ([GEF/C.47/Inf.08](#)), the STAR model has been run for a total replenishment level of \$4.433 billion. In accordance with the replenishment agreement, the GEF-6 envelopes for the three focal areas covered by the STAR (Biodiversity, Climate Change and Land Degradation) are **US\$1.296 billion for Biodiversity**, US\$1.260 billion for Climate Change, and US\$431 million for Land Degradation. After adjusting for focal area set-asides, the amount available for **country STAR allocation for Biodiversity is US\$1.051 billion for 2014-2018**. The breakdown of the available country STAR allocation amount for GEF-6 was used to inform Parties about the **indicative amount to cover incremental costs of projects**. The distribution pattern of GEF-6 resources is useful in conducting extrapolations of funding needs from the received submissions.
15. The Figure below illustrates the trends in the GEF Trust Fund amounts approved between 1991 and 2014. Since the GEF Pilot Phase, the GEF has programmed more than **\$4.2 billion** to conserve and sustainably use biodiversity. This investment has leveraged more than **\$12 billion in additional funds**, supporting more than 1,300 biodiversity projects in 155 countries ([GEF Sec 2015](#)).

#### **Total GEF Trust Fund grant and co-financing for biodiversity without multi-focal areas**

(Source: Data obtained from the GEF Secretariat, February 2016)



16. Overall, the **growth of approved biodiversity funding has been continuously increasing** over the replenishment periods. Since 1996, **co-financing has increased significantly**. Even though both the Trust Fund and co-financing grew over the years, it is the co-financing that has substantially increased during the last two decades. As reported by the GEF to COP-12 and COP-13, other GEF Focal Area funding also contributed to biodiversity.
17. In order not to create unnecessary barriers and costs for eligible countries to access GEF funds, COP-11 called upon the GEF *to further clarify the concept and application of co-financing for biodiversity projects* ([decision XI/5](#), paragraph 5). Subsequently, the GEF Council approved an updated Co-



financing Policy ([FI/PL/01](#)) in 2014. As co-financing plays an important role in leveraging additional funding in order to scale-up projects, the Expert Team requested Parties to indicate the **expected funding from government and other external sources** in the questionnaire.

18. While developing a project, the GEF Secretariat, implementing agencies, and the recipient country aim to mobilise co-financing to complement GEF's Trust Fund grant. In practice, the GEF as a facility seeks to leverage the maximum amount possible. The [OPS5 report](#) presents the median co-financing ratios for GEF projects across all GEF replenishment periods (see table below). **The median co-financing ratio from GEF-1 to GEF-5 is 2:1.** Over time, the co-financing ratio increased from **0.3 in the pilot phase to more than 4 in GEF-5.**

#### Median co-financing ratios by focal area across replenishment periods

(Source: [OPS5](#), 2014, page 26)

FOCAL AREA/MODALITY	PILOT	GEF-1	GEF-2	GEF-3	GEF-4	GEF-5 <sup>a</sup>
Biodiversity	0.3	1.0	1.3	1.8	2.3	4.3
Climate change	0.9	1.7	2.1	3.5	3.8	5.2
International waters	0.3	1.0	1.2	1.9	3.1	5.8
Land degradation	n.a.	n.a.	n.a.	3.0	3.0	4.5
Ozone depletion	0.4	0.6	0.1	0.7	0.7	2.3
POPs	n.a.	n.a.	1.0	1.1	2.0	4.0
Multifocal	0.3	1.1	1.0	1.6	2.7	3.4
LDCF	n.a.	n.a.	n.a.	0.4	2.3	3.9
SCCF	n.a.	n.a.	n.a.	1.7	3.5	7.1
NPIF	n.a.	n.a.	n.a.	n.a.	n.a.	2.4

NOTE: n.a. = not applicable.  
a. As of June 30, 2013.

19. The average **co-financing ratio** of GEF-5 projects is around 4:1, as reported by the GEF to COP-12 in 2014. On 28 September 2016 the GEF report to COP-13 was presented, covering the period 1 July 2014 to 30 June 2016 of GEF-6 (UNEP/CBD/COP/13/12/Add.1, CBD, 2016e); it states that about 48% of the total resources allocated to the biodiversity focal area during GEF-6 (US\$1.296 billion) have been programmed. The amount of all GEF investments for the Strategic Plan is US\$901 million, which has leveraged US\$4.8 billion of co-financing. This equates to a ratio of 1:5. The total amounts and resulting ratio for a certain project stem from negotiations and agreements reached by project stakeholders.

#### Performance of the financial mechanism

20. As requested by paragraph 3g of the ToR, the assessment should take into account the *experience to date, including limitations and successes of projects funded by the Global Environment Facility, as well as the performance of the Facility and its implementing and executing agencies*. In order to further **improve the effectiveness of the financial mechanism**, CBD COP-12 requested the GEF to take several actions ([Decision XII/30, paragraph 8](#)) inter alia to (i) enhance GEF's catalytic role in mobilizing new and additional financial resources, (ii) continue to streamline the project cycle, and (iii) better measure progress in achieving the Aichi Biodiversity Targets by initiatives supported by the Global Environment Facility.
21. Current evaluations by the GEF Independent Evaluation Office include both a **performance and institutional perspective and an effectiveness and impact perspective**. OPS5 noted that *the GEF has a catalytic role in supporting countries in meeting their obligations to multilateral environmental agreements and in tackling global environmental problems*. Furthermore, OPS5 concluded that *the intervention model of the GEF works, is effective, and has impact*.

22. OPS5 reported on the **GEF agencies' shares** with the United Nations Development Programme (UNDP) disbursing 40 percent of the funding across the replenishments, followed by the World Bank with 38 percent and the United Nations Environment Programme (UNEP) with 10 percent (OPS5 2014, table 1.6, page 6). In GEF-4, a major shift in the funding shares among agencies occurred as a result of new agencies becoming visible in GEF projects (OPS5 2014, page 2).
23. Across all replenishment cycles, **Asia** received 27 percent of GEF-5 resources, followed by **Africa** with 24 percent, and **LAC** with 20 percent. It was reported that *compared to GEF-4, funding to fragile countries has nearly doubled, while funding to small island developing states has increased by 63 percent and that to landlocked countries by 17 percent* (OPS5 2014, page 2-3).
24. OPS5 explored the GEF's **business model** in order to identify where problems are emerging in various processes so that they may be solved, thus strengthening the intervention model of the GEF. The study found *considerable delays entailed in moving project proposals from one GEF decision point to the next.* Speeding up the preparation time of projects is a particularly important issue given the opportunity cost of funds remaining unused. The document "**Improving the GEF Project Cycle**" was presented to the 47<sup>th</sup> GEF Council meeting in October 2014 ([GEF/C.47/07](#)). The GEF Council adopted a project cancellation threshold to meet the GEF Council target of a maximum of 18 months for full-sized projects and updated GEF's Project Cancellation Policy. STAR resources for projects cancelled within a replenishment period where the PIF was approved will be reassigned to the country's allocation and will be available for reprogramming of projects ([GEF/C.47/07](#)).
25. GEF's report to CBD COP-12 ([UNEP/CBD/COP/12/14/Add.1](#), paragraph 19) provides **portfolio monitoring results** and key findings of the GEF Independent Evaluation Office on projects' successes: *GEF's corporate goal is to have at least 75% of projects achieving ratings of moderately satisfactory or higher. Within the biodiversity portfolio of 198 projects that are currently under implementation, 91% of projects are achieving their global environment objectives at a rating of moderately satisfactory (MS) or higher, with 61% of the total achieving ratings of Satisfactory or Highly Satisfactory.* The GEF Corporate Scorecard, which will be presented to the 51<sup>st</sup> GEF Council in October 2016, shows the evolution of the project cycle's effectiveness and the results driven implementation.
26. As of 30 September 2013, the GEF Trust Fund had financed **3,349 projects**, 1,221 or 36 percent of which were carried out in the Biodiversity Focal Area and 6 percent in the International Waters Focal Area. Multifocal area projects, which address global environmental concerns that are relevant to more than one GEF focal area, amount to 14 percent (see OPS5 2014, page 2, Table 1.2).
27. Biodiversity and land degradation focal areas are most often involved in GEF multifocal projects (see Table below). The increasing trend toward multifocal area projects and programs has accelerated during GEF-5. As of the end of 2013, **multifocal projects** accounted for 42 percent of the utilized GEF-5 programming as reported by the GEF to COP-12.
28. At the 49<sup>th</sup> GEF Council meeting in October 2015, the GEF Independent Evaluation Office (IEO) presented an evaluation which assesses the impact of **GEF investments in non-marine protected areas (PAs) and PA systems on biodiversity conservation and sustainable use** ([GEF/ME/C.49/Inf.02](#)). One of the conclusions was that *GEF support is contributing to biodiversity conservation by helping to lower habitat loss in PAs as indicated by less forest cover loss in GEF-supported PAs compared to PAs not supported by GEF. GEF-supported PAs also generally show positive trends in species populations, and reduced pressures to biodiversity at the site level.*
29. In terms of **stakeholder involvement**, a GEF analysis revealed that 36 of 151 project reports submitted by GEF Agencies in Fiscal Year 2014/15 involved Indigenous Peoples. The total GEF funding towards these 36 projects is US\$228 million. The GEF noted that there has been a positive trend overall (i.e. increasing percentage of portfolio) of GEF projects that involve Indigenous Peoples over the past years (GEF Corporate Scorecard, June 30, 2016).

**GEF multifocal area projects by focal area funding** (Source [OPSS](#), Table 1.3)

FOCAL AREA	GEF-3	GEF-4	GEF-5
Biodiversity	5	48	85
Climate change	3	36	66
International waters	3	19	18
Land degradation	6	46	70
ODS	0	1	0
POPs	0	2	5
Sustainable forest management (SFM)/REDD+ <sup>a</sup>	n.a.	n.a.	65
Capacity-building and/or enabling activities	144	44	47
Multifocal area <sup>b</sup>	39	n.a.	n.a.
Total	191	104	159

NOTE: n.a. = not applicable. Data are for GEF Trust Fund projects as of September 30, 2013, and exclude SGP projects.

a. The GEF defines REDD+ as reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks in developing countries.

b. In GEF-3, some multifocal area projects were not yet disaggregated by focal area.

30. Regarding the **success rate of resource programming for projects**, the GEF reported that *at the end of GEF-5, \$1,057,226,380 was programmed of the \$1.08 billion dollars allocated to the biodiversity focal area, or 98% of the total resource envelope* (GEF Report to the COP-12, paragraphs 4, 7). Some countries did not make use of their full allocation.
31. According to a new report (GEF Sec, 2015), **more than 1,300 projects** in the biodiversity realm have been supported since the GEF Pilot Phase.

### III TAKING STOCK OF INFORMATION ON FUNDING NEEDS

#### III.1 Funding needs reported by Parties

32. The Expert Team analysed the information contained in **National Reports, NBSAPs, Financial Reports, Resource Mobilization Strategies**, and other documents with potential information and data on funding needs, include past expenditure or national budget data. However, the information could not be used for extrapolating funding needs for 2018-2022, because the amounts are not comparable, due to the following:
  - Aggregate figures provide overall expenditure from various sources.
  - They only encompass certain years or a time span of different years.
  - They include different thematic areas.
  - Amounts provided may or may not include operational costs.
  - Amounts provided may include cost of activities or projects not being eligible for GEF funding, because they do not generate global environmental benefits.
  - Amounts are related to current or past activities, which may differ from future activities during 2018-2022.

#### **National Reports**

33. The Expert Team also considered the **latest versions of National Reports submitted by Parties** until 17 September 2016. Most countries reported only generic, qualitative information on resource matters regarding Target 20 of the CBD's Strategic Plan. The funding-related information and data included in National Reports is generally very sparse and most countries did not provide comprehensive or explicit funding information.

**National Biodiversity Strategies and Action Plans (NBSAPs)**

34. The Expert Team scrutinized the **latest versions of NBSAPs submitted by Parties** until 17 September 2016. More funding information and data are included in NBSAPs than in National Reports. However, most of the strategies did not include comprehensive or explicit funding data. Some countries reported expenditures prior to 2010 and data on funding until 2020. Only 8 countries covered the 2018-2022 period in their funding information, which was considered too small a sample and was therefore not used in the overall needs assessment.

**Financial Reports and Resource Mobilization Strategies**

35. COP-12 adopted targets for resource mobilization, including the target for at least 75% of Parties to **report on funding needs**, gaps, and priorities by the end of 2015 (Decision XII/3, paragraph 1). In addition, COP-12 adopted a revised financial reporting framework (paragraph 24), where Parties could inter alia indicate their **annual estimated funding need**. The Expert Team looked into Parties' [Resource Mobilization Strategies](#) and [financial reporting submissions](#) until 17 September 2016. In general, very limited information on funding needs was provided in these reports and only 33 Parties made submissions by 31 August 2016, the deadline set by SBI-1. Fifteen countries did not report on funding needs for the period after 2018; 17 countries reported on funding needs for 2018, 2019, and 2020 (Burundi only for 2018, Serbia referred to the questionnaire), and 1 country commented with explicit reference to the GEF-7 needs assessment (China).

**National implementation of the Convention and its Protocols**

36. The Expert Team analysed the **Global Monitoring Report** on the Implementation of the Strategy for Resource Mobilization ([UNEP/CBD/COP/12/13/Add.1](#) and [UNEP/CBD/SBI/1/INF/46, CBD, 2016g](#)). The information and data contained therein basically describes funding that has been made available through various sources but not on actual funding needs.

**Supplementary information by Parties**

37. The Expert Team reached out to **UNDP's Biodiversity Finance Initiative (BIOFIN)** for information and data on the BIOFIN partner countries' funding needs. Currently, BIOFIN supports 30 countries in reviewing policies and institutions relevant for biodiversity finance, determining baseline investments, assessing the costs of implementing National Biodiversity Strategies and Action Plans, and quantifying the biodiversity finance gap. As many countries are still at early stages in identifying their funding gaps, including their financial needs, and developing their resource mobilization strategies, suitable information for the needs assessment was not directly accessible. However, some BIOFIN partner countries provided relevant data on funding needs through their questionnaire.

**Questionnaire to CBD Parties, GEF-recipient countries and others**

38. Pursuant to paragraph 10 of the ToR, the Expert Team designed a **questionnaire requesting data and information** on GEF funding needs for the period of July 2018 to June 2022 and circulated it to all Parties of the Convention. The questionnaire, including guidance on how to complete the questionnaire, was made available in English, French, and Spanish through the CBD [website](#). A Q&A on the approach and process was also posted for further use by national focal points of the Convention and its Protocols.
39. Only information and data received from **GEF-recipient countries** has been included in the assessment. The countries were required to submit information on (i) potential project concepts and data on estimated total project costs, (ii) expected funding from the national government, (iii) expected funding from other external sources, and (iv) expected funding from GEF-7 based on incremental cost reasoning as per the *Operational Guidelines for the Application of the Incremental Cost Principle* (GEF/C.31/12). The Expert Team based its subsequent work on the understanding that countries carefully considered these operational guidelines in order to calculate their expected funding from the GEF for the period 2018-2022. Moreover, the information requested on potential GEF-7 strategic approaches should be in line with countries' NBSAPs or national priorities and linked with other conventions.

40. By 25 September 2016, **60 countries, or 42 percent** of the 143 GEF-recipient countries responded and provided their funding needs: **26 countries from Africa, 15 from the Asia and Pacific region, 12 from Latin America and the Caribbean, and 7 from Eastern Europe**. Parties submitted their responses to the CBD Secretariat who then posted them on the CBD website. The Expert Team reviewed the questionnaires for comprehensiveness, plausibility, and consistency.
41. For the sake of this analysis, every project concept in the field of biodiversity under the goals of the CBD and its Protocols that countries put forward **was considered eligible for GEF funding**. However, the decision whether a project idea is ultimately supported with GEF funds is taken pursuant to interactions and deliberations between the submitting country as well as the GEF Secretariat and partners during GEF-7. **There is thus no causal link between the indicative funding needs provided in the questionnaire and the eventual GEF-7 allocations that will be provided to individual countries further to the GEF-7 replenishment.**
42. The indicative expected total costs of the **200 project concepts** submitted by the 60 countries by 25 September 2016 totals **US\$8.329 billion**, with an expected overall co-financing amount of about **US\$5.938 billion**, or around **72 percent of the total estimated project costs**. Out of this amount, countries expect about US\$4.550 billion from governmental sources (55 percent of total estimated project costs) and about \$1.388 billion from non-governmental external sources (17 percent of total estimated project costs).
43. The 60 countries that responded expect about **US\$2.739 billion from the GEF**, which is **33 percent of the total estimated project costs**. The **co-financing ratio** from governments and external sources to GEF's expected contribution would thus be **2:1**.
44. SBI-1 asked for comments from **indigenous peoples and local communities** and other relevant organizations, including women's organizations, in finalizing the assessment report. The Latin American Indigenous Peoples and Local Communities (COICA) presented 24 project ideas with total project costs of **US\$63.9 million**. The submission did not include expected co-financing from governments and other sources or the GEF Trust Fund's expected contribution. The ICCA<sup>2</sup> Consortium provided a [joint submission](#) with inputs from the Community Conservation Resilience Initiative coordinated by the Global Forest Coalition. The submission contains three sections: Part I offered comments on the Expert team's draft assessment report presented to SBI-1. Part II provided general recommendations concerning financial support for ICCAs and other forms of collective action. Part III identified a range of specific funding needs and priorities to support ICCAs and collective action for biodiversity and nature conservation at the local, national, regional, and international levels.

### III.2 RESULTS OF THE HIGH-LEVEL PANEL ON GLOBAL ASSESSMENT OF RESOURCES

45. The first report of the **High-Level Panel on Global Assessment of Resources for implementing the Strategic Plan for Biodiversity 2011-2020** presented a global assessment of the costs of meeting the Aichi Biodiversity Targets by 2020, **estimating that, by adding the resource requirements for each Aichi Target, between US\$150 billion and US\$440 billion per year** would be required. The Panel acknowledged a range of uncertainties and recognised that further research is vital to help refine these estimates. It highlighted that the resource needs called for a change in the way resources are allocated in our economies to get the best outcomes for biodiversity and sustainable development. The report added that a variety of factors would affect the magnitude of the funding requirements. In particular, **inter-linkages, policy coherence, institutional development, and synergies between targets** and other goals mean that the approach, resourcing and effectiveness of the delivery of any one target may influence the investment needs of another and that this could be expected to substantially reduce the funding need estimate. The second report of the Panel (UNEP/CBD/COP/12/INF/4) builds on the

<sup>2</sup> 'ICCA' is the general abbreviation used to refer to 'indigenous peoples' and community conserved territories and areas, or alternatively, 'territories and areas conserved by indigenous peoples and local communities'. In some CBD decisions, they are also referred to as 'indigenous and community conserved areas', among other similar terms.



assessment of the first Panel report and identifies the benefits of delivering the Aichi Targets, their investment, and resource requirements.

46. The Expert Team reminds that the High-Level Panel's assessment indicates benefits and **total global costs** to achieve the Aichi Targets until 2020, whereas the GEF-7 assessment focuses on **incremental costs of eligible projects in GEF-recipient countries to generate global environmental benefits** in the period 2018-2022. The two approaches could not be combined for the purpose of the GEF-7 funding needs assessment.

### III.3 THE 2030 AGENDA AND FINANCING FOR SUSTAINABLE DEVELOPMENT

47. The 2030 **Agenda for Sustainable Development** (A/RES/70/1) calls on all countries and stakeholders to act collaboratively in implementing this transformative plan. Regarding financing, goal 17 appeals to the global community to strengthen the means of implementation to achieve the Sustainable Development Goals, including those which are related to the conservation and sustainable use of biodiversity and ecosystems.
48. At its sixty-ninth session, the United Nations General Assembly adopted Resolution A/RES/69/313 (2015) endorsing the **Addis Ababa Action Agenda** of the Third International Conference on Financing for Development. The conference committed to biodiversity and sustainable use and **encouraged the mobilization of financial resources from all sources and at all levels**, highlighting the important role of **domestic public resources** and the complementary role of international development cooperation. In particular, the conference recognized **GEF's role** in contributing to financing sustainable development while mainstreaming environmental concerns into development efforts.
49. Official Development Assistance (ODA) providers reaffirmed their ODA commitments, including the commitment by many developed countries to achieve the target of 0.7 percent of gross national income for official development assistance. However, **no specific funding needs for biodiversity** were expressed.

### IV. ESTIMATED FUNDS NEEDED FOR THE GEF-7 REPLENISHMENT

50. The **60 GEF-recipient countries** responding to the questionnaire as of 25 September 2016 represent **42 percent of GEF-recipient countries** and **65 percent of the GEF-6 STAR allocation** (US\$679 million out of US\$1,051 million). One third of the reporting countries receive a GEF-6 STAR allocation above US\$10 million, more than twice as much as of the non-reporting countries (see Table below). In its efforts to encourage submissions of questionnaires, the Expert Team put particular emphasis on mobilizing countries with high GEF-6 STAR allocations, with a view to make the assessment as robust as possible.

**Characteristics of reporting and non-reporting countries to the questionnaire**

	Share of 143 recipient countries	Share of GEF-6 STAR allocation
<b>60 reporting countries</b>	<b>42%</b>	<b>65% (US\$678 million)</b>
<b>83 non-reporting countries</b>	<b>58%</b>	<b>35% (US\$373 million)</b>
	<b>60 reporting countries</b>	<b>83 non-reporting countries</b>
GEF-6 STAR > US\$10 million	32%	12%
GEF-6 STAR > US\$3 up to US\$10 million	25%	35%
GEF-6 STAR < US\$3 million	43%	53%

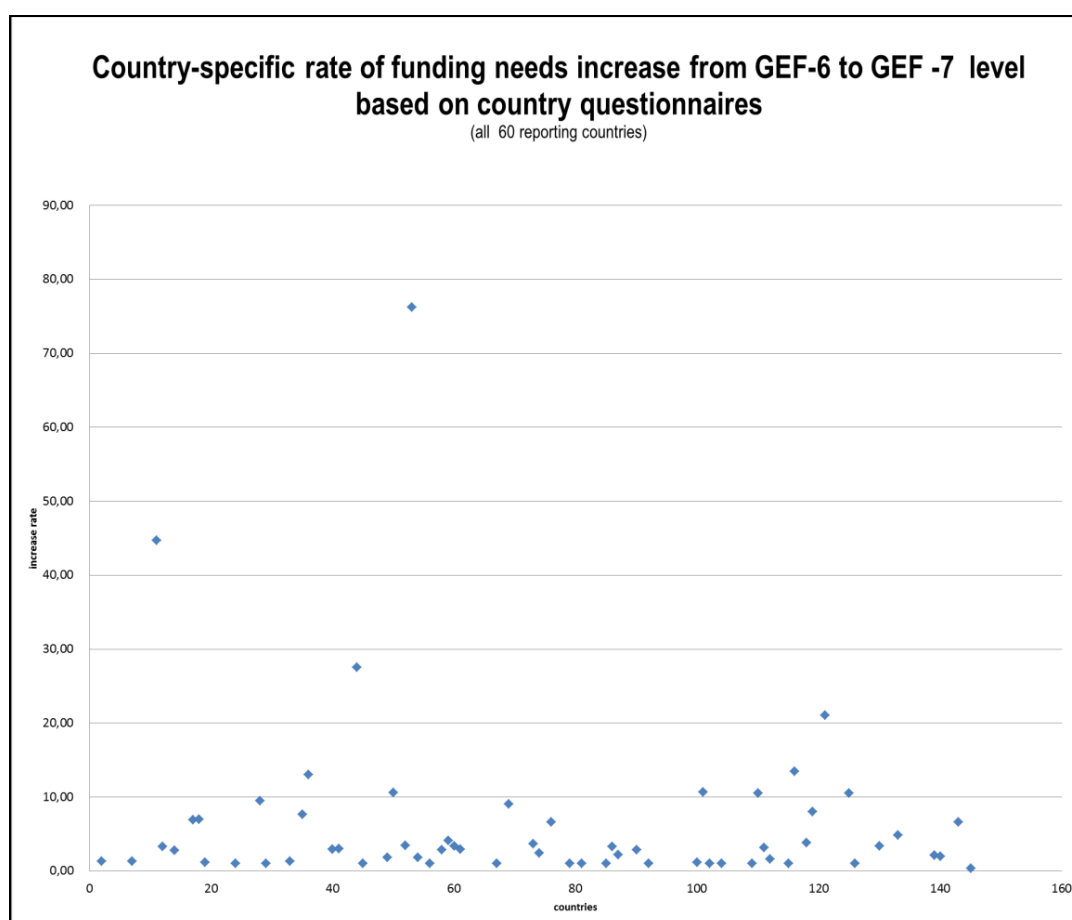
**Reported and calculated funding needs**

51. The 60 responding countries **expect US\$2.739 billion from GEF-7** with a **reported co-financing ratio of 2:1**. This corresponds to the average co-financing ratio across all replenishment cycles. Given that 83 recipient countries did not provide their funding needs, this figure is only a partial reflection of the real funding need for GEF-7. In the subsequent analysis, this figure has been used as a basis for further extrapolation.

**Modelling the total GEF-7 funding level for biodiversity**

52. Based on the dataset provided through the questionnaires and other sources, **two models** were elaborated to estimate the total GEF-7 funding level. The parameters used were:
- (i) Expected GEF-7 funding as reported by 60 GEF-recipient countries,
  - (ii) Range of co-financing ratios as reported by 60 countries and the GEF,
  - (iii) GEF-6 STAR allocation for the remaining 83 non-reporting countries,
  - (iv) Average rate of funding need increase from GEF-6 to GEF-7,
  - (v) GEF-6 STAR allocation share for reporting (65%) and non-reporting countries (35%),
  - (vi) GEF-6 Focal Area Set-aside amount under the assumption that it would be equal in GEF-7.
53. **Model A** used the GEF-6 allocation of non-reporting countries as an estimate of their funding needs during GEF-7 and added this number to the funding needs amount as reported by the 60 countries (US\$2.729 billion). This skews the current 35% GEF-6 STAR allocation of non-reporting countries to below 20% of the calculated total GEF-7 amount, thereby under-representing these countries' share. However, this model is an indication of the total GEF-7 funding amount's lower bound.
54. **Model B** calculated the increase in expected funding from GEF-7 of the 60 reporting countries over their GEF-6 allocation, and applied the same multiplier to the GEF-6 allocation of non-reporting countries, thus restoring the current GEF-6 STAR allocation share between reporting to non-reporting countries (65% to 35%).
55. Under both models, the **reported total project costs** were used to estimate the corresponding funding need from GEF-7 resulting from different co-financing ratios; namely, a 4:1 co-financing ratio as reported by the GEF to COP-12 regarding the co-financing trend, and a 5:1 co-financing ratio as reported by the GEF to COP-13 regarding current GEF-recipient country projects. Under both models, the amount of the GEF-6 Focal Area Set-Aside was included in the final numbers. The results of these extrapolations are provided in the Table below.
56. **Sensitivity analysis:** The calculated country-specific rate of increase from GEF-6 to GEF-7 is widely variable and ranges from 1.18 for Brazil to 76.26 for Guinea (see Table 10 in the full report). These rates fundamentally affect the modelling and calculations of funding needs. Many countries reported expected funding from GEF-7 with an increase below 5.0 from the GEF-6 level, and the large majority below or slightly above a ten-fold increase (see Figure below). To check on the effect of the few cases with very large multipliers, the results were recalculated omitting the 'outliers' with a multiplier above 15. This would increase the reported envisaged co-financing ratio to 2.3:1. As can be seen from the Table below, omitting these four 'outliers', due to their relatively small GEF-6 allocation, would not significantly affect the result under a 4:1 co-financing ratio.





### Result of the GEF-7 funding needs assessment calculations

Models to calculate GEF-7 funding needs	Applied co-financing ratios		
	2:1 (as reported)	4:1 (GEF-5 average)	5:1 (GEF-6 trend)
<b>Funding needs from GEF-7 reported by 60 countries (billion US\$)</b>	<b>2.739</b>		
<b>Model A: amounts (billion US\$)</b>	<b>3.357</b>	<b>2.284</b>	<b>2.006</b>
<b>Model A: increase rate from GEF-6 level*</b>	<b>2.6</b>	<b>1.8</b>	<b>1.5</b>
<b>Model B: amounts (billion US\$)</b>	<b>4.476</b>	<b>2.844</b>	<b>2.379</b>
<b>Model B: increase rate from GEF-6 level*</b>	<b>3.5</b>	<b>2.2</b>	<b>1.8</b>
<i>Model B ad: amounts (billion US\$)</i>	3.924**	2.753	--
<i>Model B ad: increase rate from GEF-6 level*</i>	3.0	2.1	--
* GEF-6 country STAR allocation Biodiversity Focal Area: US\$1.296 billion (incl. Set-Aside)			
** co-financing ratio 2.3 : 1			
<b>Model A:</b> Reported expected funding from GEF-7 + GEF-6 STAR allocation for non-reporting countries			
<b>Model B:</b> Reported expected funding from GEF-7 + same average increase rate from GEF-6 level to non-reporting countries			
Model B ad: same; but 'outliers' > 15.0 increase rate excluded			

57. It should be noted that the total project costs, the co-financing from various sources and the GEF-7 funding needs is **still unknown for 83 GEF-recipient countries**, and thus **the true expected GEF-7 amount could substantially differ from the GEF-7 estimates calculated in the various models**.

