



CBD



Convention on Biological Diversity

Distr.
GENERAL

UNEP/CBD/WGRI/5/INF/10
26 March 2014

ORIGINAL: ENGLISH

AD HOC OPEN-ENDED WORKING GROUP ON REVIEW OF IMPLEMENTATION OF THE CONVENTION

Fifth meeting

Montreal, 16-20 June 2014

Item 7.2 of the provisional agenda

THE FINANCIAL MECHANISM

Fourth review of the effectiveness of the financial mechanism

Note by the Executive Secretary

1. In accordance with the annex to decision X/27, the Executive Secretary contracted an experienced independent evaluator through an open and transparent international bidding process. In accordance with paragraph 7 of decision XI/5, the Executive Secretary is circulating herewith the report of the fourth review of the effectiveness of the financial mechanism prepared in response to decision X/27, for consideration by the Ad Hoc Open-ended Group on Review of Implementation of the Convention at its fifth meeting.
2. The document is being circulated in the form and language in which it was provided to the Secretariat.

EXECUTIVE SUMMARY

FOURTH REVIEW OF THE EFFECTIVENESS OF THE FINANCIAL MECHANISM OF THE CONVENTION ON BIOLOGICAL DIVERSITY

SUBMITTED TO:

Secretariat of the Convention on Biological Diversity

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February 2014



Introduction

The Convention on Biological Diversity (CBD) is an international legally binding treaty that entered into force in December 1993 with three main objectives: the conservation of biological diversity; the sustainable use of the components of biological diversity; and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources.

To assist developing country Parties with implementation of their commitments under the Convention, a mechanism for the provision of financial resources to these Parties was established under Article 21 of the Convention. At its third meeting in 1996, the Conference of the Parties (COP) established the Global Environment Facility (GEF) as the institutional structure to operate the financial mechanism of the Convention in Decision III/8, and a Memorandum of Understanding (MOU) was signed between the COP and the GEF. Article 21 of the Convention also provides that the COP review the effectiveness of the financial mechanism on a regular basis and take appropriate action to improve the effectiveness of the mechanism if necessary. In accordance with this Article, the effectiveness of the financial mechanism has been reviewed by an independent evaluator in three prior periods, and the outcomes of those reviews are contained in COP documents UNEP/CBD/COP/4/16 (*First Review*), UNEP/CBD/COP/6/13/Add.1 (*Second Review*), and UNEP/CBD/COP/9/17 (*Third Review*).

At its tenth meeting, in Decision X/27, the COP adopted the terms of reference (TOR) for the Fourth Review of the Effectiveness of the Financial Mechanism. The Parties decided that this review should include an analysis of: (a) the conformity of the activities of the GEF, as the institutional structure operating the financial mechanism, with the guidance of the COP; (b) the effectiveness of the financial mechanism in providing and mobilizing new and additional financial resources to enable developing country Parties and Parties with economies in transition to meet the agreed full incremental costs to them of implementing measures which fulfill the obligations of the Convention and to benefit from its provisions, taking into account the need for predictability, adequacy and timely flow of funds; (c) the efficiency of the financial mechanism in providing and delivering financial resources, as well as, in accordance with the guidance of the COP, overseeing, monitoring and evaluating the activities financed by its resources, as appropriate; (d) the efficiency and effectiveness of the activities funded by the GEF on the implementation of the Convention and the achievement of its three objectives, taking into account the guidance provided by the COP; (e) the effectiveness and relevance of guidance from the COP to the GEF; and (f) the coherence with other Rio conventions. The full TOR is provided in the Annex to Decision X/27.

At its eleventh meeting, in Decision XI/5, paragraph 7, the COP requested the Executive Secretary of the CBD to make the report of the Fourth Review of the Effectiveness of the Financial Mechanism available to Parties for consideration by the Ad Hoc Open-ended Group on Review of Implementation of the Convention at its fifth meeting (WGRI-5) to be held in June 2014.

Methods of analysis

This review was undertaken in accordance with the TOR. The review period was agreed upon with the CBD Secretariat and covers activities of the financial mechanism from July 2007 through the present. This review therefore considers activities under the GEF-4 replenishment period and part of the GEF-5 replenishment period. Evidence for this review was gathered utilizing both top-down and bottom-up approaches, including: a desk study of key documents from the CBD, the GEF, and other entities; a portfolio analysis with data from the GEF Project Management Information System (PMIS); an online questionnaire that was sent to CBD and GEF focal points

representing developed and developing country Parties and Parties with economies in transition;¹ and in-depth stakeholder interviews with the CBD Secretariat, GEF Secretariat, GEF Evaluation Office (EO), UNDP, UNEP, World Bank, and a small sample of donor and recipient country Parties.

Main Conclusions and Recommendations

CONCLUSION 1: The COP has made measurable improvements in consolidating older guidance to the GEF during this review period, but the number of new items of guidance adopted at each COP is still consistently high.

RECOMMENDATION 1: The COP may wish to streamline guidance to the GEF through a more regular and systematic process. A mechanism such as a working group (e.g., similar to the working group established at WGRI-3) could be implemented to review new guidance for repetitiveness, amend/remove older items of guidance as appropriate, and develop a more condensed set of guidance to convey to the GEF during or after each COP.

From 1994 through 2012, a total of 328 items of guidance have been provided from the CBD COP to the GEF. At each COP since 2002, the CBD has issued a greater amount of guidance to the GEF than any other convention.

During this review period, the COP has made measurable improvement in consolidating historical guidance to the GEF. In its decision IX/31, the COP requested that the Secretariat identify obsolete, repetitive, and overlapping guidance and prepare an updated compilation of the existing guidance to the financial mechanism. The final compilation of guidance was approved by decision X/24, successfully condensing all guidance from COP-I through COP-IX.

Despite this improvement, the new guidance to the financial mechanism that was then adopted at COP-X and COP-XI includes some repetitive guidance. In addition, while the quantity of new items of guidance adopted at each COP did not increase from COP-IX through COP-XI, it has remained consistently high. Over 130 pieces of guidance were provided to the GEF during this review period.

CONCLUSION 2: Strategic prioritization of COP guidance remains an issue for the CBD. The CBD does not rank its guidance in order of importance, nor identify funding quotients associated with guidance. This lack of prioritization may result in fragmentation of limited GEF resources and achievement of limited impact in many areas, as opposed to concentrated impact in a few areas..

RECOMMENDATION 2: The CBD Secretariat and GEF Secretariat should explore ways that the COP can best utilize the *Strategic Plan for Biodiversity 2011-2020* to set priorities for the financial mechanism. In particular, it is recommended that the COP agree upon certain Aichi Targets that are high priority for the GEF to address in the short term.

The CBD identifies a high number of specific areas to be supported by GEF financing, but does not rank its guidance in order of importance, nor does it identify the proportion of funding it would like directed towards its priority. The first report of the *Fifth Overall Performance Study of the GEF* (OPS-5) found that the lack of strategic prioritization has been more pronounced for the CBD than for other conventions.

¹ In total, forty-eight Parties responded to the survey, including forty-three developing country Parties and five developed country Parties, representing 25 percent of the Parties to the CBD.

The CBD provided more direction to the GEF regarding prioritization when the COP agreed upon a *Four-Year Framework of Programme Priorities Related to Utilization of GEF Resources for the Period from 2010 to 2014* at COP-IX. This framework outlined six programme priority areas for the GEF, and stakeholder feedback suggests that this was an effective input to the negotiations for the Fifth Replenishment of the GEF.

The input to the Sixth Replenishment of the GEF, agreed at COP-XI, was a reiteration of the *Strategic Plan for Biodiversity 2011-2020* and corresponding *Aichi Biodiversity Targets*. In consultations, GEF focal points and the GEF Secretariat raised the point that the *Strategic Plan* is an all-encompassing framework for global progress on biodiversity. It was further noted that some targets are broader than those previously included in the *Four-Year Framework of Programme Priorities Related to Utilization of GEF Resources for the Period from 2010 to 2014*. It was noted that from the GEF perspective, the *Strategic Plan*, including the Aichi Targets, did not set priorities for how the GEF should focus in the upcoming four-year period, which was noted as a difficulty in the development of the GEF-6 strategy. As GEF resources are limited, this lack of prioritization may result in a fragmented approach, leading to a choice between achievement of limited impact in many areas, or a more concentrated impact in a just few areas.

CONCLUSION 3: The GEF has been largely responsive to guidance from the COP, within its means, in the GEF-4 and GEF-5 Focal Area Strategies, project approvals, and GEF reports to the COP.

RECOMMENDATION 3: The GEF and the COP should together continue to explore ways to balance the comprehensiveness and conciseness of the GEF reports, to ensure that they meet the needs of the Parties. Moving forward in addressing the Aichi Targets, new formats focusing on those targets might be explored.

Overall, the GEF has been largely responsive to guidance from the COP. In its report to COP-IX, the GEF began including a table that details its response to each piece of COP guidance, which is a notable improvement for Parties to track if Convention guidance is being followed. The GEF has also taken measures to improve reporting on results since the last review period.

COP guidance is also reflected in GEF strategies. The CBD's three objectives align well with the GEF's objectives in both the *GEF-4 and GEF-5 Biodiversity Focal Area Strategies*, and the *GEF-5 Focal Area Strategy* covers all areas noted in the *Four-Year Framework of Programme Priorities Related to Utilization of GEF Resources for the Period from 2010 to 2014*.

However, GEF activities have not addressed all pieces of COP guidance during this review period. Some requests are perceived as not being within the GEF's mandate as they may not generate global environmental benefits, and others may be outside its control when Parties do not prioritize certain thematic areas. For instance, during this review period no countries submitted projects that explicitly addressed certain pieces of COP guidance related to the Global Strategy for Plant Conservation, the Global Taxonomy Initiative (GTI), and National Biosafety Framework (NBF) implementation projects.

CONCLUSION 4: While the total allocation of GEF funds to the biodiversity focal area has been largely predictable, the allocation of funding to individual countries has been less predictable, with predictability increasing from GEF-4 to GEF-5 due to the replacement of the RAF with the STAR.

RECOMMENDATION 4: The GEF should continue to use an allocation framework to predictably and equitably allocate biodiversity funding to individual countries; however, adjustments to the framework should be considered based upon the mid-term evaluation of the STAR.

The total allocation of GEF funds to the biodiversity focal area has increased over time, growing from \$930 million under GEF-2 to \$1,200 million under GEF-5, and representing between 30 and 37 percent of total GEF funds. During this review period, the portion of biodiversity funding allocated to mega-diverse, least developed countries (LDCs), small island developing states (SIDS), and countries with economies in transition (EITs) has remained roughly the same (assuming countries in the group under GEF-4 receive an equitable share of the group allocation).

While total funding for biodiversity has been generally predictable, the allocation of funds to individual countries has been more variable during this review period due to the use of different allocation frameworks under GEF-4 and GEF-5. Under GEF-4 the Resource Allocation Framework (RAF) was used to allocate biodiversity funding to countries individually and as a group. Under GEF-5 this framework was replaced by the System for Transparent Allocation of Resources (STAR), which only allocates funding to countries individually. Stakeholders largely agree that the STAR is a more transparent, predictable, and flexible system for resource allocation than the RAF. Of the GEF and CBD focal points that were surveyed, 75 percent agreed or strongly agreed that the transition from the RAF to the STAR has resulted in greater transparency, while 82 percent agreed or strongly

CONCLUSION 5: The GEF has been effective in funding enabling activities, although opinions are mixed on whether adequate funding has generally been provided for developing country Parties and Parties with economies in transition to meet the agreed full incremental costs to them of implementing measures which fulfil the obligations of the Convention. Looking forward, the Convention's Needs Assessments implies that GEF-6 funding levels that are thought to be required to achieve the Aichi Targets and biosafety needs far exceed the amount of funding available through the GEF.

RECOMMENDATION 5: Greater discussion is needed at the COP regarding the role of the GEF in providing funds to achieve the Aichi Targets and in supporting activities under the Cartagena Protocol.

agreed that the transition has resulted in more predictable financial resources. Over 60 percent of the GEF and CBD focal points surveyed also agreed or strongly agreed that under the STAR there is greater flexibility in resource utilization. The GEF EO has recently performed a mid-term evaluation of the STAR, which may lead to adjustments in the framework moving forward.

During this review period, the GEF has been effective in disbursing available funds. Funds that were allocated to the biodiversity focal area under GEF-4 were almost entirely utilized, and it is expected that the majority of funds allocated under GEF-5 will be similarly utilized. However, there are differing opinions on the adequacy of resources for biodiversity projects. Of the GEF and CBD focal points that responded to the survey for this review, about 58 percent agreed or strongly agreed that adequate funding was provided for the nationally identified priorities for implementation of the CBD under GEF-5, while only 44 percent agreed or strongly agreed that adequate funding was provided under GEF-4. The difference between replenishment periods may be explained by the total quantity of funding allocated to the biodiversity focal area in each period; total funds increased by \$200 million from GEF-4 to GEF-5.

Compared to previous replenishment periods, the number of enabling activities has significantly increased under GEF-5, with enabling projects representing roughly 25 percent of the total number of biodiversity projects. This increase is due to discrete direction by the COP, per decision VIII/18 and X/25, to provide funding to support the updating of national biodiversity strategies and action

plans (NBSAP) and related enabling activities (e.g., fifth national reports). There is general agreement that the GEF has been successful at funding these activities.

The Convention's first needs assessment—conducted for Sixth Replenishment of the GEF—suggests that countries believe that \$16 to \$40 billion is required in GEF-6 to achieve the Aichi Targets and biosafety needs, an amount that far exceeds the amount of funding available through the GEF.

CONCLUSION 6: The GEF has helped to mobilize new and additional financial resources at the project level to support implementation of the CBD, although opportunity exists to do more.

RECOMMENDATION 6: The GEF should continue to focus on resource mobilization (e.g., project cofinancing) while not compromising project goals. The GEF should seek to innovate in GEF-6 to mobilize further resources for biodiversity; strategies may include pursuing business models for biodiversity projects that lend themselves to private investment and that create sustainability by transferring responsibility to private entities.

In total since the beginning of the GEF, biodiversity projects funded by the GEF through March 2013 anticipate attracting more than \$11 billion in cofinancing. While the ratio of anticipated cofinancing to GEF biodiversity funding has gradually increased over time, the average cofinancing ratio of 4.14 for the biodiversity focal area is significantly below the ratio for other focal areas. This is attributed to the fact that it is more challenging to attract cofinancing for biodiversity projects compared to other focal areas. Multiple GEF Agencies interviewed raised concerns that the focus of the GEF on cofinancing ratios has led to increased and undue complexity, or the broadening of project scope to attract cofinancing in some biodiversity projects.

CONCLUSION 7: To date, under GEF-5, country requests and GEF approvals for biodiversity funding have not fully aligned with the notional allocations identified for each objective in the GEF-5 biodiversity strategy.

RECOMMENDATION 7: The COP may wish to encourage Parties to submit projects to the GEF related to the Global Strategy for Plant Conservation, and the Global Taxonomy Initiative (GTI) – two areas in which no projects were submitted to the GEF, despite COP guidance that these are priority areas. In addition, requests for biosafety support were limited to national reporting. The GEF should continue to monitor the progress of project approvals in these areas and provide updates to the COP.

Stakeholders generally agree that the GEF has helped to mobilize additional resources to support implementation of the CBD during the review period. Of the GEF and CBD focal points that responded to the survey, 74 percent agreed or strongly agreed that GEF projects have helped to mobilize additional resources for CBD implementation. However, given the anticipated needs, a greater emphasis on the mobilization of new and additional resources is required, and the GEF should seek to innovate in GEF-6 to mobilize further resources for biodiversity.

As part of the replenishment negotiations for GEF-5, the GEF identified notional allocations for each of the five objectives under the GEF biodiversity strategy. These notional allocations were indications of how much funding would likely be programmed under each objective based upon past phases of the GEF. As requests for biodiversity funding are country-driven, actual programming allocations for each objective of the GEF-5 biodiversity strategy are defined by

Parties. To-date, requests and approvals for biodiversity funding under GEF-5 do not fully align with the notional allocations.

Halfway through GEF-5, more than half of the funding that was notionally allocated to objective 1 (improve sustainability of protected area systems) has been approved for use by the GEF while the amount of funding approved to support objective 2 (mainstream biodiversity conservation and sustainable use) has already exceeded the notional allocation. While protected areas have historically been emphasized in GEF-funded activities-, it is expected that mainstreaming will take on more of an equal emphasis in GEF programming in order to achieve the Aichi Targets.

Notably, at the midway point of GEF-5, no countries had submitted projects for approval to support objective 3 (build capacity for the implementation of the Cartagena Protocol on Biosafety). Some countries received support for developing their national report for biosafety, but that support falls under objective 5. Some stakeholders interviewed suggested that the use of an allocation framework under GEF-4 and GEF-5 (i.e., the RAF and STAR) has contributed to under-requesting of biosafety funding because each country receives an allocation and decides which priorities to address with the limited funds. Biosafety may be a lower national priority in some countries, the biosafety focal point is often in the agriculture ministry which is less involved in the prioritization of GEF resources, some countries do not import or export living modified organisms (LMOs), or biosafety may be better addressed through transboundary projects, which can be challenging with the individual country allocations.

Of the notional allocation for objective 4 (build capacity on access to genetic resources and benefit sharing), countries have submitted proposals for funding that has used 16 percent of the notional allocation. Stakeholders interviewed on this topic expressed a need for more time to understand which capacity building activities should be undertaken under this objective, but expect greater emphasis on ABS in GEF programming with time. Finally, 43 percent of the notional allocation for objective 5 (integrate CBD obligations into national planning through enabling activities) has been approved.

CONCLUSION 8: The GEF project cycle is perceived to be more transparent and efficient for biodiversity projects since it was updated in 2007; however, efficiency targets are still not consistently met, and there is room for improvement.

RECOMMENDATION 8: The GEF, in collaboration with the Agencies, should continue to streamline the project cycle by adopting reforms related to co-financing and monitoring and reporting requirements, as suggested by the GEF Evaluation Office in OPS-5.

There is general agreement among stakeholders consulted for this review that the GEF project cycle has become more transparent and efficient since 2007. Specifically, 67 percent of the GEF and CBD focal points that responded to the survey agree or strongly agree that the project cycle has become more transparent while 65 percent agree or strongly agree that the project cycle has become more efficient.

While the project cycle is perceived as more transparent and efficient, in some cases, efficiency targets are not being met. Full-sized biodiversity projects on average have been approved within the targeted elapsed time of 22 months established by the GEF in 2007, yet have exceeded the revised target of 18 months established by the GEF in 2010. Medium-sized projects have on average exceeded the targeted elapsed time of 12 months by more than four months. At the same

time, compared to GEF-4, biodiversity projects approved under GEF-5 have taken a significantly shorter time on average to move through the GEF project cycle. Additionally, compared to other GEF Agencies, ADB and FAO biodiversity projects approved under GEF-4 and GEF-5 on average have taken longer to move through the GEF project cycle.

In OPS-5, the GEF Evaluation Office found that co-financing and M&E requirements are contributing to delays in the project cycle. New project cycle reforms were recommended for the GEF-6 period, and in the Management Response to OPS-5, the GEF Secretariat and Agencies agreed that the GEF should explore the feasibility of these recommendations for streamlining the project cycle.

CONCLUSION 9: GEF support for monitoring and evaluation (M&E) at the Convention level could be strengthened, so that GEF M&E provides greater utility for measuring progress in achieving the objectives of the Convention.

RECOMMENDATION 9: The CBD and GEF should coordinate regarding how to measure progress in achieving the Aichi Targets. The CBD and GEF should consider establishing a more formal mechanism for harmonizing the indicators that are reported on in the biodiversity portfolio.

Results from the biodiversity focal area have frequently been assessed in GEF evaluation products, including Annual Impact Reports (AIRs), Annual Performance Reports (APRs), Country Portfolio Evaluations (CPEs), and Overall Performance Studies (OPS), and evaluation results are adequately transmitted from the GEF Evaluation Office to the COP.

However, linkages between M&E at the GEF and the Convention levels could be strengthened. GEF M&E procedures were not designed for reporting at the Convention level, and there is no explicit mention of how well Convention objectives have been met in Evaluation Office products. Some stakeholders interviewed for this review noted a need for GEF project documents to explicitly identify the link to the NBSAPs, a COP decision, or a target, so that the CBD may use projects to monitor of the achievement of the Aichi Targets for 2020. This is now a requirement in GEF project documentation (i.e., in documentation for PIF and CEO endorsement for full-sized projects and in documentation for CEO approval for medium-sized projects.) Moreover, there are a variety of discussions at the GEF and at the CBD levels regarding the proper indicators that should be reported on for biodiversity programming. There is a need to coordinate these two processes, to ensure that GEF indicators line up with what the Parties want in monitoring achievement of the Aichi Targets. Without these linkages, systematic M&E at the Convention level is difficult to accomplish.

CONCLUSION 10: The financial mechanism is funding projects that promote synergies among the Rio Conventions. The amount of biodiversity funding for multi-focal area projects has dramatically increased during this review period, and that trend is expected to continue.

RECOMMENDATION 10: The COP should consider this rise in multi-focal area programming when providing guidance to the GEF, and should consider how the GEF can best report back to the COP on biodiversity results from synergistic projects.

There is growing recognition that the three Rio Conventions—the CBD, UNFCCC, and UNCCD—are fundamentally linked, with mutual dependencies and a concern for many of the same environmental and sustainable development issues. The GEF has promoted synergies among the

Rio Conventions through a new Sustainable Forest Management (SFM)/REDD+ strategy and through multi-focal area projects.

The amount of biodiversity funding that goes toward multi-focal area projects has dramatically increased since GEF-3, and that trend is expected to continue. In GEF-5, nearly half of funding for the biodiversity focal area has gone toward multi-focal area projects. Over 90 percent of these multi-focal area projects incorporate either climate change or land degradation components.