***Funding needs of Indigenous Peoples and Local Communities***

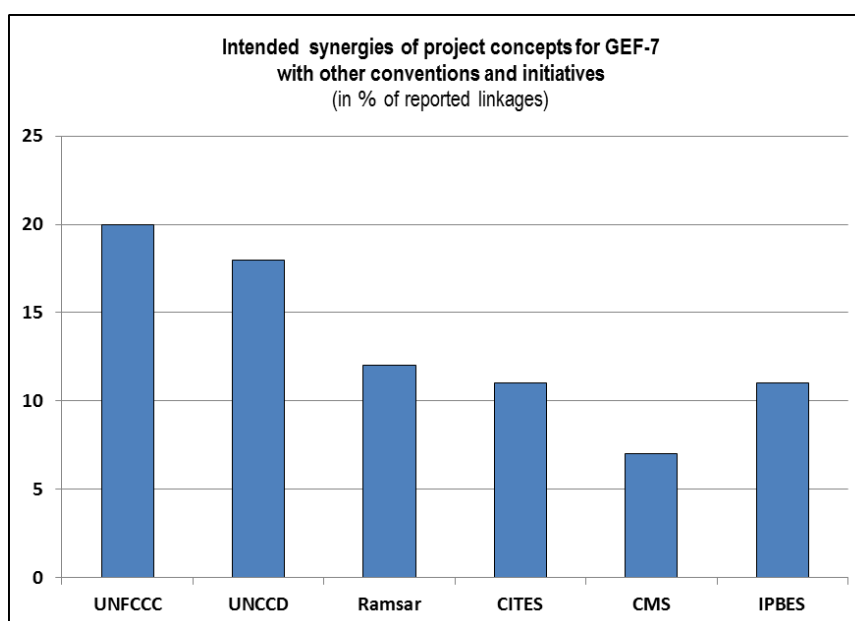
58. The Latin American Indigenous Peoples and Local Communities (COICA) reported US\$63.9 million as the total cost of 24 project concepts. Based on the three co-financing ratios applied, different estimates for potential GEF-7 amounts and potential co-financing from other sources could be calculated. The potential GEF-7 contribution to **COICA** was not included in the models since Indigenous Peoples and Local Communities only have access to the Small Grants Programme currently. Donor countries should consider how to include funding needs from Indigenous Peoples and Local Communities in the GEF-7 replenishment. The GEF has identified 36 GEF projects that involve Indigenous Peoples and Local Communities.
59. The **ICCA Consortium's submission** did not include any total project costs, expected co-financing from governments and/or other sources, or from GEF-7. Instead, the consortium emphasised that the quality and 'delivery' of financial support is far more important than the quantity of financial support.

***Funding needs coverage through other GEF investments***

60. Funding needs for biodiversity could also be covered through **other GEF Focal Areas and multi-focal area projects** in particular. As reported by the GEF to COP-13 other Focal Area funding also contributes to the Strategic Plan for Biodiversity and the Aichi Biodiversity Targets.
61. GEF's role in contributing to **financing sustainable development** was recognized in the 2030 Agenda for Sustainable Development (UNGA, 2015a). Sustainable Development Goal 17 appeals to the global community to strengthen the means of implementation, including those that are related to the conservation and sustainable use of biodiversity and ecosystems. Funding needs arising from development plans and strategies to implement sustainable development goals – supported by the GEF and other instruments - might partially cover funding needs for biodiversity. Donor countries may consider this when discussing on the overall GEF-7 allocation.

## **V. SYNERGIES WITH OTHER CONVENTIONS AND THEMATIC SCOPE**

62. The assessment took into account the information provided by Parties on **synergies with other GEF-funded and biodiversity-related conventions**. From the questionnaires completed by 25 September 2016, 42 Parties reported **1,021 convention linkages** to potential projects during 2018-2022. While some project ideas often had more than one identified convention linkage, others were listed as not having any linkages: 1 linkage = 23%, 2 linkages = 14%, 3 linkages = 13%, >3 linkages = 21%, no linkage = 28%.
63. Most of the project concepts seek to achieve **synergies with the goals of the UNFCCC (20%) and UNCCD (18%)**, followed by the Ramsar Convention (12%), CITES (11%), and CMS (7%) (see Figure below). Less reported are potential synergies with the World Heritage Convention and the plant related treaties. The Conventions addressing pollutants do not seem to be relevant in the proposed projects for 2018-2022. Notably, many project concepts are seen to support the work of the Intergovernmental Platform on Biodiversity and Ecosystem Services (IPBES, 11%). The results clearly show that most countries proposed project ideas for the GEF-7 period that intend to achieve synergies with the other two Rio Conventions funded by the GEF.



64. The assessment analysed the information provided by 44 Parties on the **thematic areas of reported project concepts**. Overall, the most recorded thematic areas that jointly cover about 50% of responses are (i) **Biodiversity conservation on land and in coastal areas (34%)** and (ii) **Restoration of natural habitats, ecosystems and their services (15%)**. In addition, Parties identified *capacity building and cooperation* (11%) and *other themes as part of projects* (16%) as relevant for GEF-7 projects (see Table below).

**Identified thematic priorities for the GEF-7 period**

Thematic area of reported project concepts (reference to codes in Table 1 of the full report)	% of reported codes
<b>A: Biodiversity conservation on land and in coastal areas</b> (mainly current GEF-6 Biodiversity Focal Area Strategy)	34%
<b>B. Marine Biodiversity in international waters</b> (GEF-6 Biodiversity Focal Area Strategy, International Waters Focal Area Strategy)	6%
<b>C. Restoration of Natural Habitats, Ecosystems and their services</b> (GEF-6 Biodiversity Focal Area Strategy, Sustainable Forest Management, Climate Change Mitigation Focal Area Strategy)	15%
<b>D. Sustainable use of biodiversity, production and consumption</b> (GEF-6 Biodiversity Focal Area Strategy)	9%
<b>E. Pollution reduction</b> (GEF-6 Biodiversity Focal Area Strategy, International Waters Focal Area Strategy, Land Degradation Focal Area Strategy, Chemicals and Waste Focal Area Strategy)	3%
<b>F. Nagoya Protocol on access to genetic resources and benefit sharing</b> (GEF-6 Biodiversity Focal Area Strategy)	3%
<b>G. Cartagena Protocol on Biosafety</b> (GEF-6 Biodiversity Focal Area Strategy)	3%
<b>H. Capacity Building and cooperation</b> (elements of GEF projects in different Focal Area Strategies)	11%
<b>I. Others as part of projects</b> (elements of GEF projects in different Focal Area Strategies)	16%

65. *Sustainable use of biodiversity, production and consumption* (9%) and *marine biodiversity in international waters* (6%) are less referenced by countries, and projects on *pollution reduction* (3%) even as well as on the implementation of the *Nagoya and Cartagena Protocol* (3% each) even less.
66. Within the **thematic group *Biodiversity conservation on land and in coastal areas***, project concepts will equally focus on *protected areas networks and general species conservation* (code 710-6%), *conservation of threatened species* (code 715-6%), *terrestrial protected area systems* (code 711-6%), followed by *marine and coastal biodiversity and protected areas* (712-5%). Other topics referenced frequently are project concepts that will focus on *restore natural habitats* (730-5%), *sustainable production and consumption* (741-5%), and *public education and awareness* (700-5%). The least referenced topics are *incentive measures* (702), *country specific resource mobilization strategies* (781), and *South-South cooperation* (782).

## VI. CONCLUSIONS AND REFLECTIONS ON THE ASSESSMENT

67. This GEF-7 funding needs assessment was **the second exercise of its kind** and faced again some challenges throughout the process. The study's timeframe was extremely tight given the fact that the assessment was predominantly completed by the Expert Team members on a voluntary basis in addition to their regular activities and with limited financial resources.
68. After having finalized the report for COP-13, the Expert Team would like to present the following **conclusions and reflections** on the results of the assessment and the available data and information from GEF-recipient country Parties:
- Importance of the overall response rate:** The Expert Team aimed towards a "bottom-up" approach to achieve a reliable, transparent, and replicable source of data and information on country-specific funding needs for GEF-7. However, only 42% (or 60 countries of the 143 GEF-recipient countries) responded with total project costs, co-financing amounts, and expected funding needs from GEF-7. While the Expert Team wishes to express its appreciation to those countries which completed the questionnaire and provided further clarifications as requested by the team, the limited response rate required undertaking an extrapolation in order to estimate the GEF-7 funding need, which affects the overall reliability of the assessment. Furthermore, information included was highly variable in its comprehensiveness. Why only a limited number of countries fully participated is unknown.
  - Importance of carefully considering absorption capacity when estimating costs of project concepts for GEF cycles:** GEF-recipient countries reported 200 intended GEF-7 project ideas and concepts. As explained the Expert Team undertook the assessment based on the understanding that countries carefully considered their absorption capacity to implement the intended projects during the 4-year timeframe of GEF-7. As there has been a general increase of GEF funding over subsequent replenishment cycles, a constant improvement in GEF-recipient countries' absorption capacity can be expected.
  - Importance of accurately applying the Incremental Cost Principle:** The expected funding from GEF-7 should be based on the GEF's *Operational Guidelines for the Application of the Incremental Cost Principle*. The Expert Team assumed that countries accurately applied these operational guidelines to calculate the expected funding from the GEF for the period 2018-2022. When analysing the data provided through the questionnaires, the Expert Team observed that the country-specific rate of funding need increase from GEF-6 to GEF-7 is widely variable (see Table in the Annex). There is no clear explanation as to why countries calculated such different funding needs from the current GEF-6 cycle to the next.
  - Role of updated NBSAP:** For a "bottom-up" approach like this assessment to be successful, all GEF-recipient countries needed to have identified their priorities for GEF-7 funding in their

NBSAPs. However, many Parties have not yet updated their NBSAP and GEF-recipient countries in particular should do so as soon as possible.

- e. **Synergies with other GEF-financed conventions and the SDG implementation:** Most of the project concepts seek to achieve synergies with the goals of other conventions: the UNFCCC (20%) and UNCCD (18%), followed by the Ramsar Convention (12%), CITES (11%), CMS (7%), and with IPBES (11%). The Expert Team encourages this increasing trend towards multifocal area projects and programs – as reported by the GEF – that seek synergies among conventions and thus use GEF funding more efficiently. Funding needs arising from development plans and strategies to implement sustainable development goals – supported by the GEF and other instruments - might partially cover funding needs for biodiversity.
  - f. **Role of National Finance Plans and Resource Mobilization Strategies:** COP-12 adopted targets for resource mobilization, including *to endeavour 100 percent, but at least 75 percent of Parties to report on funding needs, gaps, and priorities, and to prepare national finance plans, by 2015*. Only 18 GEF-recipient countries submitted their funding needs by the extended 2016 deadline. As national finance plans provide an opportunity for countries to indicate how much funding they expect from the GEF Trust Fund, efforts need to be intensified to develop or complete national finance plans or resource mobilization strategies so as to be prepared for future funding needs assessments. The BIOFIN project is a very useful approach in this regard.
69. The Expert Team notes that the **methodology of this second assessment** on GEF funding needs as set out in the ToR appears adequate to collect information from countries in a *transparent* manner. However, despite the detailed guidance for completing the questionnaire and estimating funding needs from the GEF Trust Fund based on GEF's Incremental Cost Principle, the quality of the data provided through the questionnaires was **not as satisfactory as expected**. In order to further enhance future data *reliability and replicability*, the **guidance should be further refined** so Parties can apply a consistent and agreed methodology in estimating their funding needs of projects, co-financing and GEF's contribution.
70. Finally, a comprehensive and robust GEF funding needs assessment **relies heavily on input from GEF-recipient countries**. The results of future assessments can only be improved if recipient countries continue and further intensify their active engagement in this task.

## 1. MANDATE AND METHODOLOGY OF THE FUNDING NEEDS ASSESSMENT

### 1.1. GUIDANCE BY COP-12 ON THE ASSESSMENT

The Conference of the Parties at its Twelfth Meeting (COP-12) decided *in anticipation of the seventh replenishment of the Global Environment Facility Trust Fund, to undertake, at its thirteenth meeting, the second determination of funding requirements for the implementation of the Convention and its Protocols in line with the terms of reference contained in the annex to the present decision (paragraph 11 CBD, 2014d)*<sup>3</sup>.

### 1.2. TERMS OF REFERENCE FOR THE ASSESSMENT

This chapter references some paragraphs from the terms of reference (ToR) in conducting the assessment and provides explanations on their implementation. Other paragraphs of the ToR are explained in chapter I.2.

#### **Objective**

*The objective of the work to be carried out under the present terms of reference is to enable the COP to make an assessment of the amount of funds that are necessary to assist developing countries and countries with economies in transition, in accordance with the guidance provided by the COP, in fulfilling their commitments under the Convention and its Protocols over the seventh GEF replenishment cycle, and determine the amount of resources needed, in accordance with Article 21, paragraph 1 and decision III/8.*

The assessment took into account the three objectives of the Convention on Biological Diversity, Strategic Plan for Biodiversity 2011-2020 and Aichi Biodiversity Targets (Decision X/2), and the objectives and guidance to the Cartagena and Nagoya Protocol. The assessment focused on measures to assist GEF-recipient countries.

#### **Scope**

*The assessment of funding needs for the implementation of the Convention and its Protocols should be comprehensive and primarily directed towards assessing total funding needs required to meet agreed full incremental costs of measures that developing country Parties and Parties with economy in transition, implement in accordance with the guidance provided by the Conference of the Parties to fulfil their obligations under the Convention and its Protocols for the period July 2018-June 2022.*

The funding needs for implementing the Convention from 2018-2022 first necessitates the calculation of total needs to implement activities to achieve the Strategic Plan and the Aichi Targets, as well as activities of the Cartagena and Nagoya Protocol. The GEF-7 time period exceeds the time frame of the Strategic Plan. However, activities in meeting global and national targets might require more time for implementation.

Importantly, the exercise's scope is to focus on **the estimation of the full agreed incremental costs**, and thus needs to respond to GEF's guidelines on the application of the Incremental Cost Principle. In addition, GEF's co-financing policy and GEF's rules and guidelines with regards to eligible activities also have to be taken into account.

#### **Methodology**

As requested by paragraph 3, *the funding needs assessment should take into account:*

- a. *Article 20, paragraph 2, and Article 21, paragraph 1, of the Convention, and the Strategic Plan for Biodiversity 2011-2020:* These provisions were used as general guidance to the assessment.
- b. *Guidance to the financial mechanism from the Conference of the Parties, which calls for future financial resources:* The COP guidance to the GEF was taken into account when compiling a list of thematic activities and designing the questionnaire.
- c. *All obligations under the Convention and its Protocols and relevant decisions adopted by the Conference of the Parties:* The obligations and relevant COP decisions were used as the basis to define appropriate thematic activities to be included in the assessment.
- d. *The information communicated to the Conference of the Parties in the national reports and, information provided by Parties through the financial reporting framework:* NBSAPs, National Reports and information provided through the Financial Reports and Financial Reporting Framework were analysed.

<sup>3</sup> Text in italics is quoted from COP decisions or other documents



- e. *Rules and guidelines agreed by the GEF Council for determining eligibility for funding of projects:* GEF's policies, rules, and guidelines for determining the eligibility of project activities were taken into account.
- f. *National strategies, plans or programmes developed in accordance with Article 6 of the Convention:* Due to limited time and resources for the assessment, all national strategies, plans and programmes could not be analysed.
- g. *Experience to date, including limitations and successes of projects funded by the Global Environment Facility, as well as the performance of the Facility and its implementing and executing agencies:* The experience of the GEF was recognized while closely consulting with the GEF Secretariat throughout the assessment and the report's development. Limitations and successes of GEF funded projects and the GEF performance was addressed.
- h. *Synergies with other GEF-funded Conventions:* Parties were requested to provide links and expected synergies with other GEF-funded Conventions in the questionnaire.
- i. *Synergies with other biodiversity-related Conventions:* Parties were requested to provide links and expected synergies with other biodiversity-related Conventions in the questionnaire.
- j. *The strategy for resource mobilization and its targets:* Decision XII/3 calls on Parties to report on funding needs, gaps and priorities.
- k. *The second report of the High Level Panel on the Global Assessment of Resources for Implementing the Strategic Plan for Biodiversity 2011-2020 and its recommendations:* The results and recommendations of the second report of the High Level Panel have been considered in the report.
- l. *National biodiversity strategies and action plans, where available:* Currently available NBSAPs have been accessed at the CBD Secretariat's website and analysed accordingly.

### **Procedures for implementation**

As requested in paragraph 4, the Executive Secretary contracted a **team of five experts**, composed of two from developing country Parties (Costa Rica and India), two from developed country Parties (Sweden and Japan), and one from an international non-governmental organization (GEF CSO Network) to prepare the report.

Expert Team meetings were held in Montreal (30-31 October 2015, 1 and 7 May 2016) and New Delhi (17-18 February 2016) through which the experts delivered the work plan and discussed the report and its findings.

Furthermore, as requested in paragraph 6, *the GEF and the Executive Secretary should conduct a **review of the draft assessment reports of the expert team** to ensure accuracy and consistency of data and approach...* Prior to the Expert Team's meetings, preliminary chapters of the assessment draft and final report were circulated to the GEF Secretariat, the CBD Secretariat, and representatives of donor and recipient countries for feed-back and advice on further work.

The draft report was circulated by the Executive Secretary to all Parties before SBI-1 in Montreal on 2-6 May 2016 (per paragraph 7 of ToR) as an Information Document (CBD, 2016a, UNEP/CBD/SBI/1/INF/47) and as a working document (CBD, 2016b, UNEP/CBD/SBI/1/8/ADD2).

*COP-13 will take a decision on the assessment of the amount of funds that are necessary for the implementation of the Convention and its Protocols for the seventh replenishment period of the Trust Fund of the GEF, and communicate the results to the GEF accordingly.* The Expert Team's final report will be provided to COP-13 for consideration.

### **Consultation process**

As requested in paragraph 10 of the ToR, *in preparing the assessment report, the expert team should consult widely with all **relevant persons and institutions** and other relevant sources of information deemed useful.* The Expert Team reached out to different audiences and experts to gather information and seek feedback on the assessment's findings. In addition, relevant literature and other sources of information were also considered.

The Expert Team developed a **questionnaire**, as requested in paragraph 11 of the ToR, with support by the CBD Secretariat. The questionnaire was circulated to Parties on 19 August 2015 by notification 2015-094, with



an initial deadline for submission by 19 October 2015 and an extended deadline, communicated by notification 2015-124 on 6 November 2015, by 4 December 2015.

Paragraph 12 of the ToR requested that *interviews and consultation meetings should be organized with participation of at least relevant key stakeholders, including major groups of Parties, the Convention Secretariat, as well as the secretariat, Evaluation Office and agencies of the Global Environment Facility*. The Expert Team participated in the 49<sup>th</sup> GEF Council meeting on 20-22 October 2015 and informed participants about the upcoming assessment report. The task was presented to the GEF CSO Network on 19 October 2015 and to GEF agencies by email. Consultation meetings were arranged during SBSTTA-19 on 2-5 November 2015, the 4<sup>th</sup> session of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES-4) on 22-28 February 2016, and during SBI-1 on 2-6 May 2016 with Parties' delegates. Furthermore, UNDP's BIOFIN project, GEF agencies, and different stakeholders were informed and consulted.

A **side event** was organized at SBI-1 (2-5 May 2016) to present the preliminary assessment report to Parties, stakeholders, and experts.

*As far as possible, the expert team should endeavour to undertake regional and subregional consultations, taking advantage of **regional and subregional workshops** organized by the secretariats of the Convention and the Global Environment Facility during the study period (paragraph 13).* The Expert Team members split the countries into five regional groups and consulted by email and personally with CBD and GEF Focal Points over the course of the exercise. In 2015 and 2016, several *Sub-regional Capacity-Building Workshops on Financial Reporting and Resource Mobilization*, *GEF Extended Consultation Workshops (ECW)*, and *joint preparatory meetings of CITES and CBD* were used by the CBD Secretariat and Expert Team to present the needs assessment and the questionnaire.

In order to meet the request of paragraph 14 of the ToR that *the approaches to assessing the funding necessary and available for the implementation of the Convention should be **transparent, reliable and replicable**, ...* the CBD Secretariat created a [weblink](#) to post all relevant background information, event dates, Q&A, reports, and questionnaires provided by Parties. The Expert Team mainly used information and data from Parties and thus relied on the provided information's accuracy and consistency. All data and calculations are presented in a way to ensure that they are replicable.

### 1.3. ADDITIONAL GUIDANCE BY SBI-1 ON THE ASSESSMENT

SBI-1 took note of the preliminary report and made the following recommendations for consideration by Parties and the Expert Team (UNEP/CBD/SBI/REC/1/7, CBD, 2016c), as requested in paragraph 8 of the ToR.

*...urges* recipient Parties that have not done so to submit their response as well as updates, if any, of the existing submissions by 31 August 2016 (paragraph 3, CBD, 2016c) and

*Encourages* the expert team to take into account the comments emanating from the first meeting of the Subsidiary Body on Implementation and further submissions from recipient Parties, as well as indigenous peoples and local communities, and other relevant organizations, including women's organizations, and to finalize the assessment report in time for consideration by the Conference of the Parties at its thirteenth meeting (paragraph 4, CBD, 2016c).

According to its recommendation 1/7, notification 2016-059 was sent on 16 May 2016, inviting Parties to urgently submit the completed questionnaire by 31 August 2016.

The Expert Team took the SBI-1 recommendations into account for the finalization of the report, as requested in paragraph 15 of the ToR, and considered the interventions provided by Parties and stakeholders during SBI-1, which are referred to in the SBI-1 report (UNEP/CBD/SBI/1/14, CBD, 2016d; [SBI-1 Comments on the Draft Report of the Expert Team](#)).

## 1.4. COP GUIDANCE TO THE GEF AND GEF'S PROCEDURES

The financial mechanism operates under the guidance of the COP to the Convention: *In accordance with Article 21 of the Convention, the Conference of the Parties (COP) will determine the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources available through the financial mechanism, including monitoring and evaluation on a regular basis of such utilization. The Global Environment Facility (GEF), in operating the financial mechanism under the Convention, will finance activities that are in full conformity with the guidance provided to it by the Conference of the Parties...* (paragraph 2.1 CBD, 1996).

### **Guidance to the financial mechanism for the seventh replenishment period**

The funding needs assessment should take into account the guidance to the financial mechanism from the COP which calls for future financial resources (paragraph 3 b) of the ToR). The following decisions are relevant in that regard: Decision X/24 (consolidated guidance), Decision X/25 (additional guidance from COP-10), Decision XI/5 (other guidance from COP-11), and Decision XII/30 (particular guidance related to the Cartagena and Nagoya Protocol).

The guidance to the financial mechanism for a specific replenishment period consists of a consolidated list of programme priorities that defines what is to be financed and an outcome oriented framework, taking into account the Strategic Plan for Biodiversity 2011-2020, including its Aichi Biodiversity Targets and associated indicators (paragraph 4 CBD, 2010b).

In order to reduce the complex system of guidance to the financial mechanism, the Expert Team provided a consolidated and **comprehensive list of thematic areas** (see Table 1), which Parties were asked to use to identify their **national thematic approaches and priorities for the GEF-7 period** in line with NBSAPs or other national priorities. For ease of linking country-specific priorities to the GEF guidance, a list of codes was developed and circulated with the questionnaire. The thematic areas refer to the overall guidance by the COPs (see Annex Table A), GEF-6 Focal Areas, CBD Protocols, and additional relevant thematic areas, which are not covered by the GEF-6 Focal Area Strategies (GEF, 2014d).

**Table 1: List of codes to identify thematic areas for potential GEF-7 priorities**

<b>A: Biodiversity conservation on land and in coastal areas</b> (mainly current GEF-6 Biodiversity Focal Area Strategy)	<b>Code</b>
Protected Area Networks and general Species conservation (Aichi target 11 and 12)	710
Terrestrial PA systems: natural habitats and forests, mountains, drylands (Aichi target 5, 11, 12)	711
Marine and coastal biodiversity and PA systems (Aichi target 11 and 12) and sustainable fisheries in coastal areas (Aichi target 4, 6, 7)	712
Coral reefs (Aichi target 10, 14, 15) and sustainable fisheries (Aichi target 4, 6, 7)	713
PAs for island biological diversity (Aichi target 11 and 12)	714
Conservation of threatened species (Aichi target 12)	715
Addressing invasive alien species (Aichi target 9)	716
<b>B. Marine Biodiversity in international waters</b> (GEF-6 Biodiversity Focal Area Strategy, International Waters Focal Area Strategy)	<b>Code</b>
Marine Protected Areas beyond national jurisdiction (Aichi target 11)	720
Sustainable fisheries on high seas and sustainable use (Aichi target 4, 6; 7)	721
Transboundary Inland water systems (Aichi target 11, 12, 14)	722
<b>C. Restoration of Natural Habitats, Ecosystems and their services</b> (GEF-6 Biodiversity Focal Area Strategy, Sustainable Forest Management, Climate Change Mitigation Focal Area Strategy)	<b>Code</b>
Restore Natural habitats (Aichi target 5)	730
Avoid forest loss, degradation and fragmentation of forests (Aichi target 5)	731
Restore essential forest ecosystems and their services (Aichi target 15)	732
Restore essential freshwater ecosystems and their services (Aichi target 14)	733

<b>D. Sustainable use of biodiversity, production and consumption</b> (GEF-6 Biodiversity Focal Area Strategy)	<b>Code</b>
Genetic diversity of plants and animals (Aichi target 13)	740
Sustainable production and consumption (Aichi target 4)	741
<b>E. Pollution reduction</b> (GEF-6 Biodiversity Focal Area Strategy, International Waters Focal Area Strategy, Land Degradation Focal Area Strategy, Chemicals and Waste Focal Area Strategy)	<b>Code</b>
Pollution reduction to biodiversity safe levels from agriculture, freshwater systems etc. (Aichi target 8)	750
<b>F. Nagoya Protocol on access to genetic resources and benefit sharing</b> (GEF-6 Biodiversity Focal Area Strategy)	<b>Code</b>
Activities according to decision XI/5, annex, appendix 1; protocol implementation, national reporting, awareness raising, and capacity improvement	760
<b>G. Cartagena Protocol on Biosafety</b> (GEF-6 Biodiversity Focal Area Strategy)	<b>Code</b>
Implementation of national biosafety frameworks, national reporting, capacity building and improvement; ratification and implementation of the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress	770
<b>H. Capacity Building and cooperation</b> (elements of GEF projects in different Focal Area Strategies)	<b>Code</b>
National reporting	780
Country-specific resource mobilization strategies (Aichi target 20)	781
South-South Cooperation	782
Biodiversity planning, integration and synergies (Aichi target 2)	783
Technical and scientific cooperation, transfer of technology (Article 16) and Clearing-House Mechanism (Article 18)	784
<b>I. Others as part of projects</b> (elements of GEF projects in different Focal Area Strategies)	<b>Code</b>
Public education and awareness (Aichi target 1)	700
Traditional knowledge and customary use (Article 8(j) and related provisions, Aichi target 18)	701
Incentive measures (Aichi target 3)	702
Sustainable tourism	703
Research and training (Article 12) and knowledge, the science base and technologies relating to biodiversity, its values, functioning, status and trends, and the consequences of its loss, are improved, widely shared and transferred, and applied (Aichi target 19); Global Taxonomy Initiative; development and application of indicators and monitoring (Article 7)	704

### **Eligibility criteria for GEF-funded projects**

COP-1 decided on eligible countries: *Only developing countries that are Parties to the Convention are eligible to receive funding upon the entry into force of the Convention for them. In accordance with the provisions of the Convention, projects that seek to meet the objectives of conservation of biological diversity and sustainable use of its components are eligible for financial support from the institutional structure (Annex CBD, 1994).*

In the consolidated guidance to the financial mechanism, adopted by Decision X/24, the COP recalled the following eligibility criteria for countries.

### **C. Eligibility criteria**

1. Only developing countries that are Parties to the Convention are eligible to receive funding upon the entry into force of the Convention for them. In accordance with the provisions of the Convention, projects that seek to meet the objectives of conservation of biological diversity and sustainable use of its components are eligible for financial support from the institutional structure.
2. The Global Environment Facility continues to provide financial resources to Parties with economies in transition for biodiversity-related projects.
3. All developing countries, in particular the least developed and small island developing States, as well as countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Cartagena Protocol on Biosafety, are eligible for funding by the Global Environment Facility.
4. All developing countries, in particular the least developed and small island developing States, as well as countries with economies in

*transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, shall also be eligible for funding by the Global Environment Facility for the development of national biosafety frameworks and the development of national biosafety clearing-houses and other necessary institutional capabilities to enable a non-Party to become a Party. Evidence of such political commitment shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Protocol on completion of the activities to be funded. (CBD, 2010b)*

In decision XII/30, paragraphs 19 and 20, the Conference of the Parties adopted the eligibility criteria for the financial mechanism under the Nagoya Protocol on access and benefit sharing as follows:

19. Decides that all developing countries, in particular the least developed and small island developing States, as well as countries with economies in transition, which are Parties to the Nagoya Protocol, are eligible for funding by the Global Environment Facility in accordance with its mandate;

20. Adopts the following transitional clause in the eligibility criteria for funding under the financial mechanism of the Protocol: 'Developing countries, in particular the least developed countries and small island developing States among them, and countries with economies in transition that are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, shall also be eligible for funding by the Global Environment Facility for up to four years after the Nagoya Protocol has entered into force for the development of national measures and institutional capabilities in order to enable them to become a Party. Evidence of such political commitment, accompanied by indicative activities and expected milestones, shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Nagoya Protocol on completion of the activities to be funded.'

For a project or programme to be considered for GEF-funding, it must fulfil the following [eligibility criteria](#) according to GEF's rules:

- It has to be undertaken in an [eligible country](#). Countries may be eligible for GEF funding in one of two ways: a) if the country has ratified the [Conventions the GEF serves](#); or b) if the country is eligible to borrow funds from the World Bank or to receive technical assistance from UNDP.
- It has to be country-driven and consistent with national priorities. All GEF projects should be based on national priorities designed to support sustainable development.
- It has to address one or more of the [GEF focal area strategies](#).
- It has to seek GEF financing only for the agreed-on incremental costs on measures to achieve global environmental benefits.
- It has to be endorsed by the [Operational Focal Point](#) of the country in which the project or program will be implemented. For regional projects and programs, the endorsement of the Operational Focal Points of all participating countries is required. For global projects, an endorsement letter is not required.
- It must involve the public in project design and implementation, following the [Policy on Public Involvement](#) in GEF-Financed Projects and the respective guidelines.

### Agreed full incremental costs

The scope of the assessment is focused on the estimation of the **agreed full incremental costs** (paragraph 2 of ToR). The GEF's particular mandate is to finance such agreed incremental costs of projects related to the provision of global environmental benefits. GEF projects generally fulfil incremental and catalytic roles by making a difference to the business-as-usual process in bringing together public resources from different levels, such as multilateral funds, national governments, bilateral aid agencies, and private resources, such as from NGOs, foundations, or the private sector.

The GEF Council approved the **Operational Guidelines for the Application of the Incremental Cost Principle** at its 31<sup>st</sup> meeting in 2007 (GEF, 2007). In the questionnaire, Parties were requested to indicate the expected funding from GEF-7 based on incremental cost reasoning.