During this review period, several challenges existed for multi-focal area projects. Synergistic projects had a higher monitoring burden than single focal area projects, and the GEF did not lay out a strategic approach for multi-focal area activities. The GEF is currently working to address these challenges in GEF-6. As the GEF is considering ways to simplify reporting for multi-focal area projects, coordination with the Convention will be necessary to avoid challenges in tracking results and reporting.

FINAL REPORT

FOURTH REVIEW OF THE EFFECTIVENESS OF THE FINANCIAL MECHANISM OF THE CONVENTION ON BIOLOGICAL DIVERSITY

SUBMITTED TO:

Secretariat of the Convention on Biological Diversity

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February 2014



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41	ABS	Access and Benefit-Sharing
42	ADB	Asian Development Bank
43	AIR	Annual Impact Reports
44	APR	Annual Performance Report
45	BD	Biodiversity
46	CBD	Convention on Biological Diversity
47	COP	Conference of the Parties
48	CPB	Cartagena Protocol on Biosafety
49	CPE	Country Portfolio Evaluation
50	CPIA	Country Policy and Institutional Assessment
51	EIT	Countries with Economies in Transition
52	EO	Evaluation Office
53	FAO	Food and Agriculture Organization of the United Nations
54	FAS	Focal Area Set-aside
55	GBIBD	GEF Benefits Index for Biodiversity
56	GDPI	GDP-based Index
57	GEF	Global Environment Facility
58	GEF-PAS	GEF Pacific Alliance for Sustainability
59	GPI	GEF Performance Index
60	GTI	Global Taxonomy Initiative
61	IADB	Inter-American Development Bank
62	IFAD	International Fund for Agricultural Development
63	JLG	Joint Liaison Group
64	LDC	Least Developed Country
65	M&E	Monitoring and Evaluation
66	MOU	Memorandum of Understanding
67	NBF	National Biosafety Framework
68	NBSAPs	National Biodiversity Strategies and Action Plans
69	NGO	Non-Governmental Organization
70	OECS	Organization of Eastern Caribbean
71	OPS	Overall Performance Study
72	PA	Protected Area
73	PIF	Project Identification Form
74	PMIS	Project Management Information System
75	PoWPA	Programme of Work on Protected Areas
76	PPG	Project Preparation Grant
77	RAF	Resource Allocation Framework
78	RBM	Results-based management
79	ROtI	Review of outcomes to impacts
80	SFM	Sustainable Forest Management
81	SIDS	Small Island Developing States
82	STAR	System for Transparent Allocation of Resources
83	TOR	Terms of Reference
84	UNCCD	United Nations Convention to Combat Desertification
85	UNDP	United Nations Development Programme
86	UNEP	United Nations Environment Programme
87	UNFCCC	United Nations Framework Convention on Climate Change
88	WGRI	Working Group on Review of Implementation of the Convention
89		

The Convention on Biological Diversity (CBD) is an international legally binding treaty that entered into force in December 1993. It has three main objectives, as established in Article 1 of the Convention:

- The conservation of biological diversity;
- The sustainable use of the components of biological diversity; and
- The fair and equitable sharing of the benefits arising out of the utilization of genetic resources.

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- (c) The efficiency of the financial mechanism in providing and delivering financial resources, as well as, in accordance with the guidance of the COP, overseeing, monitoring and evaluating the activities financed by its resources, as appropriate;
- (d) The efficiency and effectiveness of the activities funded by the GEF on the implementation of the Convention and the achievement of its three objectives, taking into account the guidance provided by the COP;
- (e) The effectiveness and relevance of guidance from the COP to the GEF; and
- (f) The coherence with other Rio conventions.

The full terms of reference (TOR), as provided in the Annex to Decision X/27, is provided in Appendix A of this report.

² The COP is the governing body of the Convention, made up of the 193 Parties to the Convention.

³ The GEF was established in 1991 as a Trust Fund to provide new and additional grants and concessional funding to cover the incremental costs associated with transforming a project with national benefits into one with global environmental benefits.

128 At its eleventh meeting, in Decision XI/5, paragraph 7, the COP requested the Executive Secretary of the CBD to make the
129 report of the Fourth Review of the Effectiveness of the Financial Mechanism available to Parties for consideration by the Ad
130 Hoc Open-ended Group on Review of Implementation of the Convention at its fifth meeting (WGRI-5) to be held in June
131 2014.

132 The review period, as agreed upon between ICF International and the CBD Secretariat, covers activities of the financial
133 mechanism from July 2007 through the present. This review therefore considers activities under the GEF-4 replenishment
134 period and part of the GEF-5 replenishment period.

135 This report assesses the key areas detailed in the TOR, and includes a summary of conclusions and recommendations
136 for consideration by the COP to improve the effectiveness of the financial mechanism.

Methodology and Limitations

Methods of analysis

The guiding framework for the review (the Review Matrix) is provided in Appendix D: Review Matrix. The Review Matrix has been reviewed by the CBD Secretariat to ensure alignment with the TOR adopted by the COP in decision X/27. The Review Matrix defines key review questions, performance indicators, and sources of information to assess each item in the TOR.

Evidence for this review was gathered through the following methods, utilizing both top-down and bottom-up approaches:

- **Desk study**—Key documents reviewed included those of the CBD, the GEF, and other entities. A full list of documents consulted is provided in Appendix B: List of Documents Reviewed
- **Portfolio analysis**—Quantitative analysis was conducted using data from the GEF Project Management Information System (PMIS).
- **Questionnaire**—An on-line questionnaire was sent to CBD and GEF focal points representing developed and developing country Parties and Parties with economies in transition. To facilitate this process, the CBD Secretariat sent a notification to all CBD focal points advising them of the questionnaire and soliciting their participation, and the GEF Secretariat sent an email to all GEF focal points advising them of the questionnaire and soliciting their participation. ICF also coordinated with the CBD and GEF Secretariats to send an additional notification to Parties when the questionnaire deadline was extended. In total, forty-eight Parties responded to the survey, including forty-three developing country Parties and five developed country Parties, representing 25 percent of the Parties to the CBD. Most Parties submitted one questionnaire for consideration; however, four developing country Parties submitted two responses (the first from the CBD focal point, the second from the GEF focal point), for a total of fifty-two questionnaires received as part of this review.
- **Stakeholder interviews**—Semi-structured interviews were conducted with members of the CBD Secretariat, GEF Secretariat, GEF Evaluation Office (EO), UNDP, UNEP, World Bank, and a sample of donor and recipient country Parties.⁴ These interviews were undertaken in-person, via telephone, or via Skype/web meeting, as was feasible given available resources. ICF traveled to Montreal for in-person consultations with the CBD Secretariat and also attended the 44th GEF Council Meeting to meet representatives from the Parties in-person.

The review period, as agreed upon between ICF International and the CBD Secretariat, covers activities of the financial mechanism from July 2007 through the present. This review therefore considers activities under the GEF-4 replenishment period and part of the GEF-5 replenishment period.

⁴ Eleven recipient Parties and six donor Parties were selected based on representation across the regions, and their CBD focal points were contacted for interviews. An initial request and follow-up reminders to participate in interviews were made by the independent evaluator (ICF International) and one reminder was sent from the CBD Secretariat. Four recipient Parties and three donor Parties responded positively and participated in interviews.

Limitations of this review

As this was a review and not a full evaluation, the scope of the assessment and the corresponding budget were limited. Due to budget limitations, the review team was not able to conduct field visits to countries or to attend regional/sub-regional workshops organized by the Convention Secretariat during the review period.

Main Conclusions and Recommendations

Below are the main conclusions and recommendations of this Fourth Review of the Effectiveness of the Financial Mechanism of the CBD. More detailed evidence, findings, and conclusions are presented in the chapters that follow.

CONCLUSION 1: The COP has made measurable improvements in consolidating older guidance to the GEF during this review period, but the number of new items of guidance adopted at each COP is still consistently high.

RECOMMENDATION 1: The COP may wish to streamline guidance to the GEF through a more regular and systematic process. A mechanism such as a working group (e.g., similar to the working group established at WGRI-3) could be implemented to review new guidance for repetitiveness, amend/remove older items of guidance as appropriate, and develop a more condensed set of guidance to convey to the GEF during or after each COP.

From 1994 through 2012, a total of 328 items of guidance have been provided from the CBD COP to the GEF. At each COP since 2002, the CBD has issued a greater amount of guidance to the GEF than any other convention.

During this review period, the COP has made measurable improvement in consolidating historical guidance to the GEF. In its decision IX/31, the COP requested that the Secretariat identify obsolete, repetitive, and overlapping guidance and prepare an updated compilation of the existing guidance to the financial mechanism. The final compilation of guidance was approved by decision X/24, successfully condensing all guidance from COP-I through COP-IX.

Despite this improvement, the new guidance to the financial mechanism that was then adopted at COP-X and COP-XI includes some repetitive guidance. In addition, while the quantity of new items of guidance adopted at each COP did not increase from COP-IX through COP-XI, it has remained consistently high. Over 130 pieces of guidance were provided to the GEF during this review period.

CONCLUSION 2: Strategic prioritization of COP guidance remains an issue for the CBD. The CBD does not rank its guidance in order of importance, nor identify funding quotients associated with guidance. This lack of prioritization may result in fragmentation of limited GEF resources and achievement of limited impact in many areas, as opposed to concentrated impact in a few areas..

RECOMMENDATION 2: The CBD Secretariat and GEF Secretariat should explore ways that the COP can best utilize the *Strategic Plan for Biodiversity 2011-2020* to set priorities for the financial mechanism. In particular, it is recommended that the COP agree upon certain Aichi Targets that are high priority for the GEF to address in the short term.

The CBD identifies a high number of specific areas to be supported by GEF financing, but does not rank its guidance in order of importance, nor does it identify the proportion of funding it would like directed towards its priority. The first report of the *Fifth Overall Performance Study of the GEF* (OPS-5) found that the lack of strategic prioritization has been more pronounced for the CBD than for other conventions.

The CBD provided more direction to the GEF regarding prioritization when the COP agreed upon a *Four-Year Framework of Programme Priorities Related to Utilization of GEF Resources for the Period from 2010 to 2014* at COP-IX. This framework outlined six programme priority areas for the GEF, and stakeholder feedback suggests that this was an effective input to the negotiations for the Fifth Replenishment of the GEF.

206 The input to the Sixth Replenishment of the GEF, agreed at COP-XI, was a reiteration of the *Strategic*
207 *Plan for Biodiversity 2011-2020* and corresponding *Aichi Biodiversity Targets*. In consultations, GEF
208 focal points and the GEF Secretariat raised the point that the *Strategic Plan* is an all-encompassing
209 framework for global progress on biodiversity. It was further noted that some targets are broader
210 than those previously included in the *Four-Year Framework of Programme Priorities Related to*
211 *Utilization of GEF Resources for the Period from 2010 to 2014*. It was noted that from the GEF
212 perspective, the *Strategic Plan*, including the Aichi Targets, did not set priorities for how the GEF
213 should focus in the upcoming four-year period, which was noted as a difficulty in the development
214 of the GEF-6 strategy. As GEF resources are limited, this lack of prioritization may result in a
215 fragmented approach, leading to a choice between achievement of limited impact in many areas, or
216 a more concentrated impact in a just few areas.

CONCLUSION 3: The GEF has been largely responsive to guidance from the COP, within its means, in the GEF-4 and GEF-5 Focal Area Strategies, project approvals, and GEF reports to the COP.

RECOMMENDATION 3: The GEF and the COP should together continue to explore ways to balance the comprehensiveness and conciseness of the GEF reports, to ensure that they meet the needs of the Parties. Moving forward in addressing the Aichi Targets, new formats focusing on those targets might be explored.

217 Overall, the GEF has been largely responsive to guidance from the COP. In its report to COP-IX, the
218 GEF began including a table that details its response to each piece of COP guidance, which is a
219 notable improvement for Parties to track if Convention guidance is being followed. The GEF has
220 also taken measures to improve reporting on results since the last review period.

221 COP guidance is also reflected in GEF strategies. The CBD's three objectives align well with the
222 GEF's objectives in both the *GEF-4 and GEF-5 Biodiversity Focal Area Strategies*, and the *GEF-5 Focal*
223 *Area Strategy* covers all areas noted in the *Four-Year Framework of Programme Priorities Related to*
224 *Utilization of GEF Resources for the Period from 2010 to 2014*.

225 However, GEF activities have not addressed all pieces of COP guidance during this review period.
226 Some requests are perceived as not being within the GEF's mandate as they may not generate
227 global environmental benefits, and others may be outside its control when Parties do not prioritize
228 certain thematic areas. For instance, during this review period no countries submitted projects that
229 explicitly addressed certain pieces of COP guidance related to the Global Strategy for Plant
230 Conservation, the Global Taxonomy Initiative (GTI), and National Biosafety Framework (NBF)
231 implementation projects.

CONCLUSION 4: While the total allocation of GEF funds to the biodiversity focal area has been largely predictable, the allocation of funding to individual countries has been less predictable, with predictability increasing from GEF-4 to GEF-5 due to the replacement of the RAF with the STAR.

RECOMMENDATION 4: The GEF should continue to use an allocation framework to predictably and equitably allocate biodiversity funding to individual countries; however, adjustments to the framework should be considered based upon the mid-term evaluation of the STAR.

232
233 The total allocation of GEF funds to the biodiversity focal area has increased over time, growing
234 from \$930 million under GEF-2 to \$1,200 million under GEF-5, and representing between 30 and 37
235 percent of total GEF funds. During this review period, the portion of biodiversity funding allocated
236 to mega-diverse, least developed countries (LDCs), small island developing states (SIDS), and
237 countries with economies in transition (EITs) has remained roughly the same (assuming countries
238 in the group under GEF-4 receive an equitable share of the group allocation).

239 While total funding for biodiversity has been generally predictable, the allocation of funds to
240 individual countries has been more variable during this review period due to the use of different
241 allocation frameworks under GEF-4 and GEF-5. Under GEF-4 the Resource Allocation Framework
242 (RAF) was used to allocate biodiversity funding to countries individually and as a group. Under
243 GEF-5 this framework was replaced by the System for Transparent Allocation of Resources (STAR),
244 which only allocates funding to countries individually. Stakeholders largely agree that the STAR is a
245 more transparent, predictable, and flexible system for resource allocation than the RAF. Of the GEF
246 and CBD focal points that were surveyed, 75 percent agreed or strongly agreed that the transition
247 from the RAF to the STAR has resulted in greater transparency, while 82 percent agreed or strongly
248 agreed that the transition has resulted in more predictable financial resources. Over 60 percent of
249 the GEF and CBD focal points surveyed also agreed or strongly agreed that under the STAR there is
250 greater flexibility in resource utilization. The GEF EO has recently performed a mid-term
251 evaluation of the STAR, which may lead to adjustments in the framework moving forward.

CONCLUSION 5: The GEF has been effective in funding enabling activities, although opinions are mixed on whether adequate funding has generally been provided for developing country Parties and Parties with economies in transition to meet the agreed full incremental costs to them of implementing measures which fulfil the obligations of the Convention. Looking forward, the Convention's Needs Assessments implies that GEF-6 funding levels that are thought to be required to achieve the Aichi Targets and biosafety needs far exceed the amount of funding available through the GEF.

RECOMMENDATION 5: Greater discussion is needed at the COP regarding the role of the GEF in providing funds to achieve the Aichi Targets and in supporting activities under the Cartagena Protocol.

252
253 During this review period, the GEF has been effective in disbursing available funds. Funds that were
254 allocated to the biodiversity focal area under GEF-4 were almost entirely utilized, and it is expected
255 that the majority of funds allocated under GEF-5 will be similarly utilized. However, there are
256 differing opinions on the adequacy of resources for biodiversity projects. Of the GEF and CBD focal
257 points that responded to the survey for this review, about 58 percent agreed or strongly agreed that
258 adequate funding was provided for the nationally identified priorities for implementation of the
259 CBD under GEF-5, while only 44 percent agreed or strongly agreed that adequate funding was
260 provided under GEF-4. The difference between replenishment periods may be explained by the
261 total quantity of funding allocated to the biodiversity focal area in each period; total funds
262 increased by \$200 million from GEF-4 to GEF-5.

263 Compared to previous replenishment periods, the number of enabling activities has significantly
264 increased under GEF-5, with enabling projects representing roughly 25 percent of the total number
265 of biodiversity projects. This increase is due to discrete direction by the COP, per decision VIII/18
266 and X/25, to provide funding to support the updating of national biodiversity strategies and action
267 plans (NBSAP) and related enabling activities (e.g., fifth national reports). There is general
268 agreement that the GEF has been successful at funding these activities.

269 The Convention's first needs assessment—conducted for Sixth Replenishment of the GEF—suggests
270 that countries believe that \$16 to \$40 billion is required in GEF-6 to achieve the Aichi Targets and
271 biosafety needs, an amount that far exceeds the amount of funding available through the GEF.

CONCLUSION 6: The GEF has helped to mobilize new and additional financial resources at the project level to support implementation of the CBD, although opportunity exists to do more.

RECOMMENDATION 6: The GEF should continue to focus on resource mobilization (e.g., project cofinancing) while not compromising project goals. The GEF should seek to innovate in GEF-6 to mobilize further resources for biodiversity; strategies may include pursuing business models for biodiversity projects that lend themselves to private investment and that create sustainability by transferring responsibility to private entities.

In total since the beginning of the GEF, biodiversity projects funded by the GEF through March 2013 anticipate attracting more than \$11 billion in cofinancing. While the ratio of anticipated cofinancing to GEF biodiversity funding has gradually increased over time, the average cofinancing ratio of 4.14 for the biodiversity focal area is significantly below the ratio for other focal areas. This is attributed to the fact that it is more challenging to attract cofinancing for biodiversity projects compared to other focal areas. Multiple GEF Agencies interviewed raised concerns that the focus of the GEF on cofinancing ratios has led to increased and undue complexity, or the broadening of project scope to attract cofinancing in some biodiversity projects.

Stakeholders generally agree that the GEF has helped to mobilize additional resources to support implementation of the CBD during the review period. Of the GEF and CBD focal points that responded to the survey, 74 percent agreed or strongly agreed that GEF projects have helped to mobilize additional resources for CBD implementation. However, given the anticipated needs, a greater emphasis on the mobilization of new and additional resources is required, and the GEF should seek to innovate in GEF-6 to mobilize further resources for biodiversity.

CONCLUSION 7: To date, under GEF-5, country requests and GEF approvals for biodiversity funding have not fully aligned with the notional allocations identified for each objective in the GEF-5 biodiversity strategy.

RECOMMENDATION 7: The COP may wish to encourage Parties to submit projects to the GEF related to the Global Strategy for Plant Conservation, and the Global Taxonomy Initiative (GTI) – two areas in which no projects were submitted to the GEF, despite COP guidance that these are priority areas. In addition, requests for biosafety support were limited to national reporting. The GEF should continue to monitor the progress of project approvals in these areas and provide updates to the COP.

As part of the replenishment negotiations for GEF-5, the GEF identified notional allocations for each of the five objectives under the GEF biodiversity strategy. These notional allocations were indications of how much funding would likely be programmed under each objective based upon past phases of the GEF. As requests for biodiversity funding are country-driven, actual programming allocations for each objective of the GEF-5 biodiversity strategy are defined by Parties. To-date, requests and approvals for biodiversity funding under GEF-5 do not fully align with the notional allocations.

Halfway through GEF-5, more than half of the funding that was notionally allocated to objective 1 (improve sustainability of protected area systems) has been approved for use by the GEF while the amount of funding approved to support objective 2 (mainstream biodiversity conservation and sustainable use) has already exceeded the notional allocation. While protected areas have historically been emphasized in GEF-funded activities, it is expected that mainstreaming will take on more of an equal emphasis in GEF programming in order to achieve the Aichi Targets.

299 Notably, at the midway point of GEF-5, no countries had submitted projects for approval to support
300 objective 3 (build capacity for the implementation of the Cartagena Protocol on Biosafety). Some
301 countries received support for developing their national report for biosafety, but that support falls
302 under objective 5. Some stakeholders interviewed suggested that the use of an allocation
303 framework under GEF-4 and GEF-5 (i.e., the RAF and STAR) has contributed to under-requesting of
304 biosafety funding because each country receives an allocation and decides which priorities to
305 address with the limited funds. Biosafety may be a lower national priority in some countries, the
306 biosafety focal point is often in the agriculture ministry which is less involved in the prioritization
307 of GEF resources, some countries do not import or export living modified organisms (LMOs), or
308 biosafety may be better addressed through transboundary projects, which can be challenging with
309 the individual country allocations.

310 Of the notional allocation for objective 4 (build capacity on access to genetic resources and benefit
311 sharing), countries have submitted proposals for funding that has used 16 percent of the notional
312 allocation. Stakeholders interviewed on this topic expressed a need for more time to understand
313 which capacity building activities should be undertaken under this objective, but expect greater
314 emphasis on ABS in GEF programming with time. Finally, 43 percent of the notional allocation for
315 objective 5 (integrate CBD obligations into national planning through enabling activities) has been
316 approved.

CONCLUSION 8: The GEF project cycle is perceived to be more transparent and efficient for biodiversity projects since it was updated in 2007; however, efficiency targets are still not consistently met, and there is room for improvement.

RECOMMENDATION 8: The GEF, in collaboration with the Agencies, should continue to streamline the project cycle by adopting reforms related to co-financing and monitoring and reporting requirements, as suggested by the GEF Evaluation Office in OPS-5.

317 There is general agreement among stakeholders consulted for this review that the GEF project cycle
318 has become more transparent and efficient since 2007. Specifically, 67 percent of the GEF and CBD
319 focal points that responded to the survey agree or strongly agree that the project cycle has become
320 more transparent while 65 percent agree or strongly agree that the project cycle has become more
321 efficient.

322 While the project cycle is perceived as more transparent and efficient, in some cases, efficiency
323 targets are not being met. Full-sized biodiversity projects on average have been approved within
324 the targeted elapsed time of 22 months established by the GEF in 2007, yet have exceeded the
325 revised target of 18 months established by the GEF in 2010. Medium-sized projects have on
326 average exceeded the targeted elapsed time of 12 months by more than four months. At the same
327 time, compared to GEF-4, biodiversity projects approved under GEF-5 have taken a significantly
328 shorter time on average to move through the GEF project cycle. Additionally, compared to other
329 GEF Agencies, ADB and FAO biodiversity projects approved under GEF-4 and GEF-5 on average
330 have taken longer to move through the GEF project cycle.

331 In OPS-5, the GEF Evaluation Office found that co-financing and M&E requirements are contributing
332 to delays in the project cycle. New project cycle reforms were recommended for the GEF-6 period,
333 and in the Management Response to OPS-5, the GEF Secretariat and Agencies agreed that the GEF
334 should explore the feasibility of these recommendations for streamlining the project cycle.

CONCLUSION 9: GEF support for monitoring and evaluation (M&E) at the Convention level could be strengthened, so that GEF M&E provides greater utility for measuring progress in achieving the objectives of the Convention.

RECOMMENDATION 9: The CBD and GEF should coordinate regarding how to measure progress in achieving the Aichi Targets. The CBD and GEF should consider establishing a more formal mechanism for harmonizing the indicators that are reported on in the biodiversity portfolio.

335 Results from the biodiversity focal area have frequently been assessed in GEF evaluation products,
336 including Annual Impact Reports (AIRs), Annual Performance Reports (APRs), Country Portfolio
337 Evaluations (CPEs), and Overall Performance Studies (OPS), and evaluation results are adequately
338 transmitted from the GEF Evaluation Office to the COP.

339 However, linkages between M&E at the GEF and the Convention levels could be strengthened. GEF
340 M&E procedures were not designed for reporting at the Convention level, and there is no explicit
341 mention of how well Convention objectives have been met in Evaluation Office products. Some
342 stakeholders interviewed for this review noted a need for GEF project documents to explicitly
343 identify the link to the NBSAPs, a COP decision, or a target, so that the CBD may use projects to
344 monitor of the achievement of the Aichi Targets for 2020. This is now a requirement in GEF project
345 documentation (i.e., in documentation for PIF and CEO endorsement for full-sized projects and in
346 documentation for CEO approval for medium-sized projects.) Moreover, there are a variety of
347 discussions at the GEF and at the CBD levels regarding the proper indicators that should be
348 reported on for biodiversity programming. There is a need to coordinate these two processes, to
349 ensure that GEF indicators line up with what the Parties want in monitoring achievement of the
350 Aichi Targets. Without these linkages, systematic M&E at the Convention level is difficult to
351 accomplish.

CONCLUSION 10: The financial mechanism is funding projects that promote synergies among the Rio Conventions. The amount of biodiversity funding for multi-focal area projects has dramatically increased during this review period, and that trend is expected to continue.

RECOMMENDATION 10: The COP should consider this rise in multi-focal area programming when providing guidance to the GEF, and should consider how the GEF can best report back to the COP on biodiversity results from synergistic projects.

352 There is growing recognition that the three Rio Conventions—the CBD, UNFCCC, and UNCCD—are
353 fundamentally linked, with mutual dependencies and a concern for many of the same
354 environmental and sustainable development issues. The GEF has promoted synergies among the
355 Rio Conventions through a new Sustainable Forest Management (SFM)/REDD+ strategy and
356 through multi-focal area projects.

357 The amount of biodiversity funding that goes toward multi-focal area projects has dramatically
358 increased since GEF-3, and that trend is expected to continue. In GEF-5, nearly half of funding for
359 the biodiversity focal area has gone toward multi-focal area projects. Over 90 percent of these
360 multi-focal area projects incorporate either climate change or land degradation components.

361 During this review period, several challenges existed for multi-focal area projects. Synergistic
362 projects had a higher monitoring burden than single focal area projects, and the GEF did not lay out
363 a strategic approach for multi-focal area activities. The GEF is currently working to address these
364 challenges in GEF-6. As the GEF is considering ways to simplify reporting for multi-focal area
365 projects, coordination with the Convention will be necessary to avoid challenges in tracking results
366 and reporting.

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COP Guidance to the Financial Mechanism

The CBD COP and the GEF Council have agreed to certain obligations, as outlined in the Memorandum of Understanding (MoU), which generally include:

- (1) the COP will provide the GEF Council with guidance;
- (2) the GEF Council will submit reports at each COP that provide information on how the GEF has applied that guidance and on project proposals and activities in the biodiversity focal area;
- (3) the COP will monitor and evaluate activities of the financial mechanism;
- (4) the COP will determine the funding needed to assist developing countries in fulfilling their commitments for each GEF replenishment;
- (5) the CBD and the GEF will reciprocally invite one another to attend meetings of the COP and the GEF; and
- (6) the CBD and GEF Secretariats will regularly communicate and cooperate with one another.⁵

This section considers the effectiveness and relevance of COP guidance to the GEF and the conformity of GEF activities with guidance of the COP.

Effectiveness and relevance of COP guidance to the GEF

Conclusions:

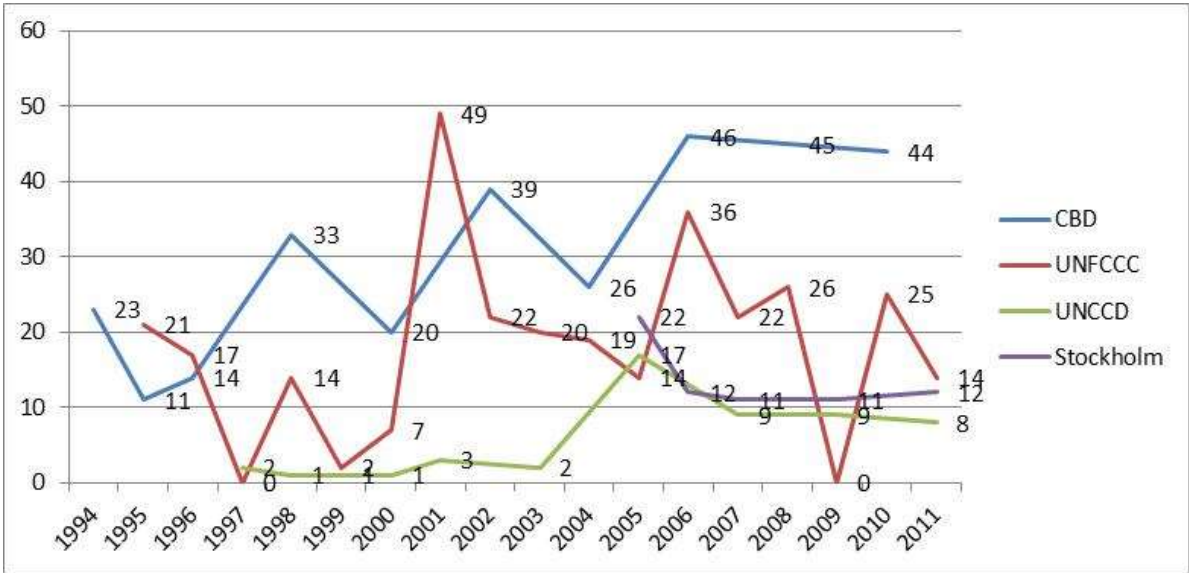
- During this review period, the COP has made measurable improvements in consolidating guidance, providing more direction to the GEF regarding prioritization of funding areas, timing guidance with the replenishment, and addressing obligations under the MoU.
- The number of new items of guidance adopted at each COP is consistently high.
- Strategic prioritization of COP guidance remains an issue for the CBD. The CBD does not rank its guidance in order of importance, and as GEF resources are limited, this lack of prioritization leaves the GEF to make its own decisions about the importance of various funding areas.

From 1994 through 2012, a total of 328 items of guidance have been provided from the CBD COP to the GEF. At each COP since 2002, the CBD has issued a greater amount of guidance to the GEF than any other convention, as illustrated in Figure 1: Overall amount of CBD guidance in comparison with other conventions.⁶

⁵ Memorandum of Understanding between the COP to the CBD and the GEF Council, decision III/8.

⁶ Convention guidance was recently reviewed by the GEF Evaluation Office (GEF EO), as part of the *Fifth Overall Performance Study of the GEF* (OPS-5), and findings show that at each COP, the CBD has provided a long list of guidance to the GEF.

1. Figure 1: Overall amount of CBD guidance in comparison with other conventions



Source: GEF Evaluation Office (2012), Evaluation of the GEF Focal Area Strategies, Technical Paper 1: Biodiversity.

Exhibit 1 summarizes findings from prior reviews of the financial mechanism on the quality of COP guidance. Overall, during this review period (COP-IX through COP-XI), the COP has made measurable improvement in consolidating guidance, prioritizing guidance, strategically timing guidance with the replenishment, and in addressing obligations under the MoU, as described below.

Streamlining guidance. In its decision IX/31, the COP requested that the Secretariat identify obsolete, repetitive, and overlapping guidance and prepare an updated compilation of the existing guidance to the financial mechanism as a working document for WGRI-3. The WGRI was requested to provide recommendations on retirement, streamlining, and consolidation of guidance. The final compilation of guidance was approved by decision X/24, successfully condensing all guidance from COP-I through COP-IX.

Timing COP guidance with the GEF replenishment. During this review period, the CBD has taken steps to more strategically influence the GEF replenishment negotiations. One such step is aligning the timing of guidance with the timing of replenishment negotiations. In decision IX/31, the COP agreed to continue to explore ways and means to improve the effectiveness of

Exhibit 1: Findings from the Third Review on the quality of COP guidance

The quality of COP guidance has been assessed in prior reviews of the financial mechanism. Most recently, the *Third Review of the Financial Mechanism of the CBD (2008)* (herein referred to as the *Third Review*) found that COP guidance from 2000-2007 was an increasing list of requests that was unrealistic for the GEF to address in full, was not prioritized, and was not strategic in influencing GEF replenishment decisions. The *Third Review* also found that the COP had not addressed all obligations under the MoU; most notably, the COP had not fulfilled its obligation to determine the funding requirements necessary to assist developing countries to fulfill their obligations under the CBD (Article 5).

The *Third Review* recommended that at COP-IX, the COP should adopt the recommendations of the Working Group on Implementation of the Convention on streamlining guidance to the GEF and should take decisions that directly feed into the GEF 5th Replenishment process. The *Third Review* also recommended that the CBD COP adopt a four-year framework for programming related to the utilization of GEF resources.

providing guidance to the financial mechanism coinciding with replenishments of the Trust Fund of the Global Environment Facility.⁷ For the Fifth and Sixth Replenishments of the GEF, the COP has provided guidance in advance of the replenishment process, as discussed further below.

Prioritizing guidance. As shown in Table 1, the majority of CBD guidance directs GEF programming and describes priority areas for funding. The CBD identifies a high number of specific areas to be supported by GEF financing—over 30 areas to-date, a number that has been growing with each COP. For example, Exhibit 2 identifies new priority areas that have appeared in COP guidance during this review period.

Exhibit 2: New Priority Areas
The following new themes appeared in COP guidance during this review period:

- Private sector engagement
- South-South cooperation
- Gender
- Synergies with other conventions
- Global Strategy for Plant Conservation

In addition to many priority areas, the COP typically gives numerous pieces of guidance within each priority area. For a third of the priority areas appearing in COP guidance, ten or more distinct pieces of COP guidance have been provided to the GEF. The result is that COP guidance directs the GEF to fund all biodiversity issues, rather than strategically guiding the GEF.

Table 1: Number of Items of CBD Guidance by Category, Topic, and COP

Category	Topic of COP Guidance	COP I - COP VIII	COP IX	COP X	COP XI	Total
General	General	5	1	3		9
	Policy and Strategy	10		1		11
	Eligibility Criteria	2				2
	General Programme Priorities	1	1		5	7
Programming	Biodiversity Planning	8	1	6		15
	Identification, Monitoring, Indicators, and Assessments	7		2	1	10
	Taxonomy	10		2		12
	Protected Areas	6	4	2	1	13
	Species Conservation	3		2		5
	Invasive Alien Species	8	3		1	12
	Article 8(j) and Related Provisions	5	1	2		8
	Sustainable Use	1				1
	Engagement of Business		2			2
	Incentive Measures	6				6
	Research and Training	1	2			3
	Education and Public Awareness	6				6
	Access and Benefit-Sharing	8		1	10	11
	Technology Cooperation/Transfer	2	2	2		6
	Scientific Cooperation	10	3	2		15
	Biosafety	9	1	1	16	27
	National Reporting	11	1	2	1	15
	Ecosystem Approach	2	3			5
	Forest Biodiversity	6				6
	Biological Diversity of Inland Water Ecosystems	6				6
	Marine and Coastal Biodiversity	6		3	1	10
	Island Biological Diversity	2				2
	Biodiversity of Dry and Sub-Humid Lands	2				2

⁷ Financial Mechanism, UNEP/CBD/COP/DEC/IX/31, October 2008.

	Mountain Ecosystems	1				1
	Climate Change and Biodiversity	1	2	4		7
	Development Activities	2		2		2
	Sustainability	1	1			2
	South-South Cooperation			2	1	3
	Global Strategy for Plant Conservation				1	1
	Synergies with Other Organizations and Conventions				1	1
	Implementation of the Strategic Plan for Biodiversity 2011-2020				1	1
Procedures	Co-financing	3	1		1	5
	Innovative Financing Mechanisms and Resource Mobilization	4	2	2		8
	Incremental Costs	1				1
	Resource Allocation	3	2		1	6
	Geographical Consideration	5	1			6
	Gender		1	1		2
	Processing and Delivery Systems	23	2	2	1	28
	Review and Evaluation	13	3			16
	GEF Reporting	5	5		1	11
Total		205	45	44	44	328

Sources: COP I through X data based upon OPS5 Technical Document #4: Relevance of the GEF to the Conventions, March 2013; COP XI data incorporated from Decision XI/5: The Financial Mechanism, UNEP/CBD/COP/DEC/XI/5.

This proliferation of guidance comes from a variety of sources. In the process of adopting guidance to the financial mechanism, the COP receives inputs from the Subsidiary Body on Scientific, Technical, and Technological Advice (SBSTTA); WGRI; decisions taken by the Meeting of the Parties (MOP) to the Cartagena Protocol on Biosafety; and decisions taken by the Intergovernmental Committee for the Nagoya Protocol.

An additional complication is the varying levels of specificity in COP guidance. Not all guidance is clear and actionable for the GEF to translate into programming. Certain pieces of COP guidance are highly specific and prescriptive about what the GEF should fund; in some instances, such requests may be difficult operationally or countries may not submit proposals in these areas, which are factors largely outside of the GEF's control. Other pieces of guidance are general and require interpretation. In negotiating the wording of decisions directed at the financial mechanism, the COP and other bodies providing guidance (as listed above) may wish to further consider the clarity and specificity of its decisional language.

The CBD does not rank its guidance in order of importance, and GEF resources are limited. This lack of prioritization leaves the GEF to make its own decisions about the importance of various funding areas. This challenge is not unique to the CBD; it has also been noted in the *Fourth Overall Performance Study of the GEF* (OPS-4) regarding the GEF's role as financial mechanism for the UNFCCC, Stockholm Convention, and UNCCD. OPS-4 found that because convention guidance is generated through a negotiation process among countries, prioritization of this guidance is difficult to accomplish. Notably, however, the first report of the *Fifth Overall Performance Study of the GEF* (OPS-5) found that the lack of strategic prioritization has been more pronounced for the CBD than for other conventions.

During this review period, the CBD has provided more direction to the GEF regarding prioritization of funding areas. At COP-IX, the COP agreed upon a *Four-Year Framework of Programme Priorities Related to Utilization of GEF Resources for the Period from 2010 to 2014*, which outlined six programme priority areas and associated outcomes, as an input to the Fifth Replenishment of the GEF.⁸ Of respondents to the questionnaire for this review, 77 percent "strongly agreed" or "agreed" that the *Four-Year Framework of Programme Priorities Related to*

⁸ The Financial Mechanism, UNEP/CBD/COP/DEC/IX/31, October 2008.

Utilization of GEF Resources for the Period from 2010 to 2014 was an effective input to negotiations for the Fifth Replenishment of the GEF. Across stakeholder groups interviewed for this review, it was noted that the *Four-Year Framework* for 2010-2014 was more specific and concise than prior guidance provided to the GEF, and a step in the right direction.

Meeting requirements under the MoU. Per the MoU, the COP is required to make a determination of funding requirements for each GEF replenishment period, including an assessment of the amount of funds necessary to assist developing countries in fulfilling their obligations under the CBD. At the time of the *Third Review*, however, the COP had not taken steps to perform a needs assessment. During this review period, the COP has taken action to meet this requirement. At its tenth meeting, in decision X/26, the COP adopted the terms of reference for its first needs assessment. A report on the assessment of needs for GEF-6 was circulated at WGRI-4, and in COP decision XI/5, the report was transmitted to the GEF for consideration. The assessment recommended that GEF-6 biodiversity investments total \$16 to \$40 billion in order to achieve the Aichi Targets and biosafety needs, and was submitted as an input to the Sixth Replenishment of the GEF. The assessment's recommendation is not realistic in terms of the amount of funding that may be provided for CBD activities in GEF-6, since the recommended investment far exceeds the total amount of funding that has been available for all focal areas combined in GEF-1 through GEF-5. However, stakeholders interviewed believed the assessment may serve as a useful tool for demonstrating the scale of Convention needs to donors, for providing perspective on co-financing needs, and for creating a dialogue on how to leverage additional resources. It is too early to assess how the GEF will utilize this assessment.

Remaining issues. While important progress has been made to address concerns noted in the *Third Review*, issues related to the provision of guidance persist. While all guidance was streamlined in advance of COP-X, the new guidance to the financial mechanism that was then adopted at COP-X and COP-XI includes some repetitive guidance. In addition, while the quantity of new items of guidance adopted at each COP did not increase from COP-IX through COP-XI, it has remained consistently high. Efforts to streamline guidance should occur more regularly and systematically. A mechanism could be implemented to review new guidance for repetitiveness before it is adopted by the COP; older items of guidance could also be amended or removed during this process, as needed.

Strategic prioritization of COP guidance also remains an issue for the CBD. At COP-XI, a new *Four-Year Outcome-Oriented Framework of Programme Priorities for 2014-2018* was adopted as an input to the Sixth Replenishment of the GEF.⁹ This decision was a reiteration of the *Strategic Plan for Biodiversity 2011-2020* and corresponding *Aichi Biodiversity Targets*, which were adopted at COP-X to provide a long-term overview of biodiversity objectives and expected outcomes. In consultations, GEF focal points and the GEF Secretariat raised the point that the *Strategic Plan* is an all-encompassing framework for global progress on biodiversity, and some targets are broader than those previously included in the *Four-Year Framework of Programme Priorities Related to Utilization of GEF Resources for the Period from 2010 to 2014*. It was noted that from the GEF perspective, the *Strategic Plan*, including the Aichi Targets, did not set priorities for how the GEF should focus in the upcoming four-year period, which was noted as a difficulty in the development of the GEF-6 strategy.

The CBD Secretariat and GEF Secretariat should explore ways that the COP can best utilize the *Strategic Plan* to set priorities for the financial mechanism. At future COPs, any new guidance to the GEF could be organized within the *Strategic Plan for Biodiversity 2011-2020*. Moreover, it would be beneficial for the COP to agree upon certain Aichi Targets that are high priority for the

⁹ The Financial Mechanism, UNEP/CBD/COP/DEC/XI/5, December 2012.

GEF to address in the short term. This would allow the GEF to make measurable progress in discrete areas.

Some stakeholders interviewed for this review noted that at COP meetings, active dialogue between the COP and GEF is limited. Improving the discourse with the GEF at COP meetings could promote understanding of the GEF's role, and potentially improve the quality of guidance provided.

Conformity of GEF activities with guidance of the COP

Conclusions:

- Overall, the GEF is responsive to guidance from the COP in its reports. In a few rare cases, the GEF has not explicitly responded to an item of COP guidance.
- The GEF has improved its reporting on biodiversity results to the COP during this review period.
- The CBD's three objectives—conservation of biological diversity, sustainable use of its components, and fair and equitable sharing of benefits arising out of the utilization of genetic resources—align well with the GEF's objectives in both the *GEF-4 and GEF-5 Biodiversity Focal Area Strategies*,
- The GEF-5 Focal Area Strategy, developed during this review period, closely reflects COP guidance and contains all elements noted in the CBD's *Four-Year Framework of Programme Priorities Related to Utilization of GEF Resources for the Period from 2010 to 2014*.

The GEF responds to guidance from the COP through formal reports submitted to each COP and through reflection of COP guidance in its strategies, programming, and projects. Exhibit 3 summarizes findings from prior reviews of the financial mechanism on the conformity of GEF activities with guidance of the COP. Continuing the work conducted in prior reviews, this review considers the GEF's responsiveness to the guidance issued at COP-VIII, COP-IX and COP-X.¹⁰

GEF Responsiveness in Reports to the COP. For this review, all COP guidance issued during the review period (via decisions of the COP) and GEF responses (via GEF reports to the COP) were compiled to assess the overall responsiveness of the GEF; a comprehensive table detailing COP decisions and GEF responses is provided in Appendix E: COP Decisions and GEF Responses

Overall, the GEF is responsive to guidance from the COP in its reports. Beginning with its report to COP-IX, the GEF began including a table that details its response to each piece of COP guidance. This is a notable improvement, making it easier for Parties to track if Convention guidance is being followed.

GEF reports demonstrate conformity of activities with COP guidance for a majority of funding priorities. Examples of the GEF's conformity with several key guidance themes during this review period are provided below:

Exhibit 3: Findings from the Third Review on the conformity of GEF activities with guidance of the COP

The *Third Review* found that the GEF was responsive to most COP guidance over the review period (COP-VI through COP-VIII), and that the GEF Biodiversity Focal Area Strategy was closely aligned with COP guidance and CBD objectives and plans. GEF reports to the COP were generally found to respond to COP guidance and to meet the requirements set out in the MoU; however, the obligation to report on outcomes of GEF project activities was not fully met.