*The proposed approach consists of five steps that simplify the process of negotiating incremental costs, clarifies definitions, and links incremental cost analysis to result based management and the GEF project cycle. The guidelines enhance the transparency of the determination of incremental costs of a project during the preparation period, as well as its implementation through:*

- Determination of the environmental problem, threat, or barrier, and the **"business-as-usual"** scenario (or: What would happen without the GEF?)
- Identification of the **global environmental benefits (GEB)** and fit with GEF strategic programs and priorities linked to the GEF focal area
- Development of the **result framework** of the intervention
- Provision of the **incremental reasoning** and GEF's role
- Negotiation of the role of **co-financing**

### Co-financing

In order not to create unnecessary barriers and costs for eligible countries to access GEF funds, COP-11 called upon the GEF to further clarify the concept and application of co-financing for biodiversity projects (paragraph 5 CBD, 2012c). Subsequently, the GEF Council approved an updated Co-financing Policy in 2014 (GEF, 2014b): *This Policy (i) establishes the objectives for co-financing in GEF-financed projects; (ii) defines co-financing in GEF-financed projects; and (iii) sets forth the general principles and approaches for co-financing in GEF-financed projects, including how co-financing will be monitored and evaluated. ...This Policy provides rules on co-financing for GEF-financed projects and programs, and contributes to an ambition for the overall GEF portfolio to reach a co-financing ratio of at least 6:1, with expectations for greater co-financing in upper middle income countries that are not SIDS.*

As co-financing plays an important role in leveraging additional funding to scale-up projects, the questionnaire requested Parties to indicate the **expected funding from government and other external sources**.

### STAR allocation for GEF-6

In May 2014, the GEF Council adopted the *Proposal for the System of Transparent Allocation of Resources (STAR) for GEF-6*, which describes the application of the **STAR allocation system**. To determine the indicative STAR allocations for GEF-6, the STAR model has been run for a total replenishment level of US\$4.433 billion (GEF, 2014c). In accordance with the replenishment agreement, the GEF-6 envelopes for the three focal areas covered by the STAR (Biodiversity, Climate Change, and Land Degradation) are **US\$1.296 billion for Biodiversity**, US\$1.260 billion for Climate Change, and US\$431 million for Land Degradation. After adjusting for focal area set-asides, the amount available for **country STAR allocation for Biodiversity is US\$1.051 billion for 2014-2018**.

The breakdown of the available country STAR allocation amount for GEF-6 was used to inform Parties about the **indicative amount to cover incremental costs of projects** (see Annex Table C).

## 1.5. SYNERGIES WITH OTHER CONVENTIONS

The assessment took into account synergies with other GEF-funded and biodiversity-related Conventions (as per paragraph 3 h) and i) of the ToR). Parties were requested to indicate the links of potential projects to other Conventions in the questionnaire and provide information accordingly using the acronyms in Table 2 below.

**Table 2: List of Conventions and their acronyms**

Conventions	Acronyms
<b>Other GEF-funded Conventions</b>	
United Nations Framework Convention on Climate Change	UNFCCC
UN Convention to Combat Desertification	UNCCD
Stockholm Convention on Persistent Organic Pollutants	POPs
Minamata Convention on Mercury	MCM
Montreal Protocol on Substances That Deplete the Ozone Layer	MP
<b>Other biodiversity-related Conventions</b>	
Convention on International Trade in Endangered Species of Wild Fauna and Flora	CITES
Convention on the Conservation of Migratory Species of Wild Animals	CMS
Convention on Wetlands	Ramsar
World Heritage Convention	WHC
The International Treaty on Plant Genetic Resources for Food and Agriculture	ITPGRFA
International Plant Protection Convention	IPPC



## 2. GUIDANCE TO THE FINANCIAL MECHANISM AND PROVISION OF FUNDS

### 2.1. FINANCIAL IMPLICATIONS OF GUIDANCE TO THE FINANCIAL MECHANISM

This chapter responds to paragraph 5(c) of the ToR, which requests an analysis on the *estimated financial implications of guidance to the financial mechanism from the Conference of the Parties*. The funding needs assessment should take into account the guidance to the financial mechanism from the COP, *which calls for future financial resources* (paragraph 3 b) of ToR). The following decisions contain relevant information on the guidance:

- [Decision X/24](#): *Review of guidance to the financial mechanism*: COP-10 adopted a consolidated list of programmatic and thematic areas for projects to receive funding from the GEF.
- [Decision X/25](#): *Additional guidance to the financial mechanism*: COP-10 adopted a set of additional thematic areas to receive funding from the GEF.
- [Decision XI/5](#): *Other guidance to the financial mechanism*. COP-11 decided on ten additional thematic topics for GEF-funding.
- [Decision XII/30](#): *Financial mechanism*: COP-12 agreed inter alia on guidance related to the Cartagena and Nagoya Protocols.

According to the Memorandum of Understanding with the GEF, the COP will only determine *the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources available through the financial mechanism, including monitoring and evaluation on a regular basis of such utilization*. In contrast, *GEF, in operating the financial mechanism under the Convention, will finance activities that are in full conformity with the guidance provided to it by the Conference of the Parties* (Annex Paragraph 2.1 CBD, 1996).

Annex Table A presents a compilation of the **consolidated and additional guidance** to the financial mechanism. COP-10 decided that the guidance to the financial mechanism for a specific replenishment period should consist of a consolidated list of programme priorities that defines what is to be financed and an outcome-oriented framework (Decision X/24, paragraph 4). Table B in the Annex provides a synopsis of GEF's progress in responding to the guidance in decision X/24 and X/25, which was presented to COP-11 (CBD, 2012a). Furthermore, the GEF reported on how the Biodiversity and other focal areas contributed to the COP-11 guidance in its report to COP-12 (CBD, 2014b) and COP-13 (CBD, 2016e).

For GEF-6, COP-11 decided on an outcome-oriented framework of programme priorities for the period 2014-2018 (decision XI/5, annex) with financial requests to support the implementation of (i) the Strategic Plan 2011-2010 and the Aichi Targets, (ii) the Strategic Plan of the Cartagena Protocol on Biosafety 2011-2020, and (iii) the Nagoya Protocol on ABS. The COP did not prioritize the elements of the Strategic Plan or the Aichi Targets that GEF should support during GEF-6. The GEF translated these programme priorities into five strategic objectives of the Biodiversity Focal Area and into objectives of other focal area strategies for the 2014-2018 period (GEF, 2014d, page 16).

COP-12 recalled the consolidated previous guidance (Decision XII/30, paragraph 5). Upon analysing **the guidance** to the financial mechanism (see Annex Table A), the Expert Team observed that the GEF reports to the COPs include many details on how the GEF funding aims to meet different thematic areas of the guidance with what amount of funding. Hence, the Expert Team concludes that the COP guidance is **largely translated into GEF's different focal area strategies** with the priority to address the drivers of biodiversity loss. The accompanied provision of GEF funds is presented in chapter 2.2.

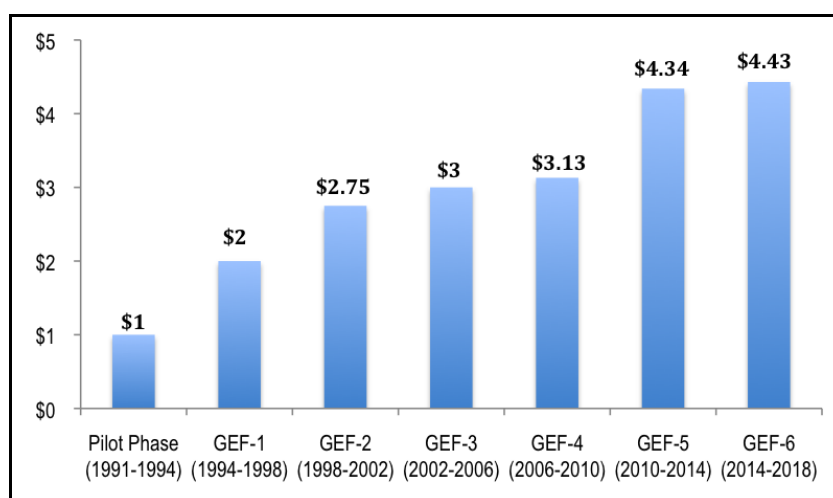
The Expert Team states that there is **no available estimate of the financial implications** of each guidance element or the entire suite of guidance to the financial mechanism (see compiled guidance in Annex Table A). During this assessment, the Expert Team did not consider calculating financial implications from a "top-down" perspective as was done in the first funding needs assessment for the GEF-6 period 2014-2018 (see UNEP/CBD/COP/11/INF/35), due to methodological constraints, data and knowledge gaps, and varying cost structures of different countries to implement project activities.

Given the experience from the first assessment on funding needs for GEF-6, the Expert Team notes that countries should consider assessing the financial implications of the GEF guidance at the national level. Through such a “bottom-up” approach, the countries would be in the position to appropriately calculate their total project costs, associated co-financing, and funding needs from the financial mechanism to achieve global environmental benefits.

## 2.2. PROVISION OF FUNDS BY THE FINANCIAL MECHANISM

This chapter responds to paragraph 5(d) of the ToR, requesting to compile the *experience to date in the provision of funds by the financial mechanism for each replenishment period*. During replenishment negotiations, the GEF Council adopts a document that guides resource programming for biodiversity and other thematic areas in accordance with the pertinent COP guidance and a level of resources that the GEF will aim to provide to recipient countries during the replenishment period. The GEF is replenished every four years with unused funds being absorbed into the subsequent replenishment. Negotiation results for each of the replenishment cycles are presented in Figure 1. Overall, the total amounts pledged by donors have consistently increased since the GEF’s inception (see Figure 1).

**Figure 1: GEF Replenishment cycles** (in billions US\$)



(Source: <https://www.thegef.org/gef/node/11571>)

### **GEF Trust Fund amounts for biodiversity for each replenishment period**

According to the 2014 final report of the 5<sup>th</sup> Overall Performance Study of the GEF (GEF IEO, 2014), biodiversity projects account for **about a third of the GEF funding throughout the replenishment cycles** (see Table 3). As reported by the GEF, the biodiversity funding increased from US\$830 million to US\$1.05 billion by the end of GEF-5.

In 2015, the GEF Secretariat published updated total amounts for biodiversity and sustainable use across the replenishment cycles: *Since the GEF Pilot Phase, the GEF has programmed **more than US\$4.2 billion** to conserve and sustainably use biodiversity. This investment has leveraged **more than US\$12 billion in additional funds**, supporting **more than 1,300 biodiversity projects in 155 countries*** (GEF 2015a). Overall, from 1991 to 2014, the provision of **funds for biodiversity projects increased about threefold**.

If projects that are funded through the International Waters Focal Area and Sustainable Forest Management Strategy (SFM/REDD+) and contribute to biodiversity are included, the total provision of the GEF Trust Fund for biodiversity projects increases to **around US\$5.6 billion over all replenishment periods** (see Table 3). Though



projects in other focal areas might also contribute to biodiversity goals, they could not be explicitly referenced here because no analysis has been carried out yet.

**Table 3: GEF Trust Fund amounts for biodiversity and other focal areas across replenishment periods**

(Source: GEF IEO, 2014, page 5)

TRUST FUND/ FOCAL AREA	PILOT		GEF-1		GEF-2		GEF-3		GEF-4		GEF-5		TOTAL	
	M\$	%	M\$	%	M\$	%	M\$	%	M\$	%	M\$	%	M\$	%
GEF Trust Fund	662	100	1,037	100	1,819	100	2,950	100	2,790	100	2,880	100	12,138	100
BD	292	44	392	38	686	38	892	30	894	32	830	28	3,986	33
CC	229	35	350	34	620	34	830	28	875	31	926	32	3,830	32
IW	121	18	119	11	314	17	392	13	306	11	265	9	1,517	12
LD	n.a.	n.a.	n.a.	n.a.	1	<1	254	9	260	9	262	9	777	6
Multifocal	16	2	49	5	150	8	407	14	172	6	179	7	973	8
ODS	4	1	127	12	20	1	8	<1	22	1	6	<1	186	2
POPs	n.a.	n.a.	n.a.	n.a.	29	2	166	6	263	9	285	10	745	6
SFM/REDD+ <sup>a</sup>	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	126	4	126	1
LDCF	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	11	100	143	100	480	100	634	100
SCCF	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	16	100	89	100	136	100	241	100
NPIF	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	10	100	10	100
Total	662	100	1,037	100	1,819	100	2,977	100	3,022	100	3,506	100	13,022	100

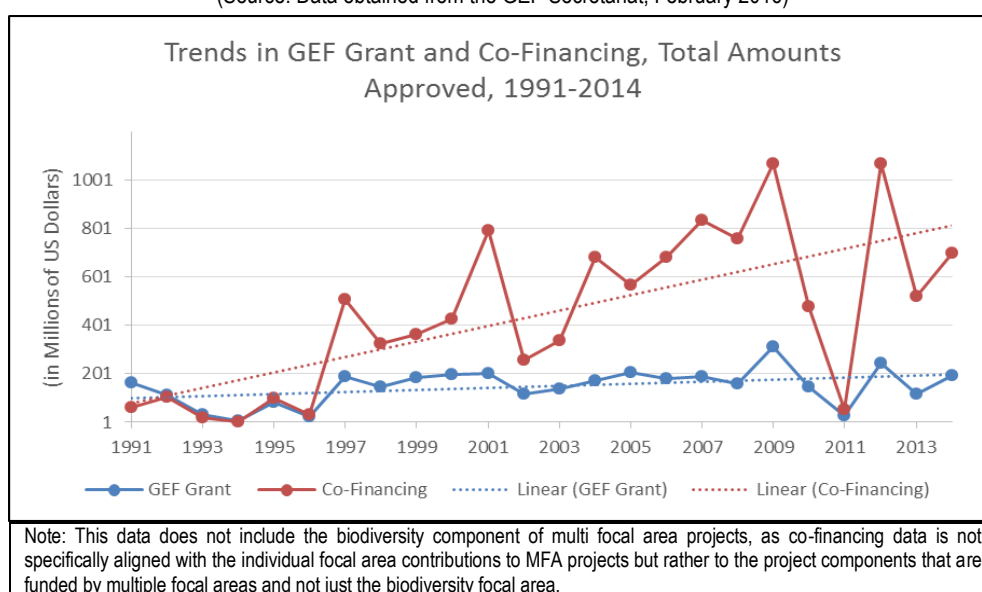
NOTE: n.a. = not applicable; BD = biodiversity; CC = climate change; IW = international waters; LD = land degradation; SFM = sustainable forest management. Data are as of September 30, 2013, and exclude SGP projects. This table disaggregates multifocal area funds and assigns them to the relevant focal areas. Only those instances where funding could not be disaggregated are presented as multifocal. Consequently, funding for multifocal projects is significantly higher than presented here. Similarly, this table also disaggregates multitrust fund figures to the relevant trust funds.

a. The GEF defines REDD+ as reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks in developing countries.

Figure 2 illustrates the trends in the GEF Trust Fund amounts approved between 1991 and 2014. Overall, the **growth of approved biodiversity funding has continuously increased** over the entire period. Since 1996, **co-financing increased significantly**. Even though both the Trust Fund and co-financing grew over the years, it is the co-financing that has substantially increased during the last two decades. As reported by the GEF to COP-12, other GEF funding also contributed to biodiversity.

**Figure 2: Total GEF Trust Fund grant and co-financing for Biodiversity without multi-focal areas**

(Source: Data obtained from the GEF Secretariat, February 2016)



### Available GEF-5 funding for biodiversity

The GEF's response to the COP 10's guidance, in particular to the guidance in Decision X/25, is contained in the *Report of the GEF to COP-11* (CBD, 2012a) for the reporting period 1 July 2010 to 30 June, 2012 - the GEF-5's first 2 years, and in the *Report of the Council of the GEF* (CBD, 2014b) for the period 1 July 2012 to 30 June, 2014 - the GEF-5's final 2 years. The COP-12 and COP-13 reports also responded to the guidance of COP-11.

Table 4 presents total funding of the GEF-5 biodiversity focal area's objectives (2010-2014). The GEF reported that at the end of GEF-5, **US\$1,057,226,380 was programmed of the US\$1.08 billion dollars allocated to the biodiversity focal area, or 98% of the total resource envelope.** Historically, countries have prioritized using their GEF allocation to advance the management of the protected area estate by considerable margins (~ 55-60% to support protected areas management versus ~35-40% to support biodiversity mainstreaming and sustainable use); however, as the table demonstrates during GEF-5 countries have pursued more balanced programming strategies between these two objectives of the biodiversity strategy. Thus, although more total resources have gone towards protected area management the results indicate that there is an **increased interest to invest in the management of biodiversity outside the protected area** estate when compared to previous phases of the GEF. This bodes well for the implementation of the Strategic Plan for Biodiversity, 2011-2020, given the importance of biodiversity mainstreaming to the achievement of many Aichi Targets (paragraphs 4 & 7 CBD, 2014b).

**Table 4: GEF-5 funding for the biodiversity focal area's objectives (2010-2014)** (Source: CBD, 2014b)

Biodiversity Focal Area Programme Objective	GEF Amount US\$	Percent of total amount programmed	Co-finance US\$
BD-1: Improve Sustainability of Protected Area Systems	489,068,947	49%	2,239,746,445
BD-2: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors	409,102,504	41%	1,862,014,386
BD-3: Building Capacity for the Implementation of the Cartagena Protocol for Biosafety	16,468,648	2%	28,680,180
BD-4: Build Capacity on Access to Genetic Resources and Benefit Sharing	47,806,233	5%	113,238,843
BD-5: Integrate CBD Obligations into National Planning Processes through Enabling Activities (NBSAPs)	30,263,908	3%	51,998,355
<b>TOTAL</b>	<b>992,710,240</b>	<b>100%</b>	<b>4,295,678,209</b>
Programming amounts do not include the agency fee as it is not possible to attribute the fee to a biodiversity strategy objective as these costs cover the entire grant amount. These tables include funding from the Nagoya Protocol Implementation Fund (NPIF) to support implementation of BD-4.			

As reported by the GEF to COP-12, other GEF funding also contributed to the CBD's Strategic Plan for Biodiversity (see Table 5): *In sum, during the reporting period, the total GEF investment in supporting implementation of the Strategic Plan for Biodiversity, 2011-2020 and the Aichi Targets, as summarized above, was \$1.2 billion, of which 40% came from the biodiversity focal area.* The GEF resources leveraged an additional \$5.2 billion in co-financing, resulting in a grand total of \$6.4 billion. This represents a co-financing ratio of 1 (GEF): 4 (co-financing) (CBD, 2014b, paragraph 18).

**Table 5. Overall GEF-5 funding contributing to the achievement of CBD's Strategic Plan for Biodiversity 2011-2020 and Aichi Targets, FY 2012-2014** (Source: CBD, 2014b, paragraph 18)

Thematic Area	# of Projects	GEF grant US\$	Co-finance US\$	Total US\$	% of GEF total funding contributions towards implementation of the Strategic Plan
Biodiversity Focal Area	167	483 million	1.7 billion	2.2 billion	41%
SFM-REDD+	34	194 million	865 million	1.1 billion	17%
GEF Small Grants Programme	1,277	43 million	45 million	88 million	4%
Special Climate Change Fund (SCCF)	7	44 million	225 million	269 million	4%
Least Developed Countries Fund (LDCF)	25	173 million	626 million	799 million	14%
International Waters Focal Area	23	196 million	1.6 billion	1.7 billion	17%
Land Degradation Focal Area	18	40 million	173 million	212 million	3%
<b>Totals</b>	<b>1,610</b>	<b>~1.2 billion</b>	<b>~5.2 billion</b>	<b>~6.4 billion</b>	<b>100%</b>

#### **GEF-6 funding and available country STAR allocation**

In May 2014, the GEF Council adopted the *Proposal for the System of Transparent Allocation of Resources (STAR) for GEF-6*, which describes the application of the STAR allocation system. To determine the indicative STAR allocations for GEF-6 (GEF, 2014c), the STAR model has been run for a total replenishment level of US\$4.433 billion. In accordance with the replenishment agreement, the GEF-6 envelopes for the three focal areas covered by the STAR are US\$1.296 billion for Biodiversity, US\$1.260 billion for Climate Change and US\$431 million for Land Degradation.

With **US\$1.296 billion** allocated to the biodiversity focal area for the 2014-2018 period, biodiversity is the largest single focal area in the GEF-6 based on resources allocated. The sustainable forest management programme (US\$250 million) and integrated approaches, 'Taking Deforestation out of Commodity Supply Chains' (US\$45 million) and 'Fostering Sustainability and Resilience for Food Security in Africa' (US\$60 million) are also directly relevant to the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets. Biodiversity-relevant objectives and programmes can be found in the International Waters and Land Degradation Strategies (GEF, 2014d; CBD, 2014a). After adjusting for focal area set-asides, the amount available for **country STAR allocation for biodiversity is US\$1.051 billion for 2014-2018** (GEF, 2014c; see Annex Table C).

The GEF reported in the GEF-6 Focal Areas Programming Directions document that *the guidance to the GEF from COP-11 covering GEF-6 (2014-2018) directed the GEF to support the implementation of the Strategic Plan for Biodiversity 2011-2020, including the new Strategic Plan for biosafety and the first set of guidance provided to the GEF from the Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol on Access and Benefit sharing (ICNP)* (GEF, 2014d, page 16). However, the COP did not prioritize the elements of the Strategic Plan or the Aichi Targets that GEF should support during GEF-6. Furthermore, the GEF translated the COP-11 guidance into **ten Biodiversity Focal Area thematic programs** (see Table 6).

**Table 6. Biodiversity Focal Area objectives and programming targets per programme for GEF-6**

(Source: GEF, 2014d)

Focal Area Objective	Focal Area Programs	GEF-6 Programming Targets (\$ million)
Objective One: Improve sustainability of protected area systems	Program 1: Improving Financial Sustainability and Effective Management of the National Ecological Infrastructure	125
	Program 2: Nature's Last Stand: Expanding the Reach of the Global Protected Area Estate	125
Objective Two: Reduce threats to globally significant biodiversity	Program 3: Preventing the Extinction of Known Threatened Species	80
	Program 4: Prevention, Control and Management of Invasive Alien Species	50
	Program 5: Implementing the Cartagena Protocol on Biosafety (CPB)	30
Objective Three: Sustainably use biodiversity	Program 6: Ridge to Reef+: Maintaining Integrity and Function of Coral Reef Ecosystems	100
	Program 7: Securing Agriculture's Future: Sustainable Use of Plant and Animal Genetic Resources	75
	Program 8: Implement the Nagoya Protocol on ABS	50
Objective Four: Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and sectors	Program 9: Managing the Human - Biodiversity Interface	338
	Program 10: Integration of Biodiversity and Ecosystem Services into Development & Finance Planning	78
Focal Area Set- Aside (Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program)		245
<b>Total Biodiversity</b>		<b>1,296</b>

The Report of the Council of the Global Environment Facility to COP-13 for the period 1 July 2014 to 30 June 2016 was posted on 28 September 2016 ([UNEP/CBD/COP/13/12/Add.1](#), CBD, 2016e). The two tables below from the GEF report show:

(i) A summary of resource usage from the biodiversity focal area: *As of July 1, 2016, \$454.9 million (43%) of the total resources allocated to STAR biodiversity country allocations (US\$1.051 billion) have been programmed, as shown in Table 1. The total amount of GEF biodiversity resources programmed to implement projects and programs was \$619 million or about 48% of the total resources allocated to the biodiversity focal area during GEF-6 (US\$1.296 billion) (Table 1 from the GEF report).*

(ii) A summary of all contributions to achieving the Aichi Biodiversity Targets through various funding streams during GEF-6: *In sum, \$901 million of GEF resources have leveraged \$4.8 billion of co-financing; a ratio of 1:5. This has resulted in a grand total of \$5.7 billion being invested towards the implementation of the Strategic Plan and achieving the Aichi Biodiversity Targets in the first two years of GEF-6 (Table 3 from the GEF report).*

## ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7

Biodiversity Focal Area	GEF-6 Programming Targets (\$ million)	GEF-6 Programming (\$ million)	GEF-6 Programming (%)
STAR Country Allocations	1,051	454.9	43
STAR Set-aside			
Biodiversity Focal Area Set Aside	50	13.9	28
Convention obligations	13	5.0	38
Global and Regional Biodiversity Projects and Programs	37	8.9	24
Integrated Approach Program Set-asides	45	45	100
Taking Deforestation out of the Commodities Supply Chain	35	35	100
Fostering Sustainability and Resilience of Production Systems in Africa	10	10	100
Sustainable Forest Management Set-aside <sup>2</sup>	150	105	70
Total STAR Set-aside	245	163.9	67
Total Resources	1,296	619	48

Funding Source	GEF grant (\$ million)	% of GEF total grant funding contributions	Cofinancing (\$ million)	% of co-financing contributions	Total (GEF grant and cofinancing) (\$ million)	% of total (GEF grant and cofinancing)
Biodiversity Focal Area STAR allocations	419.67	47%	2296	47%	2715.67	47%
SFM Program	174.4	19%	877.4	18%	1051.8	18%
Climate Change Mitigation	76.4	8%	486.6	10%	563	10%
International Waters Focal Area	54.6	6%	418.9	9%	473.5	8%
Integrated Approach Pilot (Commodity Supply Chains)	40.3	4%	443.2	9%	483.5	8%
Non-grant instrument Pilot	16	2%	83.49	2%	99.49	2%
Least Developed Countries Fund	83.9	9%	248.5	5%	332.4	6%
Small Grants Programme	35.96	4%	350	1%	70.96	1%
Totals	901.23		4889.09		5790.32	

### Co-financing

While developing a project, the GEF Secretariat, implementing agencies, and recipient country aim to mobilise co-financing to complement GEF's Trust Fund grant. In practice, the GEF as a *facility* seeks to leverage the maximum amount possible (see Figure 2).

The OPS5 report (GEF IEO, 2014) presents the median co-financing ratios for GEF projects across all GEF replenishment periods (see Table 7). **The median co-financing ratio from GEF-1 to GEF-5 is 2:1.** Over time, the co-financing ratio increased from **0.3 in the pilot phase to more than 4 in GEF-5.**

In order not to create unnecessary barriers and costs for eligible countries to access GEF funds, COP-11 called upon the GEF to further clarify the **concept and application of co-financing for biodiversity projects** (decision [XI/5](#), paragraph 5). Subsequently, the GEF Council approved an updated Co-financing Policy ([FI/PL/01](#)) in 2014. **The average co-financing ratio of GEF-5 projects is around 4 (co-financing) to 1 (GEF),** as reported by the GEF to COP-12 in 2014. As reported by the GEF to COP-13, in the first 24 months of GEF-6, all contributions to achieving the Aichi Biodiversity Targets through various funding streams resulted in a **co-financing ratio of 5:1** (see Table 3 from GEF report above and UNEP/CBD/COP/13/12/Add.1, CBD, 2016e). The total amounts and resulting ratio for a certain project stem from negotiations and agreements reached by project stakeholders.

**Table 7: Median co-financing ratios by focal area across replenishment periods** (Source: GEF IEO, 2014)

FOCAL AREA/MODALITY	PILOT	GEF-1	GEF-2	GEF-3	GEF-4	GEF-5 <sup>a</sup>
Biodiversity	0.3	1.0	1.3	1.8	2.3	4.3
Climate change	0.9	1.7	2.1	3.5	3.8	5.2
International waters	0.3	1.0	1.2	1.9	3.1	5.8
Land degradation	n.a.	n.a.	n.a.	3.0	3.0	4.5
Ozone depletion	0.4	0.6	0.1	0.7	0.7	2.3
POPs	n.a.	n.a.	1.0	1.1	2.0	4.0
Multifocal	0.3	1.1	1.0	1.6	2.7	3.4
LDCF	n.a.	n.a.	n.a.	0.4	2.3	3.9
SCCF	n.a.	n.a.	n.a.	1.7	3.5	7.1
NPIF	n.a.	n.a.	n.a.	n.a.	n.a.	2.4

NOTE: n.a. = not applicable.  
a. As of June 30, 2013.

## 2.3. PERFORMANCE OF THE GEF

As requested by paragraph 3 g) of the ToR, the assessment should take into account the *experience to date, including limitations and successes of projects funded by the Global Environment Facility, as well as the performance of the Facility and its implementing and executing agencies.*

In order to further improve the effectiveness of the financial mechanism CBD COP-12 requested the GEF to take the following actions (CBD, 2014d, paragraph 8):

- a. *Enhance its catalytic role in mobilizing new and additional financial resources while not compromising project goals;*
- b. *In collaboration with the Global Environment Facility agencies and Parties, continue to streamline the project cycle as suggested by the Independent Evaluation Office of the Global Environment Facility in the fifth Overall Performance Study;*
- c. *Coordinate with the Secretariat of the Convention on Biological Diversity on how to better measure progress in achieving the Aichi Biodiversity Targets by initiatives supported by the Global Environment Facility, taking into account the agreed GEF-6 portfolio-level indicators.*

### GEF's overall performance

Comprehensive evaluations of the Facility's overall performance have been undertaken for every replenishment cycle to inform the next replenishment cycle. GEF's Independent Evaluation Office carried out the last two performance reports (OPSs). In the recent Fifth Overall Performance Study, the evaluation's focus shifted towards impact issues to answer the question: *Is the GEF making a difference in the world?* (GEF IEO, 2014).

Current evaluations include both a **performance and institutional perspective and an effectiveness and impact perspective**. OPS5 noted that *the GEF has a catalytic role in supporting countries in meeting their obligations to multilateral environmental agreements and in tackling global environmental problems.* Furthermore, OPS5 concluded that *the intervention model of the GEF works, is effective, and has impact.*

OPS5 also reported on the **GEF agencies' shares** with the United Nations Development Programme (UNDP) disbursing 40% of the funding across the replenishments, followed by the World Bank with 38% and the United Nations Environment Programme (UNEP) with 10% (Table 1.6, page 6 GEF IEO, 2014). In GEF-4, a major shift in the funding shares among agencies occurred as a result of new agencies becoming visible in GEF projects (GEF IEO, 2014, page 2).

Across all replenishment cycles, **Asia** received 27% of GEF-5 resources, followed by **Africa** with 24%, and **LAC** with 20% (see Table 8). It was reported that *compared to GEF-4, funding to fragile countries has nearly doubled, while funding to small island developing states has increased by 63 percent and that to landlocked countries by 17 percent* (GEF IEO, 2014, page 2-3).

**Table 8: GEF funding by region** (Source: Table 1.7 GEF IEO, 2014)

REGION	PILOT		GEF-1		GEF-2		GEF-3		GEF-4		GEF-5		TOTAL	
	M\$	%	M\$	%	M\$	%	M\$	%	M\$	%	M\$	%	M\$	%
Africa	118	18	192	19	350	19	813	27	767	25	943	27	3,183	24
Asia	228	35	273	26	425	23	639	22	890	30	1,043	30	3,498	27
ECA	58	9	237	23	239	13	367	12	322	11	356	10	1,579	12
LAC	153	23	141	14	477	26	560	19	607	20	655	19	2,593	20
Interregional/ global	106	16	193	19	327	18	597	20	436	14	510	15	2,169	17
Total	662	100	1,037	100	1,818	100	2,977	100	3,021	100	3,506	100	13,022	100

NOTE: ECA = Europe and Central Asia; LAC = Latin America and the Caribbean. Data are as of September 30, 2013, and include all trust funds.