¹⁰ It is too early to assess the GEF's responsiveness to guidance issued at COP-XI.

Support to LDCs and SIDS: the GEF report to COP-XI lists the number of LDCs and SIDS that have received support through the global project “Supporting Country Action on the CBD Programme of Work on Protected Areas (PoWPA).” In response to a COP-VIII decision, of the 127 projects funded, 46 were in LDCs and 52 were in SIDS. Of the 47 countries included in the project, 17 are LDCs and 19 are SIDS. GEF support to LDCs and SIDS during this review period is explored further in Providing and Mobilizing Funds.

Biosafety Enabling Activities: The GEF report to COP-X lists the number of approved projects and funding for National Biosafety Frameworks (NBF), and notes that the GEF approved all biosafety proposals presented during the reporting period that met GEF’s funding criteria. The GEF also approved a project in support of the Biosafety Clearing House in response to COP guidance.

Review and Update of National Biodiversity Strategies and Action Plans (NBSAPs): The GEF report to COP-X explained that enabling activity support will be provided from the focal area set-aside funds (FAS) for an amount up to \$500,000 per country for revising NBSAPs in line with the CBD’s new strategic plan and for national reporting. In practice, however, the amount of funding that most countries have received for revising NBSAPs has been lower than \$500,000. Specifically, funding to update NBSAPs has ranged from \$180,000 to \$450,000, with each country on average receiving approximately \$236,000.

Invasive Alien Species: The GEF report to COP-X highlights recently approved projects addressing invasive alien species, and how the GEF will support this area moving forward under GEF-5 Strategy Objective Two.

Access and Benefit-Sharing (ABS) Enabling Activities: The GEF report to COP-XI highlights GEF-5 Strategy Objective Four, which provides capacity building opportunities in ABS, and one project that was submitted and approved under this objective.

The GEF’s response to the COP does not, however, always state that GEF activities are addressing COP guidance. During this review period, the GEF has occasionally responded that a request is not within the GEF mandate (e.g., providing support to enable universities and institutions to develop and/or expand biosafety academic programs). The GEF has also responded to certain pieces of guidance by stating that “no such projects were submitted during the reporting period that explicitly included these elements.” This response was given in response to specific guidance on the Global Strategy for Plant Conservation, the Global Taxonomy Initiative (GTI), and the National Biosafety Framework (NBF). The response highlights an issue for the CBD whereby countries are not requesting GEF resources to implement certain convention requirements, in particular, requirements under the Cartagena Protocol. Some stakeholders interviewed have suggested that the GEF’s resource allocation systems—the Resource Allocation Framework (RAF) and System for Transparent Allocation of Resources (STAR)—contribute to this issue. The impact of allocations under the RAF and STAR on meeting the objectives of the convention is discussed further in Chapter 6.

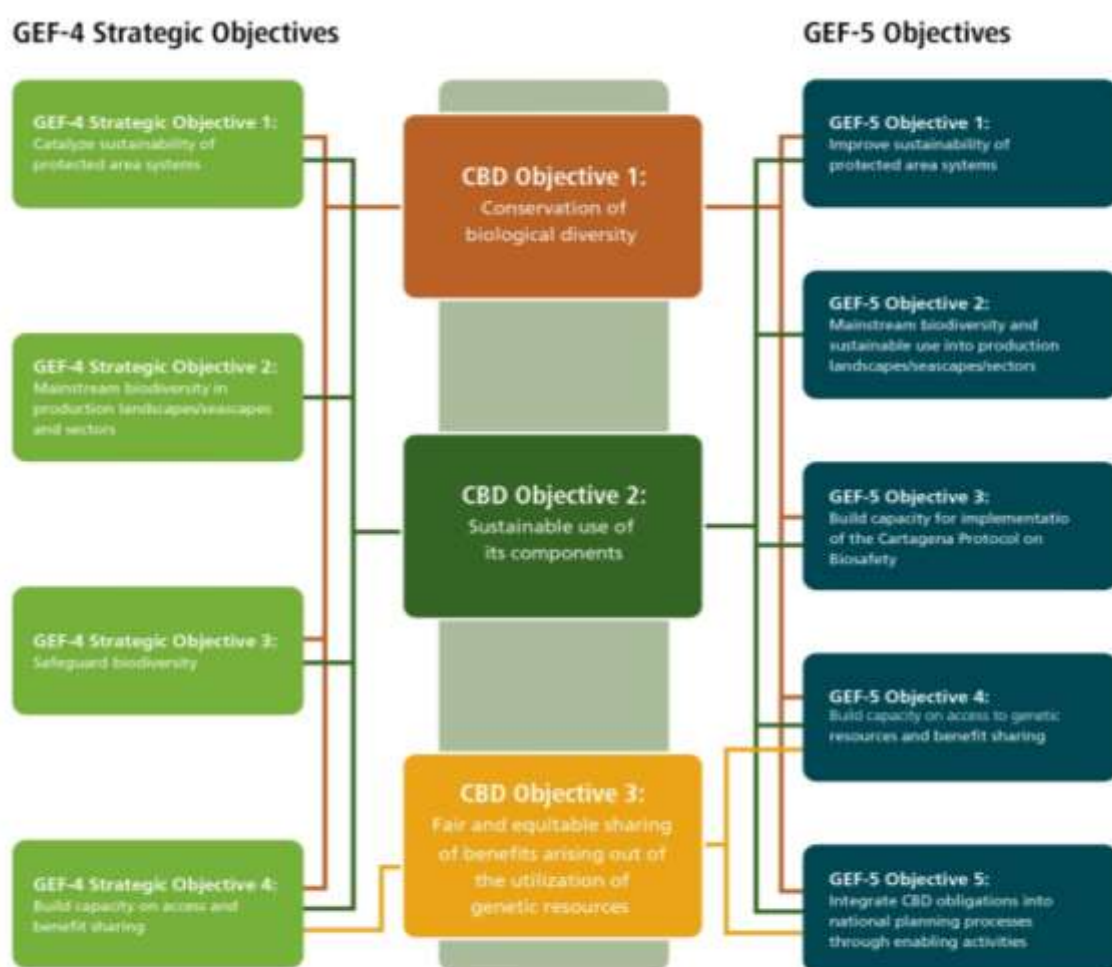
In addition, there are cases where the GEF does not directly respond to decisions taken by the COP in its reports. These pieces of guidance are highlighted in Appendix E: COP Decisions and GEF Responses. The GEF responds only to guidance related to funding priorities in its reports to the COP; COP decisions directed at the financial mechanism on resource allocation, capacity constraints in the implementation of the RAF, the GEF’s high-level political discussions and consultations, accessibility of the project information system, and promoting the exchange of experience and lessons learned in addressing sustainability of funding projects on biological diversity are not addressed in GEF reports to the COP. While there may be other, more informal

responses to this guidance through programming or action by the GEF Secretariat, in these cases it may not be clear to Parties that Convention guidance is being followed.

GEF Reporting on Results. The GEF has taken measures to improve reporting on results in its reports to the COP. Prior to this review period, the GEF provided a summary of GEF Evaluation Office (EO) evaluation results that are relevant to the biodiversity focal area. During this review period the GEF continued to provide this information in its reports, while adding new results-based information. In COP-X, the GEF began providing aggregated analysis from the biodiversity tracking tools¹¹ to the COP. This is the same analysis that is provided to the GEF Council, and shows the degree to which GEF biodiversity activities are meeting the expected outcomes established for the biodiversity focal area. In COP-XI, the GEF also provided the COP with a series of charts depicting how biodiversity projects rate in terms of achievement of environmental objectives and implementation progress. The GEF reported that 92 percent of projects are achieving their global environment objectives at a rating of “moderately satisfactory” or higher, with 67 percent achieving ratings of “satisfactory” or “highly satisfactory”. The GEF also directed the COP to progress reports for the 8 percent of projects that have received sub-optimal ratings.

Conformity of Strategy and Programming. The CBD’s three objectives—conservation of biological diversity, sustainable use of its components, and fair and equitable sharing of benefits arising out of the utilization of genetic resources—align well with the GEF’s objectives in both the *GEF-4 and GEF-5 Biodiversity Focal Area Strategies*, as illustrated in Figure 2.

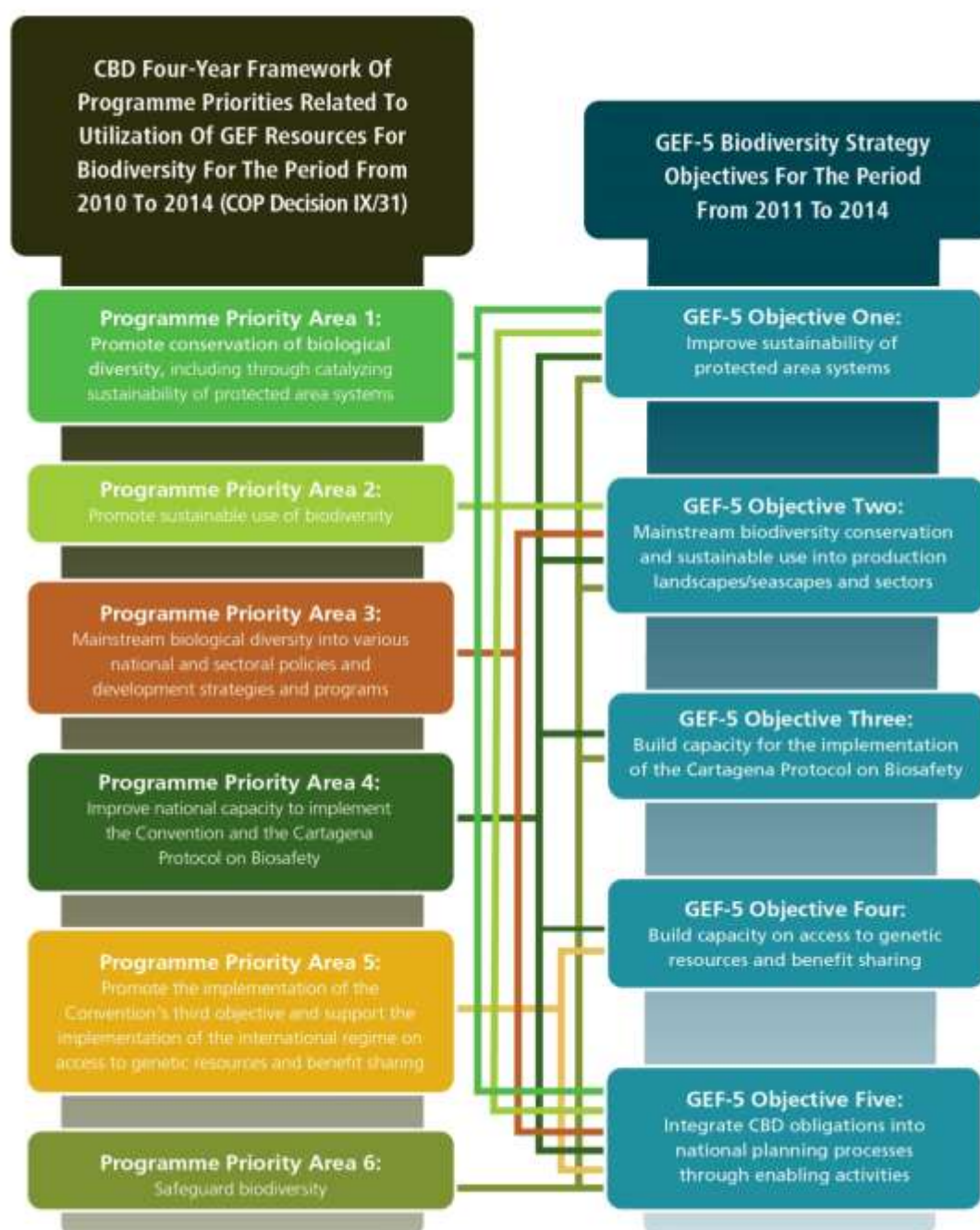
1. Figure 2: Alignment of GEF-4 and GEF-5 Biodiversity Objectives with CBD Objectives



¹¹ The biodiversity tracking tools were introduced in GEF-3, and measure each project’s progress in achieving the outputs and outcomes established at the focal area level.

The GEF-5 Focal Area Strategy was developing during this review period, and illustrates how the GEF has responded to the COP in its strategy development. At its ninth meeting, the COP acknowledged that the GEF-4 Strategy was a useful starting point for the GEF-5 Strategy, and requested that the GEF build upon the GEF-4 Strategy using the four year framework of programme priorities adopted at COP-IX. The GEF-5 Focal Area Strategy is closely related to the GEF-4 Focal Area Strategy, and as shown in Figure 3, it covers all areas noted in the four-year framework of programme priorities.

2. **Figure 3: Relationships between the CBD Four-Year Framework of Programme Priorities and the GEF-5 Biodiversity Strategy**



The GEF EO recently mapped COP guidance with the GEF-5 Biodiversity Strategy, and concluded that the GEF-5 Biodiversity Strategy closely reflects COP guidance and tries to

incorporate all programming priorities mentioned by COP guidance.¹² The GEF EO's evaluation also noted that the Biodiversity Focal Area Strategy is somewhat fragmented due to the lack of prioritization of COP guidance. The evaluation recommended stronger collaboration between the GEF and the CBD on strategy development. In response, the GEF Council took a decision to continue dialogue with the CBD to further define the relationship between guidance and strategies in a way that allows for responsiveness as well as strategic coherence in GEF-6.

Stakeholders consulted for this review generally felt that the focal area strategies for GEF-4 and GEF-5 have reflected COP guidance. Of CBD and GEF focal points that responded to the questionnaire, 13 percent "strongly agreed" and 64 percent "agreed" that the GEF is responsive to COP guidance in its strategies and programming. Eleven percent "disagreed," while the remaining 13 percent responded with "I don't know." It was noted that during this review period, the CBD Secretariat has been represented in the technical advisory group that provides input into development of the GEF strategies.

However, some CBD stakeholders interviewed noted an uneven distribution among the GEF strategic objectives, in particular that most of the Aichi Targets are rolled into the GEF-5 Objective 2 on mainstreaming biodiversity. These stakeholders expressed concern that this clustering could result in a muddling of priorities. CBD stakeholders have also expressed concern that while the GEF does support the NBSAP development process in response to COP guidance, GEF project development is not always sufficiently linked to NBSAPs. Convention stakeholders also expressed a desire for better links to the NBSAP in project documents to help monitor the achievement of CBD targets. However, in each project proposal there is a section for the country to identify how the project is linked to a priority in the NBSAP, and explicit links to the NBSAP is one of the GEF project review criteria. Further exploration of this topic was outside of the scope and resources of this review, but could be the subject of a future assessment.

¹² Evaluation of the GEF Focal Area Strategies.

Timely, adequate, and predictable flow of funds

Conclusions:

- The total allocation of GEF funds to the biodiversity focal area has increased over time; however, the percentage of total GEF funding directed at biodiversity has slightly decreased as new focal areas have been introduced. This trend is similar to the trend observed for other focal areas (i.e., climate change and international waters).
- As a percentage of total biodiversity allocations, funding allocated to mega-diverse, LDCs, SIDS, and EITs has remained roughly the same under GEF-4 and GEF-5.
- Although the total amount of funding allocated for biodiversity increased between GEF-4 and GEF-5, on a country-by-country basis, some countries were allocated less funding under the STAR than the RAF. This is due to the introduction of the GDP-based index (GDPI) and changes to the biodiversity GEF Benefits Index (GBIBD) and GEF Performance Index (GPI) under the STAR.
- Most stakeholders agree that the STAR is more transparent, predictable, and flexible system for allocation resources than the RAF.
- Funds that were allocated to the biodiversity focal area under GEF-4 were almost entirely utilized, and it is expected that the majority of funds allocated under GEF-5 will be similarly utilized.
- There are differing opinions on the adequacy and source of resources for biodiversity projects.

Allocations by Replenishment Period

The GEF allocates a certain amount of funding to each focal area for each replenishment period, and biodiversity has consistently received a significant portion of the total resources. Table 2 below summarizes the allocation of GEF funds by focal area for GEF-2 through GEF-5.

3. Table 2: GEF Targeted Resource Allocations by Focal Area and Replenishment Period (\$Million)

Focal Area	GEF-2	GEF-3	GEF-4*	GEF-5
Biodiversity	930	960	1000	1,200
Climate Change	930	960	1000	1,350
International Waters	380	430	355	420
Land Degradation	250	250	300	400
Ozone Layer Depletion	50	50	40	25
POPs/Chemicals	0	250	300	395
Corporate Programs	0	0	15	210
Sub-Total	2,540	2,900	3,010	4,000
Corporate Budget/Services	90	100	120	200
Total	2,630	3,000	3,130	4,200

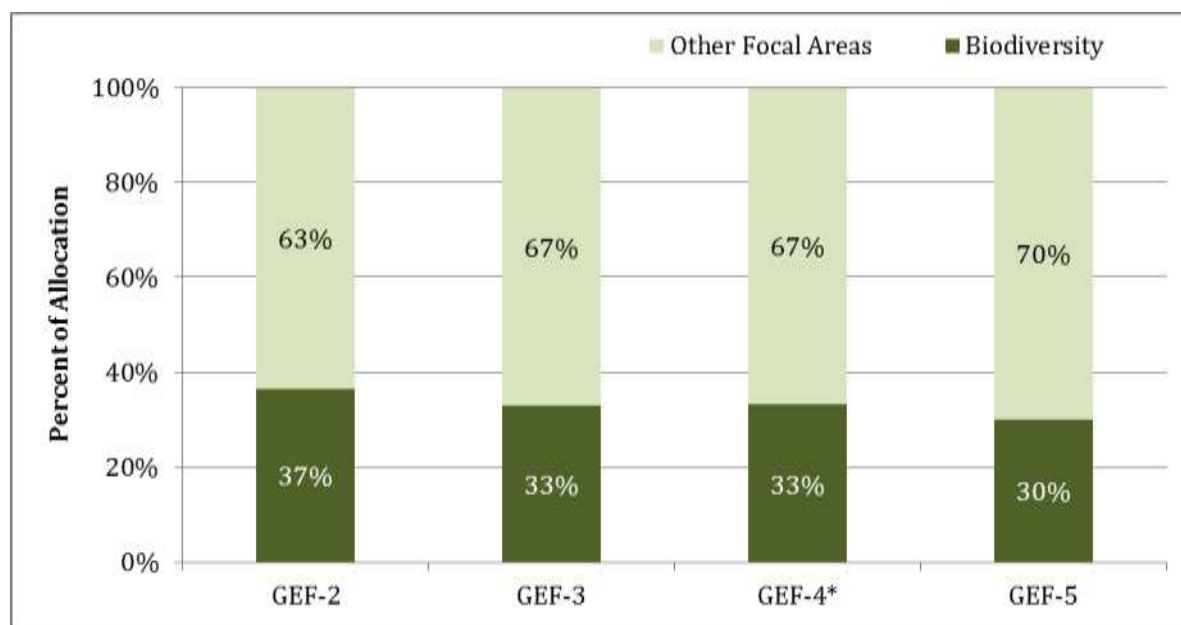
* GEF resources were re-allocated in April 2009 due to the global economic crisis and the high volatility of currency exchange rate movements. The values shown above reflect the initial allocation of resources.

Sources: Summary of Negotiations on the Third Replenishment of the GEF Trust Fund (2002), Summary of Negotiations on the Fourth Replenishment of the GEF Trust Fund (2006), Reallocation of Remaining GEF-4 Resources (2009), Summary of Negotiations on the Fifth Replenishment of the GEF Trust Fund (2010).

As shown above, the total quantity of funds allocated to the biodiversity focal area has predictably increased over time, growing from \$930 million under GEF-2 to \$1,200 million

under GEF-5. While total resources allocated to biodiversity have increased over time, the portion of funding allocated to the biodiversity focal area has decreased somewhat with the introduction of new focal areas since GEF-2, as shown below in Figure 4. This trend is similar to the trend observed for other focal areas—namely the climate change and international waters focal areas, which were allocated 37% and 15% of GEF-2 and 34% and 11% of GEF-5, respectively.

4. **Figure 4: Percent of GEF Funds Allocated to the Biodiversity Focal Area by Replenishment Period**



* The percent of GEF resources allocated to the biodiversity focal area under GEF-4 did not change as a result of the April 2009 re-allocation of resources.

Sources: Summary of Negotiations on the Third Replenishment of the GEF Trust Fund (2002), Summary of Negotiations on the Fourth Replenishment of the GEF Trust Fund (2006), Reallocation of Remaining GEF-4 Resources (2009), Summary of Negotiations on the Fifth Replenishment of the GEF Trust Fund (2010).

Allocations under the RAF versus the STAR

Resources allocated to the biodiversity focal area are further allocated to recipient countries based on an allocation system. Starting in GEF-4, the Resource Allocation Framework (RAF) was used to allocate resources to countries based on their potential to generate global environmental benefits and their capacity, policies, and practices to successfully implement GEF projects. Conclusions regarding the effectiveness of the RAF system—as identified in the Midterm Review of the RAF¹³—led to the adoption of the System for Transparent Allocation of Resources (STAR) in GEF-5. The STAR has similarities to the RAF, but additionally considers a GDP-based Index when allocating resources.

Another key difference between the RAF and the STAR is the use of a group allocation. Under the RAF, countries were allocated biodiversity focal area funds either individually or as part of a group allocation. In total, 58 countries received individual allocations, while 89 countries were part of the group allocation. The countries that were placed in the group were given collective access to group funding, with an upper limit of \$3.8 million available for any individual country in the group.¹⁴ Under the STAR, the use of a group allocation was abolished; instead, all 144 countries that were allocated biodiversity focal area funds under the STAR were allocated funds

¹³ GEF Evaluation Office (2009). *Midterm Review of the GEF Resource Allocation Framework*.

¹⁴ GEF (2008), *Rules for Utilization of RAF Resources by Group Allocation Countries after July 1, 2008*.

individually. Due to the use of a group allocation under the RAF, allocations to some countries under the RAF and under the STAR are difficult to compare. Even so, some observations can be made.

Indicative allocations for countries categorized as mega-diverse, least developed countries (LDCs), small island developing states (SIDS), and countries with economies in transition (EITs) under GEF-4 and GEF-5 are summarized below in Table 3.¹⁵ As shown, the total allocation of funding to mega-diverse countries—none of which were part of the group allocation—has increased from GEF-4 to GEF-5. For LDCs, SIDS, and EITs—all of which include some countries that were part of the group allocation—the upper limit of available funding plus the total individual country allocations was greater under GEF-4 than total allocations under GEF-5. However, if countries that are part of the group are assumed to receive an equitable share of the group allocation (i.e., less than the upper limit), the total allocation of funding for LDCs and SIDS (individual plus group) increase from GEF-4 to GEF-5.¹⁶

5. Table 3: Allocation of Biodiversity Focal Area Funding by County Category

Country Category*	GEF-4		GEF-5		Percent Difference
	Number of Countries	Allocation (\$Million)	Number of Countries	Allocation (\$Million)	
Mega-Diverse	15	\$460.75	15	\$476.48	3%
LDCs with Ind. Allocations	12	\$95.00	47	\$181.84	-20% to 20%
LDCs in Group (Average)**	35	\$56.70	-	-	
LDCs in Group (Ceiling)**		\$133.00	-	-	
SIDS with Ind. Allocations	10	\$66.15	38	\$120.59	-30% to 8%
SIDS in Group (Average)**	28	\$45.36	-	-	
SIDS in Group (Ceiling)**		\$106.40	-	-	
EIT with Ind. Allocations	2	\$31.30	17	\$51.98	-41% to -7%
EIT in Group (Average)**	15	\$24.30	-	-	
EIT in Group (Ceiling)**		\$57.00	-	-	

* Country categories are not mutually exclusive.

** The total group allocation budget under GEF-4 (after the mid-term reallocation) was equal to \$144.3 million, with an upper limit of \$3.8 million and an average allocation of \$1.62 million per country.

Sources: Progress Report on the Implementation of the Resource Allocation Framework (RAF)/System for a Transparent Allocation of Resources (STAR) (2010); Progress Report on the STAR (2012); United Nations Statistics Division, <http://unstats.un.org/unsd/methods/m49/m49regin.htm#transition> (2013).

As a percentage of total biodiversity allocations, funding allocated to mega-diverse, LDCs, SIDS, and EITs under GEF-4 and GEF-5 is roughly the same (assuming countries in the group receive an equitable share of the group allocation). Figure 5 below presents allocated funding by country category as a percentage of total allocated funding. For LDCs, SIDS, and EITs, allocated funding as a portion of total allocations under GEF-4—assuming countries in the group receive the allocated ceiling—is also shown.

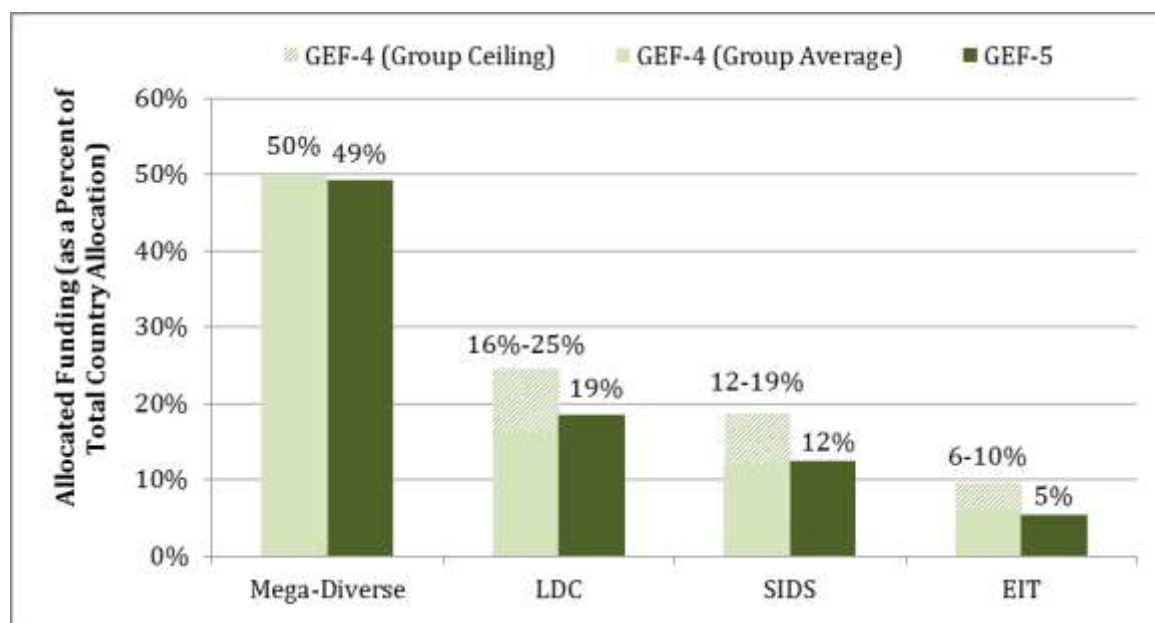
While the allocations to mega-diverse, LDCs, SIDS, and EITs have stayed roughly proportional between the RAF and the STAR, less than half of the GEF and CBD focal points that were surveyed for this review described this distribution of funding as adequate. A slightly greater portion of respondents found the distribution of funding adequate under the STAR compared to the RAF (34-45 percent versus 15-29 percent). OPS4 (2010) similarly found that across all focal

¹⁵ Mega-diverse, LDCs, SIDS, and EITs are not mutually exclusive categories. A list of countries that fall into each category is provided in Appendix F: Country Categories.

¹⁶ For comparison purposes, the analysis assumes that each country in the group allocation under GEF-4 will receive an equitable share of the group allocation.

areas there was insufficient funding under GEF-4 to bring demonstration and investment to fragile states, SIDS, and LDCs.

6. Figure 5: Allocated Biodiversity Funding by Country-Category



Sources: Progress Report on the Implementation of the Resource Allocation Framework (RAF)/System for a Transparent Allocation of Resources (STAR) (2010); Progress Report on the STAR (2012); United Nations Statistics Division, <http://unstats.un.org/unsd/methods/m49/m49regin.htm#transition> (2013).

Exhibit 4: Change in allocations from the RAF to the STAR

The change in country-specific allocations from the RAF to the STAR is due to the introduction of or changes to the following three indices:

- **The biodiversity GEF Benefits Index (GBIBD):** In the RAF, the GBIBD score consisted of two components: (1) Terrestrial Score (80%) and (2) Marine Score (20%). The STAR contains the same two components but with slightly modified weights:—Terrestrial (75%) and Marine (25%).
- **The GEF Performance Index (GPI):** The approach for computing this index, which is based on three indices, was modified from the RAF to the STAR. Under the RAF, it was computed using the International Fund for Agricultural Development (IFAD) rural sector indicator, while in the STAR the average or minimum Country Policy and Institutional Assessment (CPIA) data was used.
- **The GDP-based index (GDPI):** This index was newly used in the STAR and resulted in the redistribution of a small amount of resources from wealthier countries to poorer countries while keeping the allocation of middle income countries relatively unchanged.

Source: GEF (2011), System for Transparent Allocation of Resource (STAR).

Although the total amount of funding allocated under the STAR increased relative to the RAF, on a country-by-country basis, some countries were allocated less funding under the STAR than the RAF. For example, with the exception of five countries (i.e., Angola, Bahamas, Cambodia, Myanmar, and Yemen), countries that were part of the group allocation under GEF-4 were individually allocated funding under GEF-5 that was lower than the group allocation ceiling of \$3.8 million. At the same time, more than half of these countries (i.e., 45 of 84) were individually allocated funding under GEF-5 that exceeded the average group allocation of \$1.62

million under GEF-4.¹⁷ For countries that were individually allocated funds under GEF-4, slightly fewer than half of these countries (i.e., 25 of 58) were allocated more funding under GEF-5 relative to GEF-4, while the remaining countries (i.e., 33 of 58) were allocated less funding. See Appendix F for a complete summary of allocations by country under the RAF and STAR.

Stakeholders consulted for this evaluation generally agree that the STAR is an improvement over the RAF. Of the GEF and CBD focal points that were surveyed, 75 percent agreed or strongly agreed that the transition from the RAF to the STAR has resulted in greater transparency, while 82 percent agreed or strongly agreed that the transition has resulted in more predictable financial resources. Over 60 percent of the GEF and CBD focal points surveyed also agreed or strongly agreed that under the STAR there is greater flexibility in resource utilization. At the same time, a majority of stakeholders interviewed raised concerns that this flexibility has resulted in some of the objectives under the Convention not being prioritized. Stakeholders interviewed have varying views on if the GEF should have a resource allocation system at all. While the allocation system is seen as equitable in providing funding to all Parties and as positive for country ownership of activities, some believe that greater global environmental benefits could be achieved if the GEF focused more on particular countries and objectives. The impact of the allocation frameworks on meeting the objectives of the convention is discussed further in Chapter 6.

Utilization of GEF Funds

Funds that were allocated to the biodiversity focal area under GEF-4 were almost entirely utilized, and it is expected that the majority of funds allocated under GEF-5 will be similarly utilized:

- **GEF-4:** 92 percent or \$901 million of the \$978.5 million allocated to the biodiversity focal area under GEF-4 was utilized. Of the \$927 million allocated for individual and group country allocations under GEF-4, 92 percent or \$857 million were utilized.
- **GEF-5:** Of the \$968 million allocated for individual country allocations under GEF-5, 55 percent or \$529 million had been utilized as of October 2012—which is roughly 56 percent of the way through the replenishment period. If funding were to continue to be utilized at the same rate through the end of the replenishment period (i.e., June 2014), 97 percent or \$940 million would be utilized for individual country allocations.

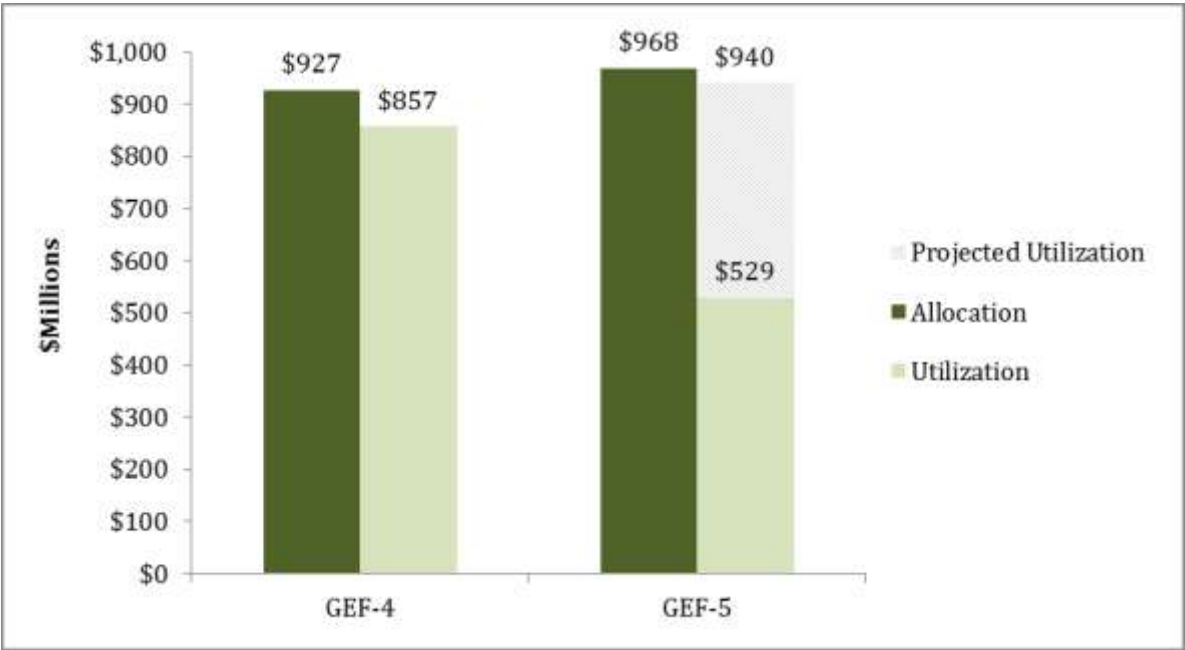
Figure 6 summarizes actual and projected utilization of biodiversity funds under GEF-4 and GEF-5 for individual and group country allocations.¹⁸

¹⁷ Since it was not possible for all countries that were part of the group allocation under GEF-4 to receive the allocated ceiling, both the allocated ceiling and average group allocation was compared to GEF-5 allocations.

¹⁸ Although funding for global and regional projects may benefit individual countries, it is not possible to attribute specific dollar amounts to individual countries; therefore, funding for global and regional projects is excluded from the analysis presented in this section of the report.

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7. **Figure 6: Actual and Projected Utilization of Biodiversity Funding under GEF-4 and GEF-5***



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* Funding for global and regional programs is excluded from totals.

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Sources: GEF Revised Allocation Table Biodiversity (2008); Progress Report on the Implementation of the Resource Allocation Framework (RAF)/System for a Transparent Allocation of Resources (STAR) (2010); Progress Report on the STAR (2012).

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Consistent with the trend across all countries, for mega-diverse, LDCs, SIDS, and EITs—which represent 103 of the 147 countries allocated funding under GEF-4—the majority of funding allocated under GEF-4 was utilized (assuming countries in the group utilize an equitable share of the group allocation). Figure 7 below presents allocated and utilized funding by country category under GEF-4.

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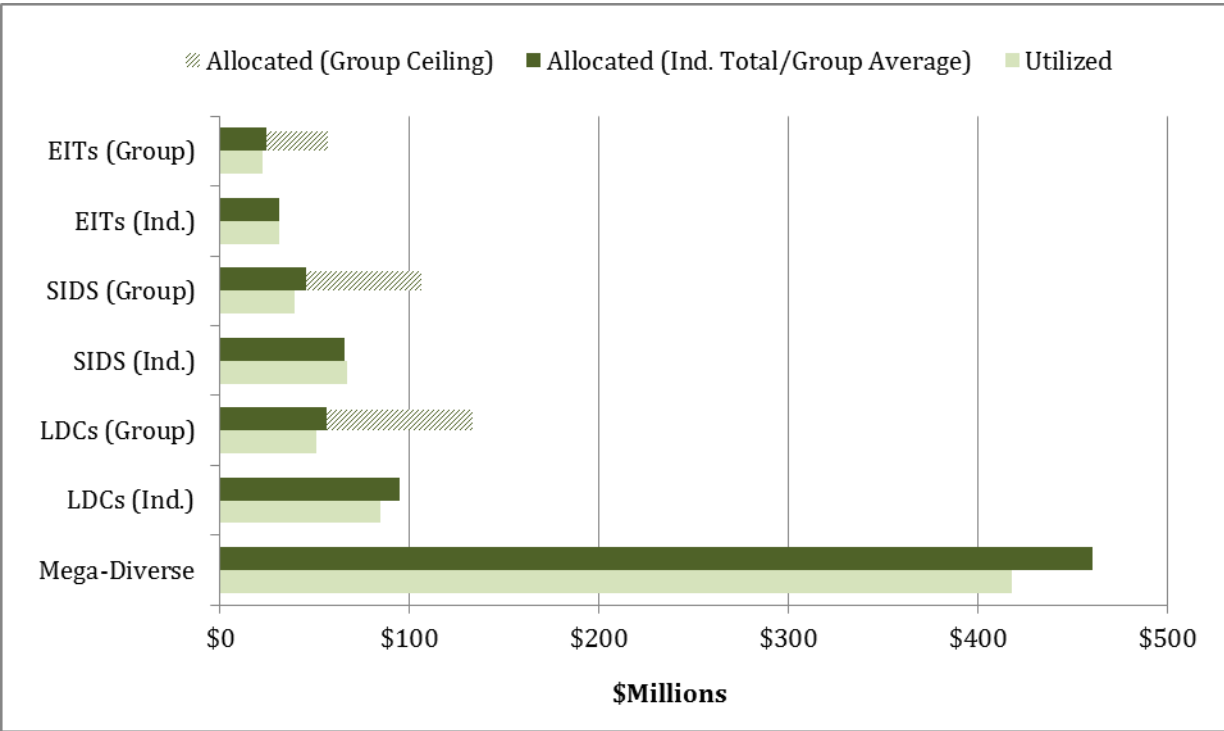
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8. **Figure 7: Utilized Biodiversity Funding under GEF-4 by Country-Category**



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Sources: Progress Report on the Implementation of the Resource Allocation Framework (RAF)/System for a Transparent Allocation of Resources (STAR) (2010); Progress Report on the STAR (2012).

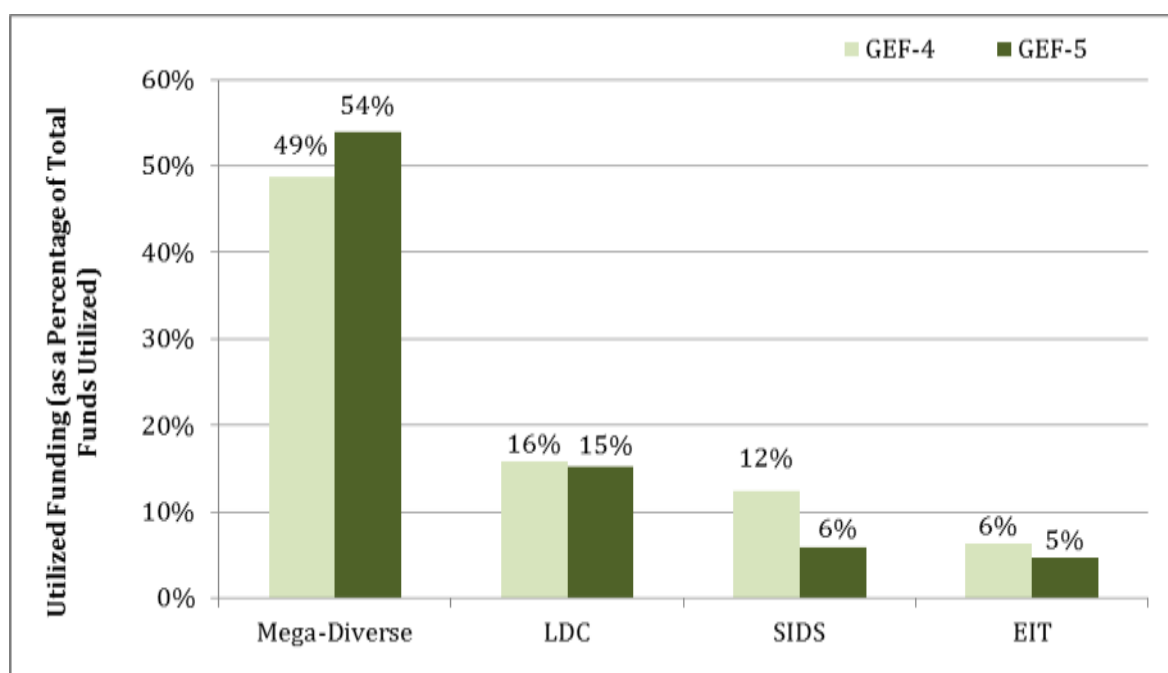
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As a portion of total funds utilized for individual and group country allocations as of October 2012 (i.e., \$857 under GEF-4 and \$529 under GEF-5), utilization by country category varies.

- **Mega-diverse:** Under GEF-4, 49 percent of total utilized funds were utilized by mega-diverse countries. Under GEF-5, 54 percent of the total funds utilized as of October 2012 had been utilized by mega-diverse countries.
- **LDCs:** Under GEF-4, 16 percent of total utilized funds were utilized by LDCs. Under GEF-5, 15 percent of the total funds utilized as of October 2012 had been utilized by LDCs.
- **SIDS:** Under GEF-4, 12 percent of total utilized funds were utilized by SIDS. Under GEF-5, 6 percent of the total funds utilized as of October 2012 had been utilized by SIDS.
- **EITs:** Under GEF-4, 6 percent of total utilized funds were utilized by EITs. Under GEF-5, 5 percent of the total funds utilized as of October 2012 had been utilized by EITs

Figure 8 below presents utilized funding by country category as a percentage of total funds utilized as of October 2012. These data only represent a snapshot for GEF-5, and the GEF-5 proportions could change, since the figure only reflects data as of halfway through this replenishment period.

9. **Figure 8: Utilization of Biodiversity Focal Area Funding by County Category***



* Data shown through October 10, 2012.

Sources: Progress Report on the Implementation of the Resource Allocation Framework (RAF)/System for a Transparent Allocation of Resources (STAR) (2010); Progress Report on the STAR (2012); United Nations Statistics Division, <http://unstats.un.org/unsd/methods/m49/m49regin.htm#transition> (2013).

As the figures above illustrate, GEF funding has been highly utilized during the review period. The Convention's first needs assessment—conducted for Sixth Replenishment of the GEF—suggests that countries believe that significantly more funding is required to achieve the Aichi Targets and biosafety needs, on the order of \$16 to \$40 billion (a total that exceeds the amount of funding available for all focal areas combined since the inception of the GEF). Of the GEF and CBD focal points that responded to the survey for this review, about 58 percent agreed or strongly agreed that adequate funding was provided for the nationally identified priorities for implementation of the CBD under GEF-5. This represents an improvement over GEF-4, for which only 44 percent agreed or strongly agreed that adequate funding was provided. About

half of respondents agreed or strongly agreed that adequate funding was provided to meet the agreed incremental costs of activities under GEF-5. This again represented an improvement over the 38 percent who agreed with this statement for GEF-4.

The GEF's role in providing funding for the implementation of NBSAPs is not always clear to stakeholders. The GEF funds incremental costs, not the entire cost of implementing a country's nationally identified priorities, and in some cases there may be misunderstandings. Greater discussion is needed at the COP regarding where the funding should be coming from for implementation of nationally-identified priorities (i.e., how much funding should come from recipient countries' national budgets, the GEF, bilateral and other assistance, and the private sector).