OPS5 also explored the GEF's **business model** in order to identify where problems are emerging in various processes so that they may be solved, thus strengthening the intervention model of the GEF. The GEF's



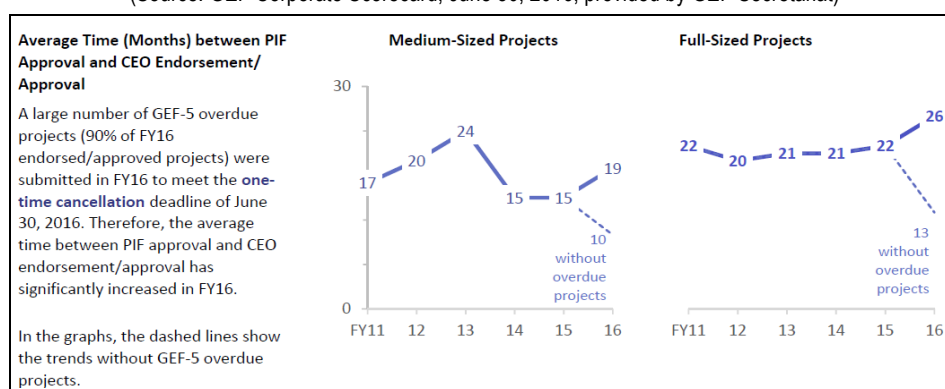
partnership and network nature are also included in the report. OPS5 recommended that the GEF's business model needs a major overhaul in the GEF-6 period (GEF IEO, 2014, page 12).

In particular, OPS5 found "considerable delays entailed in moving project proposals from one GEF decision point to the next..." Speeding up the preparation time of projects is a particularly important issue given opportunity cost of funds remaining unused. The document "Improving the GEF Project Cycle" presented to the 47<sup>th</sup> GEF Council meeting in October 2014 stated that *as of September 16, 2014, 84 projects (including both Full Sized Projects and Medium Sized Projects), representing a total of \$460 million of approved Project Identification Form (PIFs) are overdue for CEO endorsement and approval – this is a significant amount of funding that is therefore unavailable for programming elsewhere* (GEF, 2014a). Therefore, the GEF Council adopted a defined project cancellation threshold to meet the GEF Council target of a maximum of 18 months for full-sized projects and updated GEF's Project Cancellation Policy that builds on the existing policy that was approved by Council in December 2006. STAR resources for projects cancelled within a replenishment period where the PIF was approved will be reassigned to the country's allocation and will be available for reprogramming of projects (GEF, 2014a).

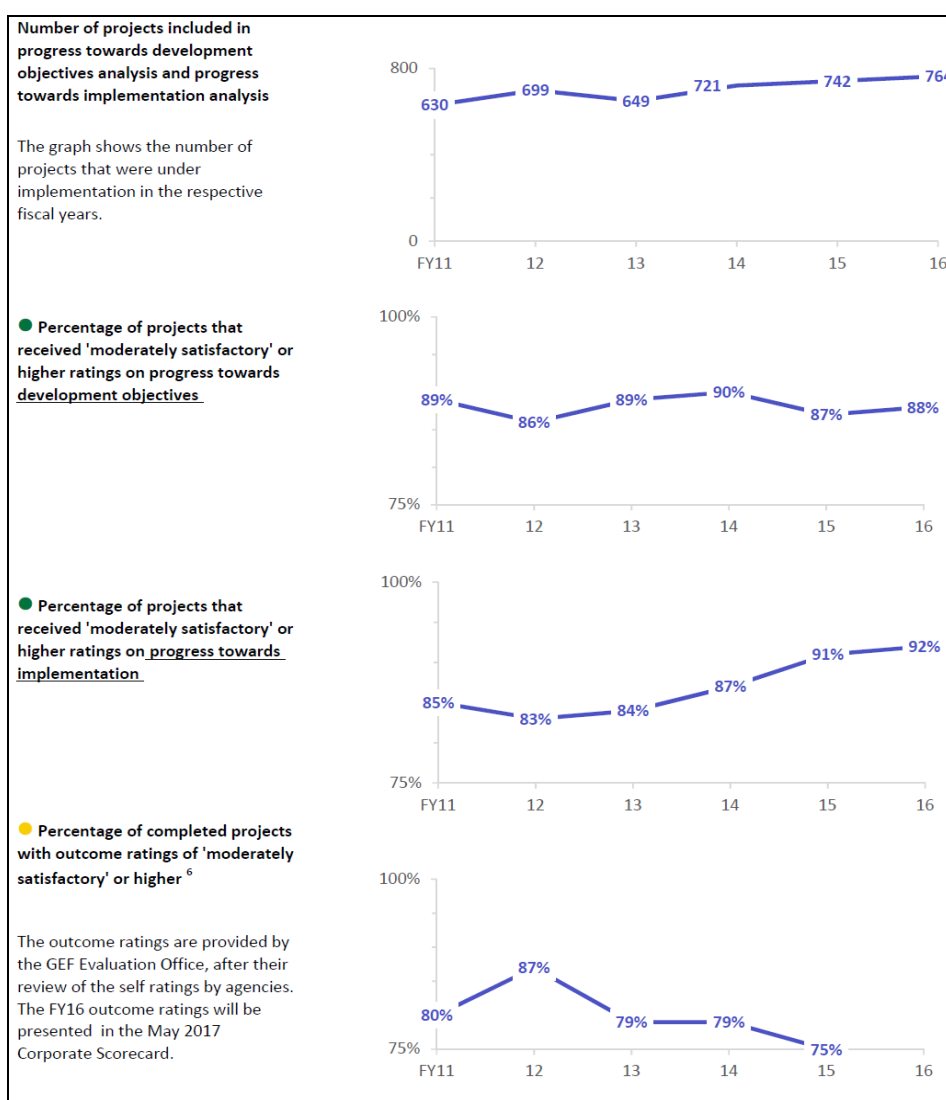
The GEF Corporate Scorecard, which will be presented to the 51<sup>st</sup> GEF Council in October 2016, shows the evolution of the project cycle's effectiveness and the results driven implementation (see Figure 3).

**Figure 3: GEF's project cycle effectiveness and results driven implementation**

(Source: GEF Corporate Scorecard, June 30, 2016, provided by GEF Secretariat)







In terms of **stakeholder involvement**, the GEF Scorecard states: *Amongst the 29 full sized projects that were GEF CEO endorsed since the start of GEF-6, eight projects have **involved indigenous peoples**. The total GEF grant towards these 8 projects is US\$107.7 million. The degree of indigenous peoples' involvement in GEF projects differs from one project to another depending on the thematic and geographical focus, e.g. some project sites do not have a population of indigenous peoples. Amongst the 29 full sized projects that were GEF CEO endorsed since the start of GEF-6, eight projects have involved indigenous peoples. The total GEF grant towards these 8 projects is US\$107.7 million. The degree of indigenous peoples' involvement in GEF projects differs from one project to another depending on the thematic and geographical focus, e.g. some project sites do not have a population of indigenous peoples. All of the 29 full sized projects **involved civil society organizations (CSOs)** (GEF Corporate Scorecard, June 30, 2016).*

A GEF analysis based on a review of 151 project reports that were submitted by GEF Agencies in FY15 revealed that 36 of these projects involved Indigenous Peoples. The total GEF grant towards these 36 projects is US\$228 million. The GEF noted that there has been a positive trend overall (i.e. increasing percentage of portfolio) of GEF projects that involve Indigenous Peoples over the past years (GEF Corporate Scorecard, June 30, 2016).

### Limitations and successes of projects funded by GEF

GEF's report to CBD COP-12 provides **portfolio monitoring results** and key findings of the GEF Independent Evaluation Office: *GEF's corporate goal is to have at least 75% of projects achieving ratings of moderately satisfactory or higher. Within the biodiversity portfolio of 198 projects that are currently under implementation, 91% of projects are achieving their global environment objectives at a rating of moderately satisfactory (MS) or higher, with 61% of the total achieving ratings of Satisfactory or Highly Satisfactory. In terms of implementation progress, 85% of projects are achieving implementation progress ratings of MS or higher, with 54% of the total achieving ratings of Satisfactory or Highly Satisfactory (CBD, 2014b, paragraph 19).*

As of 30 September 2013, the GEF Trust Fund had financed 3,349 projects, 1,221 or **36 percent of which were carried out in the Biodiversity Focal Area and 6 percent in the International Waters Focal Area**. Multifocal area projects, which address global environmental concerns that are relevant to more than one GEF focal area, amount to 14 percent (GEF IEO, 2014, page 2, Table 1.2).

Biodiversity and land degradation focal areas are most often involved in GEF multifocal projects (see Table 9). The increasing trend toward multifocal area projects and programs has accelerated during GEF-5. As of the end of 2013, **multifocal projects** (including multi-trust fund projects) **accounted for 42 percent** of the utilized GEF-5 programming as reported by the GEF to COP-12.

**Table 9: GEF multifocal area projects by focal area funding** (Source Table 1.3 GEF IEO, 2014)

FOCAL AREA	GEF-3	GEF-4	GEF-5
Biodiversity	5	48	85
Climate change	3	36	66
International waters	3	19	18
Land degradation	6	46	70
ODS	0	1	0
POPs	0	2	5
Sustainable forest management (SFM)/REDD+ <sup>a</sup>	n.a.	n.a.	65
Capacity-building and/or enabling activities	144	44	47
Multifocal area <sup>b</sup>	39	n.a.	n.a.
Total	191	104	159

NOTE: n.a. = not applicable. Data are for GEF Trust Fund projects as of September 30, 2013, and exclude SGP projects.

a. The GEF defines REDD+ as reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks in developing countries.

b. In GEF-3, some multifocal area projects were not yet disaggregated by focal area.

At the 49<sup>th</sup> GEF Council meeting in October 2015, the GEF Independent Evaluation Office (IEO) presented an evaluation, which assesses the impact of **GEF investments in non-marine protected areas (PAs) and PA systems on biodiversity conservation and sustainable use** (GEF, 2015b). The evaluation reached the following conclusions:

**Conclusion 1:** Loss of global biodiversity continues at an alarming rate, driven largely by habitat loss due to multiple development pressures. Since the pilot phase, GEF strategies have increasingly targeted these development pressures beyond the PAs.

**Conclusion 2:** GEF support is contributing to biodiversity conservation by helping to lower habitat loss in PAs as indicated by less forest cover loss in GEF-supported PAs compared to PAs not supported by GEF. GEF-supported PAs also generally show positive trends in species populations, and reduced pressures to biodiversity at the site level.

**Conclusion 3:** GEF support has helped to build capacities that address key factors affecting biodiversity conservation in PAs, mainly in the areas of PA management, support from local populations, and sustainable financing. Sustainable financing of PAs remains a concern.

**Conclusion 4:** GEF support is contributing to large-scale change in biodiversity governance in countries by investing in PA systems, including legal frameworks that increase community engagement. Through interventions at the PA level, GEF support is also helping catalyze gradual changes in governance and management approaches that help to reduce biodiversity degradation.

**Conclusion 5:** *While sharing important characteristics with governments and other donors, GEF support allows adaptability and higher likelihood of broader adoption in cases where it pays particular attention to three key elements in combination: long-term investment, financial sustainability, and creation of links across multiple approaches, stakeholders and scales.*

(Source: GEF, 2015b)

Regarding the success of resource programming, the GEF reported that *at the end of GEF-5, US\$1,057,226,380 was programmed of the US\$1.08 billion dollars allocated to the biodiversity focal area, or 98% of the total resource envelope* (CBD, 2014b, paragraph 4 & 7). Some countries did not make use of their full allocation.

According to a new report, to date **more than 1,300 projects** in the biodiversity realm have been supported since the GEF Pilot Phase (GEF, 2015a).

### 3. TAKING STOCK OF INFORMATION ON FUNDING NEEDS

Chapter 3 compiles information and data on funding needs from Parties and other sources as requested by the ToR.

#### 3.1. FUNDING NEEDS REPORTED BY PARTIES

This chapter responds to paragraphs 5(a), 5(b), 5(e), and 5(f) of the ToR. The Expert Team analysed the information contained in **National Reports, NBSAPs, Financial Reports, Resource Mobilization Strategies**, and other documents with potential information and data on funding needs. Since the guidance to the financial mechanism is based on the decisions agreed upon at COP-10, COP-11, and COP-12 (see 2.1), national funding data was included in the Expert Team's analysis if it covered 2010 or thereafter.

Funding information and data found in the countries' reports and strategies include **expenditure or national budgets**, which were recorded over a time span or specific years. The Expert Team attempted to utilize this data as the basis for extrapolating funding needs for 2018-2022. However, this information could not be used because the amounts are not comparable due to the following:

- Aggregate figures provide overall expenditure from various sources.
- They only encompass certain years or a time span of different years.
- They include different thematic areas.
- Amounts provided may or may not include operational costs.
- Amounts provided may include cost of activities or projects not be eligible for GEF funding, because they do not generate global environmental benefits.
- Amounts are related to current or past activities, which may differ from future activities during 2018-2022.

Given that data from reports could not be used, the Expert Team relied on the **responses from Parties to the questionnaire** designed as requested in paragraph 11 of the ToR.

The Expert Team also looked into **additional information** and data from UNDP's BIOFIN project and the Global Monitoring Report.

##### 3.1.1. NATIONAL REPORTS

The CBD Secretariat posted extracted funding information from [National Reports](#) for country groups on the needs assessment [website](#) in 2015. The Expert Team considered the latest versions of National Reports submitted by Parties until 17 September 2016.

Most countries reported only generic qualitative information on resource matters regarding Target 20 of CBD's Strategic Plan 2011-2020. Related to funding, the information and data included in National Reports is generally very sparse and most countries did not provide comprehensive or explicit funding information. Some countries included figures that are also reported in other submissions. Nine countries included funding information on expenditures in their National Reports. The results are presented in Annex Table D.

### 3.1.2. NATIONAL BIODIVERSITY STRATEGIES AND ACTION PLANS

The CBD Secretariat posted extracted funding information from [NBSAPs](#) for country groups on the needs assessment [website](#) in 2015 and the Expert Team scrutinized the latest versions of NBSAPs submitted by Parties until 17 September 2016.

More funding information and data are included in NBSAPs than in National Reports. However, most of the strategies did not include comprehensive or explicit funding data. Some countries reported expenditures prior to 2010 and data on funding until 2020. Only 8 countries covered the 2018-2022 period in their funding information, which was considered too small a sample and was therefore not used in the overall needs assessment. The pertinent information is presented in Annex Table E.

### 3.1.3. FINANCIAL REPORTS AND RESOURCE MOBILIZATION STRATEGIES

In support of achieving the Convention's objectives and implementing Articles 20 and 21, the Strategy for Resource Mobilization was adopted by COP-9. The Strategy's first goal is to *"improve the existing financial information base through enhancing accuracy, consistency and delivery of existing data and **improved reporting on funding needs** and shortfalls for the Convention's three objectives (CBD, 2008).*

In COP-11's decision on the review of implementation of the strategy for resource mobilization paragraph 25 requested Parties *to improve existing financial information ... on biodiversity financing and improving **reporting on funding needs** and shortfalls; and encourages Parties to integrate national resource mobilization strategies, including existing **needs assessments**, into the decision-making process on their funding targets in order to address the funding gap as soon as possible, and to develop, as appropriate, country-specific resource mobilization strategies, **including assessment of resource needs**, as part of their updated national biodiversity strategies and action plans, as a matter of priority (CBD, 2012b).*

COP-12 also reviewed the Strategy's implementation and adopted targets for resource mobilization, including to strive for 100 percent but at least 75 percent of Parties to **report on funding needs**, gaps, and priorities, and to prepare national finance plans by 2015 (CBD, 2014c). In addition, COP-12 adopted a revised financial reporting framework (paragraph 24), where Parties could inter alia indicate their **annual estimated funding need** (based on their revised NBSAP for instance). SBI-1 urged Parties that had not yet done so to report using the financial reporting framework where feasible by 31 August 2016 (UNEP/CBD/SBI/REC/1/6, CBD, 2016f).

The Expert Team looked into Parties' [Resource Mobilization Strategies](#) and [financial reporting submissions](#) until 17 September 2016. In general, very limited information on funding needs was provided in these reports and only 33 Parties made submissions by the requested deadline of 31 August 2016 (see Annex Table F).

Of the data included in the 33 countries' financial reports:

- 15 countries did not report on funding needs for the period after 2018.
- 17 countries reported on funding needs for 2018, 2019, and 2020 (Burundi only for 2018, Serbia referred to the questionnaire).
- 1 country commented with explicit reference to the GEF-7 needs assessment.

### 3.1.4. NATIONAL IMPLEMENTATION OF THE CONVENTION AND ITS PROTOCOLS

This chapter looks into the request of the ToR paragraph 5 (e) *Additional funding needs for the period July 2018 to June 2022 arising out of the national implementation of the Strategic Plan for Biodiversity 2011-2020.*

Since most developing countries' reports and strategies take the Strategic Plan for Biodiversity 2011-2020 and its implementation into consideration, additional information on funding needs was not reported. Nonetheless, the Expert Team analysed the **Global Monitoring Report** on the Implementation of the Strategy for Resource Mobilization (CBD, 2014a). In the strategy for resource mobilization (Decision IX/11), the COP decided that the Executive Secretary should prepare periodic global monitoring reports on the implementation of the strategy for resource mobilization that provides essential information on the status and trends in biodiversity financing (CBD, 2014a). A new draft of the Global Monitoring Report was prepared for SBI-1 in May 2016. The first three sections

provide essential information on the status and trends in international financial resource flows to biodiversity (UNEP/CBD/SBI/1/INF/46, CBD, 2016g). The information and data contained therein basically describe funding that has been made **available** through various sources but not on funding needs.

### 3.1.5. SUPPLEMENTARY INFORMATION BY PARTIES

In this chapter, any supplementary information provided by Parties on their funding needs was compiled and analysed according to the ToR's paragraph 5 (f).

The expert team reached out to UNDP's Biodiversity Finance Initiative ([BIOFIN](#)) for information and data on the BIOFIN partner countries' funding needs. Currently, there are 30 countries where BIOFIN is implemented or where discussions to implement BIOFIN are ongoing. These include: Belize, Brazil, Botswana, Bhutan, Chile, Colombia, Costa Rica, Cuba, Ecuador, Fiji, Georgia, Guatemala, India, Indonesia, Kazakhstan, Kyrgyzstan, Malaysia, Mexico, Mongolia, Mozambique, Peru, Philippines, Rwanda, Seychelles, South Africa, Sri Lanka, Thailand, Uganda, Vietnam, and Zambia. BIOFIN supports governments in reviewing policies and institutions relevant for biodiversity finance, determining baseline investments, assessing the costs of implementing National Biodiversity Strategies and Action Plans (NBSAPs), and quantifying the biodiversity finance gap.

As many countries are still at early stages in identifying their funding gaps, including their funding needs, and developing their resource mobilization strategies, suitable information for the needs assessment was not directly accessible. However, some BIOFIN partner countries provided relevant data on funding needs through their questionnaire.

### 3.1.6. QUESTIONNAIRE TO GEF RECIPIENT COUNTRIES

Pursuant to paragraph 10 of the ToR, the Expert Team designed a questionnaire requesting data and information on GEF funding needs for the period of July 2018 to June 2022 and circulated it to all Parties of the Convention. The questionnaire, including the guidance on how to complete the questionnaire was made available in English, French, and Spanish through the CBD [website](#). A Q&A on the approach and process was also published on the website.

Although the questionnaire was circulated to all Parties of the Convention, only information and data received from the 143 GEF-6 recipient countries has been included in the assessment. The countries were required to submit information on potential project concepts and data on:

- Estimated total project costs.
- Expected funding from the national government.
- Expected funding from other external sources.
- Expected funding from GEF-7, based on incremental cost reasoning.

The information requested on potential GEF-7 strategic approaches should be in line with countries' national biodiversity strategy and action plan (NBSAP) or national priorities and linked with other conventions. The in-depth analysis of the provided information and data is contained in chapter 4 of this report.

The questionnaire requested the same set of information and data for planned, but not yet approved GEF-6 projects and on already approved GEF-6 projects in order to compare country specific available funding with funding needs where applicable.

By 25 September 2016, **60 countries, or 42 percent**, from the 143 GEF recipient countries responded and provided their questionnaires: **26 countries from Africa, 15 from the Asia and Pacific region, 12 from Latin America and the Caribbean, and 7 from Eastern Europe**. Parties submitted the questionnaire to the CBD Secretariat who then posted them on the CBD [website](#). The Expert Team reviewed the questionnaires for comprehensiveness, plausibility, and consistency. If inconsistencies were discovered, the Expert Team reached out to the countries' focal point to seek clarification.



Several countries (Mexico, Colombia, Rwanda, Kyrgyzstan, South Africa) submitted the questionnaire, but did not include any financial figures. The pertinent data and information from countries' responses is compiled in Table 10.

#### **Total funding costs for potential project concepts 2018-2022**

The questionnaire requested funding needs for project concepts, ideas, and proposals. These intended, nationally determined GEF-7 related projects only needed to be indicative in nature. While they should be linked to the Strategic Plan and Aichi Targets, country-specific National Biodiversity Strategies and Action Plans (NBSAPs) or Resource Mobilization Strategies, they did not necessarily need to be fully elaborated.

For the sake of this analysis, every project concept in the field of biodiversity under the goals of the CBD and its Protocols (see Table 1 for codes) that countries put forward **was considered eligible for GEF funding**. However, the decision whether a project idea is ultimately supported with GEF funds is taken pursuant to interactions and deliberations between the submitting country as well as the GEF Secretariat and partners during GEF-7. **There is thus no causal link between the indicative funding needs provided in the questionnaire and the eventual GEF-7 allocations that will be provided to individual countries further to the GEF-7 replenishment.**

The indicative expected total cost of the 200 project concepts submitted by the 60 countries provided by 25 September 2016 totals **US\$8.329 billion**.

#### **Expected co-financing from governments and external sources**

The questionnaire required information on expected co-financing amounts from governmental and external sources. The 60 countries that responded reported an overall co-financing amount of about **US\$5.938 billion**, which covers around **72 percent of the total estimated project costs**. Countries estimate about **US\$4.550 billion** from governmental sources (55 percent of total estimated project costs) and about **US\$1.388 billion** from non-governmental external sources (17 percent of total estimated project costs).

#### **Expected funding from GEF-7**

The expected funding from GEF-7 should be based on the *Operational Guidelines for the Application of the Incremental Cost Principle* as described in chapter 1.4 (GEF, 2007). The Expert Team assumed that countries carefully considered these operational guidelines to calculate the expected funding from the GEF for the 7<sup>th</sup> replenishment period 2018-2022.

The 60 countries that responded expect about **US\$2.739 billion** from the GEF, which is **33 percent of the total estimated project costs**. The **ratio of co-financing** from governments and external sources to GEF's expected contribution would thus be **2:1**.

**Table 10: Country-specific responses through the questionnaires**

<b>Funding needs for the GEF-7 period (7/2018 - 6/2022) as reported by 60 countries</b>						
(in million US\$ as of 25 September 2016)						
<b>Country</b>	<b>Estimated total project costs</b>	<b>Expected funding from the government</b>	<b>Expected funding from other external sources</b>	<b>Expected funding from GEF-7</b>	<b>GEF-6 BD STAR allocation</b>	<b>Funding Needs Rate of Increase from GEF-6 to GEF-7</b>
Afghanistan					3.91	
Albania	5.00	3.00	0.00	2.00	1.50	1.33
Algeria					4.09	
Angola					6.60	
Antigua and Barbuda					1.50	
Argentina					14.76	
Armenia	2.40	0.00	0.40	2.00	1.50	1.33
Azerbaijan					1.50	



**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

Bahamas					4.18	
Bangladesh					2.00	
Barbados	74.40	7.40	0.00	67.00	1.50	44.67
Belarus	18.00	10.00	3.00	5.00	1.50	3.33
Belize					2.86	
Benin	11.00	4.50	1.00	5.50	2.00	2.75
Bhutan					2.02	
Bolivia					12.27	
Bosnia and Herzegovina	13.00	2.60	0.00	10.40	1.50	6.93
Botswana	13.10	55.00	17.25	14.06	2.02	6.96
Brazil	390.00	398.00	95.50	83.00	70.07	1.18
Burkina Faso					2.00	
Burundi					2.00	
Cabo Verde					3.41	
Cambodia					4.29	
Cameroon	40.20	20.85	6.35	13.00	12.08	1.07
Central African Republic					2.28	
Chad					2.38	
Chile					18.06	
China	1,361.92	711.16	83.70	557.07	58.55	9.51
Colombia	0.00	0.00	0.00	0.00	39.33	1.00
Comoros					2.62	
Congo					3.94	
Cook Islands					2.17	
Costa Rica	60.00	45.00	0.00	15.00	11.60	1.29
Cote d'Ivoire					4.19	
Cuba	286.95	196.20	0.00	90.75	11.92	7.61
D.R Congo	329.80	32.00	84.61	213.19	16.38	13.02
Djibouti					2.00	
Dominica					1.50	
Dominican Rep					6.54	
Ecuador	208.80	89.50	42.90	76.40	25.90	2.95
Egypt	57.00	20.00	23.50	13.50	4.45	3.03
El Salvador					1.51	
Equatorial Guinea					2.00	
Eritrea	110.14	55.07	0.00	55.07	2.00	
Ethiopia	13.26	3.27	0.00	9.99	10.56	1.00
Fiji					4.94	
Gabon					3.81	
Gambia					2.00	
Georgia	3.40	0.67	0.00	2.73	1.50	1.82
Ghana	35.20	1.11	0.30	33.79	3.19	10.59
Grenada					1.50	
Guatemala	57.00	26.50	16.50	24.00	7.01	3.42
Guinea	248.85	12.44	0.00	236.41	3.10	76.13
Guinea Bissau	3.72	0.00	0.00	3.72	2.00	1.86
Guyana					3.06	
Haiti	24.00	13.00	11.00	0.00	4.97	1.00
Honduras					8.13	
India	491.00	386.00	0.00	105.00	36.87	2.85

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

Indonesia	1,232.40	948.00	47.40	<b>237.00</b>	57.84	<b>4.10</b>
Iran	58.50	42.50	0.00	<b>16.00</b>	4.79	<b>3.34</b>
Iraq	2.70	3.40	0.90	<b>4.40</b>	1.50	<b>2.93</b>
Jamaica					4.79	
Jordan					1.50	
Kazakhstan					5.04	
Kenya					10.28	
Kiribati					2.00	
Kyrgyzstan	0.00	0.00	0.00	<b>0.00</b>	1.56	<b>1.00</b>
Lao					6.87	
Lebanon	50.40	9.30	27.50	<b>13.60</b>	1.50	<b>9.07</b>
Lesotho					2.00	
Liberia					3.43	
Libyan Arab					1.50	
Macedonia					1.50	
Madagascar	362.88	65.31	206.81	<b>90.72</b>	24.54	<b>3.70</b>
Malawi	32.50	4.70	11.30	<b>12.90</b>	5.32	<b>2.42</b>
Malaysia					14.92	
Maldives	35.00	6.50	10.00	<b>17.50</b>	2.66	<b>6.58</b>
Mali					2.10	
Marshall Islands					2.08	
Mauritania	3.00	1.00	0.00	<b>2.00</b>	2.00	<b>1.00</b>
Mauritius					5.41	
Mexico	0.00	0.00	0.00	<b>0.00</b>	54.92	<b>1.00</b>
Micronesia					3.82	
Mongolia					5.09	
Montenegro					1.50	
Morocco	5.55	2.20	0.90	<b>2.45</b>	4.90	<b>1.00</b>
Mozambique	43.60	4.20	9.00	<b>30.40</b>	9.13	<b>3.33</b>
Myanmar	52.00	12.00	0.00	<b>24.00</b>	10.98	<b>2.19</b>
Namibia					6.59	
Nauru					1.50	
Nepal	50.30	30.80	10.00	<b>9.50</b>	3.34	<b>2.84</b>
Nicaragua					4.47	
Niger	unclear	0.00	0.00	<b>0.00</b>	2.00	<b>1.00</b>
Nigeria					6.80	
Niue					1.50	
Pakistan					5.05	
Palau					1.92	
Panama					11.70	
Papua New Guinea					14.66	
Paraguay					3.21	
Peru	128.00	43.55	49.05	<b>35.40</b>	29.72	<b>1.19</b>
Philippines	1,629.41	814.71	488.82	<b>325.88</b>	30.55	<b>10.67</b>
Rep of Moldova	3.50	1.20	0.80	<b>1.50</b>	1.50	<b>1.00</b>
Russian Fed.					25.43	
Rwanda	0.00	0.00	0.00	<b>0.00</b>	2.00	<b>1.00</b>
Saint Kitts and Nevis					1.50	
Saint Lucia					1.98	
Saint Vincent / Grenadines					1.58	

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

Samoa					2.67	
Sao Tomé and Príncipe	1.70	0.07	0.09	1.54	3.78	1.00
Senegal	46.88	8.90	16.00	21.98	2.09	10.52
Serbia	10.50	0.00	5.80	4.70	1.50	3.13
Seychelles	54.63	11.78	35.05	7.80	4.94	1.58
Sierra Leone					2.11	
Solomon Islands					4.52	
South Africa	0.00	0.00	0.00	0.00	22.79	1.00
South Sudan	72.00	20.00	25.00	27.00	2.00	13.50
Sri Lanka					7.12	
Sudan	33.20	18.10	2.70	15.85	4.17	3.80
Suriname	25.10	1.10	0.00	24.30	3.04	7.99
Swaziland					1.50	
Syrian Arab Rep	39.60	8.00	0.00	31.60	1.50	21.07
Tajikistan					1.50	
Tanzania					15.90	
Thailand					10.26	
Timor-Leste	21.00	105.00	0.00	21.00	2.00	10.50
Togo	6.07	0.59	0.00	0.00	2.00	1.00
Tonga					1.70	
Trinidad and Tobago					2.78	
Tunisia					1.50	
Turkey	94.50	70.50	0.00	24.00	7.14	3.36
Turkmenistan					1.81	
Tuvalu					2.00	
Uganda	20.80	1.00	0.30	19.60	4.02	4.88
Ukraine					1.50	
Uruguay					2.04	
Uzbekistan					1.78	
Vanuatu					2.78	
Venezuela	137.20	102.90	0.00	34.30	16.25	2.11
Viet Nam	117.00	78.00	13.00	26.00	13.17	1.97
Yemen					4.23	
Zambia					4.72	
Zimbabwe	101.00	41.50	41.60	17.90	2.70	6.63
Total 143 countries					1,051	
<b>60 reporting countries</b>	<b>8,329.06</b>	<b>4,550.08</b>	<b>1,388.03</b>	<b>2,739.39</b>		
<b>Percent of total estimated project costs</b>	<b>100%</b>	<b>55%</b>	<b>17%</b>	<b>33%</b>		
	<b>100%</b>	<b>72%*</b>		<b>33%</b>		
<b>Co-financing ratio</b>		<b>2</b>		<b>1</b>		

\* above 67%, because of additional co-financing amounts reported

Source: Questionnaires accessible at <https://www.cbd.int/financial/survey2016.shtml>; note: reporting countries with no reported funding needs or needs below their GEF-6 STAR allocation were recorded with 1.0 increase

### 3.1.7. REPORTS FROM ORGANISATIONS

SBI-1 encouraged the Expert Team to take into account the comments from *indigenous peoples and local communities, and other relevant organizations, including women's organizations*, in finalizing the assessment report (UNEP/CBD/SBI/REC/1/7, CBD, 2016c). Two submissions are posted on the [CBD website](#).