Partnerships and Strategic Investments

There are a variety of GEF partnerships and strategic programs that have been established to strengthen support for specific regions or sub-regions. For example, the GEF Pacific Alliance for Sustainability (GEF-PAS) is a program aimed at increasing the efficiency and effectiveness of GEF support to Pacific Island Countries. Approved by the GEF Council in April 2008, as of September 2011 the program consisted of 32 projects, including 10 biodiversity projects.¹⁹ Other notable programs include the GEF Strategic Partnership for the Mediterranean Large Marine Ecosystem, which aims to protect the marine and coastal environment of the Mediterranean, and the GEF Strategic Program for West Africa, which aims to scale up biodiversity conservation in the region while capitalizing on socio-economic benefits from sustainable use of the biodiversity to support poverty alleviation and growth. The extent to which these partnerships have contributed to the utilization of GEF resources in these regions was not specifically evaluated as part of this review.

Effectiveness of the GEF in mobilizing new and additional funds

Conclusions:

- The portion of anticipated project financing coming from co-financing sources for biodiversity projects has been increasing over time.
- Projects that support GEF Strategic Objectives 1 and 2 have been more successful in attracting co-financing than projects that support Strategic Objectives 4 and 5.
- Stakeholders generally agree that the GEF has helped to mobilize additional resources to support implementation of the CBD; however, there is also indication that there is opportunity to do more.

The GEF is replenished every four years when countries that wish to contribute to the Trust Fund pledge resources. As discussed in Chapter 5, a needs assessment for the implementation of the Convention for GEF-6 (2014-2018) was initially completed in May 2012 and subsequently submitted to the GEF in October 2012 for consideration during the negotiations for the Sixth Replenishment of the GEF. According to the assessment, which took into account cofinancing, the anticipated needs to cover incremental costs to achieve the Aichi Biodiversity Targets far exceed the funding that will be available through the GEF. As such, greater prioritization and a greater emphasis on the mobilization of new and additional resources are required.

¹⁹ GEF (2011), *Update – GEF Pacific Alliance for Sustainability*. Presented at the GEF Expanded Constituency Workshop, 27-29 September 2011, Honiara, Solomon Islands.

Stakeholders generally agree that the GEF has helped to mobilize additional resources to support implementation of the CBD during the review period. Of the GEF and CBD focal points that responded to the survey, 74 percent agreed or strongly agreed that GEF projects have helped to mobilize additional resources for CBD implementation. Cofinancing is part of the way that the GEF mobilizes resources for the global environment, and is often considered an indicator of country ownership and mainstreaming of GEF activities.

In total, biodiversity projects funded by the GEF through March 2013 anticipate attracting more than \$11 billion in cofinancing. OPS5 reports a cofinancing ratio of 4.14 for the biodiversity focal area, significantly below the ratio for climate change (14.65) and international waters (8.39).²⁰ Some GEF Agencies interviewed reported that it is more challenging to

attract cofinancing for biodiversity projects compared to other focal areas and that the focus of the GEF partnership on cofinancing ratios has led to increased and undue complexity, or the broadening of scope to attract cofinancing, in some biodiversity projects. The GEF's Annual Performance Review in 2009 called for a balanced approach to seeking co-financing, noting that a singular focus on achieving high cofinancing ratios can create disincentives for undertaking projects where the potential for benefits is large but raising cofinancing is difficult.²¹ OPS4 recommended that the level of cofinancing that the GEF should seek for its projects should be with an eye to protecting GEF investments and making them more cost-effective.²² In this regard, the GEF partnership should seek to innovate in GEF-6 to mobilize further resources for biodiversity. For example, some stakeholders noted that private sector co-financing is extremely limited for biodiversity. Countries may want to consider pursuing business models for biodiversity projects that lend themselves to private investment and sustainability by being taken over by private entities.

As shown by Figure 9 below, across replenishment periods, the ratio of anticipated cofinancing to GEF funding has gradually increased over time. In addition, actual materialization of cofinancing has increased over time, with OPS5 reporting that more than 70 percent of completed projects in the OPS5 cohort reported actual cofinancing to be equal or greater than promised cofinancing, while only roughly 50 percent of completed projects in the OPS4 cohort reported actual cofinancing to be equal or greater than promised cofinancing.²³

Exhibit 5: Resource Mobilization Strategy

To implement Articles 20 and 21 of the Convention, which provide for the architectural design of financial cooperation for biodiversity and ecosystem services, the COP adopted a resource mobilization strategy in May 2008 (decision IX/11). With the ultimate goal of substantially enhancing international financial flows and domestic funding for biological diversity, the strategy identifies eight specific goals and requests the development of indicators to monitor the implementation of the strategy. In October 2010, a set of fifteen indicators to monitor the implementation of the strategy were adopted (decision X/3). Per decision XI/4, Parties have been asked to use a preliminary reporting framework to submit information on resource mobilization according to the indicators. As part of decision XI/4, preliminary targets for the mobilization of resources were also established. Furthermore, it was decided that the resource mobilization strategy will be reviewed at WGRI-5 in June 2014. The effectiveness of this strategy was not explicitly evaluated as part of this review.

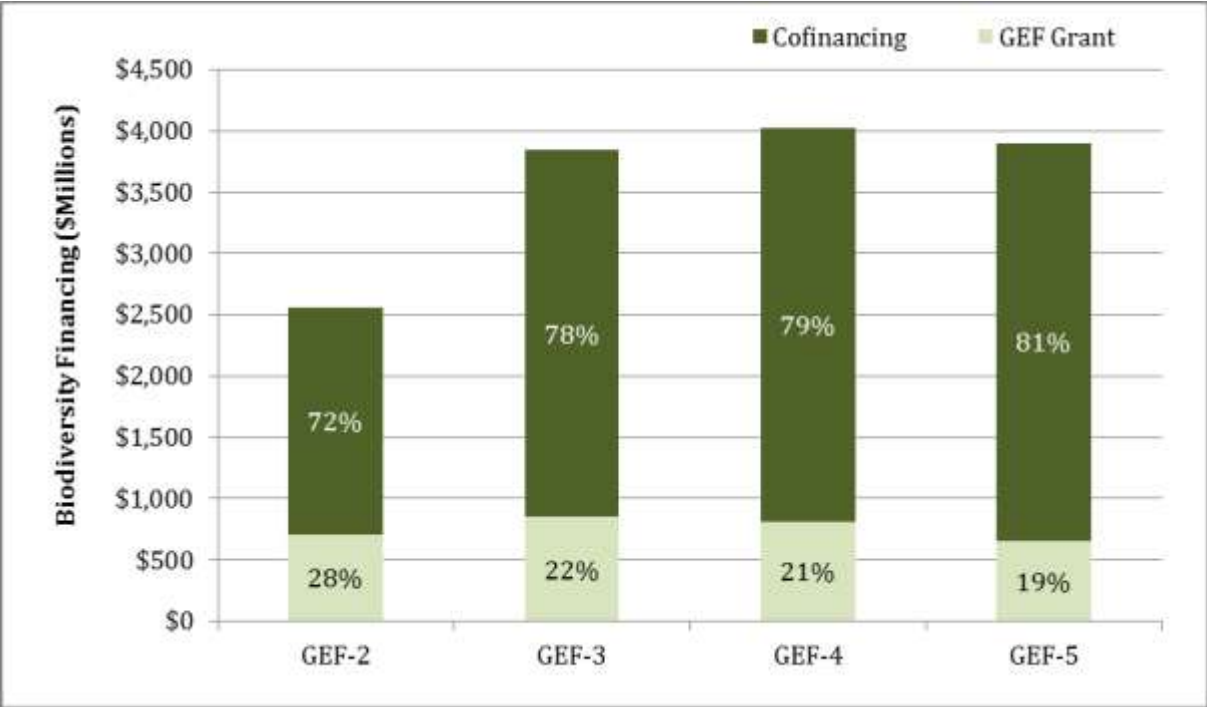
²⁰ GEF Evaluation Office (2013). OPS5 Technical Document #7: Performance of the GEF. March 2013. http://www.thegef.org/gef/sites/thegef.org/files/EO/TD7_Performance%20of%20the%20GEF.pdf.

²¹ GEF Annual Performance Review 2009

²² GEF Evaluation Office (2010), OPS4.

²³ GEF Evaluation Office (2013). OPS5 Technical Document #7: Performance of the GEF. March 2013. http://www.thegef.org/gef/sites/thegef.org/files/EO/TD7_Performance%20of%20the%20GEF.pdf

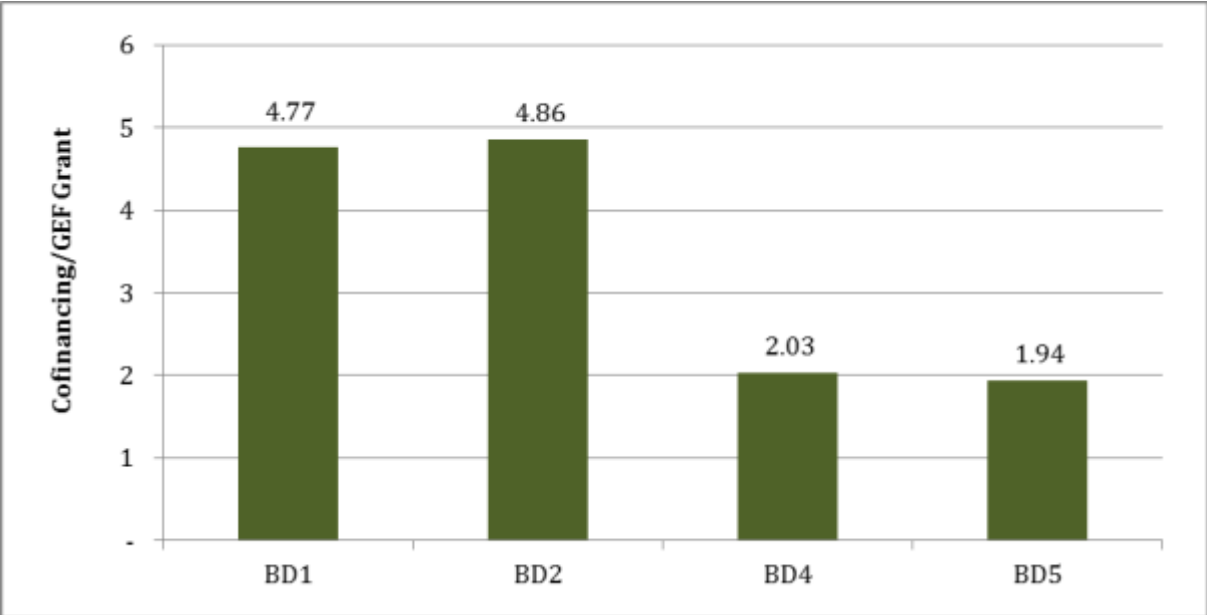
900 10. **Figure 9: Total Anticipated Financing for the Biodiversity Projects by Replenishment Period**



901 * GEF-4 and GEF-5 totals include biodiversity financing for multi-focal area projects.
902 Sources: Third Review of the Effectiveness of the Financial Mechanism of the Convention on Biological Diversity
903 (2008); GEF PMIS, as of March 5, 2013.
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905

906 Figure 10 below presents the cofinancing ratio by strategic objective under GEF-5 for projects
907 approved through March 2013. As shown, projects that support strategic objectives 1 and 2
908 have been more successful in attracting co-financing than projects that support strategic
909 objective 4 and 5.²⁴

910 11. **Figure 10: Cofinancing Ratio by GEF-5 Biodiversity Strategic Objective**



911 Source: GEF PMIS, as of March 5, 2013.
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²⁴ No financing for strategic objective 3 had been approved under GEF-5 as of March 2013.

Conclusions:

- Most stakeholders agree that the GEF project cycle has become more transparent and efficient since 2007.
- On average, full-sized biodiversity projects have achieved the targeted elapsed time established by the GEF in 2007 but have exceeded the targeted elapsed time established by the GEF in 2010 by half a month. Medium-sized biodiversity projects have exceeded the targeted elapsed time by more than four months.
- Compared to GEF-4, biodiversity projects approved under GEF-5 as of March 2013 have taken a significantly shorter time on average to move through the GEF project cycle.
- Biodiversity focal area projects on average have moved less quickly through the GEF project cycle compared to multi-focal area projects with a biodiversity component.
- Compared to other GEF Agencies, ADB and FAO biodiversity projects approved under GEF-4 and GEF-5 on average have taken longer to move through the GEF project cycle.

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916 In June 2007, following an evaluation of the project cycle by the GEF EO in 2006,²⁵ the GEF
 917 project cycle was updated and approved by the GEF Council.²⁶ Key improvements included
 918 streamlining the project cycle into clearly defined steps and establishing business standards for
 919 the response time of the GEF Secretariat and the target elapsed time from PIF approval to CEO
 920 endorsement. Specifically, for full sized projects, the GEF targeted an elapsed time of 22 months
 921 on average from PIF approval by the Council to CEO endorsement; for medium sized projects,
 922 the GEF targeted an elapsed time of 12 months on average from the date the CEO approves the
 923 PIF with PPG to the date the CEO approves the final project document. In July 2010, the GEF
 924 further reduced the target elapsed time for full sized projects to 18 months from PIF approval
 925 by the Council to CEO endorsement.

926 Most stakeholders consulted for this evaluation agree that the GEF project cycle has become
 927 more transparent and efficient since 2007. Specifically, 67 percent of the GEF and CBD focal
 928 points that responded to the survey agree or strongly agree that the project cycle has become
 929 more transparent while 65 percent agree or strongly agree that the project cycle has become
 930 more efficient.

931 For projects funded under GEF-4 and GEF-5, as of March 2013, a total of 91 medium-sized
 932 projects and 135 full-sized projects in the biodiversity focal area have received PIF approval by
 933 the Council and then were subsequently approved or endorsed by the CEO.²⁷ In addition 4
 934 medium-sized and 55 full-sized multi-focal area projects with a biodiversity component
 935 received PIF approval and then were subsequently approved or endorsed by the CEO.²⁸ As
 936 shown by Figure 11 below, on average across both biodiversity projects and multi-focal area
 937 projects that include biodiversity objectives, full-sized projects have achieved the 2007 targeted

²⁵ GEF Evaluation Office (2007). *The Joint Evaluation of the GEF Activity Cycle and Modalities*. The main findings and recommendations of this evaluation were presented to the GEF Council in December 2006.

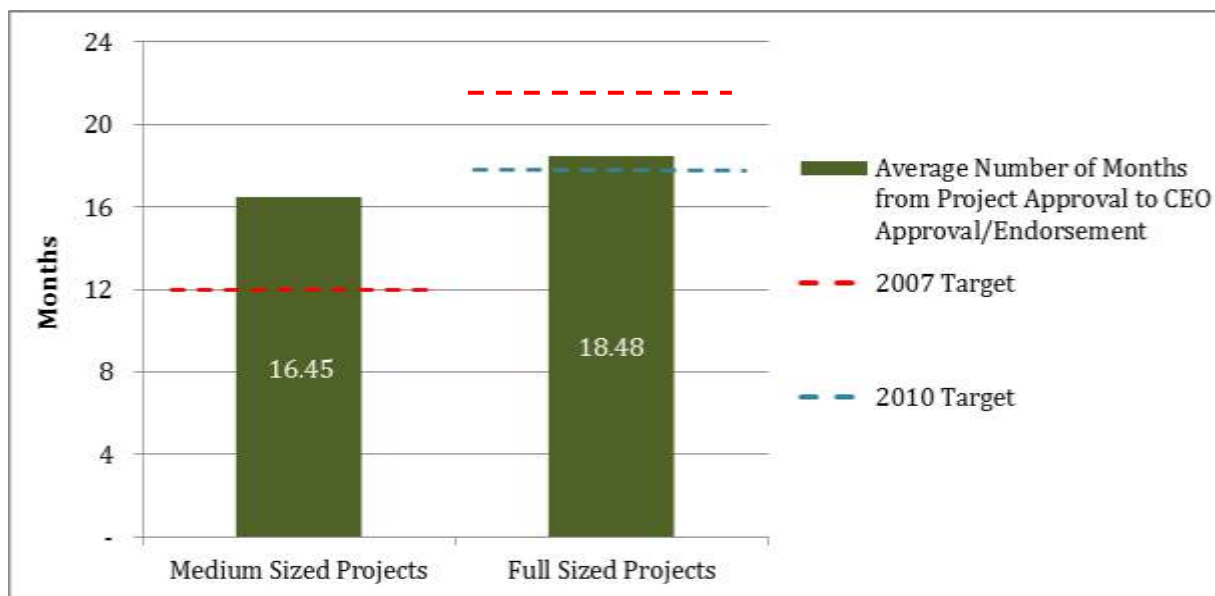
²⁶ In November 2008, comments and recommendations from subsequent Council meetings were incorporated into the June 2007 project cycle paper. In addition, provisions on the processing procedures outlined in an April 2008 Council paper (*From Projects to Programs: Clarifying the Programmatic Approach in the GEF Portfolio*) were also incorporated. The current policies and procedures governing the GEF project cycle and programmatic approaches are found in the GEF Project and Programmatic Approach Cycles presented to the GEF Council in November 2010.

²⁷ In addition to these projects, 27 medium-sized biodiversity projects and 87 full-sized biodiversity projects are in the GEF pipeline but were either approved through an expedited process, have not yet reached CEO approval/endorsement, or were cancelled prior to reaching CEO approval/endorsement.

²⁸ In addition to these projects, 1 medium-sized and 71 full-sized multi-focal area projects with a biodiversity component are in the GEF pipeline but were either approved through an expedited process, have not yet reached CEO approval/endorsement, or were cancelled prior to reaching CEO approval/endorsement.

elapsed time established by the GEF but have exceeded the 2010 targeted elapsed time by half a month. Medium-sized projects have exceeded the targeted elapsed time by more than four months.

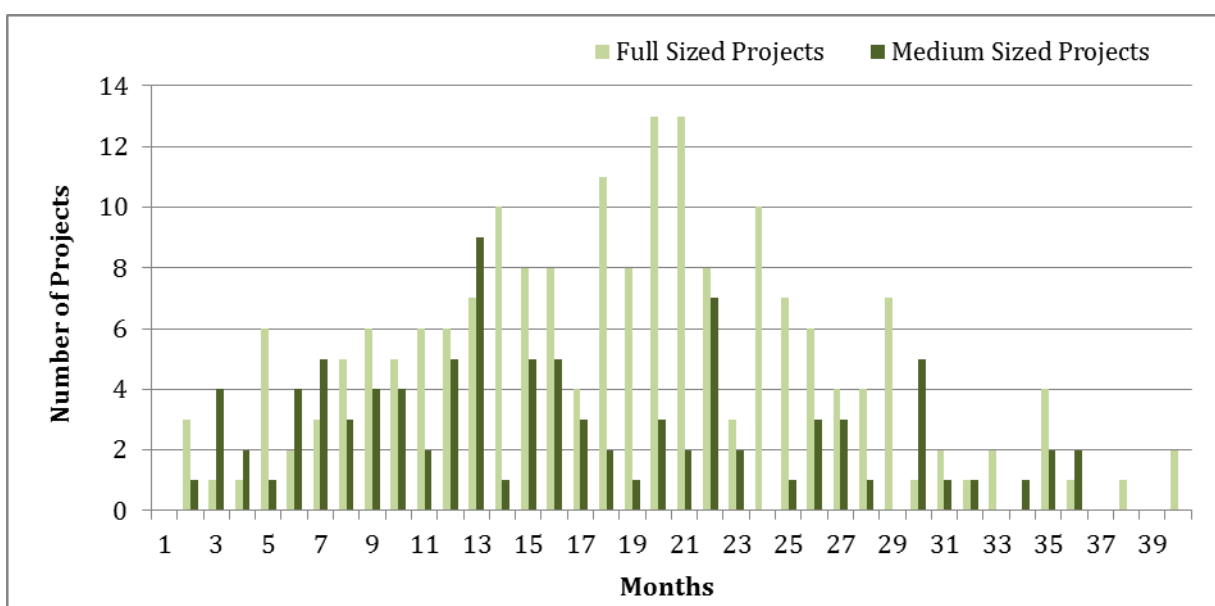
12. Figure 11: Average Time between Project Cycle Milestones for Biodiversity Projects



* Includes multi-focal area biodiversity projects.
Source: GEF PMIS, as of March 5, 2013.

Although on average full-sized projects have met the targeted elapsed time of 22 months established in 2007, 55 projects or 29 percent have exceeded that target, with two projects taking as long as 40 months from PIF approval by the Council to CEO endorsement. Full-sized projects, on average, have not met the reduced targeted elapsed time of 18 months established in 2010. For medium-sized biodiversity projects, 58 projects or 61 percent have exceeded the target of 12 months, with one project taking as long as 36 months from PIF approval to CEO approval. Figure 12 below summarizes the elapsed time across all biodiversity projects.

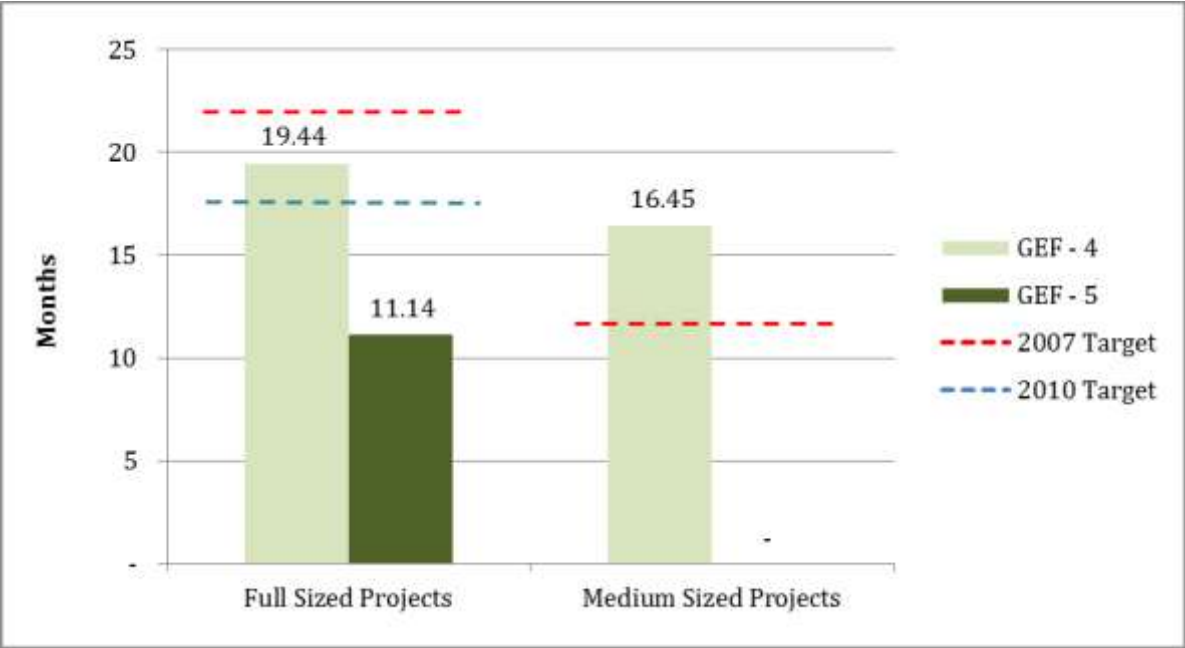
13. Figure 12: Elapsed Time from PIF Approval to CEO Approval/Endorsement for Biodiversity Projects



Data shown for projects that were funded under GEF-4 and GEF-5.
Includes multi-focal area projects.

958 Compared to GEF-4, biodiversity projects approved under GEF-5 as of March 2013 have taken a
959 significantly shorter time on average to move through the GEF project cycle. Specifically, full
960 sized projects under GEF-4 have taken roughly 19 months on average from PIF approval by the
961 Council to CEO endorsement, while projects under GEF-5 have taken only 11 months on
962 average. It is likely that the streamlining of the GEF project cycle in 2007 during GEF-4
963 contributed to the shorter elapsed time of projects on average under GEF-5 relative to GEF-4.
964 GEF agencies have also expressed that in GEF-5, the project preparation and approval process
965 has been more transparent with clearer guidance provided. Figure 13 below presents the
966 average elapsed time for biodiversity projects by replenishment period. Note that no medium
967 sized projects had been approved under GEF-5 as of March 2013.

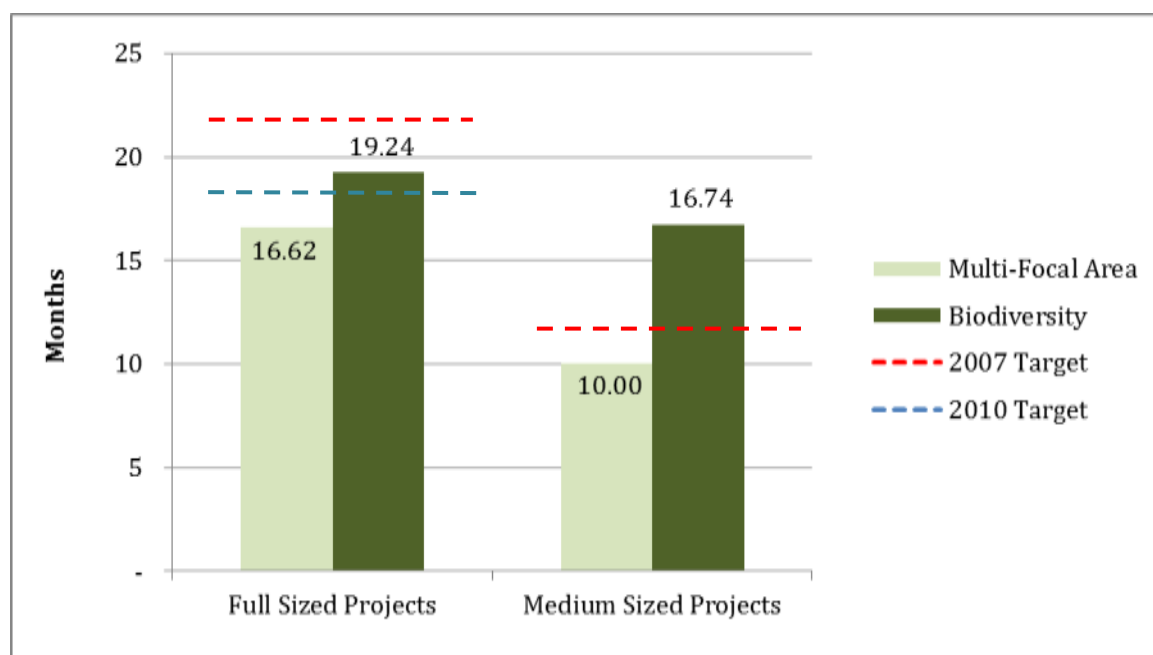
968 14. Figure 13: Elapsed Time from PIF Approval to CEO Approval/Endorsement for Biodiversity
969 Projects by Replenishment Period



970 Includes multi-focal area projects.
971 Source: GEF PMIS, as of March 5, 2013.
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973 For projects approved under GEF-4 and GEF-5 through March 2013, biodiversity focal area
974 projects on average have moved less quickly through the GEF project cycle compared to multi-
975 focal area projects with a biodiversity component. As shown below in Figure 14, full sized
976 biodiversity focal area projects have taken almost 3 months more on average from PIF approval
977 by the Council to CEO endorsement, and medium sized biodiversity focal area projects have
978 taken almost 7 months more on average from PIF approval to CEO approval than multi-focal
979 area projects with a biodiversity component.

15. Figure 14: Elapsed Time from PIF Approval to CEO Approval/Endorsement for Biodiversity Focal Area Projects and Multi-Focal Area Projects

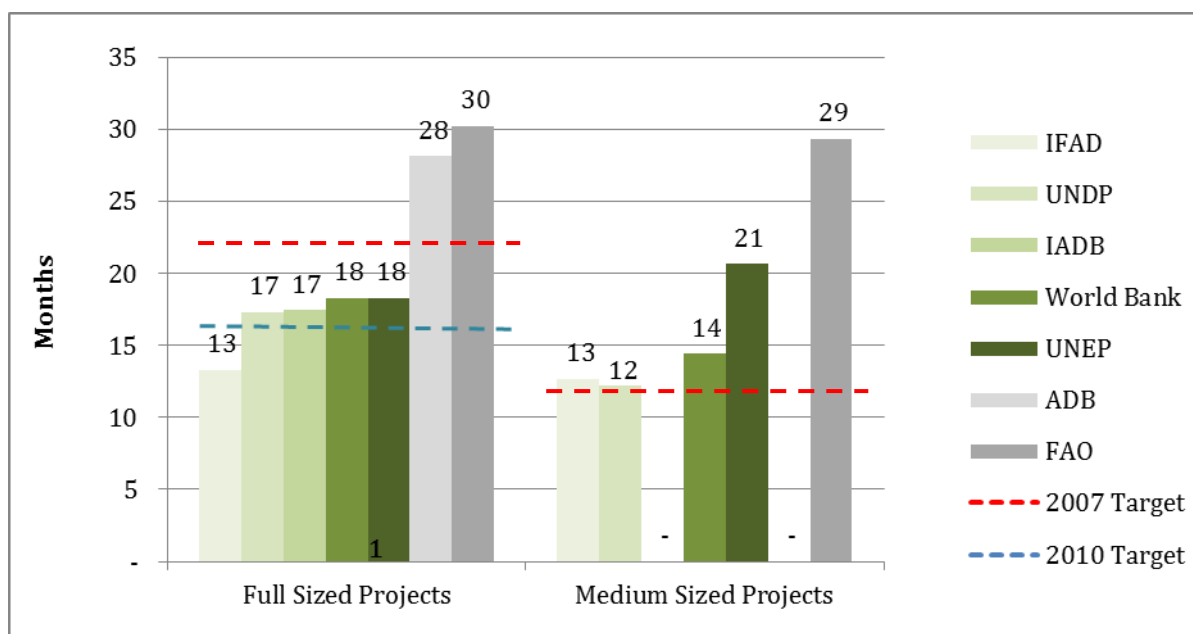


Data shown for projects that were funded under GEF-4 and GEF-5.

Source: GEF PMIS, as of March 5, 2013.

When disaggregated by GEF Agency, ADB and FAO biodiversity projects approved under GEF-4 and GEF-5 through March 2013 on average have taken longer to move through the GEF project cycle than biodiversity projects implemented by other agencies. Figure 15 below presents the average elapsed time for biodiversity projects by GEF Agency.

16. Figure 15: Elapsed Time from PIF Approval to CEO Approval/Endorsement for Biodiversity Projects by GEF Agency



Data shown for projects that were funded under GEF-4 and GEF-5.

Includes multi-focal area projects.

Source: GEF PMIS, as of March 5, 2013.

Dropped projects are labeled as such when they are dropped by a GEF Agency before approval. In the biodiversity focal area, a total of 73 projects under GEF-4 and six projects under GEF-5²⁹ were dropped prior to GEF approval. In addition, three multi-focal area projects with a biodiversity component were dropped under GEF-4 prior to GEF approval while two were dropped under GEF-5.³⁰ Of these projects, six were enabling activities, 30 were medium-sized projects, and 48 were full-sized projects. Based on the information available in the GEF PMIS,³¹ biodiversity projects under GEF-4 and GEF-5 were dropped on average 17 months after first receipt of project documents by the GEF. Projects received before 2009 were dropped on average 30 months after first receipt of project documents while projects received during or after 2009 were dropped on average 7 months after first receipt of project documents.

As part of OPS-5, the GEF EO conducted a sub-study on the efficiency of the GEF project cycle. For the GEF as a whole, the study found that delays persist between PIF submission and CEO endorsement and targets are often not being met. Delays were found to be due to an increase in the extent to which the GEF Secretariat requested revisions in proposals, given an increased focus on co-financing, issues related to monitoring and evaluation (M&E), and discrepancies between documents submitted for PIF approval and for endorsement. Other causes for delay in project preparation tended to be outside of the GEF's control; for example, within recipient country governments, project endorsement can be slow. The GEF EO recommended new project cycle reforms for the GEF-6 period, particularly related to co-financing and M&E requirements.

In the Management Response to OPS-5, the GEF Secretariat and Agencies expressed that they have already begun working together to identify new measures to expedite the project cycle and are exploring the feasibility of the OPS-5 recommendations. In particular, the GEF Secretariat and Agencies concurred that the GEF should explore the feasibility of establishing realistic levels of co-financing for groups of countries in specific circumstances, providing more clarity in the approach to co-financing, reducing transaction costs associated with co-financing requirements, and simplifying the tracking tools for results-based management.

Agencies consulted for this review felt that project cycle efficiency issues were less pronounced for the biodiversity focal area than for other GEF focal areas.

²⁹ As of March 2013.

³⁰ As of March 2013.

³¹ The date of receipt and date dropped are not consistently recorded in the PMIS. The average months between project receipt and project dropping can only be calculated for 67 out of the 84 dropped projects.

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Effectiveness and Efficiency of the Financial Mechanism

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Efficiency and effectiveness of GEF-funded activities on implementation of the Convention

Conclusions:

- Between GEF-3 and GEF-4, the total number of biodiversity projects increased while the total quantity of GEF financing decreased. This trend can be attributed to the decrease in GEF financing per project on average for full-sized projects from GEF-3 to GEF-4.
- Given that each country was required to revise their NBSAP, compared to GEF-3 and GEF-4, the number of enabling activities has significantly increased under GEF-5; enabling projects represent roughly 25% of all biodiversity projects by number of projects approved through March 2013
- The distribution of biodiversity funding by region has not changed significantly across replenishment periods.
- This statement is not clear. What “programming targets” are you referring to? Do you mean the targets set by the COP or the notional monetary allocations that the GEF established for each objective based on past country programming? See previous comments. Biodiversity funding is not being utilized in accordance with the programming targets. Many stakeholders have indicated that use of an allocation framework under GEF-4 and GEF-5 (i.e., the RAF and STAR) has contributed to focusing on certain strategic objectives over others.

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Since GEF-3, a total of 909 biodiversity projects have been approved by the GEF, including 135 multi-focal area projects with a biodiversity component. Table 4 below summarizes the total number of projects and total value of projects approved for biodiversity by replenishment period.

17. Table 4: Approved Biodiversity Projects by Project Type and Replenishment Period (\$Million)

Project Type	Data	Phase			Total
		GEF-3	GEF-4	GEF-5*	
Enabling Activities	Number of Projects	35	18	56	166
	GEF Grant	\$7.51	\$4.91	\$13.23	\$36.16
	Agency Fees	\$1.22	\$0.49	\$1.28	\$4.60
	Funding/Project	\$0.25	\$0.30	\$0.26	\$0.25
Medium Sized Projects	Number of Projects	81	111	12	240
	GEF Grant	\$71.78	\$92.77	\$10.67	\$203.95
	Agency Fees	\$10.17	\$9.28	\$1.03	\$25.76
	Funding/Project	\$1.01	\$0.92	\$0.97	\$0.96
Full Sized Projects	Number of Projects	128	193	155	503
	GEF Grant	\$780.65	\$717.18	\$633.10	\$2,277.83
	Agency Fees	\$77.91	\$68.67	\$63.85	\$224.92
	Funding/Project	\$6.71	\$4.07	\$4.50	\$4.98
Total Number of Projects		244	322	223	909

Total GEF Grant	\$859.94	\$814.86	\$657.00	\$2,517.94
Total Agency Fees	\$89.30	\$78.44	\$66.16	\$255.28
Funding/Project	\$3.89	\$2.77	\$3.24	\$3.05

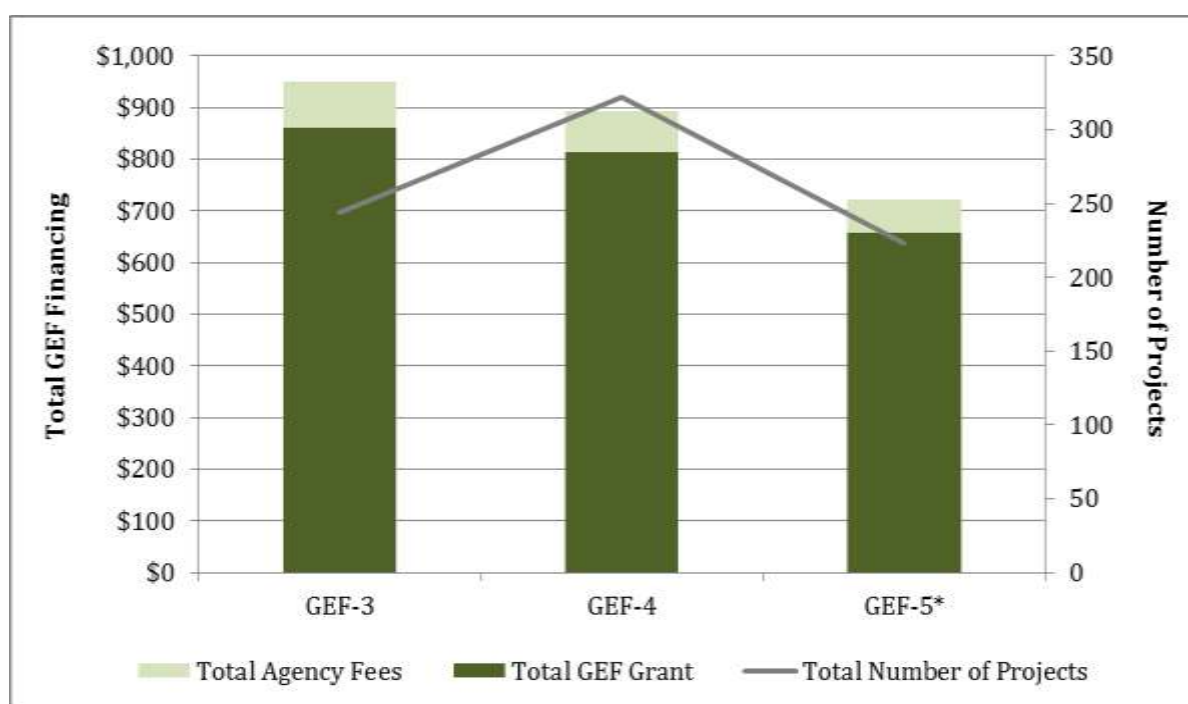
Cancelled projects and multi-focal area projects are included in the totals.

* Data shown through March 2013.

Sources: Third Review of the Effectiveness of the Financial Mechanism of the Convention on Biological Diversity, February 2008; PMIS, March 2013.

As shown in the table above, total financing for biodiversity decreased from GEF-3 to GEF-4 while the total number of projects increased. This is largely attributable to the decrease in GEF financing per project on average for full-sized projects from GEF-3 to GEF-4. Although GEF-5 is still underway, the average size of full sized projects is higher than it was under GEF-4, but not nearly as high as it was under GEF-3. Figure 16 below graphically presents the number of projects and associated funding under each replenishment period.

18. **Figure 16: Approved Biodiversity Projects by Replenishment Period, Number and Total Financing**



Cancelled projects and multi-focal area projects are included in the totals.

* Data shown through March 2013.

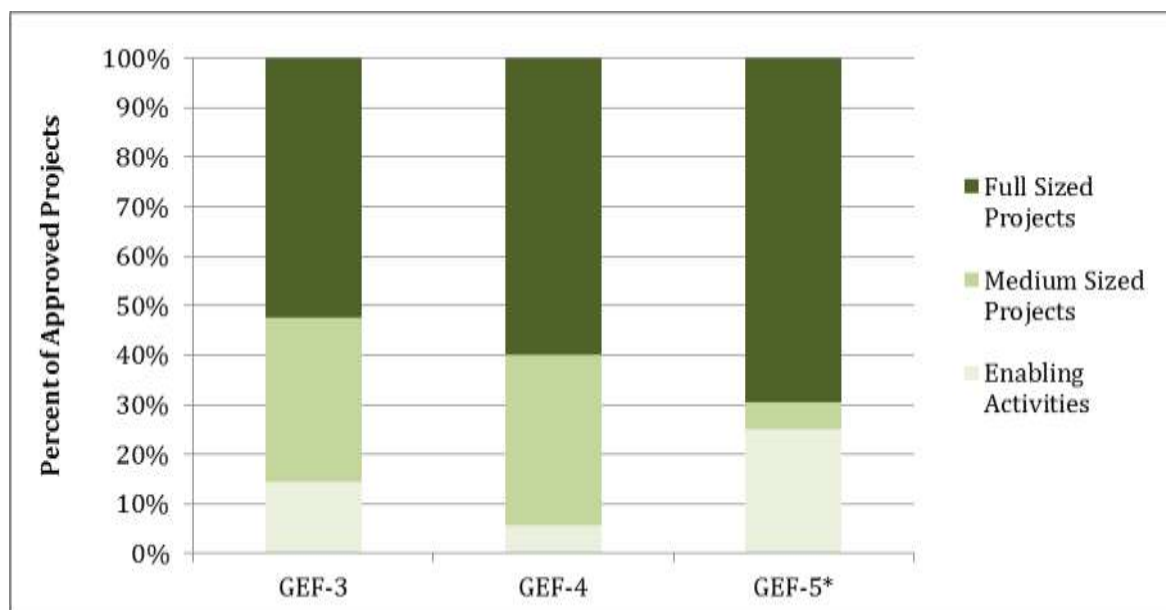
Sources: Third Review of the Effectiveness of the Financial Mechanism of the Convention on Biological Diversity, February 2008; PMIS, March 2013.

Some stakeholders interviewed raised concerns about the reduced size of individual projects, indicating that it may be difficult for the GEF to be catalytic if the size of projects continues to decrease.

All stakeholder groups expressed that the GEF has been successful in providing funding for enabling activities. Enabling activities are obligations of the Parties and are considered fully incremental. As noted in the Third Review, the number of enabling projects declined from GEF-3 to GEF-4. This decline is a reflection of the use of umbrella programs under GEF-4 that counted as one project, but under which numerous enabling activity grants were approved. As shown below in Figure 17, the number of enabling activities has significantly increased under GEF-5, with enabling projects representing roughly 25 percent of all biodiversity projects by number of projects. This significant increase is attributable to the discrete direction by the COP,

per decision VIII/18 and X/25, to provide funding to support the updating of national biodiversity strategies and action plans (NBSAP) and related enabling activities (e.g., fifth national reports).

19. **Figure 17: Distribution of Approved Biodiversity Projects by Project Type**



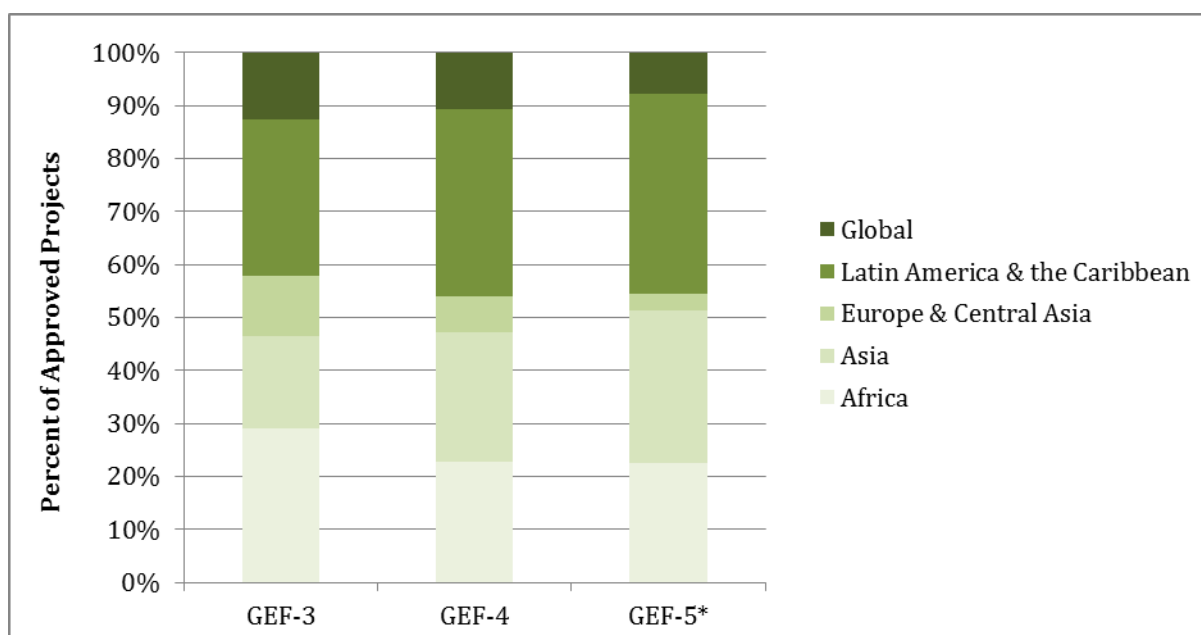
Cancelled projects and multi-focal area projects are included in the totals.