The Latin American Indigenous Peoples and Local Communities (COICA) presented 24 project ideas with total project costs of **US\$63.9 million**. The submission did not include expected co-financing from governments and other sources or the GEF Trust Fund's expected contribution.

The ICCA<sup>4</sup> Consortium provided a [joint submission](#) with inputs from the Community Conservation Resilience Initiative coordinated by the Global Forest Coalition. The submission contains three sections: Part I offered comments on the Expert Team's draft assessment report presented to SBI-1 (UNEP/CBD/SBI/1/INF/47). Part II provided general recommendations concerning financial support for ICCAs and other forms of collective action. Part III identified a range of specific funding needs and priorities to support ICCAs and collective action for biodiversity and nature conservation at the local, national, regional, and international levels.

## 3.2. RESULTS OF THE HIGH-LEVEL PANEL ON GLOBAL ASSESSMENT OF RESOURCES

The work of the High-Level Panel on Global Assessment of Resources for implementing the Strategic Plan for Biodiversity 2011-2020 was intended to support discussions on resource mobilization in the lead up to and at COP-12. The Panel's second report builds on the assessment of the first Panel report and identifies the benefits of delivering the Aichi Targets, their investment and resource requirements (CBD, 2014e).

The High-Level Panel's first report in 2012 presented a global assessment of the costs of meeting the Aichi Biodiversity Targets by 2020, estimating that, by adding the resource requirements for each Aichi Target, **between US\$150 billion and US\$440 billion per year** would be required (CBD, 2012d). The Panel acknowledged a range of uncertainties and recognised that further research is vital to help refine these estimates. It highlighted that the resource needs called for a change in the way resources are allocated in our economies to get the best outcomes for biodiversity and sustainable development.

The report added that a variety of factors would affect the magnitude of the funding requirements. In particular, inter-linkages, policy coherence and institutional development, and synergies between Targets and other goals mean that the approach, resourcing and effectiveness of the delivery of any one Target may influence the investment needs of another and that this could be expected to substantially reduce the funding need estimate.

The High-Level Panel highlighted some of the significant benefits of delivering the Targets, as well as co-benefits to other sectors, and concluded that benefits secured through implementing the Aichi Targets are likely to significantly outweigh costs and strongly contribute to sustainable development. However, it also recognised that there is a need for the development of an appropriate and coherent political and institutional framework, including strong political will, in all nations in order to secure these benefits and synergies.

The Expert Team would like to point out that the High-Level Panel's assessment indicates costs and **total global costs** to achieve the Aichi Targets until 2020, whereas the GEF-7 assessment focuses on **incremental costs of eligible project activities in GEF recipient countries to generate global environmental benefits in the period 2018-2022**. The two approaches could not be combined for the purpose of the GEF-7 funding needs assessment. In 2014, the Fifth Overall Performance Study of GEF's Independent Evaluation Office reported:

*Funding needs for action on global environmental issues are conservatively assessed as at least US\$100 billion annually. It is widely maintained that this amount of funding can only be achieved if civil society and the private sector become strong partners in addressing global and local environmental problems. However, at the same time, global public funding of **at least \$1 trillion annually** is available for incentives that encourage unsustainable environmental practices, such as subsidies for fossil fuels, for unsustainable agricultural practices, for overly exploitative fisheries, and for excessive use of water resources (GEF IEO, 2014).*

<sup>4</sup> 'ICCA' is the general abbreviation used to refer to 'indigenous peoples' and community conserved territories and areas, or alternatively, 'territories and areas conserved by indigenous peoples and local communities'. In some CBD decisions, they are also referred to as 'indigenous and community conserved areas', among other similar terms.

### 3.3. THE 2030 AGENDA AND FINANCING FOR SUSTAINABLE DEVELOPMENT

The 2030 Agenda for Sustainable Development calls on all countries and stakeholders to act in a collaborative partnership to implement this transformative plan (UNGA, 2015a).

Goal 17 appeals to the global community to strengthen the means of implementation to achieve the Sustainable Development Goals, including those that are related to the conservation and sustainable use of biodiversity and ecosystems:

**Goal 17. Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development: Finance**

17.1 Strengthen domestic resource mobilization, including through international support to developing countries, to improve domestic capacity for tax and other revenue collection

17.2 Developed countries to implement fully their official development assistance commitments, including the commitment by many developed countries to achieve the target of 0.7 per cent of gross national income for official development assistance (ODA/GNI) to developing countries and 0.15 to 0.20 per cent of ODA/GNI to least developed countries; ODA providers are encouraged to consider setting a target to provide at least 0.20 per cent of ODA/GNI to least developed countries

17.3 Mobilize additional financial resources for developing countries from multiple sources

17.4 Assist developing countries in attaining long-term debt sustainability through coordinated policies aimed at fostering debt financing, debt relief and debt restructuring, as appropriate, and address the external debt of highly indebted poor countries to reduce debt distress

17.5 Adopt and implement investment promotion regimes for least developed countries. (Source: UNGA, 2015a)

At its sixty-ninth session, the United Nations General Assembly adopted Resolution A/RES/69/313 endorsing the **Addis Ababa Action Agenda** of the Third International Conference on Financing for Development, which is a **global framework for financing development post-2015** (UNGA, 2015b). However, no specific funding needs have been expressed.

The conference committed to biodiversity and sustainable use:

63. We acknowledge the critical importance of biodiversity and the sustainable use of its components in poverty eradication and sustainable development. We welcome the implementation of the global Strategic Plan for Biodiversity 2011–2020 and its Aichi Biodiversity Targets by the parties to the Convention on Biological Diversity, and we invite all parties to attend the thirteenth meeting of the Conference of the Parties, to be held in Mexico in 2016. **We encourage the mobilization of financial resources from all sources and at all levels** to conserve and sustainably use biodiversity and ecosystems, including promoting sustainable land management, combating desertification, drought, dust storms and floods, restoring degraded land and soil and promoting sustainable forest management. (Source: UNGA, 2015b)

The conference highlighted the important role of **domestic public resources**:

20. For all countries, **public policies and the mobilization and effective use of domestic resources**, underscored by the principle of national ownership, **are central to our common pursuit of sustainable development**, including achieving the sustainable development goals....

22. We recognize that **significant additional domestic public resources, supplemented by international assistance as appropriate, will be critical to realizing sustainable development and achieving the sustainable development goals....** In this regard, we will strengthen international cooperation to support efforts to build capacity in developing countries, including through enhanced official development assistance (ODA). We welcome efforts by countries to set nationally defined domestic targets and timelines for enhancing domestic revenue as part of their national sustainable development strategies and will support developing countries in need in reaching these targets. (Source: UNGA, 2015b)

The complementary role of **international development cooperation** was also addressed:

50. **International public finance plays an important role in complementing the efforts of countries to mobilize public resources domestically**, especially in the poorest and most vulnerable countries with limited domestic resources. Our ambitious agenda puts significant demands on public budgets and capacities, which requires scaled-up and more effective international support, including both concessional and non-concessional financing. We welcome the increase of all forms of international public finance since Monterrey and are determined to step up our respective efforts in support of the post-2015 development agenda. We recognize that we share common goals and common ambitions to strengthen international development cooperation and maximize its effectiveness, transparency, impact and results. (Source: UNGA, 2015b)

In particular, the conference recognized GEF's role in contributing to financing sustainable development:

76. We acknowledge the role of the Global Environment Facility (GEF) in **mainstreaming environmental concerns into development efforts** and providing grant and concessional resources to support environmental projects in developing countries. We support building capacity in developing countries, especially least developed countries and small island developing States, to access available funds, and aim to enhance public and private contributions to GEF. (Source: UNGA, 2015b)

#### 4. ESTIMATED FUNDS NEEDED FOR THE GEF-7 REPLENISHMENT

The following chapter synthesizes the information and data presented in chapters 2 and 3. As of 25 September 2016, **60 GEF recipient countries** responded to the questionnaire after the submission deadline was extended twice (see 1.3). Overall, countries identified and included the information requested for **200 project concepts**.

The group of reporting countries represents **42 percent of GEF recipient countries** and **65 percent of the GEF-6 STAR allocation** (US\$679 million out of US\$1,051 million, see ANNEX TABLE C). Though 58% of recipient countries did not respond to the questionnaire (83 countries), they represent less of the GEF-6 STAR allocation (US\$373 million, 35%). This is a characteristic difference – one third of the reporting countries, which is also twice as much as of the non-reporting countries, receive a GEF-6 STAR allocation above US\$10 million (see Table 11). The Expert Team strived to include as many countries with high GEF-6 STAR allocations as possible so as to make the assessment as robust as possible.

**Table 11: Characteristics of reporting and non-reporting countries to the questionnaire**

(Source: [country questionnaires](#), see Annex Table C and Table 10)

	Share of 143 recipient countries	Share of GEF-6 STAR allocation
<b>60 reporting countries</b>	<b>42%</b>	<b>65% (US\$678 million)</b>
<b>83 non-reporting countries</b>	<b>58%</b>	<b>35% (US\$373 million)</b>
	<b>60 reporting countries</b>	<b>83 non-reporting countries</b>
GEF-6 STAR > US\$10 million	32%	12%
GEF-6 STAR > US\$3 up to US\$10 million	25%	35%
GEF-6 STAR < US\$3 million	43%	53%

##### 4.1. REPORTED AND CALCULATED FUNDING NEEDS

The 60 countries responding countries **expect US\$2.739 billion from GEF-7** with a **reported co-financing ratio of 2:1** (see Table 12). This corresponds to the average co-financing ratio across all replenishment cycles (see 2.2). Given that 83 recipient countries did not provide their funding needs, this figure is only a partial reflection of the real funding need for GEF-7. In the subsequent analysis, this figure has been used as a basis for further extrapolation in this assessment.

**Table 12: Funding needs for GEF-7, based on reported total project costs and reported 2:1 co-financing**  
(in billion US\$, 60 reporting countries as of 25 September 2016, see also Table 10)

	Reported estimated total project costs	Reported expected co-financing	Reported expected GEF-7 funding
<b>60 reporting countries</b>	<b>8.329</b>	<b>5.938</b>	<b>2.739</b>
<b>% of total estimated project costs</b>	<b>100%</b>	<b>72%*</b>	<b>33%</b>
<b>Co-financing ratio (external : GEF)</b>		<b>2</b>	<b>1</b>

\* above 67%, because of inaccurate reported co-financing calculations (see Table 10)



If applying a **4:1 co-financing ratio** to the reported total project costs, which mirrors the co-financing ratio of GEF-5 as reported by the GEF to COP-12 (see 2.2), the calculated GEF-7 funding level would be **US\$1.666 billion** (see Table 13).

**Table 13: Calculated funding needs for GEF-7, based on reported total project costs and applied 4:1 co-financing to reported total project costs**  
(in billion US\$, 60 reporting countries as of 25 September 2016)

	Reported estimated total project costs	Calculated co-financing	Calculated GEF-7 funding
60 reporting countries	8.329	6.663	1.666
% of total estimated project costs	100%	80%	20%
Co-financing ratio (external : GEF)		4	1

The GEF report to COP-13 presents a **co-financing ratio of 5:1** in current GEF recipient country projects ([UNEP/CBD/COP/13/12/Add.1](#)), which would result in a calculated GEF-7 funding level of **US\$1.388 billion**, if applied to the reported total project costs (see Table 14).

**Table 14: Calculated funding needs for GEF-7, based on reported total project costs and applied 5:1 co-financing to reported total project costs**  
(in billion US\$, 60 reporting countries as of 25 September 2016)

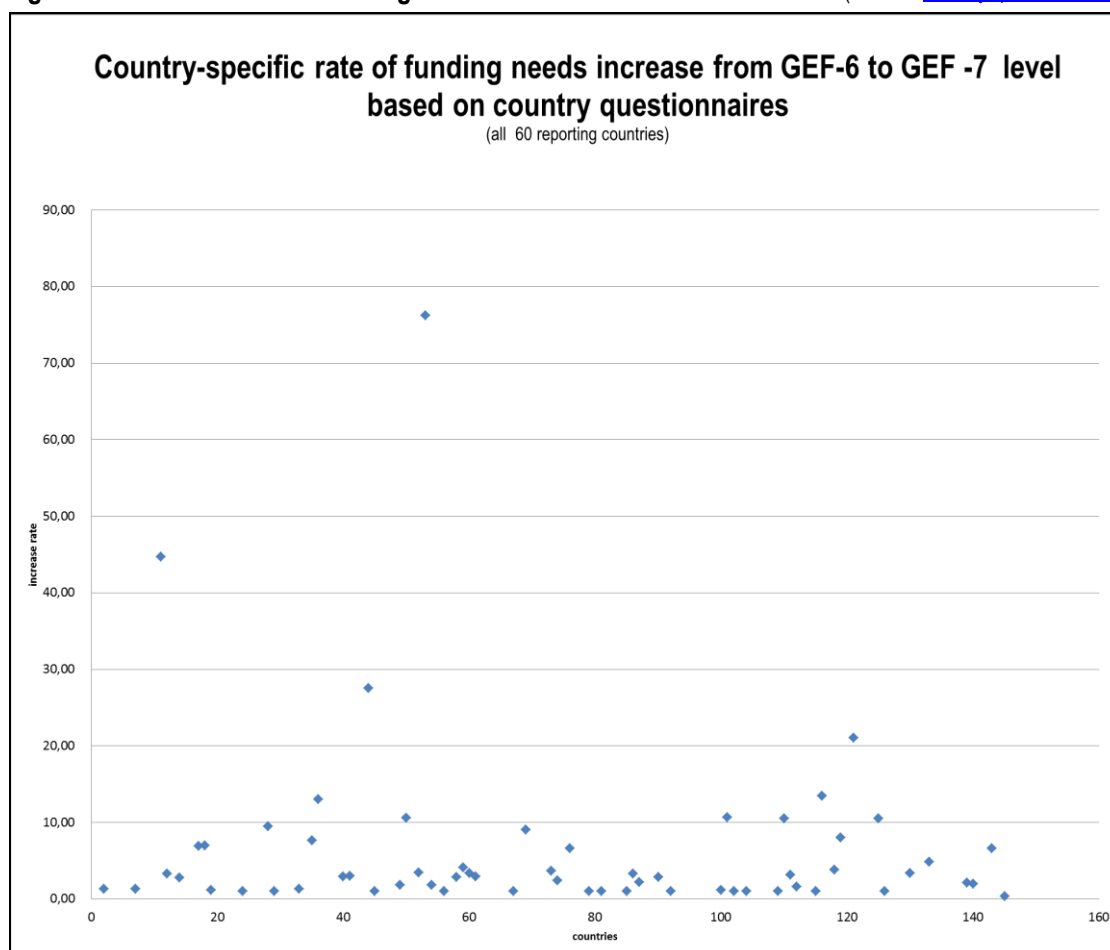
	Reported estimated total project costs	Calculated co-financing	Calculated GEF-7 funding
60 reporting countries	8.329	6.941	1.388
% of total estimated project costs	100%	84%	16%
Co-financing ratio (external : GEF)		5	1

Comparing the different amounts of expected and calculated GEF-7 funding with the GEF-6 STAR allocation of the reporting countries equates to a **varying 2.0 to 4.0 average rate of increase** from GEF-6 to GEF-7 level (see Table 15).

**Table 15: Rates of increase from GEF-6 to GEF-7, based on co-financing ratios, expected funding and GEF-6 STAR allocation of 60 reporting countries**

Applied co-financing ratio	Expected GEF-7 funding (in US\$ billion)	GEF-6 STAR allocation (in US\$ million)	Rate of increase from GEF-6 to GEF-7
2:1 as reported in questionnaires	2.739	678	4.0
4:1 as reported by GEF to COP-12	1.666	678	2.5
5:1 as reported by GEF to COP-13	1.388	678	2.0

It should be noted that the calculated **country-specific rate of increase from GEF-6 to GEF-7 is widely variable**: e.g. 1.18 for Brazil, 2.8 for India, 6.6 for Maldives, 9.5 for China, 10.7 for the Philippines, 13.0 for the DRC, 44.7 for Barbados, and 76.26 for Guinea. Figure 4 displays the country-specific rates of increase (see also Table 10).

**Figure 4: Calculated rate of funding needs increase from GEF-6 to GEF-7** (Source: [country questionnaires](#))

## 4.2. MODELLING THE TOTAL GEF-7 FUNDING LEVEL FOR BIODIVERSITY

Based on the dataset provided through the questionnaires and other sources, two models were elaborated to estimate the total GEF-7 funding level. The parameters used were:

- (i) Expected GEF-7 funding as reported by 60 GEF-recipient countries,
- (ii) Range of co-financing ratios as reported by 60 countries and the GEF to COP-12 and COP-13,
- (iii) GEF-6 STAR allocation from the 60 reporting and 83 non-reporting GEF-recipient countries,
- (iv) Country-specific and average rate of funding need increase from GEF-6 to GEF-7,
- (v) GEF-6 STAR allocation share for reporting (65%) and non-reporting countries (35%),
- (vi) GEF-6 Focal Area Set-Aside amount under the assumption that it would be equal in GEF-7 (see Annex Table C and 2.2).

**Model A**

This model used the GEF-6 allocation of non-reporting countries (US\$373million) as an estimate of their funding needs during GEF-7 and added this number to the funding needs amount as reported by the 60 countries (US\$2.729 billion). This skewed the current 35% GEF-6 STAR allocation of non-reporting countries to below 20% of the calculated total GEF-7 amount, thereby under-representing these countries' share. However, this model can be used as an indication of the **total GEF-7 funding amount's lower bound**. Based on the different co-financing ratios applied, the results are as follows:

Funding level for GEF-7, based on reported amounts, 2:1 co-financing ratio, and GEF-6 STAR allocation for 83 non-reporting countries (in million US\$, 60 reporting countries as of 25 September 2016)			
	GEF-6 STAR allocation	Calculated funding level for GEF-7	Rate of increase from GEF-6 to GEF-7 level
60 reporting countries	678	2,739	4.0
83 non-reporting countries	373	373	0.0
Sub total	1,051	3,112	
GEF-6 Focal Area Set-Aside*	245	245	
<b>Total</b>	<b>1,296</b>	<b>3,357</b>	<b>2.6</b>
*note: Focal Area Set-Aside comprises Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program (see II.2 Table 6)			

Funding level for GEF-7, based on reported amounts, 4:1 co-financing ratio, and GEF-6 STAR allocation for 83 non-reporting countries (in million US\$, 60 reporting countries as of 25 September 2016)			
	GEF-6 STAR allocation	Calculated funding level for GEF-7	Rate of increase from GEF-6 to GEF-7 level
60 reporting countries	678	1,666	2.5
83 non-reporting countries	373	373	0.0
Sub total	1,051	2,039	
GEF-6 Focal Area Set-Aside*	245	245	
<b>Total</b>	<b>1,296</b>	<b>2,284</b>	<b>1.8</b>
*note: Focal Area Set-Aside comprises Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program (see II.2 Table 6)			

Funding level for GEF-7, based on reported amounts, 5:1 co-financing ratio and GEF-6 STAR allocation for 83 non-reporting countries (in million US\$, 60 reporting countries as of 25 September 2016)			
	GEF-6 STAR allocation	Calculated funding level for GEF-7	Rate of increase from GEF-6 to GEF-7 level
60 reporting countries	678	1,388	2.0
83 non-reporting countries	373	373	0.0
Sub total	1,051	1,761	
GEF-6 Focal Area Set-Aside*	245	245	
<b>Total</b>	<b>1,296</b>	<b>2,006</b>	<b>1.5</b>
*note: Focal Area Set-Aside comprises Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program (see II.2 Table 6)			

**Model B**

This model calculated the increase in expected funding from GEF-7 of the 60 reporting countries over their GEF-6 allocation, and applied the same multiplier to the GEF-6 allocation of the 83 non-reporting countries, thus restoring the current GEF-6 STAR allocation between reporting to non-reporting countries (65% to 35%) (see Table 15). Based on the different co-financing ratios applied, the results are as follows:

Funding level for GEF-7, based on reported amounts, 2:1 co-financing ratio, and same increase of GEF-6 STAR allocation for non-reporting countries (in million US\$, 60 reporting countries as of 25 September 2016, see Table 15)			
	GEF-6 STAR allocation	Calculated funding level for GEF-7	Rate of increase from GEF-6 to GEF-7 level
60 reporting countries	678	2,739	4.0
83 non-reporting countries	373	1,492	4.0
Sub total	1,051	4,231	
GEF-6 Focal Area Set-Aside*	245	245	
Total	1,296	4,476	3.5
*note: Focal Area Set-Aside comprises Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program (see II.2 Table 6)			

Funding level for GEF-7, based on reported amounts, 4:1 co-financing ratio, and same increase of GEF-6 STAR allocation for non-reporting countries (in million US\$, 60 reporting countries as of 25 September 2016, see Table 15)			
	GEF-6 STAR allocation	Calculated funding level for GEF-7	Rate of increase from GEF-6 to GEF-7 level
60 reporting countries	678	1,666	2.5
83 non-reporting countries	373	933	2.5
Sub total	1,051	2,599	
GEF-6 Focal Area Set-Aside*	245	245	
Total	1,296	2,844	2.2
*note: Focal Area Set-Aside comprises Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program (see II.2 Table 6)			

Funding level for GEF-7, based on reported amounts, 5:1 co-financing ratio and same increase of GEF-6 STAR allocation for non-reporting countries (in million US\$, 60 reporting countries as of 25 September 2016, see Table 15)			
	GEF-6 STAR allocation	Calculated funding level for GEF-7	Rate of increase from GEF-6 to GEF-7 level
60 reporting countries	678	1,388	2.0
83 non-reporting countries	373	746	2.0
Sub total	1,051	2,134	
GEF-6 Focal Area Set-Aside*	245	245	
Total	1,296	2,379	1.8
*note: Focal Area Set-Aside comprises Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program (see II.2 Table 6)			

### Sensitivity analysis

As noted in chapter 4.1 the calculated **country-specific rate of increase from GEF-6 to GEF-7 is widely variable** and ranges from 1.18 for Brazil to 76.26 for Guinea (see Figure 4 and Table 10). These rates fundamentally affect the funding needs' modelling and calculations. Many countries reported expected funding from GEF-7 with an increase below 5.0 from the GEF-6 level, and the large majority below or slightly above a ten-fold increase (see Figure 4). To check on the effect of the few cases with very large multipliers, the results were recalculated omitting the 'outliers' with a multiplier above 15.0 (4 countries or 7% of total 60 reporting countries: Guinea (77.26), Barbados (44.67), Eritrea (27.54) and Syria (21.07), see Table 10). This would increase the reported envisaged co-financing ratio to 2.3:1. As can be seen from the calculations below, omitting these four outliers, due to their relatively small GEF-6 allocation, would reduce the rate to 3.0, but certainly not significantly affect the result under a 4:1 co-financing ratio.

#### Reported funding needs for GEF-7 of 56 countries

(in billion US\$, reporting countries as of 25 September 2016, see also Table 10)

	Reported estimated total project costs	Reported expected co-financing	Reported expected GEF-7 funding
<b>56 countries</b>	<b>7.856</b>	<b>5.855</b>	<b>2.349</b>
<b>% of total estimated project costs</b>	<b>100%</b>	<b>80%*</b>	<b>30%</b>
<b>Co-financing ratio (external : GEF)</b>		<b>2.3</b>	<b>1</b>
* above 70%, because of inaccurate reported co-financing (see Table 10)			

#### Funding needs for GEF-7, based on reported total project costs of 56 countries and reported 2.3:1 co-financing ratio

(in million US\$, reporting countries as of 25 September 2016, see also Table 10)

	GEF-6 STAR allocation	expected funding from GEF-7	rate of increase from GEF-6 to GEF-7
<b>56 reporting countries</b>	<b>671</b>	<b>2,349</b>	<b>3.5</b>
<b>87 remaining countries</b>	<b>380</b>	<b>1,330</b>	<b>3.5</b>
<b>Sub total</b>	<b>1,051</b>	<b>3,679</b>	
<b>GEF-6 Focal Area Set-Aside*</b>	<b>245</b>	<b>245</b>	
<b>Total</b>	<b>1,296</b>	<b>3,924</b>	<b>3.0</b>
*note: Focal Area Set-Aside comprises Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program (see II.2 Table 6)			

#### Funding needs for GEF-7, based on reported total project costs of 43 countries and calculated 4:1 co-financing ratio

(in million US\$, reporting countries as of 25 September 2016, see also Table 10)

	GEF-6 STAR allocation	expected funding from GEF-7	rate of increase from GEF-6 to GEF-7
<b>56 reporting countries</b>	<b>671</b>	<b>1,596</b>	<b>2.4</b>
<b>87 remaining countries</b>	<b>380</b>	<b>912</b>	<b>2.4</b>
<b>Sub total</b>	<b>1,051</b>	<b>2,508</b>	
<b>GEF-6 Focal Area Set-Aside*</b>	<b>245</b>	<b>245</b>	
<b>Total</b>	<b>1,296</b>	<b>2.753</b>	<b>2.1</b>
*note: Focal Area Set-Aside comprises Convention obligations, global and regional programs, including Integrated Approaches, and Sustainable Forest Management Program (see II.2 Table 6)			

### Summary

The calculated **rates of increase range from 1.5 to 3.5** from GEF-6 to the expected GEF-7 level according to the different co-financing ratios applied in the models.

When taking into consideration **the 2:1 co-financing ratio** reported by the 60 countries, the funding need estimations for GEF-7 result in **increase rates of 2.6 and 3.5 from the GEF-6 level**. When taking into consideration **the 4:1 co-financing ratio** which was reported for GEF-5 and will likely be achieved in GEF-6, the funding need estimations for GEF-7 result in **increase rates of 1.8 and 2.2**.

Table 16 gives an overview of the GEF-7 funding needs assessment's results.

**Table 16: Results of the GEF-7 funding needs assessment**

Models to calculate GEF-7 funding needs	Applied co-financing ratios		
	2:1 (as reported)	4:1 (GEF-5 average)	5:1 (GEF-6 trend)
<b>Funding needs from GEF-7, reported by 60 countries (billion US\$)</b>	<b>2.739</b>		
<b>Model A: amounts (billion US\$)</b>	<b>3.357</b>	<b>2.284</b>	<b>2.006</b>
<b>Model A: increase rate from GEF-6 level*</b>	<b>2.6</b>	<b>1.8</b>	<b>1.5</b>
<b>Model B: amounts (billion US\$)</b>	<b>4.476</b>	<b>2.844</b>	<b>2.379</b>
<b>Model B: increase rate from GEF-6 level*</b>	<b>3.5</b>	<b>2.2</b>	<b>1.8</b>
<i>Model B ad: amounts (billion US\$)</i>	3.924**	2.753	--
<i>Model B ad: increase rate from GEF-6 level*</i>	3.0	2.1	--
* GEF-6 country STAR allocation Biodiversity Focal Area: US\$1.296 billion (incl. Set-Aside)			
** co-financing ratio 2.3 : 1			
<b>Model A:</b> Reported expected funding from GEF-7 + GEF-6 STAR allocation for non-reporting countries			
<b>Model B:</b> Reported expected funding from GEF-7 + same average increase rate from GEF-6 level to non-reporting countries			
<i>Model B ad: same; but 'outliers' &gt; 15.0 increase rate excluded</i>			

While bearing in mind the caveats of the different calculations, it appears appropriate to expect that the GEF-7 funding needs **estimate from ALL GEF-recipient countries will likely be about three times** the current GEF-6 STAR allocation level, given 60 reporting countries' expected co-financing from governments and external sources.

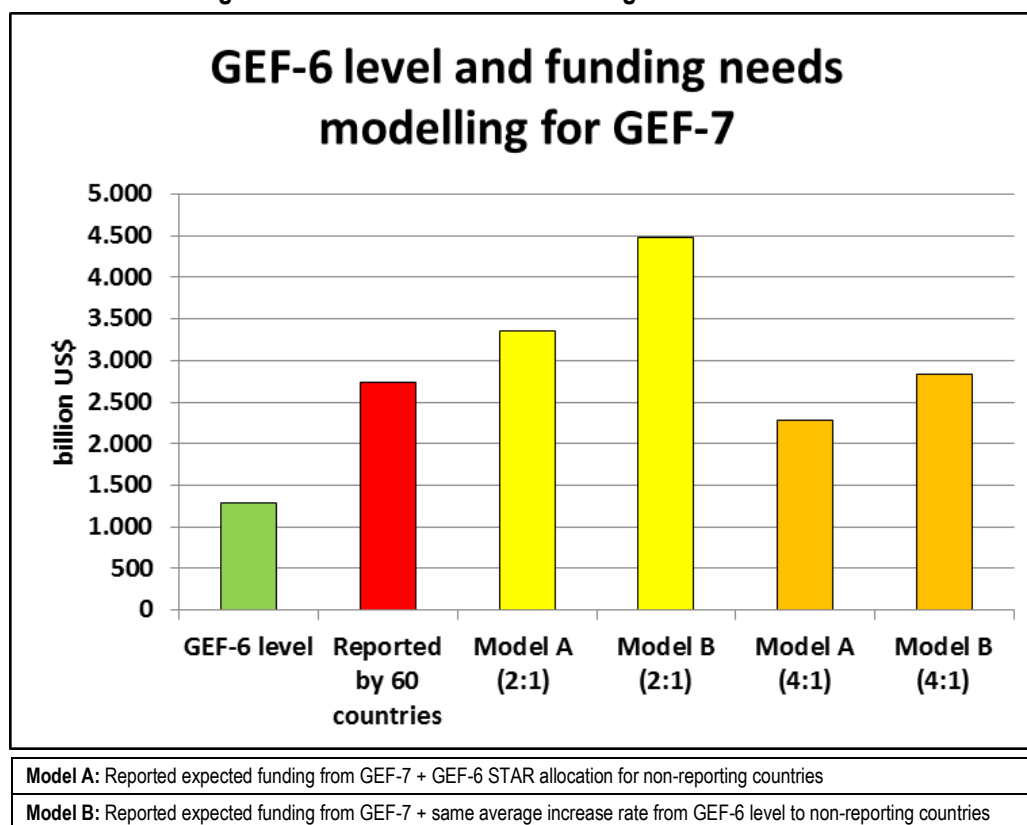
When taking into account a 4:1 co-financing ratio, the GEF-7 funding needs **estimate from ALL GEF-recipient countries will likely be about two times** the current GEF-6 STAR allocation level. However, this implies that GEF-recipient countries have to allocate **much higher co-financing** amounts to their intended projects.

Finally, it should be noted that the total project costs, co-financing from various sources, and GEF-7 funding needs are still unknown for 83 GEF-recipient countries, and thus **the true expected GEF-7 amount could substantially differ from the GEF-7 estimates calculated in this report's various models**.

Figure 5 displays the estimations of the funding needs assessment's models.



Figure 5: Results of the GEF-7 funding needs assessment



#### 4.3. FUNDING NEEDS OF INDIGENOUS PEOPLES AND LOCAL COMMUNITIES

The Latin American Indigenous Peoples and Local Communities (COICA) reported US\$63.9 million as the total cost of 24 project concepts. Based on the three co-financing ratios applied, different estimates for potential GEF-7 amounts and potential co-financing from other sources were calculated (see Table 17). The **potential GEF-7 contribution to COICA** was not taken into account in the models since Indigenous Peoples and Local Communities only have access to the Small Grants Programme currently, which is not part of the Biodiversity Focal Area. Donor countries should consider how to include funding needs from Indigenous Peoples and Local Communities in the GEF-7 replenishment.

**Table 17: Potential GEF-7 contribution to COICA's reported total project cost based on applied co-financing ratios**

Applied co-financing ratio	Total project costs (in US\$ million)	Potential GEF-7 contribution (in US\$ million)	Potential co-financing from other sources (in US\$ million)
2:1 as reported through country Parties questionnaire	63.9	21.3	42.6
4:1 as reported by GEF to COP-12	63.9	12.8	51.1
5:1 as reported by GEF to COP-13	63.9	10.7	53.3

The **ICCA Consortium** did not provide any total project costs, expected co-financing from governments and/or other sources, and from GEF-7 in its submission. Instead, the consortium emphasised that *the **quality and ‘delivery’** of financial support is far more important than the quantity of financial support, especially in the context of funding for ICCAs and collective action for biodiversity and nature conservation. In particular, indigenous peoples and local communities themselves are best placed to identify relevant funding needs and priorities* (Part II, #2 of [ICCA Consortium's submission](#)).

The GEF has identified 36 GEF projects that involve Indigenous Peoples and Local Communities (see 2.3). According to the GEF-6 Biodiversity Strategy (GEF, 2014d), GEF support under the protected area objective will strengthen the fundamental aspects of protected area system sustainability: finance, representation, and capacity building leading to effective management. GEF will continue to promote the participation and capacity building of indigenous peoples and local communities, especially women, in the design, implementation, and management of protected area projects through established frameworks such as indigenous and community-conserved areas. GEF will also promote protected area co-management between government and indigenous peoples and local communities where such management models are appropriate.

#### 4.4. FUNDING NEEDS COVERAGE THROUGH OTHER GEF INVESTMENTS

Funding needs for biodiversity could also be covered through **other GEF Focal Areas and multi-focal area projects** in particular. As reported by the GEF to COP-13 other Focal Area funding also contributes to the Strategic Plan for Biodiversity and the Aichi Biodiversity Targets (see 2.2).

GEF's role in contributing to **financing sustainable development** was recognized in the 2030 Agenda for Sustainable Development (UNGA, 2015a). Sustainable Development Goal 17 appeals to the global community to strengthen the means of implementation, including those that are related to the conservation and sustainable use of biodiversity and ecosystems (see 3.3). Funding needs arising from development plans and strategies to implement sustainable development goals – supported by the GEF and other instruments - might partially cover funding needs for biodiversity.

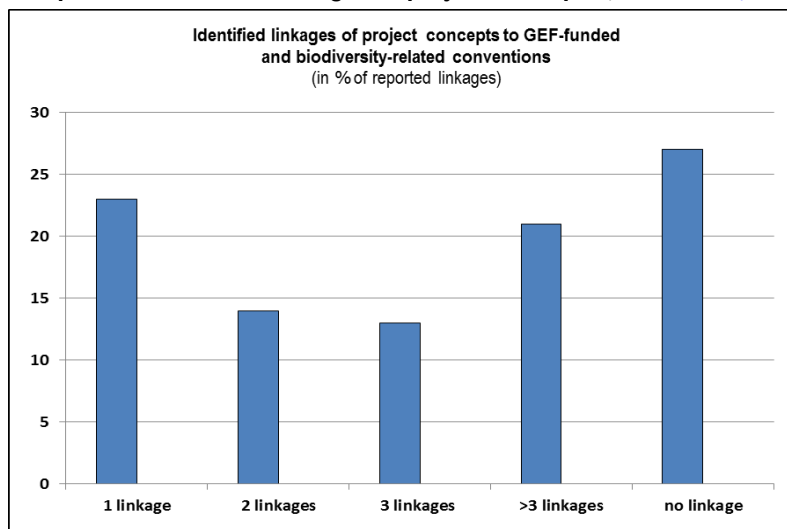
Donor countries may consider this when deciding on the overall GEF-7 funding level for implementing the Convention and its Protocols.

## 5. SYNERGIES WITH OTHER CONVENTIONS AND THEMATIC SCOPE OF PROJECTS

### 5.1. SYNERGIES WITH OTHER CONVENTIONS AND INITIATIVES

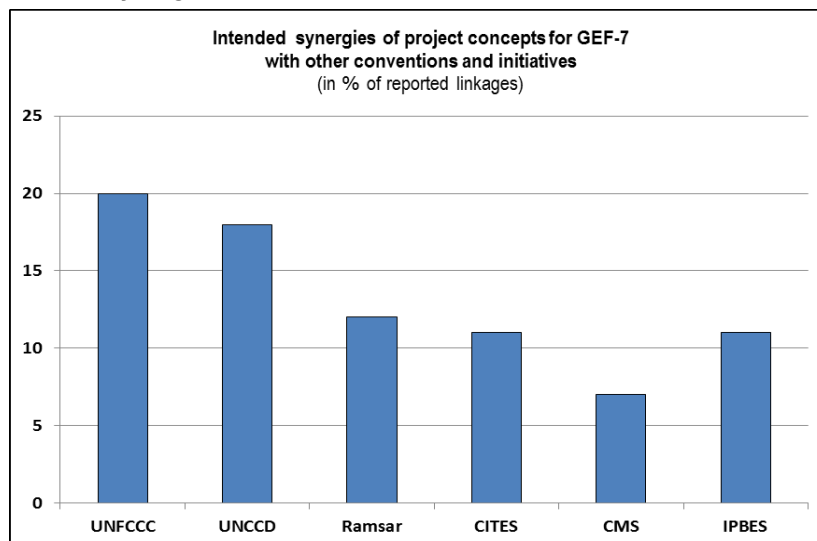
The assessment took into account the information provided by Parties on synergies with other GEF-funded and biodiversity-related conventions (paragraph 3 h) and i) of the ToR). In the questionnaire, Parties identified linkages of potential projects to other selected conventions.

From the questionnaires completed by 25 September 2016, **42 Parties reported 1,021 convention linkages** to potential projects during 2018-2022 (see Annex Table G). While some project ideas often had more than one identified convention linkage, others were listed as not having any (see Figure 6).

**Figure 6: Reported convention linkages of project concepts** (Source: [country questionnaires](#))

Several Parties did not include any linkages whatsoever and some included other agreements or initiatives not included in the questionnaire's list, e.g. UNCLOS, UN-REDD, GTI (Global Taxonomy Initiative), CMS regional agreements (AEWA, ASCOBANS).

Most of the project concepts seek to achieve **synergies with the goals of the UNFCCC (20%) and UNCCD (18%)**, followed by the Ramsar Convention (12%), CITES (11%), and CMS (7%) (see Figure 7). Less reported are potential synergies with the World Heritage Convention and the plant related treaties. The Conventions addressing pollutants do not seem to be relevant in the proposed projects for 2018-2022 (see ANNEX TABLE G). Notably, many project concepts are seen to support the work of the Intergovernmental Platform on Biodiversity and Ecosystem Services (IPBES, 11%). The results clearly show that most countries' proposed project ideas for the GEF-7 period that intend to achieve synergies with the other two Rio Conventions funded by the GEF.

**Figure 7: Intended synergies with other conventions and initiatives** (Source: [country questionnaires](#))

## 5.2. THEMATIC SCOPE OF PROJECT CONCEPTS

In the questionnaire, Parties identified national **thematic approaches for the GEF-7 period** based on a consolidated and comprehensive list that refers to the overall guidance by the COPs, GEF-6 Focal Areas, CBD Protocols, and additional relevant thematic areas not covered by the GEF-6 Focal Area Strategies. These approaches should be in line with NBSAPs or other national priorities (see Table 1 for codes).

From the questionnaires completed by 25 September 2016, the information provided by 44 Parties on thematic areas of reported project concepts was analysed. Thirteen Parties did not include any references for some or all of their projects and two Parties referenced Aichi Targets in general rather than specific codes. Where possible, the identified Aichi Target was translated into a tally for all relevant codes. Information was not included for four Parties who identified other references that did not correspond to the codes.

Overall, the most recorded thematic areas that jointly cover about 50% of coded responses are (see Table 18 and Annex Table H for a more detailed break-down):

- **Biodiversity conservation on land and in coastal areas (34%)**
- **Restoration of natural habitats, ecosystems and their services (15%).**

Parties also identified *capacity building and cooperation* (11%) and *other themes as part of projects* (16%) as relevant for GEF-7 projects.

*Sustainable use of biodiversity, production and consumption* (9%) and *marine biodiversity in international waters* (6%) are less referenced and projects on *pollution reduction* (3%) even as well as on the implementation of the *Nagoya and Cartagena Protocol* (3% each) even less.

Within the thematic group *Biodiversity conservation on land and in coastal areas*, project concepts will equally focus on *protected areas networks and general species conservation* (code 710-6%), *conservation of threatened species* (code 715-6%), *terrestrial protected area systems* (code 711-6%), followed by *marine and coastal biodiversity and protected areas* (712-5%) (see Annex Table H). Other topics frequently referenced are project concepts that will focus on *restore natural habitats* (730-5%), *sustainable production and consumption* (741-5%), and *public education and awareness* (700-5%). The least referenced topics are *incentive measures* (702), *country specific resource mobilization strategies* (781), and *South-South cooperation* (782).

The **ICCA Consortium highlights several overarching thematic priorities** and recommendations for GEF funding, which were drawn from previous regional and global processes (Part III of [ICCA Consortium's submission](#)):

1. *Funding needs and priorities at the regional and international levels*: three activities have been identified, inter alia participation in regional and international fora and other processes, developing learning networks, and regional community workshops for exchanges and skill-sharing.
2. *Funding needs and priorities at the national level*: eleven activities have been identified, such as research, consultations, development of national ICCA registries, strengthening policy and legal recognition etc.
3. *Funding needs and priorities at the local / community level*: 21 activities have been listed, inter alia capacity building, support to develop and implement governance, management and development plan etc.

**Table 18: Identified thematic approaches for the GEF-7 period** (Source: [country questionnaires](#))

Thematic area of reported project concepts (reference to codes in Table 1)	Percent of reported codes
<b>A: Biodiversity conservation on land and in coastal areas</b> (mainly current GEF-6 Biodiversity Focal Area Strategy)	34%
<b>B. Marine Biodiversity in international waters</b> (GEF-6 Biodiversity Focal Area Strategy, International Waters Focal Area Strategy)	6%
<b>C. Restoration of Natural Habitats, Ecosystems and their services</b> (GEF-6 Biodiversity Focal Area Strategy, Sustainable Forest Management, Climate Change Mitigation Focal Area Strategy)	15%
<b>D. Sustainable use of biodiversity, production and consumption</b> (GEF-6 Biodiversity Focal Area Strategy)	9%
<b>E. Pollution reduction</b> (GEF-6 Biodiversity Focal Area Strategy, International Waters Focal Area Strategy, Land Degradation Focal Area Strategy, Chemicals and Waste Focal Area Strategy)	3%
<b>F. Nagoya Protocol on access to genetic resources and benefit sharing</b> (GEF-6 Biodiversity Focal Area Strategy)	3%
<b>G. Cartagena Protocol on Biosafety</b> (GEF-6 Biodiversity Focal Area Strategy)	3%
<b>H. Capacity Building and cooperation</b> (elements of GEF projects in different Focal Area Strategies)	11%
<b>I. Others as part of projects</b> (elements of GEF projects in different Focal Area Strategies)	16%

## 6. CONCLUSIONS AND REFLECTIONS ON THE ASSESSMENT

This GEF-7 funding needs assessment was **the second exercise of its kind** and faced again some challenges throughout the process. The study's timeframe was extremely tight given the fact that the assessment was predominantly completed by the Expert Team members on a voluntary basis in addition to their regular activities and with limited financial resources.

After having finalized the assessment, the Expert Team would like to present the following **conclusions and reflections** on the results and the available data and information from GEF-recipient country Parties:

- 1. Importance of the overall response rate:** The Expert Team aimed towards a "bottom-up" approach to achieve a reliable, transparent, and replicable source of data and information on country-specific funding needs for GEF-7. However, only 42% (or 60 countries of the 143 GEF-recipient countries) responded with total project costs, co-financing amounts, and expected funding needs from GEF-7. While the Expert Team wishes to express its appreciation to those countries which completed the questionnaire and provided further clarifications as requested by the team, the limited response rate required undertaking an extrapolation in order to estimate the GEF-7 funding need, which affects the overall reliability of the assessment. Furthermore, information included was highly variable in its comprehensiveness. Why only a limited number of countries fully participated is unknown.
- 2. Importance of carefully considering absorption capacity when estimating costs of project concepts for GEF cycles:** GEF-recipient countries reported 200 intended GEF-7 project ideas and concepts. As explained the Expert Team undertook the assessment based on the understanding that countries carefully considered their absorption capacity to implement the intended projects during the 4-year timeframe of GEF-7. As there has been a general increase of GEF funding over subsequent replenishment cycles, a constant improvement in GEF-recipient countries' absorption capacity can be expected.

3. **Importance of accurately applying the Incremental Cost Principle:** The expected funding from GEF-7 should be based on the GEF's *Operational Guidelines for the Application of the Incremental Cost Principle*. The Expert Team assumed that countries accurately applied these operational guidelines to calculate the expected funding from the GEF for the period 2018-2022. When analysing the data provided through the questionnaires, the Expert Team observed that the country-specific rate of funding need increase from GEF-6 to GEF-7 is widely variable (see Table 10). There is no clear explanation as to why countries calculated such different funding needs from the current GEF-6 cycle to the next.
4. **Role of updated NBSAP:** For a “bottom-up” approach like this assessment to be successful, all GEF-recipient countries needed to have identified their priorities for GEF-7 funding in their NBSAPs. However, many Parties have not yet updated their NBSAP and GEF-recipient countries in particular should do so as soon as possible.
5. **Synergies with other GEF-financed conventions and the SDG implementation:** Most of the project concepts seek to achieve synergies with the goals of other conventions: the UNFCCC (20%) and UNCCD (18%), followed by the Ramsar Convention (12%), CITES (11%), CMS (7%), and with IPBES (11%). The Expert Team encourages this increasing trend towards multifocal area projects and programs – as reported by the GEF – that seek synergies among conventions and thus use GEF funding more efficiently. Funding needs arising from development plans and strategies to implement sustainable development goals – supported by the GEF and other instruments - might partially cover funding needs for biodiversity.
6. **Role of National Finance Plans and Resource Mobilization Strategies:** COP-12 adopted targets for resource mobilization, including *to endeavour 100 percent, but at least 75 percent of Parties to report on funding needs, gaps, and priorities, and to prepare national finance plans, by 2015*. Only 18 GEF-recipient countries submitted their funding needs by the extended 2016 deadline. As national finance plans provide an opportunity for countries to indicate how much funding they expect from the GEF Trust Fund, efforts need to be intensified to develop or complete national finance plans or resource mobilization strategies so as to be prepared for future funding needs assessments. The BIOFIN project is a very useful approach in this regard.

The Expert Team notes that the **methodology of this second assessment** on GEF funding needs as set out in the ToR appears adequate to collect information from countries in a *transparent* manner. However, despite the detailed guidance for completing the questionnaire and estimating funding needs from the GEF Trust Fund based on GEF's Incremental Cost Principle, the quality of the data provided through the questionnaires was **not as satisfactory as expected**. In order to further enhance future data *reliability and replicability*, the **guidance should be further refined** so Parties can apply a consistent and agreed methodology in estimating their funding needs of projects, co-financing and GEF's contribution.

Finally, a comprehensive and robust GEF funding needs assessment **relies heavily on input from GEF-recipient countries**. The results of future assessments can only be improved if recipient countries continue and further intensify their active engagement in this task.



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**ANNEX TABLE A. Compilation of COP Guidance to the Financial Mechanism Based on Decisions X/24, X/25, XI/5, And XII/30**

<b>COP GUIDANCE TO THE FINANCIAL MECHANISM</b>
<b>Biodiversity planning (X/24)</b> (a) Capacity building, including human resources development and institutional development and/or strengthening, to facilitate the preparation and/or implementation of national biodiversity strategies and action plans; (b) Elaboration, development, review, revision and updating of national biodiversity strategies and action plans; (c) Priority actions identified in the national plans and strategies of developing countries and countries with economies in transition; (d) Projects aimed at the conservation of biological diversity and sustainable use of its components that integrate social dimensions, including those related to poverty; (e) Capacity-building to implement development activities in ways that are consistent with, and do not compromise, the achievement of the objectives of the Convention on Biological Diversity, including by improving environmental policies in relevant development agencies and sectors such as through integrating concerns relating to biodiversity and the Millennium Development Goals more directly into environmental impact assessments, strategic environmental assessments and other such tools, including at the national level through the national strategies for sustainable development and poverty reduction strategies and programmes.
<b>Biodiversity Integration (X/25)</b> 5. In accordance with Article 20 of the Convention, <i>invites</i> developed country Parties, other Governments and donors, and the financial mechanism to provide financial and technical support to eligible countries to further develop approaches on the integration of biodiversity into poverty eradication and development processes
<b>Identification, indicators and monitoring (X/24, X/25 and XI/5)</b> (a) Identification and monitoring of wild and domesticated biodiversity components, in particular those under threat, and implementation of measures for their conservation and sustainable use; (b) Capacity-building for developing monitoring programmes and suitable indicators for biological diversity; (c) Development and implementation of effective biodiversity indicators; (d) Conducting national and other sub-global assessments making use of the conceptual framework and methodologies of the Millennium Ecosystem Assessment.
8. <i>Requests</i> the Global Environment Facility to provide support to respond to the capacity needs of eligible Parties in developing national targets and monitoring frameworks in the context of updating their national biodiversity strategies and action plans;
24. <i>Calls upon</i> Parties, the Global Environment Facility, donors, international organizations, academia, non-governmental organizations and organizations of indigenous and local communities to consider the provision of technical support and financial resources for collaborative programmes related to the work on indicators on traditional knowledge and customary sustainable use contained in decision XI/3;
<b>Conservation and protected areas (X/24, X/25, and XI/5)</b> (a) Community-conserved areas; (b) National and regional systems of protected areas; (c) Country-driven early action activities of the programme of work on protected areas; (d) Addressing the long-term financial sustainability of protected areas, including through different mechanisms and instruments; (e) Further development of the portfolio on protected areas towards comprehensive, representative and effectively managed protected area systems addressing system wide needs; (f) Projects that demonstrate the role-protected areas play in addressing climate change; (g) Capacity-building activities for the implementation of the Global Strategy for Plant Conservation; (h) Projects that promote the conservation and/or sustainable use of endemic species.
10. <i>Invites</i> other Governments and international financial institutions including the Global Environment Facility, the regional development banks, and other multilateral financial institutions to provide the adequate, predictable and timely financial support, to eligible countries to enable the full implementation of the programme of work on protected areas;
18. <i>Invites</i> the Global Environment Facility and its implementing agencies to facilitate the alignment of the development and implementation of protected area projects with the actions identified in national action plans for the programme of work, for example by clearly articulating the linkages with elements of Aichi Biodiversity Target 11 in project documents, with a view to facilitating the systematic monitoring and reporting of the results of those projects as they contribute to achieving Aichi Biodiversity Target 11 and other related targets by Parties, and to maximize the contribution of such projects to the Strategic Plan for Biodiversity 2011–2020;

<b>Global Strategy for Plant Conservation (X/25 and XI/25)</b>
9. <i>Invites</i> Parties, other Governments, and funding organizations to provide adequate, timely and sustainable support to the implementation of the Global Strategy for Plant Conservation, especially by eligible countries; and <i>invites</i> the financial mechanism to consider strengthening the Global Strategy for Plant Conservation in its country-driven activities
16. <i>Recalling</i> decision X/17, <i>urges</i> Parties and <i>invites</i> other Governments, the financial mechanism, and funding organizations to provide adequate, timely and sustainable support for the implementation of the Global Strategy for Plant Conservation, especially for developing countries, in particular least developed countries and small island developing States, as well as Parties with economies in transition and those countries that are centres of genetic diversity;
<b>Global Taxonomy Initiative (X/24 and X/25)</b>
(a) National and regional taxonomic capacity-building activities for the Global Taxonomy Initiative;
(b) Project components that address taxonomic needs in the achievement of the Convention's objectives.
7. <i>Requests</i> the Global Environment Facility (GEF) and <i>invites</i> Parties, other Governments, and other international and funding organizations to continue to provide funding for GTI proposals;
<b>Invasive alien species (X/24 and XI/5)</b>
(a) Capacity-building to prevent or minimize the risks of the dispersal and establishment of invasive alien species at the national, sub-regional, or regional levels;
(b) Projects that assist with the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans, in particular those strategies and actions related to geographically and evolutionarily isolated ecosystems;
(c) Improved prevention, rapid response and management measures to address threats of alien invasive species, in accordance with its mandate.
19. <i>Requests</i> the Global Environment Facility, in accordance with its mandate, and <i>invites</i> other donors, to provide adequate and timely financial support to developing countries, in particular the least developed countries and small island developing States among them, as well as countries with economies in transition, including countries that are centres of origin or diversity of genetic resources;
<b>Traditional knowledge, Article 8(j) and related provisions (X/24, X/25, XI/14)</b>
(a) Building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge;
(b) Enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and subnational levels;
(c) Development of national action plans for the retention of traditional knowledge relevant to conservation and sustainable use of biological diversity;
(d) Implementation of the priority activities identified in the programme of work on Article 8(j) and related provisions;
(e) Projects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components.
12. <i>Invites</i> the Global Environment Facility, international funding institutions and development agencies and relevant non-governmental organizations, where requested, and in accordance with their mandates and responsibilities, to consider providing assistance to indigenous and local communities, particularly women, to raise their awareness and to build capacity and understanding regarding the elements of the code of ethical conduct
8. <i>Noting</i> the apparent lack of financial support for indigenous and local communities in their efforts to develop their own community plans, including community protocols, <i>urges</i> Parties, including in their requests to the Global Environment Facility (GEF), including through the GEF Small Grants programme, and <i>invites</i> other donors, to support, as appropriate, indigenous and local communities to organize themselves, in order to ensure that they can effectively develop their own community plans and protocols and participate in national and international dialogues concerning the Convention;
9. <i>Also urges</i> Parties, including in their requests to the Global Environment Facility, including through the GEF Small Grants programme, and <i>invites</i> other donors, to support, as appropriate, indigenous and local communities to document, map and register their indigenous and community conserved areas, in accordance with national legislation, and to prepare and implement their community conservation plans. Furthermore, support should be provided to countries to strengthen their recognition of such areas.
<b>Customary sustainable use (XII/30)</b>
22. <i>Invites</i> Parties, other Governments, international organizations, programmes and funds, including the Global Environment Facility, to provide funds and technical support to developing country Parties and indigenous and local communities for implementation of programmes and projects that promote customary sustainable use of biological diversity;

**Sustainable use (X/24)**

(a) Implementation of the Addis Ababa Principles and Guidelines at the national level to ensure that the use of biological diversity is sustainable.

**Access to genetic resources and Nagoya Protocol on Access and Benefit-sharing (X/24, X/25, XI/5, and XII/30)**

(a) Stocktaking activities, such as, for example, assessments of current legislative, administrative and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus-building among the different stakeholders;

(b) Capacity-building (i) To promote the successful development and implementation of legislative, administrative and policy measures and guidances on access to genetic resources, including scientific, technical, business, legal and management skills and capacities; (ii) On measures on access to genetic resources and sharing of benefits, including capacity-building on economic valuation of genetic resources; (iii) Regarding the transfer of technologies which enables providers to fully appreciate and actively participate in benefit-sharing arrangements at the stage of granting access permits;

(c) Projects that assist with the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing in support of the implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization;

(d) Formulation of access and benefit-sharing mechanisms at the national, subregional and regional levels, including monitoring, assessment, and incentive measures;

(e) Within biodiversity projects, other specific benefit-sharing initiatives such as support for entrepreneurial developments by local and indigenous communities, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components.

13. *Invites* the Global Environment Facility to provide financial support to Parties to assist with the early ratification of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity and its implementation

21. *Recommends* that the Global Environment Facility make available the necessary funds for activities to support access and benefit-sharing and the early entry into force and implementation of the Nagoya Protocol in order to implement the third objective of the Convention on Biological Diversity, and *further recommends* that GEF operational focal points carefully consider the urgent need to finance activities related to access and benefit-sharing and the Nagoya Protocol when consulting national stakeholders on the distribution of the System for Transparent Allocation of Resources (STAR) allocation;

22. *Further recommends* that the Global Environment Facility continue to finance, as a priority, technical support to Parties aimed at the speedy ratification and early entry into force of the Nagoya Protocol, and its implementation at national level;

23. *Requests* GEF, in considering financing for Nagoya Protocol Implementation Fund projects, to ensure that the Fund will specifically support activities related to early ratification and capacity-building, and be used for access to and utilization of genetic resources only when such activities have been approved by appropriate government authorities and endorsed through the Global Environment Facility operational focal point;

see *Appendix I: GUIDANCE TO THE FINANCIAL MECHANISM ON PROGRAMME PRIORITIES TO SUPPORT THE IMPLEMENTATION OF THE NAGOYA PROTOCOL ON ACCESS AND BENEFIT-SHARING*.

16. *Taking note* of decision NP-1/6, invites the financial mechanism to implement the following guidance considered by the Conference of the Parties:

Policy and strategy:

17. *Takes note* of the consolidated guidance to the financial mechanism related to policy and strategy adopted in decision X/24, and invites the Conference of the Parties to review, and as appropriate, revise this guidance to take into account new developments such as the entry into force of the Nagoya Protocol;

Programme priorities:

18. *Requests* the Global Environment Facility:

(a) To support activities contained in the guidance that the Conference of the Parties provided to the Global Environment Facility in its decision XI/5, annex, appendix 1;

(b) To make financial resources available with a view to assisting eligible Parties in preparing their national reports;

(c) To support activities related to implementing the awareness-raising strategy for early action on Article 21 of the Protocol;

Eligibility criteria:

19. *Decides* that all developing countries, in particular the least developed and small island developing States, as well as countries with economies in transition, which are Parties to the Nagoya Protocol, are eligible for funding by the Global Environment Facility in accordance with its mandate;

20. *Adopts* the following transitional clause in the eligibility criteria for funding under the financial mechanism of the Protocol:

'Developing countries, in particular the least developed countries and small island developing States among them, and



countries with economies in transition that are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, shall also be eligible for funding by the Global Environment Facility for up to four years after the Nagoya Protocol has entered into force for the development of national measures and institutional capabilities in order to enable them to become a Party. Evidence of such political commitment, accompanied by indicative activities and expected milestones, shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Nagoya Protocol on completion of the activities to be funded.'

**Biosafety and Cartagena Protocol (X/24, X/25, XI/5, and XII/30)**

- (a) In-country, regional and sub-regional stock-taking studies to enable: (i) the better planning and customizing of future assistance to the respective needs of eligible countries, given the fact that a "one-size-fits-all" approach to biosafety has been demonstrated to be inappropriate; (ii) the identification of clear and realistic targets; (iii) the identification and provision of technical and adequately experienced expertise for the implementation of national biosafety frameworks; (iv) the development of effective coordination which facilitates the support, ownership and involvement of all relevant national ministries and authorities, to ensure synergy and continuity;
- (b) Development and implementation of capacity-building activities, including organization of national, regional and inter-regional capacity-building workshops and preparatory meetings. Development of technical, financial, and human capacity including postgraduate education, biosafety-related laboratories and relevant equipment. Implementation of the revised Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety;
- (c) Development and implementation of national biosafety frameworks. Coordination and harmonization of national biosafety frameworks at regional and sub-regional levels;
- (d) Awareness-raising, public participation and information sharing, including through the Biosafety Clearing-House;
- (e) Sustainable national participation in the Biosafety Clearing-House, including capacity-building, to take into account the need for Parties to be able to provide summary information in the common formats for reporting information (particularly keywords for categorizing records) in an official language of the United Nations to enable registration of such information with the Central Portal;
- (f) Building, consolidating and enhancing sustainable human-resource capacity in risk assessment and risk management, and in developing detection techniques for identifying living modified organisms, including the setting up of laboratory facilities and training of local regulatory and scientific personnel. Transfer and joint development of technology in risk assessment, risk management, monitoring and detection of living modified organisms;
- (g) Facilitation of the consultative information-gathering process leading to the preparation of national reports under the Protocol.

20 (a) Continue to implement all previous guidance to the financial mechanism with respect to biosafety, (b)-(h)

15. *Taking note of decision BS-VII/5, invites the financial mechanism to implement the following guidance* <sup>160</sup> *considered and adjusted by the Conference of the Parties for consistency with Article 21 of the Convention: (a)-(g)*

**Ecosystem approach (X/24)**

- (a) Projects that utilize the ecosystem approach, without prejudice to differing national needs and priorities which may require the application of approaches such as single-species conservation programmes.

**Forest biological diversity (X/24)**

- (a) Projects and capacity-building activities for implementing the programme of work of forest biological diversity at the national, regional and sub regional levels and the use of the clearing-house mechanism to include activities that contribute to halting and addressing deforestation, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat;
- (b) Projects focusing on the identified national priorities, as well as regional and international actions that assist the implementation of the expanded work programme considering conservation of biological diversity, sustainable use of its components and fair and equitable sharing of the benefits from genetic resources in a balanced way, underscoring the importance of ensuring long-term conservation, sustainable use, and benefit-sharing of native forests.

**Agricultural biological diversity (X/24)**

- (a) Projects that assist with the implementation of the Plan of Action for the International Initiative for the Conservation and Sustainable Use of Pollinators;
- (b) Projects which implement the Convention's programme of work on agricultural biodiversity.

**Inland water biological diversity (X/24)**

- (a) Projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems, including comprehensive assessments of the biological diversity of inland waters, and capacity-building programmes for monitoring the implementation of the programme

of work and the trends in inland water biological diversity and for information gathering and dissemination among riparian communities;

(b) Projects that assist with the implementation of the programme of work on biological diversity of inland water ecosystems.

**Marine and coastal biological diversity (X/24, X/25 and XII/30)**

(a) Projects that implement the elaborated programme of work on marine and coastal biodiversity;

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

(c) Projects that promote the conservation and sustainable use of marine and coastal biodiversity under threat;

18. *Invites* the Global Environment Facility and other donors and funding agencies, as appropriate, to consider extending support for capacity-building to eligible countries, in order to implement decision X/29, and in particular, with respect to the invitation in paragraph 38 of decision X/29;

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

22. *Recalling* paragraph 20 of decision X/29 and taking into account paragraph 7 of Article 20 of the Convention, as appropriate, *invites* the Global Environment Facility to continue to extend support for capacity-building to developing countries, in particular the least developed countries and small island developing States, as well as countries with economies in transition, in order to further accelerate existing efforts towards achieving the Aichi Biodiversity Targets in marine and coastal areas;

**Island biological diversity (X/24)**

(a) Projects that implement the programme of work on island biodiversity.

**Dry and sub-humid lands (X/24)**

(a) Projects that implement the Convention's programme of work on biodiversity of dry and sub-humid lands;

(b) Projects that promote the conservation and sustainable use of biological diversity in arid and semi-arid areas.

**Mountain biological diversity (X/24)**

(a) Projects which promote the conservation and sustainable use of biological diversity in mountainous areas.

**Climate change and biodiversity (X/24, X/25 and )**

(a) Capacity-building with the aim of increasing the effectiveness in addressing environmental issues through their commitments under the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the United Nations Convention to Combat Desertification, *inter alia*, by applying the ecosystem approach;

(b) Developing synergy-oriented programmes to conserve and sustainably manage all ecosystems, such as forests, wetlands and marine environments, that also contribute to poverty eradication;

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

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

22. *Requests* the Executive Secretary, subject to the availability of financial resources to:

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

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

**Biodiversity and tourism development (XII/30)**

23. *Invites* the Global Environment Facility and other donors, as appropriate, to continue to provide funding to support sustainable tourism that contributes to the objectives of the Convention;

**Incentive measures (X/24)**

(a) Design and approaches relevant to the implementation of incentive measures, including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks;

- (b) Projects that incorporate incentive measures that promote the development and implementation of social, economic and legal incentive measures for the conservation and sustainable use of biological diversity;
- (c) Projects that assist with the implementation of the programme of work on incentive measures;
- (d) Innovative measures, including in the field of economic incentives and those which assist developing countries to address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated.

**National reporting (X/24 and XI/5)**

- (a) The preparation of national reports by developing country Parties and Parties with economies in transition, bearing in mind the need for timely, easy and expeditious access to funding.

25. *Recalls* paragraphs 5 and 6 of decision X/10, which, *inter alia*, request the Global Environment Facility and invite other donors, Governments and multilateral and bilateral agencies to provide adequate and timely financial support for the preparation of the fifth national reports;

**National Biodiversity Strategies and Action Plans incl. resource mobilization strategies (X/25)**

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

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

**Cooperation with international organizations, other conventions and initiatives (XI/5)**

20. *Requests* the Global Environment Facility and *invites* other financial mechanisms to continue to support projects and activities to improve synergies among relevant multilateral environment agreements;

27. *Expresses its gratitude* to all the international organizations and convention secretariats and to the Global Environment Facility for their contributions facilitating the implementation of the Strategic Plan for Biodiversity 2011–2020 and *invites* them to further support the implementation of the Strategic Plan for Biodiversity 2011–2020;

**Access to and transfer of technology (X/24 and X/25)**

(a) Implementation of the programme of work on technology transfer and technological and scientific cooperation, consistent with Articles 16 to 20 of the Convention and based on needs and priorities identified by developing country Parties and Parties with economies in transition, in particular: (i) Building policy, legal, judicial and administrative capacity; (ii) Facilitating access to relevant proprietary technologies; (iii) Providing other financial and non-financial incentives for the diffusion of relevant technologies; (iv) Building capacities of, and empowering, indigenous and local communities and all relevant stakeholders with respect to access to and use of relevant technologies; (v) Improving the capacity of national research institutions for the development of technologies, as well as for adaptation, diffusion and the further development of imported technologies consistent with their transfer agreement and international law including through fellowships and international exchange programmes; (vi) Supporting the development and operation of regional or international initiatives to assist technology transfer and cooperation as well as scientific and technical cooperation, including those initiatives designed to facilitate South-South cooperation and South-South joint development of new technologies and also such cooperation among countries with economies in transition;

(b) Preparation of national assessments of technology needs for implementation of the Convention;

(c) Ongoing national programmes for conservation and sustainable use of biodiversity through improved access to and transfer of technology and innovation;

(d) Provision of capacity building, where needed, on, *inter alia*: (i) technologies for conservation and sustainable use; (ii) governance and regulatory frameworks associated with access and transfer of technology and innovation;

(e) Projects which promote access to, transfer of and cooperation for joint development of technology.

14. *invites* funding institutions, including the Global Environment Facility, to provide financial support to the preparation of such technology needs assessments

**Technical and scientific cooperation and Clearing-House Mechanism (X/24 and X/25)**

(a) Capacity-building for the clearing-house mechanism, such as training in information and communication technologies and web content management that enable developing countries and countries with economies in transition to fully benefit from modern communication, including the Internet;

(b) Establishing and strengthening biodiversity information systems such as, *inter alia*, training, technology and processes related to the collection, organization, maintenance and updating of data and information;

(c) Establishment and updating of national clearing-house mechanisms and participation in the clearing-house mechanism of the Convention;

(d) Activities that provide access to scientific and technical cooperation.

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

**South-south Cooperation COP XI/5**

26. *Reiterates* its invitation to the Global Environment Facility in paragraph 7 of decision X/23 to consider establishing a South-South biodiversity cooperation trust fund for the implementation of the Strategic Plan for Biodiversity 2011–2020, based on voluntary contributions, and *welcomes* ongoing discussions on this matter;

**Research and training (X/24)**

(a) Project components addressing targeted research which contributes to conservation of biological diversity and the sustainable use of its components including research for reversing current trends of biodiversity loss and species extinction, when relevant to the project's objectives and consistent with national priorities.

**Public education and awareness (X/24)**

- (a) Capacity development for education, public awareness and communication in biological diversity at the national and regional levels, as prioritized in the Global Initiative on Communication, Education and Public Awareness;
- (b) Implementation of national communication, education and public-awareness strategies, programmes and activities, in accordance with its mandate;
- (c) Implementation of the identified communication, education and public awareness priority activities at national and regional levels in support of biodiversity strategies and action plans;
- (d) Project components addressing promotion of the understanding of the importance of, and measures required for, the conservation and sustainable use of biological diversity.

**ANNEX TABLE B: GEF Activities in Response to COP-10 Guidance in Decisions X/24 and X/25**(Source: [GEF REPORT TO COP-11](#))

COP-10 Guidance	GEF Response
<p><b>National biodiversity strategies and action plans</b>  <i>Requests</i> the Global Environment Facility to provide adequate and timely financial support for the updating of national biodiversity strategies and action plans and related enabling activities, and <i>requests</i> the Global Environment Facility and its implementing agencies to ensure that procedures are in place to ensure an expeditious disbursement of funds.</p>	<p>During the reporting period, the GEF approved proposals from 102 countries to revise their NBSAP, or 70% of GEF eligible countries. One eligible country has decided not to seek GEF funding for the revision of the NBSAP. Within the context of these proposals, as detailed in Annex 11, support was also provided for developing a resource mobilization strategy, conducting a technology needs assessment, support to the clearing-house mechanism, and producing the fifth national report. By nesting these activities within the NBSAP, not only was funding support provided in a streamlined fashion, it encouraged the integration of these assessments, strategies and reports within the framework of the NBSAP thus increasing the likelihood that the outputs from these activities will be integrated into the NBSAP and associated biodiversity policy at the national level. Please see Annex 11.</p>
<p><i>Requests</i> the Global Environment Facility to provide support to eligible Parties in a expeditious manner, for revising their national biodiversity strategies and action plans in line with the Strategic Plan.</p>	<p>See above.</p>
<p><b>National reporting</b>  <i>Requests</i> the Global Environment Facility to provide adequate and timely financial support for the preparation of the fifth and future national reports, and further <i>requests</i> the Global Environment Facility and its implementing agencies to ensure that procedures are in place to ensure an early and expeditious disbursement of funds.</p>	<p>102 countries, or 70% of GEF-eligible countries, have received support to revise their NBSAPs within which resources have been allocated for the fifth national report as noted above.</p>
<p><b>Biodiversity integration</b>  In accordance with Article 20 of the Convention, <i>invites</i> developed country Parties, other Governments and donors, and the financial mechanism to provide financial and technical support to eligible countries to further develop approaches on the integration of biodiversity into poverty eradication and development processes.</p>	<p>Objective Five of the GEF-5 biodiversity strategy encourages and will measure the integration of biodiversity strategies into national development planning documents. Many proposals that have been submitted to revise the NBSAP are dedicating resources to mainstream the NBSAP into other planning processes.</p>
<p><b>Country-specific resource mobilization strategies</b>  <i>Requests</i> the GEF to provide timely and adequate financial support to updating NBSAPs, which may include the development of country-specific resource mobilization strategies.</p>	<p>The proposals for NBSAP revision include support for activities to develop resource mobilization strategies as part of the NBSAP revision process. See Annex 11.</p>
<p><b>Global Taxonomy Initiative</b>  <i>Further recognizing</i> that taxonomic capacity is crucial for the implementation of all relevant articles and work programmes of the Convention and that the taxonomic capacity to inventory and monitor biodiversity, including the use of new technologies, such as DNA barcoding and other relevant information technology is not adequate in many parts of the world, <i>requests</i> the Global Environment Facility and <i>invites</i> Parties, other Governments, and other international and funding organizations and other international and funding organizations to continue to provide funding for GTI proposals.</p>	<p>The GEF reviews and responds to projects submitted that have elements or components that contribute to the implementation of the GTI at national level and that contribute to achievement of project conservation objectives, however, no such projects were submitted during the reporting period that explicitly included these elements.</p>



COP-10 Guidance	GEF Response
<p><b>Indicators</b>  <i>Requests</i> the Global Environment Facility to provide support to respond to the capacity needs of eligible Parties in developing national targets and monitoring frameworks in the context of updating their national biodiversity strategies and action plans.</p>	<p>The proposals for NBSAP revision include support for activities to develop national targets and monitoring frameworks as part of the NBSAP revision process.</p>
<p><b>Global Strategy for Plant Conservation</b>  <i>Invites</i> Parties, other Governments, and funding organizations to provide adequate, timely and sustainable support to the implementation of the Global Strategy for Plant Conservation, especially by eligible countries; and <i>invites</i> the financial mechanism to consider strengthening the Global Strategy for Plant Conservation in its country-driven activities.</p>	<p>GEF reviews and responds to projects submitted that have elements or components that contribute to the implementation of the Global Strategy for Plant Conservation at national level and that contribute to project conservation objectives, however, no such projects were submitted during the reporting period that explicitly included these elements.</p>
<p><b>Protected areas</b>  <i>Recalling</i> paragraph 1 of its decision IX/18 B, <i>further urges</i> Parties, in particular developed country Parties, and <i>invites</i> other Governments and international financial institutions including the Global Environment Facility, the regional development banks, and other multilateral financial institutions to provide the adequate, predictable and timely financial support, to eligible countries to enable the full implementation of the programme of work on protected areas</p>	<p>Objective One of the GEF-5 biodiversity strategy supports the Programme of Work on Protected Areas (PoWPA). Table 5 above details funding for the first two years of GEF-5 which totaled <b>\$279 million of GEF grants and \$1.35 billion of co-finance.</b></p>
<p><i>Urges</i> the Global Environment Facility and its Implementing Agencies to streamline their delivery for expeditious and proportionate disbursement and to align the projects to national action plans for the programme of work on protected areas for appropriate, focused, sufficient and harmonious interventions of projects.</p>	<p>All GEF projects are to be aligned with NBSAPs, within which countries identify their protected area objectives and priorities, and the projects are evaluated for this congruence.</p>
<p><b>Article 8(j) and related provisions</b>  <i>Invites</i> the Global Environment Facility, international funding institutions and development agencies and relevant non-governmental organizations, where requested, and in accordance with their mandates and responsibilities, to consider providing assistance to indigenous and local communities, particularly women, to raise their awareness and to build capacity and understanding of the elements of the code of ethical conduct.</p>	<p>GEF continues to review and respond to such requests in the context of country-driven projects aligned with the GEF biodiversity strategy.</p>
<p><b>Access and benefit sharing</b>  <i>Invites</i> the Global Environment Facility to provide financial support to Parties to assist with the early ratification of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity and its implementation.</p>	<p>Objective Four of the biodiversity strategy provides capacity building opportunities for countries in ABS. One project has been submitted and approved during the reporting period under objective four of the strategy.  The GEF also approved a Medium Sized Project of <b>\$1 million</b> implemented by the United Nations Environment Programme (UNEP) for the early entry into force of the Nagoya Protocol. This project has been operational since April 2011 and will be completed in April 2013. The project is carrying out a series of awareness-raising and capacity-building activities to support the early ratification and entry into force of the Nagoya Protocol</p>



COP-10 Guidance	GEF Response
<p><b>Technology cooperation</b>  <i>Recalling</i> the importance, as underlined in the preamble to its decision VIII/12, of developing specific approaches to technology transfer and technological and scientific cooperation to address the prioritized needs of countries based on the priorities in national biodiversity strategies and action plans and to link technology needs assessments to those priorities, while avoiding non-specific, global approaches to this issue, <i>invites</i> funding institutions, including the Global Environment Facility, to provide financial support to the preparation of such technology needs assessments.</p>	<p>The NBSAP proposals submitted to the GEF can include the cost of a technology needs assessments. See Annex 11.</p>
<p><b>Clearing-house mechanism</b>  <i>Requests</i> that the Executive Secretary and the Global Environment Facility cooperate to facilitate access to funding for the clearing-house mechanism as a key component to support the implementation of the Strategic Plan of the Convention for the Post-2010 period as well as the implementation of national biodiversity strategies and action plans.</p>	<p>Support to the CHM has been provided in the proposals supporting the revision of the NBSAP. See Annex 11.</p>
<p><b>South-South cooperation on biodiversity</b>  <i>Invites</i> the Global Environment Facility to consider establishing a South-South biodiversity cooperation trust fund for the implementation of the 2011-2020 Strategic Plan of the Convention based on voluntary contributions</p>	<p>The GEF Secretariat participated actively in the third meeting of the South-South Expert Group held in Incheon City, Republic of Korea, May 18-20, 2011 held by the CBD Secretariat and provided input on technical and modality options for such a fund. Future requests from the COP would have to be deliberated by the GEF council at a future date.</p>
<p><b>Marine and coastal biodiversity</b>  <i>Invites</i> the Global Environment Facility and other donors and funding agencies, as appropriate, to consider extending support for capacity-building to eligible countries, in order to implement the present decision, and in particular: (a) With respect to the invitation in paragraph 38 of decision X/** (the marine and coastal biodiversity decision).</p>	<p>Paragraph 38 <i>Invites</i> the Global Environment Facility and other donors and funding agencies as appropriate to extend support for capacity-building to developing countries, small island developing States, least developed countries, and countries with economies in transition, in order to identify ecologically or biologically significant and/or vulnerable marine areas in need of protection, as called for in paragraph 18 of decision IX/20 and develop appropriate protection measures in these areas. These efforts are supported under GEF's objective one on sustainable protected area systems where GEF support to marine protected area management is provided.</p> <p>In addition, as part of the GEF-5 biodiversity strategy, utilizing resources from the focal area set aside and in combination with resources from the International Waters Focal Area, the GEF identified a pilot program to support action in Areas Beyond National Jurisdiction (ABNJ) which was approved by Council in November 2011. <b>The GEF is providing \$50M of grants (\$25M BD; \$25M IW), which has leveraged over \$269.7M so far in co-financing from public and private partners.</b> The ABNJ Program responds to guidance from the CBD concerning Ecologically or Biologically Significant Areas (EBSAs) beyond national jurisdiction through the four PIFs approved as described in paragraph 114 below.</p>
<p><i>Invites</i> the Global Environment Facility and other donors and funding agencies as appropriate to extend support for capacity-building to eligible countries, in order to identify</p>	<p>With regards to paragraph 36 and 37, within the context of country-driven proposals to develop and implement marine protected area projects consistent with Objective One of the</p>

COP-10 Guidance	GEF Response
<p>ecologically or biologically significant and/or vulnerable marine areas in need of protection, as called for in paragraph 18 of decision IX/20 and develop appropriate protection measures in these areas, within the context of paragraphs 36 and 37 of decision</p> <p><i>Para 36.</i> Requests the Executive Secretary to facilitate the description of ecologically or biologically significant marine areas through application of scientific criteria in Annex I of decision IX/20 as well as other relevant compatible and complementary nationally and intergovernmentally agreed scientific criteria, as well as the scientific guidance on the identification of marine areas beyond national jurisdiction, which meet the scientific criteria in annex I to decision IX/20.</p> <p><i>Para 37</i> Emphasizes that additional workshops are likely to be necessary for training and capacity-building of developing country Parties, in particular the least developed countries and small island developing States among them, as well as countries with economies in transition, as well as through relevant regional initiatives, and that these workshops should contribute to sharing experiences related to integrated management of marine resources and the implementation of marine and coastal spatial planning instruments, facilitate the conservation and sustainable use of marine and coastal biodiversity, and may address other regional priorities that are brought forward as these workshops are planned.</p>	<p>biodiversity strategy, identification of ESBAs and capacity building activities may be supported.</p> <p>Please also note above the pilot program on ABNJ referenced in paragraphs 113-117 below.</p>
<p><b><i>Biodiversity and climate change</i></b></p> <p>Invites the Global Environment Facility to consult with the Executive Secretary on ways and means to better inform its Implementing Agencies about decisions made by the Conference of the Parties on biodiversity and climate change, especially those related to enhancing cooperation between the Rio conventions, in order to facilitate the Parties efforts pursuant to such decisions.</p>	<p>GEF agency awareness of these decisions are made evident in the many multi-focal area projects presented by countries under the SMF REDD+ program of the GEF where global environmental benefits are realized in the focal areas of biodiversity and climate change.</p>

**ANNEX TABLE C: GEF-6 Country STAR Allocations** (Source: GEF, 2014c)**Table 1: GEF-6 STAR Country Allocations (\$ million)**

Country	Climate Change	Biodiversity	Land Degradation	Total	Fully Flexible
Afghanistan	3.00	3.91	4.39	11.30	no
Albania	2.00	1.50	0.63	4.13	yes
Algeria	6.51	4.09	1.90	12.50	no
Angola	4.04	6.60	3.04	13.69	no
Antigua and Barbuda	2.00	1.50	0.81	4.31	yes
Argentina	14.62	14.76	4.77	34.15	no
Armenia	2.00	1.50	4.40	7.90	no
Azerbaijan	4.84	1.50	3.22	9.56	no
Bahamas	2.00	4.18	1.36	7.54	no
Bangladesh	7.29	2.00	1.05	10.35	no
Barbados	2.00	1.50	0.64	4.14	yes
Belarus	8.55	1.50	0.50	10.55	no
Belize	2.00	2.86	0.88	5.74	yes
Benin	3.00	2.00	5.08	10.08	no
Bhutan	3.00	2.02	1.12	6.14	yes
Bolivia, Plurinational State of	4.97	12.27	3.14	20.38	no
Bosnia and Herzegovina	2.00	1.50	0.73	4.23	yes
Botswana	2.21	2.02	4.68	8.91	no
Brazil	46.74	70.07	7.06	123.87	no
Burkina Faso	3.15	2.00	6.19	11.33	no
Burundi	3.00	2.00	1.28	6.28	yes
Cambodia	3.00	4.29	1.31	8.59	no
Cameroon	2.69	12.08	1.87	16.64	no
Cabo Verde	2.00	3.41	1.25	6.66	yes
Central African Republic	3.00	2.28	2.27	7.55	no
Chad	3.00	2.38	3.21	8.59	no
Chile	6.42	18.06	1.85	26.32	no
China	126.00	58.55	9.95	194.50	no
Colombia	10.38	39.33	2.42	52.12	no
Comoros	3.00	2.62	1.00	6.62	yes
Congo	2.10	3.94	1.18	7.22	no
Cook Islands	2.00	2.17	0.50	4.67	yes
Costa Rica	2.64	11.60	0.67	14.91	no
Côte d'Ivoire	2.00	4.19	3.54	9.73	no
Cuba	3.11	11.92	1.10	16.12	no
Democratic Republic of the Congo	9.58	16.38	1.00	26.96	no
Djibouti	3.00	2.00	2.83	7.83	no
Dominica	2.00	1.50	0.50	4.00	yes

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

<b>Country</b>	<b>Climate Change</b>	<b>Biodiversity</b>	<b>Land Degradation</b>	<b>Total</b>	<b>Fully Flexible</b>
Dominican Republic	2.31	6.54	0.80	9.65	no
Ecuador	3.19	25.90	3.38	32.48	no
Egypt	10.07	4.45	1.43	15.96	no
El Salvador	2.00	1.51	0.56	4.07	yes
Equatorial Guinea	3.00	2.00	1.00	6.00	yes
Eritrea	3.00	2.00	3.60	8.60	no
Ethiopia	7.41	10.56	5.27	23.23	no
Fiji	2.00	4.94	0.65	7.59	no
Gabon	2.00	3.81	0.97	6.78	yes
Gambia	3.00	2.00	5.18	10.18	no
Georgia	2.00	1.50	2.14	5.64	yes
Ghana	2.41	3.19	4.32	9.92	no
Grenada	2.00	1.50	0.98	4.48	yes
Guatemala	2.00	7.01	0.77	9.78	no
Guinea	3.00	3.10	1.85	7.95	no
Guinea-Bissau	3.00	2.00	1.00	6.00	yes
Guyana	2.00	3.06	1.03	6.09	yes
Haiti	3.00	4.97	1.00	8.97	no
Honduras	2.00	8.13	0.82	10.95	no
India	87.88	36.87	5.83	130.58	no
Indonesia	21.91	57.84	4.16	83.92	no
Iran (Islamic Republic of)	9.76	4.79	2.66	17.21	no
Iraq	2.50	1.50	3.55	7.55	no
Jamaica	2.00	4.79	1.99	8.78	no
Jordan	2.00	1.50	3.70	7.20	no
Kazakhstan	11.81	5.04	5.13	21.99	no
Kenya	4.04	10.28	4.63	18.95	no
Kiribati	3.00	2.00	1.00	6.00	yes
Kyrgyzstan	2.00	1.56	3.04	6.60	yes
Lao People's Democratic Republic	3.07	6.87	1.63	11.58	no
Lebanon	2.00	1.50	2.76	6.26	yes
Lesotho	3.00	2.00	1.00	6.00	yes
Liberia	3.00	3.43	1.00	7.43	no
Libyan Arab Jamahiriya	2.00	1.50	0.91	4.41	yes
Madagascar	3.03	24.54	2.57	30.14	no
Malawi	3.00	5.32	1.44	9.76	no
Malaysia	11.04	14.92	1.31	27.27	no
Maldives	3.00	2.66	1.00	6.66	yes
Mali	3.00	2.10	4.06	9.16	no
Marshall Islands	2.00	2.08	0.50	4.58	yes
Mauritania	3.00	2.00	2.55	7.55	no

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

<b>Country</b>	<b>Climate Change</b>	<b>Biodiversity</b>	<b>Land Degradation</b>	<b>Total</b>	<b>Fully Flexible</b>
Mauritius	5.11	5.41	0.91	11.42	no
Mexico	27.78	54.92	5.40	88.09	no
Micronesia (Federated States of)	2.00	3.82	0.93	6.75	yes
Mongolia	3.02	5.09	3.65	11.76	no
Montenegro	2.00	1.50	0.75	4.25	yes
Morocco	4.85	4.90	4.77	14.53	no
Mozambique	3.43	9.13	3.59	16.16	no
Myanmar	16.95	10.98	2.34	30.26	no
Namibia	2.00	6.59	5.65	14.24	no
Nauru	2.00	1.50	0.50	4.00	yes
Nepal	3.60	3.34	1.96	8.90	no
Nicaragua	2.00	4.47	0.85	7.32	no
Niger	3.00	2.00	4.60	9.60	no
Nigeria	13.02	6.80	3.53	23.35	no
Niue	2.00	1.50	1.30	4.80	yes
Pakistan	8.60	5.05	4.05	17.70	no
Palau	2.00	1.92	0.50	4.42	yes
Panama	2.00	11.70	0.50	14.20	no
Papua New Guinea	2.00	14.66	1.22	17.88	no
Paraguay	2.44	3.21	2.89	8.54	no
Peru	7.12	29.72	3.14	39.98	no
Philippines	7.47	30.55	1.36	39.38	no
Republic of Moldova	2.00	1.50	5.49	8.99	no
Russian Federation	60.57	25.43	8.19	94.19	no
Rwanda	3.00	2.00	1.24	6.24	yes
Saint Kitts and Nevis	2.00	1.50	0.81	4.31	yes
Saint Lucia	2.00	1.98	1.02	5.00	yes
Saint Vincent and the Grenadines	2.00	1.58	0.68	4.26	yes
Samoa	3.00	2.67	1.15	6.82	yes
São Tomé and Príncipe	3.00	3.78	3.55	10.33	no
Senegal	3.00	2.09	5.42	10.51	no
Serbia	3.46	1.50	0.77	5.73	yes
Seychelles	2.00	4.94	0.66	7.59	no
Sierra Leone	3.00	2.11	1.00	6.11	yes
Solomon Islands	3.00	4.52	1.00	8.52	no
South Africa	17.98	22.79	5.18	45.95	no
South Sudan	3.00	2.00	1.00	6.00	yes
Sri Lanka	2.00	7.12	1.92	11.04	no
Sudan	5.73	4.17	2.93	12.83	no
Suriname	2.00	3.04	0.58	5.62	yes

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

<b>Country</b>	<b>Climate Change</b>	<b>Biodiversity</b>	<b>Land Degradation</b>	<b>Total</b>	<b>Fully Flexible</b>
Swaziland	2.00	1.50	2.91	6.41	yes
Syrian Arab Republic	2.34	1.50	2.94	6.78	yes
Tajikistan	2.00	1.50	2.78	6.28	yes
Thailand	14.89	10.26	2.69	27.83	no
The former Yugoslav Republic of Macedonia	2.00	1.50	2.61	6.11	yes
Timor-Leste	3.00	2.00	1.00	6.00	yes
Togo	3.00	2.00	2.21	7.21	no
Tonga	2.00	1.70	0.89	4.59	yes
Trinidad and Tobago	2.29	2.78	1.14	6.22	yes
Tunisia	2.67	1.50	5.04	9.21	no
Turkey	15.72	7.14	4.00	26.87	no
Turkmenistan	4.99	1.81	3.29	10.09	no
Tuvalu	3.00	2.00	1.00	6.00	yes
Uganda	3.77	4.01	2.22	10.00	no
Ukraine	14.74	1.50	3.07	19.32	no
United Republic of Tanzania	7.13	15.90	6.06	29.09	no
Uruguay	2.68	2.04	0.61	5.33	yes
Uzbekistan	11.46	1.78	5.12	18.37	no
Vanuatu	3.00	2.78	1.00	6.78	yes
Venezuela (Bolivarian Republic of)	8.86	16.25	1.00	26.12	no
Viet Nam	11.36	13.17	1.52	26.05	no
Yemen	3.00	4.23	1.99	9.22	no
Zambia	3.64	4.72	3.15	11.50	no
Zimbabwe	2.09	2.70	4.22	9.00	no
<b>TOTAL</b>	<b>941.00</b>	<b>1051.00</b>	<b>346.00</b>	<b>2338.00</b>	



**ANNEX TABLE D: Funding Information in National Reports** (Source [national reports](#))

Country	Latest National Report	Publication date	Funding information
<b>AFRICA (54 countries)</b>			
Algeria	5th	December 2014	No comprehensive or explicit funding data
Angola	5th	March 2014	No comprehensive or explicit funding data
Benin	5th	January 2014	No comprehensive or explicit funding data
Botswana	5th	2015	No comprehensive or explicit funding data
Burkina Faso	5th	July 2014	Updated figures in NBSAP
Burundi	5th	March 2014	No comprehensive or explicit funding data
Cabo Verde	5th	August 2015	No comprehensive or explicit funding data
Cameroon	5th	March 2014	No comprehensive or explicit funding data
Central African Republic	4th	January 2010	No comprehensive or explicit funding data
Chad	5th	April 2014	No comprehensive or explicit funding data
Comoros	5th	June 2014	No comprehensive or explicit funding data
Congo	5th	March 2014	No comprehensive or explicit funding data
Côte d'Ivoire	5th	March 2014	No comprehensive or explicit funding data
D.R.Congo	5th	June 2014	No comprehensive or explicit funding data
Djibouti	5th	March 2014	No comprehensive or explicit funding data
Egypt	5th	2014	No comprehensive or explicit funding data
Equatorial Guinea	5th	March 2014	No comprehensive or explicit funding data
Eritrea	5th	August 2014	No comprehensive or explicit funding data
Ethiopia	5th	May 2014	No comprehensive or explicit funding data
Gabon	2nd	January 2004	No comprehensive or explicit funding data
Gambia	5th	May 2014	No comprehensive or explicit funding data
Ghana	5th	December 2015	No comprehensive or explicit funding data
Guinea	5th	September 2014	No comprehensive or explicit funding data
Guinea-Bissau	5th	2014	No comprehensive or explicit funding data
Kenya	4th	2009	No comprehensive or explicit funding data
Lesotho	4th	December 2009	No comprehensive or explicit funding data
Liberia	5th	April 2014	No comprehensive or explicit funding data
Libya	4th	2010	No comprehensive or explicit funding data
Madagascar	5th	April 2014	No comprehensive or explicit funding data
Malawi	5th	July 2014	No comprehensive or explicit funding data
Mali	5th	May 2014	No comprehensive or explicit funding data
Mauritania	5th	May 2014	No comprehensive or explicit funding data
Mauritius	5th	April 2015	No comprehensive or explicit funding data
Morocco	5th	May 2014	No comprehensive or explicit funding data
Mozambique	5th	2014	Updated figures in NBSAP
Namibia	5th	2014	No comprehensive or explicit funding data
Niger	5th	Feb. 2014	Updated figures in NBSAP
Nigeria	5th	March 2014	No comprehensive or explicit funding data
Rwanda	5th	March 2014	No comprehensive or explicit funding data
São Tomé & Príncipe	5th	April 2014	No comprehensive or explicit funding data
Senegal	5th	March 2014	No comprehensive or explicit funding data
Seychelles	5th	2014	No comprehensive or explicit funding data
Sierra Leone	5th	October 2014	No comprehensive or explicit funding data
Somalia	5th	February 2014	No comprehensive or explicit funding data
South Africa	5th	March 2014	No comprehensive or explicit funding data
South Sudan	5th	December 2015	No comprehensive or explicit funding data
Sudan	5th	2014	No comprehensive or explicit funding data

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

Country	Latest National Report	Publication date	Funding information
Swaziland	5th	2014	No comprehensive or explicit funding data
Togo	5th	April 2014	Updated figures in NBSAP
Tunisia	5th	July 2014	No comprehensive or explicit funding data
Uganda	5th	March 2014	Updated figures in NBSAP
United Republic of Tanzania	5th	May 2014	No comprehensive or explicit funding data
Zambia	5th	June 2015	No comprehensive or explicit funding data
Zimbabwe	5th	August 2014	No comprehensive or explicit funding data
<b>ASIA &amp; THE PACIFIC (49 countries)</b>			
Afghanistan	3rd	March 2009	"Available funding provided explicitly in support of the CBD implementation": US\$83,496,000 for 3 years
Bahrain	5th	2015	-
Bangladesh	5th	2015	No comprehensive or explicit funding data
Bhutan	5th	Undated (posted Jan 2016)	No comprehensive or explicit funding data
Cambodia	5th	2014	No comprehensive or explicit funding data
China	5th	March 2014	No comprehensive or explicit funding data
Cook Islands	4th	2011	No comprehensive or explicit funding data
DPR Korea	4th	December 2011	No comprehensive or explicit funding data
Fiji	5th	2014	No comprehensive or explicit funding data
India	5th	2014	Updated figures in Financial Report
Indonesia	5th	February 2015	No comprehensive or explicit funding data
Iran	5th	April 2015	No comprehensive or explicit funding data
Iraq	5th	March 2014	No comprehensive or explicit funding data
Jordan	5th	September 2014	No comprehensive or explicit funding data
Kazakhstan	5th	April 2014	No comprehensive or explicit funding data
Kiribati	5th	2014	No comprehensive or explicit funding data
Kyrgyzstan	5th	2013	No comprehensive or explicit funding data
Lao People's Republic	5th	April 2016	No comprehensive or explicit funding data
Lebanon	5th	August 2015	No comprehensive or explicit funding data
Malaysia	5th	2014	No comprehensive or explicit funding data
Maldives	5th	2015	No comprehensive or explicit funding data
Marshall Islands	2nd	May 2001	No comprehensive or explicit funding data
Micronesia	5th	2014	No comprehensive or explicit funding data
Mongolia	5th	2014	No comprehensive or explicit funding data
Myanmar	5th	March 2014	No comprehensive or explicit funding data
Nauru	5th	March 2014	No comprehensive or explicit funding data
Nepal	5th	March 2014	No comprehensive or explicit funding data
Niue	5th	March 2014	No comprehensive or explicit funding data
Oman	5th	2014	No comprehensive or explicit funding data
Pakistan	5th	March 2014	No comprehensive or explicit funding data
Palau	5th	March 2014	No comprehensive or explicit funding data
Papua New Guinea	4th	June 2010	No comprehensive or explicit funding data
Philippines	5th	2014	No comprehensive or explicit funding data
Qatar	5th	2014	No comprehensive or explicit funding data
Samoa	5th	2014	No comprehensive or explicit funding data
Solomon Islands	5th	March 2014	No comprehensive or explicit funding data
Sri Lanka	5th	2014	No comprehensive or explicit funding data
Syrian Arab Republic	4th	May 2009	No comprehensive or explicit funding data
Tajikistan	5th	2014	"Annual expenditure": 19.66 million TJS or

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

Country	Latest National Report	Publication date	Funding information
			US\$4,093,790 (March 31, 2014 rate)
Thailand	5th	Not reported	No comprehensive or explicit funding data
Timor-Leste	5th	December 2015	No comprehensive or explicit funding data
Tonga	5th	2014	No comprehensive or explicit funding data
Turkey	5th	August 2014	No comprehensive or explicit funding data
Turkmenistan	5th	2015	No comprehensive or explicit funding data
Tuvalu	4th	November 2009	No comprehensive or explicit funding data
Uzbekistan	5th	2015	No comprehensive or explicit funding data
Vanuatu	5th	Not reported	No comprehensive or explicit funding data
Vietnam	5th	2014	No comprehensive or explicit funding data
Yemen	5th	Not reported	No comprehensive or explicit funding data
<b>LATIN AMERICA &amp; THE CARRIBEAN (33 countries)</b>			
Antigua & Barbuda	4th	March 2010	No comprehensive or explicit funding data
Argentina	5th	July 2015	"Direct and Indirect government CBD expenditures in 2012": US\$4.979.313.281
Bahamas	4th	June 2011	No comprehensive or explicit funding data
Barbados	4th	2011	No comprehensive or explicit funding data
Belize	5th	September 2014	No comprehensive or explicit funding data
Bolivia	5th	2015	No comprehensive or explicit funding data
Brazil	5th	January 2015	No comprehensive or explicit funding data
Chile	5th	2014	No comprehensive or explicit funding data
Colombia	5th	2014	No comprehensive or explicit funding data
Costa Rica	5th	April 2014	No comprehensive or explicit funding data
Cuba	4th	2009	Total: 488,500,000 pesos MMP or US\$21,103,200 (Dec 31, 2012 rate)
Dominica	5th	2014	No comprehensive or explicit funding data
Dominican Republic	5th	2014	No comprehensive or explicit funding data
Ecuador	5th	2015	Total expenditure 2012: US\$22,600,000
El Salvador	5th	2014	No comprehensive or explicit funding data
Grenada	5th	July 2014	No comprehensive or explicit funding data
Guatemala	5th	2014	Average funding 2009, 2011-12: 374,695,265 Quetzal or US\$46,480,600 (August 28, 2013 rate)
Guyana	5th	May 2015	No comprehensive or explicit funding data
Haiti	5th	July 2016	No comprehensive or explicit funding data
Honduras	5th	2014	No comprehensive or explicit funding data
Jamaica	5th	December 2015	No comprehensive or explicit funding data
Mexico	5th	2014	Total expenditure from all sources 2007-2011: US\$13,000,000,000
Nicaragua	5th	July 2014	No comprehensive or explicit funding data
Panama	5th	December 2014	No comprehensive or explicit funding data
Paraguay	5th	August 2016	No comprehensive or explicit funding data
Peru	5th	2014	No comprehensive or explicit funding data
Saint Kitts and Nevis	5th	March 2014	No comprehensive or explicit funding data
Saint Lucia	5th	March 2014	No comprehensive or explicit funding data
Saint Vincent and the Grenadines	5th	September 2015	No comprehensive or explicit funding data
Suriname	5th	2015	No comprehensive or explicit funding data
Trinidad and Tobago	4th	Undated, submitted in 2010	No comprehensive or explicit funding data
Uruguay	5th	2014	No comprehensive or explicit funding data
Venezuela	5th	December 2015	No comprehensive or explicit funding data

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

Country	Latest National Report	Publication date	Funding information
<b>EASTERN EUROPE (12 countries)</b>			
Albania	5th	May 2014	No comprehensive or explicit funding data
Armenia	5th	September 2014	No comprehensive or explicit funding data
Azerbaijan	5th	April 2014	No comprehensive or explicit funding data
Belarus	5th	March 2014	No comprehensive or explicit funding data
Bosnia and Herzegovina	5th	May 2014	Total Cost "projects relevant to biodiversity" (2008-2014): 91,479,994.51 EUR for 6 years
Georgia	5th	October 2015	No comprehensive or explicit funding data
Montenegro	5th	March 2014	No comprehensive or explicit funding data
Republic of Moldova	5th	2013	No comprehensive or explicit funding data
Russian Federation	5th (executive summary)	2014	No comprehensive or explicit funding data
Serbia	5th	August 2014	No comprehensive or explicit funding data
TFYR Macedonia	5th	2014	Biodiversity funding Total: 585,365 EUR for 6 years
Ukraine	5th	April 2015	No comprehensive or explicit funding data

**ANNEX TABLE E: Funding information in NBSAPs** (Source [NBSAPs](#))

Country	Latest NBSAP	Funding Information
<b>AFRICA (54 countries)</b>		
Algeria	NBSAP undated, submitted in 2005	Undated funding data
Angola	NBSAP undated, submitted in 2006	Funding categories used / information not exact: Budget 2007-2012 (6 yrs): Total using minimum amounts = US\$6,170,000 Total using maximum amounts = US\$27,500,000
Benin	NBSAP 2002	Budget 2002-2006 (4 years) Total: FCFA 92.754,8 million
Botswana	NBSAP 2016	Budget 2018-2022 estimated Total: US\$16,000,000
Burkina Faso	NBSAP 2011 (Plan d'Action National 2011)	Budget 2011-2015 Total: FCFA 446,184,797,183
Burundi	NBSAP 2013	Budget 2013-2020 Total: US\$40,514,568
Cabo Verde	NBSAP undated, submitted in 2009	No comprehensive or explicit funding data
Cameroon	NBSAP 2012	No comprehensive or explicit funding data
Central African Republic	NBSAP 2000	Total: FCFA 7,628,756,000 for 5 years
Chad	NBSAP 1999	No comprehensive or explicit funding data
Comoros	NBSAP 2000	No comprehensive or explicit funding data
Congo	NBSAP 2015 (Strategie Nationale et Plan d'actions sur la Diversite Biologique 2015)	General information given, but no timeline or baseline budget
Côte d'Ivoire	NBSAP 2016-2020 (submitted in Feb 2016)	No comprehensive or explicit funding data
D.R.Congo	NBSAP 2002 (Plan National Strategique d'action en Matiere de la Diversite Biologique 2002)	Budget 2002-2010 Total: US\$189,066,129
Djibouti	NBSAP 2001	No comprehensive or explicit funding data
Egypt	NBSAP 1998	No comprehensive or explicit funding data
Equatorial Guinea	NBSAP 2015	No comprehensive or explicit funding data
Eritrea	NBSAP 2015)	Budget 2014-2020 Total: US\$32,755,000 (general targets total) + US\$122,438,500 (ecosystem specific targets total) = US\$155,193,500
Ethiopia	NBSAP 2005	No comprehensive or explicit funding data
Gabon	NBSAP 1999	No comprehensive or explicit funding data
Gambia	NBSAP 2015	Budget 2015-2020 Total: US\$1,099,000
Ghana	NBSAP 2002	No comprehensive or explicit funding data
Guinea	NBSAP 2002	No comprehensive or explicit funding data
Guinea-Bissau	NBSAP 2000	No comprehensive or explicit funding data
Kenya	NBSAP 2000	No comprehensive or explicit funding data
Lesotho	NBSAP 2000	No comprehensive or explicit funding data
Liberia	NBSAP undated, submitted in 2004	Budget 2004-2015 Total: US\$60,882,600
Libya	none	--
Madagascar	NBSAP undated	No comprehensive or explicit funding data
Malawi	NBSAP 2015	Budget 2015-2025 Total (Strategic Objectives): US\$117,000,000 + Capacity building to implement NBSAP 2 Total: US\$8,330,000 = US\$125,330,000
Mali	NBSAP 2014	Budget 2015-2020 Total: FCFA 44,290,000,000
Mauritania	NBSAP undated, submitted in 2000 and 2014 (Strategie et Plan D'action National	Budget 2011-2020 Total: US\$33,403,000

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

Country	Latest NBSAP	Funding Information
	de la Biodiversite 2011-2020)	
Mauritius	NBSAP 2005	No comprehensive or explicit funding data
Morocco	NBSAP 2016	Budget for 2016-2020 Total: US\$1,369,000
Mozambique	NBSAP 2015	Budget for specific priority actions and timeframes from 2016 until 2035
Namibia	NBSAP 2014	Budget 2013-2022 Total: N\$494 million /
Niger	NBSAP 2014	Budget 2014-2020 Total: CFA Franc 420,647,660,000
Nigeria	NBSAP 2015	No comprehensive or explicit funding data
Rwanda	NBSAP 2003	No comprehensive or explicit funding data
São Tomé and Príncipe	NBSAP 2004	Budget 2003-2025 Total: US\$6,179,000
Senegal	NBSAP August 2015	Budget 2016-2020 Total: CFA Franc 22,230,000,000
Seychelles	NBSAP 2014	Budget 2015-2020 -> "Full financial plan avail estimated end 2015" * still unavailable as of February 2016
Sierra Leone	NBSAP 2003	Budget 2004-2014 Total: US\$95,000,000
Somalia	none	--
South Africa	NBSAP 2005	No comprehensive or explicit funding data
South Sudan	none	--
Sudan	NBSAP 2015	Budget 2015-2020 Total: US\$57,592,000
Swaziland	NBSAP 2001	No comprehensive or explicit funding data
Togo	NBSAP 2014	Budget 2011-2020 Total: US\$32,293,000
Tunisia	NBSAP 1998	Total 10-year budget: 72,370,000 DT
Uganda	NBSAP 2015	Budget 2015-2025 Total: US\$80,000,000
United Republic of Tanzania	NBSAP 2016	No comprehensive or explicit funding data
Zambia	NBSAP-2 undated, submitted in 2015	No comprehensive or explicit funding data
Zimbabwe	NBSAP 2014	Budget 2014-2020: Total US\$34,842,000
<b>ASIA &amp; THE PACIFIC (49 countries)</b>		
Afghanistan	NBSAP 2014	No comprehensive or explicit funding data
Bahrain	none	--
Bangladesh	Biodiversity National Assessment and Programme of Action 2020	Indicative resource requirement for Biodiversity Programme of Action 2010-2020 Total: 25,235,000,000 BDT or ~ US\$321,000,000
Bhutan	NBSAP 2014	Budget 2014-2020 Total: US\$32,050,000
Cambodia	NBSAP 2002	No comprehensive or explicit funding data
China	NBSAP, undated, submitted in 2010 (China National Biodiversity Conservation Strategy and Action Plan 2011-2030)	No comprehensive or explicit funding data
Cook Islands	NBSAP 2002	No comprehensive or explicit funding data
DPR Korea	NBSAP 2007	No comprehensive or explicit funding data
Fiji	NBSAP 2003	No comprehensive or explicit funding data
India	NBSAP addendum 2014 (National Biodiversity Action Plan)	Budget 2013-2014 total from all sources: US\$ 1,500 million 2013-2014
Indonesia	NBSAP 2003 (National Biodiversity Action Plan, 2003-2020)	No comprehensive or explicit funding data
Iran	NBSAP, submitted in 2001 (only in Arabic on national website)	--
Iraq	NBSAP 2015	No comprehensive or explicit funding data
Jordan	NBSAP 2015 – 2020, undated, submitted in 2015	No comprehensive or explicit funding data



**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

<b>Country</b>	<b>Latest NBSAP</b>	<b>Funding Information</b>
Kazakhstan	NBSAP 1999	No comprehensive or explicit funding data
Kiribati	NBSAP 2006	Budget 1999-2005 Total: US\$409,590,000
Kyrgyzstan	NBSAP 2014-2020, undated, submitted in 2016	Budget 2014-2020 Total: 10,766,878,000 soms
Lao People's Republic	NBSAP 2004	No comprehensive or explicit funding data
Lebanon	NBSAP 1998	Budget "10 years" until 2008 Total: US\$9,425,000
Malaysia	NBSAP 1998 (National Policy on Biological Diversity)	No comprehensive or explicit funding data
Maldives	NBSAP 2015	Budget 2016-2025 Total: MVR 342,000,000
Marshall Islands	NBSAP 2000	No comprehensive or explicit funding data
Micronesia	NBSAP 2002	No comprehensive or explicit funding data
Mongolia	NBSAP 2015 (National Biodiversity Program for 2015-2025)	No comprehensive or explicit funding data
Myanmar	NBSAP 2011	No comprehensive or explicit funding data
Nauru	None	--
Nepal	NBSAP 2014	Budget 2014-2020 Total: US\$672,685,000
Niue	NBSAP 2015	No comprehensive or explicit funding data
Oman	NBSAP 2001	No comprehensive or explicit funding data
Pakistan	NBSAP 1999	No comprehensive or explicit funding data
Palau	NBSAP 2005	No comprehensive or explicit funding data
Papua New Guinea	NBSAP 2007	No comprehensive or explicit funding data
Philippines	NBSAP 2002 (Conservation priorities)	No comprehensive or explicit funding data
Qatar	NBSAP 2004	No comprehensive or explicit funding data
Samoa	NBSAP undated, submitted in 1998	No comprehensive or explicit funding data
Solomon Islands	NBSAP 2009	No comprehensive or explicit funding data
Sri Lanka	NBSAP 1999	No comprehensive or explicit funding data
Syrian Arab Republic	NBSAP 2002 (only in Arabic )	
Tajikistan	NBSAP 2003	Budget 2004-2014 Total: US\$26,580,000
Thailand	NBSAP 2002, (National Policy, Strategies and Action Plan on the Conservation and Sustainable Use of Biodiversity, 2003-2007)	No comprehensive or explicit funding data
Timor-Leste	NBSAP 2011	No comprehensive or explicit funding data
Tonga	NBSAP 2006	No comprehensive or explicit funding data
Turkey	NBSAP 2007	No comprehensive or explicit funding data
Turkmenistan	NBSAP 2002	Budget 2002-2010: Not explicit, only ranges
Tuvalu	NBSAP 2012-2016, Submitted in 2014	No comprehensive or explicit funding data
Uzbekistan	None	--
Vanuatu	NBSAP 1999	No comprehensive or explicit funding data
Vietnam	NBSAP 2015	No comprehensive or explicit funding data
Yemen	NBSAP 2005	Budget of key Activities with timeframe of "5 years" Total: US\$38,300,000

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

Country	Latest NBSAP	Funding Information
<b>LATIN AMERICA AND THE CARIBBEAN (33 countries)</b>		
Antigua and Barbuda	NBSAP 2014-2020, undated, submitted in 2015	No comprehensive or explicit funding data
Argentina	NBSAP only on national website (2001)	No comprehensive or explicit funding data
Bahamas	NBSAP June 1999	No comprehensive or explicit funding data
Barbados	NBSAP 2002	No comprehensive or explicit funding data
Belize	NBSAP 1998	Budget 1998-2003
Bolivia	NBSAP 2001	No comprehensive or explicit funding data
Brazil	NBSAP 2016	No comprehensive or explicit funding data
Chile	NBSAP 2003	Budget 2004-2015 Total: 14,722,966,637 pesos chilenos
Colombia	NBSAP undated, submitted in 2012 (National Policy for the Integral Management of Biodiversity and its Ecosystem Services)	No comprehensive or explicit funding data
Costa Rica	NBSAP 2000	No comprehensive or explicit funding data
Cuba	NBSAP 2006-2010, Submitted 2008	No comprehensive or explicit funding data
Dominica	NBSAP 2013	Budget 2014-2020 Total: US\$17,650,000
Dominican Republic	NBSAP 2011	No comprehensive or explicit funding data
Ecuador	NBSAP undated, submitted 1998 (Política y Estrategia Nacional de Biodiversidad del Ecuador 2001-2010)	No comprehensive or explicit funding data
El Salvador	NBSAP 2013	No comprehensive or explicit funding data
Grenada	NBSAP 2000	No comprehensive or explicit funding data
Guatemala	NBSAP 2013	Budget 2012-2022 Total: Q2,727,670,500
Guyana	NBSAP 2015	No comprehensive or explicit funding data
Haiti	NBSAP 2000 (incomplete)	No comprehensive or explicit funding data
Honduras	NBSAP 2000	No comprehensive or explicit funding data
Jamaica	NBSAP 2003	No comprehensive or explicit funding data
Mexico	NBSAP 2000	No comprehensive or explicit funding data
Nicaragua	NBSAP undated, submitted 2002	No comprehensive or explicit funding data
Panama	NBSAP (2000)	No comprehensive or explicit funding data
Paraguay	NBSAP undated, submitted 2003	Budget 2004-2009 Total: US\$34,075,000
Peru	NBSAP 2014	No comprehensive or explicit funding data
Saint Kitts & Nevis	NBSAP 2014	Budget 2014-2020 Total: US\$1,180,000
Saint Lucia	NBSAP 2000	No comprehensive or explicit funding data
Saint Vincent & the Grenadines	NBSAP 2000	No comprehensive or explicit funding data
Suriname	NBSAP 2013	Budget 2012-2016 Total: SRD 87,481,000
Trinidad and Tobago	NBSAP 2001	Budget "3 year period" Total: US\$6,560,000
Uruguay	NBSAP undated, submitted 2016	No comprehensive or explicit funding data
Venezuela	NBSAP 2012	No comprehensive or explicit funding data
<b>EASTERN EUROPE (12 countries)</b>		
Albania	NBSAP 1999	No comprehensive or explicit funding data
Armenia	NBSAP 2015	No comprehensive or explicit funding data
Azerbaijan	NBSAP 2006	No comprehensive or explicit funding data
Belarus	NBSAP 2015	No comprehensive or explicit funding data

**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

<b>Country</b>	<b>Latest NBSAP</b>	<b>Funding Information</b>
Bosnia and Herzegovina	NBSAP 2008	No comprehensive or explicit funding data
Georgia	NBSAP 2014	No comprehensive or explicit funding data
Montenegro	NBSAP 2010	Not explicit - Budget 2010-2015: Total "needed funds" Min: EUR 8,440,000, Max: EUR 12,640,000
Republic of Moldova	NBSAP 2015	Budget 2015-2020 Total: 38,600,000 lei
Russian Federation	NBSAP 2001	No comprehensive or explicit funding data
Serbia	NBSAP 2011	No comprehensive or explicit funding data
TFYR Macedonia	NBSAP 2003	Budget 2004-2008 – Minimum based on categories: US\$33,100,000 - US\$64,300,000
Ukraine	NBSAP 1997	No comprehensive or explicit funding data

**ANNEX TABLE F: Funding information in Financial Reports** (Source: [2015 and 2016 FR Submissions](#))

Country	Financial Report (FR)	Funding information
Barbados	FR 2016	Funding needs 2018 et seq. not reported
Bhutan	FR 2016	Funding needs 2018 et seq. not reported
Bolivia	FR 2014	Funding needs 2018 et seq. not reported
Bosnia and Herzegovina	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Burundi	FR 2016	Funding gap and needs in 2018 reported
China	FR 2016	Comments on funding needs refer to the GEF-7 assessment
Colombia	FR 2015	Funding needs 2018 et seq. not reported
Cuba	FR 2016	Funding needs 2018 et seq. not reported
DR of Congo	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Egypt	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Eritrea	FR 2015	Funding gap and needs in 2018, 2019, 2020 reported
Ethiopia	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Georgia	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
India	FR 2016	Funding needs 2018 et seq. not reported
Iran	FR 2016	Funding needs 2018 et seq. not reported
Lebanon	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Madagascar	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Malawi	FR 2015	Funding gap and needs in 2018, 2019, 2020 reported (see also NBSAP 2015)
Mexico	FR 2015	Funding needs not carried out; Reference to BIOFIN
Morocco	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Mozambique	FR 2016	Funding needs 2018 et seq. not reported
Myanmar	FR 2016	Funding needs 2018 et seq. not reported
Panama	FR 2015	Funding needs 2018 et seq. not reported
Philippines	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Rep. Moldova	FR 2016	Funding needs 2018 et seq. not reported
Rwanda	FR 2015	Funding needs 2018 et seq. not reported
Serbia	FR 2016	Funding needs 2018 et seq. not reported; Reference to the GEF-7 needs assessment questionnaire
South Africa	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
South Sudan	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported; Reference to the GEF-7 needs assessment questionnaire
Sudan	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Swaziland	FR 2016	Funding needs 2018 et seq. not reported
Tunisia	FR 2016	Funding gap and needs in 2018, 2019, 2020 reported
Uganda	FR 2015	Funding needs 2018 et seq. not reported

**ANNEX TABLE G: Reported linkages of project concepts to other GEF-funded and biodiversity-related conventions** (Source: [country questionnaires](#))

Reported Conventions Linkages		
Other GEF-funded Conventions	Convention Acronym	No. ( %) of reported convention linkages
United Nations Framework Convention on Climate Change	UNFCCC	199 (20%)
UN Convention to Combat Desertification	UNCCD	179 (18%)
Stockholm Convention on Persistent Organic Pollutants	POPs	19 (2%)
Minamata Convention on Mercury	MCM	14 (1%)
Montreal Protocol on Substances That Deplete the Ozone Layer	MP	12 (1%)
<b>Other biodiversity-related Conventions</b>		
Convention on Wetlands	Ramsar	121 (12%)
Convention on International Trade in Endangered Species of Wild Fauna and Flora	CITES	115 (11%)
Convention on the Conservation of Migratory Species of Wild Animals	CMS	72 (7%)
World Heritage Convention	WHC	64 (6%)
The International Treaty on Plant Genetic Resources for Food and Agriculture	ITPGRFA	52 (5%)
International Plant Protection Convention	IPPC	60 (6%)
<b>Other multilateral initiatives</b>		
Intergovernmental Platform on Biodiversity and Ecosystem Services	IPBES	114 (11%)

**ANNEX TABLE H. Identified Thematic Areas of reported Project Concepts for the GEF-7 period**(Source: [country questionnaires](#))

Thematic area of reported project concepts (reference to codes of Table 1)	Code	Number and percent of reported Codes
<b>A: Biodiversity conservation on land and in coastal areas</b> (mainly current GEF-6 Biodiversity Focal Area Strategy)		<b>34%</b>
Protected Area Networks and general Species conservation (Aichi target 11 and 12)	710	82 (6%)
Terrestrial PA systems: natural habitats and forests, mountains, drylands (Aichi target 5, 11, 12)	711	74 (6%)
Marine and coastal biodiversity and PA systems (Aichi target 11 and 12) and sustainable fisheries in coastal areas (Aichi target 4, 6, 7)	712	66 (5%)
Coral reefs (Aichi target 10, 14, 15) and sustainable fisheries (Aichi target 4, 6, 7)	713	54 (4%)
PAs for island biological diversity (Aichi target 11 and 12)	714	28 (2%)
Conservation of threatened species (Aichi target 12)	715	75 (6%)
Addressing invasive alien species (Aichi target 9)	716	48 (4%)
<b>B. Marine Biodiversity in international waters</b> (GEF-6 Biodiversity Focal Area Strategy, International Waters Focal Area Strategy)		<b>6%</b>
Marine Protected Areas beyond national jurisdiction (Aichi target 11)	720	18 (1%)
Sustainable fisheries on high seas and sustainable use (Aichi target 4, 6; 7)	721	33 (3%)
Transboundary Inland water systems (Aichi target 11, 12, 14)	722	26 (2%)
<b>C. Restoration of Natural Habitats, Ecosystems and their services</b> (GEF-6 Biodiversity Focal Area Strategy, Sustainable Forest Management, Climate Change Mitigation Focal Area Strategy)		<b>15%</b>
Restore Natural habitats (Aichi target 5)	730	60 (5%)
Avoid forest loss, degradation and fragmentation of forests (Aichi target 5)	731	49 (4%)
Restore essential forest ecosystems and their services (Aichi target 15)	732	44 (3%)
Restore essential freshwater ecosystems and their services (Aichi target 14)	733	35 (3%)
<b>D. Sustainable use of biodiversity, production and consumption</b> (GEF-6 Biodiversity Focal Area Strategy)		<b>9%</b>
Genetic diversity of plants and animals (Aichi target 13)	740	52 (4%)
Sustainable production and consumption (Aichi target 4)	741	63 (5%)
<b>E. Pollution reduction</b> (GEF-6 Biodiversity Focal Area Strategy, International Waters Focal Area Strategy, Land Degradation Focal Area Strategy, Chemicals and Waste Focal Area Strategy)		<b>3%</b>
Pollution reduction to biodiversity safe levels from agriculture, freshwater systems etc (Aichi target 8)	750	33 (3%)
<b>F. Nagoya Protocol on access to genetic resources and benefit sharing</b> (GEF-6 Biodiversity Focal Area Strategy)		<b>3%</b>
Activities according to decision XI/5, annex, appendix 1; protocol implementation, national reporting, awareness raising, and capacity improvement	760	41 (3%)
<b>G. Cartagena Protocol on Biosafety</b> (GEF-6 Biodiversity Focal Area Strategy)		<b>3%</b>
Implementation of national biosafety frameworks, national reporting, capacity building and improvement; ratification and implementation of the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress	770	40 (3%)
<b>H. Capacity Building and cooperation</b> (elements of GEF projects in different Focal Area Strategies)		<b>11%</b>
National reporting	780	26 (2%)
Country-specific resource mobilization strategies (Aichi target 20)	781	16 (1%)



**ASSESSMENT OF BIODIVERSITY FUNDS NEEDED FOR GEF-7**

South-South Cooperation	782	10 (1%)
Biodiversity planning, integration and synergies (Aichi target 2)	783	48 (4%)
Technical and scientific cooperation, transfer of technology (Article 16) and Clearing-House Mechanism (Article 18)	784	38 (3%)
<b>I. Others as part of projects</b> (elements of GEF projects in different Focal Area Strategies)		<b>16%</b>
Public education and awareness (Aichi target 1)	700	68 (5%)
Traditional knowledge and customary use (Article 8(j) and related provisions, Aichi target 18)	701	40 (3%)
Incentive measures (Aichi target 3)	702	18 (1%)
Sustainable tourism	703	23 (2%)
Research and training (Article 12) and knowledge, the science base and technologies relating to biodiversity, its values, functioning, status and trends, and the consequences of its loss, are improved, widely shared and transferred, and applied (Aichi target 19); Global Taxonomy Initiative; development and application of indicators and monitoring (Article 7)	704	56 (4%)

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