* Data shown through March 2013.

Sources: Third Review of the Effectiveness of the Financial Mechanism of the Convention on Biological Diversity, February 2008; PMIS, March 2013.

By region, the distribution of biodiversity funding has not changed significantly across replenishment periods, as shown below in Figure 18. However, relative to GEF-3, the portion of biodiversity funding going to Latin America & the Caribbean and Asia under GEF-4 and GEF-5 has increased while the portion of funding is going towards Europe & Central Asia and Africa has decreased.

20. **Figure 18: Distribution of Approved Biodiversity Financing by Region**



Cancelled projects and multi-focal area projects are included in the totals. Includes agency fees.
 * Data shown through March 2013.
 Sources: Third Review of the Effectiveness of the Financial Mechanism of the Convention on Biological Diversity, February 2008; PMIS, March 2013.

The GEF relies on a targeted strategy to guide programming of biodiversity funds. The first targeted strategy for the biodiversity focal area was developed for GEF-3 to complement and further focus the GEF's existing operational programs. In total, five operational programs for the biodiversity focal area were identified under GEF-3. These operational programs are no longer used and have been officially retired. Under GEF-4, a new biodiversity strategy was developed, which identified strategic programs to support four long term biodiversity objectives. For GEF-5, the biodiversity strategy was again updated to encompass five objectives. A summary of the operational programs/strategic objectives identified for each of the replenishment periods is provided in Table 5 below, along with their programming targets.

Table 5: Biodiversity Focal Area Objectives and Notional Programming Allocations (\$Million)

#	Objective	Notional Allocations *
GEF-3 Operational Programs		
1	Arid and Semi-Arid Zone Ecosystems	\$138
2	Coastal, Marine, and Freshwater Ecosystems	\$166
3	Forest Ecosystems	\$193
4	Mountain Ecosystems	\$111
5	Conservation and Sustainable Use of Biological Diversity Important to Agriculture	\$88
GEF-4 Strategic Objectives		
1	To catalyze sustainability of protected area (PA) systems	\$450
2	To mainstream biodiversity in production landscapes/seascapes and sectors	\$300
3	To safeguard biodiversity	\$90
4	To build capacity on access and benefit sharing	\$100
GEF-5 Objectives		
1	Improve Sustainability of Protected Area Systems	\$700
2	Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes, and Sectors	\$250
3	Build Capacity for the Implementation of the Cartagena Protocol on Biosafety (CPB)	\$40
4	Build Capacity on Access to Genetic Resources and Benefit Sharing	\$40
5	Integrate CBD Obligations into National Planning through Enabling Activities	\$40

* Under each replenishment period, biodiversity focal area funding is also allocated to other programs and activities (e.g., enabling activities, small grants program) that may not directly support the objectives.

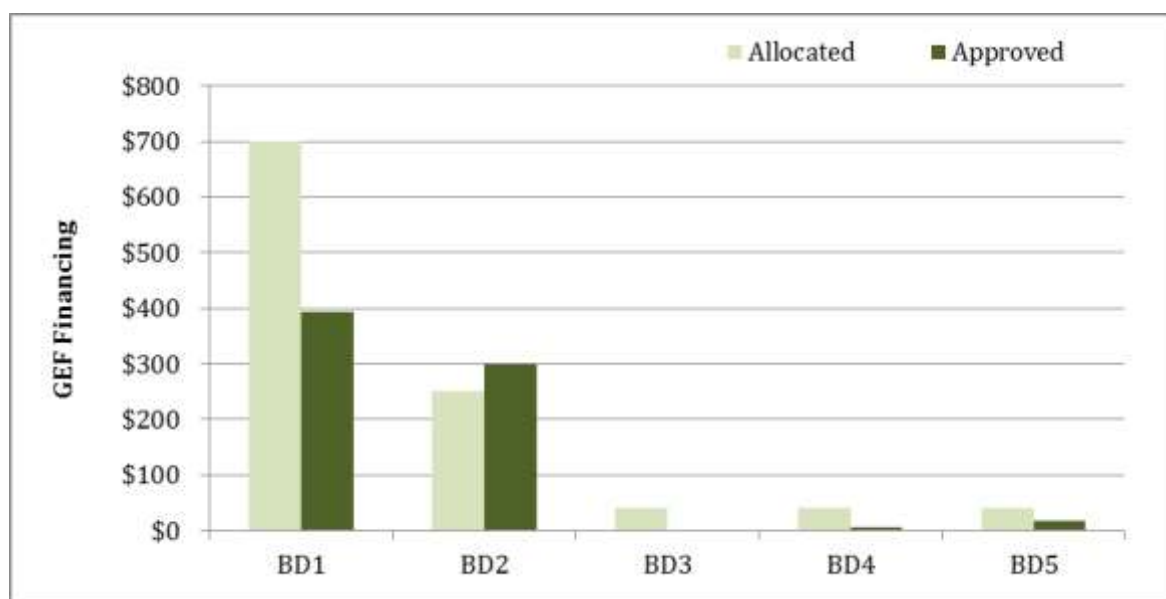
Source: GEF (2002), Summary of Negotiations on the Third Replenishment of the GEF Trust Fund; GEF (2006), Summary of Negotiations on the Fourth Replenishment of the GEF Trust Fund; Biodiversity Strategy for GEF-5.

As of March 2013, under GEF-5, requests and approvals for biodiversity funding do not fully align with the notional programming allocations.³² Approximately halfway through the GEF-5 period, more than half of the funding notionally allocated to support objective 1 has been approved for use by the GEF while the amount of funding approved to support objective 2 has already exceeded the notional programming allocation, as shown in the figure below. No

³² Approved funding by operational program or strategic objective was not systematically tracked under GEF-3 or GEF-4. Therefore, an analysis of allocated vs. approved funding by biodiversity objective was not conducted.

funding has been approved yet to support objective 3 while 16 percent and 43 percent of the notional programming allocation has been approved to support objective 4 and objective 5, respectively.

22. Figure 19: Biodiversity Focal Area GEF-5 Notional Programming Allocation and Approved Financing by Objective (\$Million)



Includes cancelled projects, multi-focal area projects, and agency fees.

Data shown through March 2013.

Sources: Biodiversity Strategy for GEF-5; PMIS, March 2013.

The following observations about each objective may help to explain this variation.

BD1: Protected areas have historically been prioritized by countries in seeking GEF support. Stakeholders interviewed do not believe that protected areas have been over-emphasized; rather, countries have focused on securing protected areas from the start of the GEF because that is an important and less complex first step toward meeting CBD objectives. Moving forward, it is expected that the other two CBD objectives will take on more of an equal emphasis in GEF programming.

BD2: More funding for mainstreaming biodiversity has been approved than notionally programmed. Some stakeholders interviewed noted that achieving many of the Aichi Targets will depend on effectively mainstreaming biodiversity, and progress will need to be made in this area moving forward. The GEF's Annual Monitoring Review for FY2012 hypothesizes that the growth in multi-focal area projects and use of biodiversity funding in sustainable forest management (SFM) projects, as discussed further in Chapter 7, has contributed to the increase in usage under this objective.

BD3: Based on approvals to-date under GEF-5, biosafety projects are under-requested. There are a variety of possible explanations. Many stakeholders interviewed suggested that the use of an allocation framework under GEF-4 and GEF-5 (i.e., the RAF and STAR) has contributed to the disproportionate use of GEF funding across strategic objectives. Under the STAR, each country receives an allocation and decides which priorities to address with the limited funds. Some stakeholders noted that with their individual allocation, only one or two GEF projects may sometimes be possible in the biodiversity focal area. Other reasons may include that biosafety is a lower national priority in some countries, the biosafety focal point is often in the agriculture ministry which is less involved in the prioritization of GEF resources, some countries do not import or export living modified organisms (LMOs), or perhaps biosafety may be better

addressed through other means, such as through transboundary projects, which can be challenging with the individual country allocations. Regardless of the reason, the notional programming allocation for the Cartagena Protocol is not being adequately utilized. One option is a set-aside amount for biosafety that is separate from countries' STAR allocations. In COP decision X/25, the Cartagena Protocol urged the GEF to consider defining specific quotas for biosafety within each country's STAR allocations for GEF-6. Thus far, the GEF Council has not taken up this idea.

BD4: Access and benefit sharing (ABS) is still a new area, and all stakeholders interviewed on ABS expressed a need for more time to understand which capacity building activities should be undertaken. It was also noted that the number of experts on this topic are limited globally. The GEF's Annual Monitoring Review for FY2012 hypothesized that the under-utilization is because many countries have not yet ratified the Nagoya Protocol and/or do not yet understand what capacity gaps need to be addressed. It is expected that there will be greater emphasis on ABS in GEF programming with time.

Monitoring and evaluation

Conclusions:

- The GEF Monitoring and Evaluation Policy was revised in 2010, and incorporates improvements such as inclusion of the results based management framework, greater emphasis on knowledge management and learning, a stronger emphasis on the role of the GEF focal points in monitoring and evaluation, and redefined roles and responsibilities.
- Results from the biodiversity focal area have frequently been assessed in GEF evaluation products, including Annual Impact Reports (AIRs), Annual Performance Reports (APRs), Country Portfolio Evaluations (CPEs), and Overall Performance Studies (OPS).
- Evaluation results are adequately transmitted from the GEF Evaluation Office to the COP.
- Linkages between M&E at the GEF and the Convention levels could be strengthened so that GEF M&E provides greater utility for the Convention.

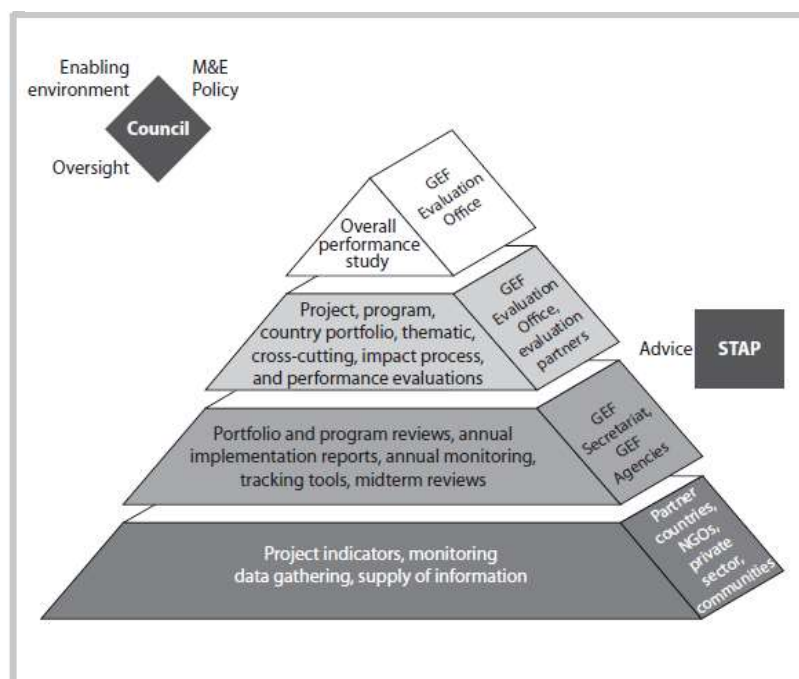
Building on prior reviews, this section considers structural changes to GEF monitoring and evaluation (M&E) procedures during this review period, the extent to which biodiversity results are assessed in GEF evaluation products, and linkages between GEF M&E and the Convention.

Changes to GEF M&E Procedures. GEF M&E procedures evolved during this review period. In June 2007, a results-based management (RBM) framework was approved for implementation during GEF-4. This framework incorporated monitoring and reporting at three levels: institutional (organization); programmatic (focal area); and project level.

The GEF evaluation function was peer reviewed as part of OPS-4, and in June 2009 the GEF Council requested that the 2006 GEF Monitoring and Evaluation Policy be revised to incorporate findings and recommendations of the peer review. A revised Monitoring and Evaluation Policy was developed and approved in November 2010.

The revised policy incorporates changes such as inclusion of the results based management framework, greater emphasis on knowledge management and learning, and a stronger emphasis on the role of the GEF focal points in monitoring and evaluation. For example, a new minimum requirement for project and program level M&E was added to the policy. This minimum requirement relates to the engagement of GEF operational focal points in M&E activities, and states that: (a) the project or program M&E plan must specify how the focal point will be informed, (b) agencies will inform focal points on M&E in projects and programs during implementation, and (c) focal points will be informed of midterm reviews and terminal evaluations and will be invited to comment and contribute to the management response. Roles and responsibilities for M&E at different levels of monitoring were redefined in the 2010 policy, and are depicted in Figure 20.

Figure 20: M&E Levels and Responsible Agencies in the GEF



Source: The GEF Monitoring and Evaluation Policy 2010.

Assessment of biodiversity results in GEF evaluation products. GEF evaluation products developed during this review period and assessed for this section include:

- Country Portfolio Evaluations (CPEs) in the following countries: Nicaragua, Organization of Eastern Caribbean (OECS), Brazil, Cuba, Cameroon, Egypt, Syria, Moldova, and Turkey;
- Annual Impact Reports (AIRs);
- Annual Performance Reports (APRs); and
- Overall Performance Studies (OPS).

Results from the biodiversity focal area have frequently been assessed in these GEF evaluation products. The degree to which each of these evaluation products has assessed biodiversity results is provided below.

Annual Impact Reports (AIRs). Biodiversity impacts are assessed regularly in the AIRs. AIR 2009 featured two case studies that looked at impacts in the biodiversity focal area: *Evaluating the Local Socioeconomic Impacts of Protected Areas*, a case study that focused on the protected area system of Thailand, and *Measuring the Social Impacts of Protected Areas*, a case study that

Exhibit 6: First Report of OPS-5: Findings on M&E

OPS-5 found that there is a need to build national M&E capacities and to reinforce, reactivate, and strengthen the coordinating M&E role of national focal points. There were missed opportunities for information sharing and learning due to lack of capacity within focal points. In addition, the study found that M&E tracking tools are still considered challenging and are not well utilized in many countries. This may be due to lack of staff, training, or funding, poorly designed indicators that are difficult to monitor, or lack of knowledge about biodiversity monitoring.

focused on the Costa Rican protected area system. AIR 2010 featured an impact evaluation of GEF support to biodiversity in Peru, including findings and conclusions, assumptions challenged by the evaluation findings, and areas for further attention which are relevant to the biodiversity focal area as a whole. AIR 2012 discussed an impact evaluation of GEF support to protected areas and protected area systems, which is currently underway in conjunction with the UNDP Evaluation Office.

Annual Performance Reports (APRs). The APRs include information on the quality of M&E in completed projects, though most of the information is not biodiversity-specific (e.g., quality of M&E design and M&E implementation in projects). Biodiversity-specific data is provided for the percentage of projects with outcomes rated “moderately satisfactory” or above, and APRs during this review period show that biodiversity project outcome ratings have improved from 2005-2008 to 2009-2012; the percentage of projects with moderately satisfactory outcomes or higher increased from 81 to 87 percent.

Country Portfolio Evaluations (CPEs). Biodiversity features prominently in most of the CPEs undertaken during this review period, though the extent to which biodiversity is assessed varies with the proportion of a country’s portfolio that is dedicated to biodiversity. CPEs frequently include concrete results, pros and cons of project design, and obstacles encountered for the biodiversity focal area. CPEs also frequently assess aspects such as achievement of global environmental benefits, catalytic and replication effects, and institutional sustainability and capacity building by focal area. In some CPEs, a biodiversity project is subject to a review of outcomes to impacts (ROtI) analysis.

Overall Performance Studies. OPS-4 provided a thorough assessment of biodiversity results, including a full section on *Review of Progress Toward Biodiversity Impacts* based upon review of 100 completed projects in the biodiversity focal area.³³ The review found that forty percent of projects received ratings that show they have progressed toward intermediate states necessary to allow them to generate global environmental benefits (i.e., it is highly likely that the global environmental benefits will be achieved for these projects). Progress toward global environmental benefits in the biodiversity focal area was also analyzed by agency and by region, and OPS-4 considered which conditions made a biodiversity project successful or not, reviewing key met and unmet impact drivers in the projects.

For OPS-5, the *First Report* includes a biodiversity-specific assessment of the Focal Area Strategy. While it also assesses progress toward impact for the GEF portfolio, results are not broken down by focal area to assess biodiversity-specific results. The *First Report* also includes presents findings on M&E, which are discussed in Exhibit 6. The final OPS-5 report, when released, may include additional evaluation that is specific to the biodiversity focal area.

Linkages between GEF Results and the CBD. This review found that evaluation results are adequately transmitted from the GEF EO to the COP. A summary of evaluation results is provided formally in each GEF report to the COP. Full evaluation reports are also often made available to the COP as information documents, and the GEF report to the COP explains where full evaluation reports may be obtained on the GEF EO website.

As was noted in the *Third Review*, there is still a limited link between the GEF’s M&E and Convention-specific objectives. Certain GEF M&E outputs may help to determine how well the CBD is meeting its own strategic programmes and targets, and certain indicators and biodiversity monitoring tools may be utilized for monitoring and reporting both at the GEF and Convention levels. Overall, however, GEF M&E procedures were not designed for reporting at

³³ These completed projects were primarily approved in GEF-2 or GEF-1.

1254 the Convention level, and there is no explicit mention of how well Convention objectives have
1255 been met in Evaluation Office products.

1256 Linkages between M&E at the GEF and the Convention levels could be strengthened so that GEF
1257 M&E provides greater utility for the Convention. Some stakeholders interviewed for this review
1258 noted a need for GEF project documents to explicitly identify the link to the NBSAPs, a COP
1259 decision, or a target, so that the CBD may use projects to monitor of the achievement of the
1260 Aichi Targets for 2020. Moreover, there are a variety of discussions at the GEF and at the CBD
1261 levels regarding the proper indicators that should be reported on for biodiversity
1262 programming. There is a need to coordinate these two processes, to ensure that GEF indicators
1263 line up with what the Parties want in monitoring achievement of the Aichi Targets. Without
1264 these linkages, systematic M&E at the Convention level is difficult to accomplish.

1265 In addition, while the GEF posts documents containing a plethora of lessons learned on its
1266 website, these lessons from GEF evaluations are not always available or compiled for CBD
1267 stakeholders in a user-friendly manner. New approaches, such as a searchable database of all
1268 lessons learned from GEF projects, could be explored to better disseminate this information to
1269 governments and other stakeholders that are developing biodiversity projects.

Coherence with Other Rio Conventions

Conclusions:

- The amount of biodiversity funding that goes toward multi-focal area projects has dramatically increased since GEF-3. In GEF-5, nearly half of funding for the biodiversity focal area went toward multi-focal area projects.
- The financial mechanism is funding projects that promote synergies among the Rio Conventions. Over 90 percent of GEF multi-focal area projects with biodiversity funding incorporate either climate change or land degradation components.
- During this review period, synergistic projects had a higher monitoring burden than single focal area projects, and the GEF did not lay out a strategic approach for multi-focal area activities. The GEF is currently working to address these challenges in GEF-6.
- The surge in multi-focal area projects could present challenges for the Convention in tracking biodiversity results.

There is growing recognition that the three Rio Conventions—the CBD, UNFCCC, and UNCCD—are fundamentally linked, with mutual dependencies and a concern for many of the same environmental and sustainable development issues. If the Rio Conventions are implemented in a harmonized manner, it may result in greater progress on all three fronts: biodiversity, climate change, and land degradation. The CBD has repeatedly recognized this in decisions of the COP, and is part of a Joint Liaison Group (JLG) between the three Rio Conventions that meets regularly as an informal forum for exchanging information, exploring opportunities for synergistic activities, and increasing coordination.³⁴

The CBD has given guidance to the financial mechanism regarding synergies among the Rio Conventions. A sample of this guidance is provided below in Table 6. More information on COP guidance and GEF responsiveness can be found in Chapter 5 and Appendix E: COP Decisions and GEF Responses.

23. Table 6: COP Guidance to the Financial Mechanism on Synergies among the Rio Conventions

Decision VII/20	<i>Requests</i> the financial mechanism...to provide financial support...for: <ul style="list-style-type: none">a) 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;b) Assistance in 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.
Decision X/25	<i>Invites</i> 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 Parities 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; <i>Requests</i> the Executive Secretary, subject to the availability of financial resources to: <ul style="list-style-type: none">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,

³⁴ CBD website

	develop tools to evaluate and reduce the negative impacts of climate change mitigation and adaptation activities on biodiversity based on, <i>inter alia</i> , 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.
Decision XI/5	<i>Requests</i> the Global Environment Facility and <i>invites</i> other financial mechanisms to continue to support projects and activities to improve synergies among relevant multilateral environment agreements.

The GEF has operationalized guidance on synergies among the Rio Conventions through two avenues. First, In GEF-4, a Sustainable Forest Management (SFM) strategy was introduced. This strategy was designed to support an integrated approach to management of forest ecosystems, and to achieve global environmental benefits for biodiversity, climate change, and land degradation in one programmatic strategy.³⁵ Second, the GEF supports a range of multi-focal area projects, as discussed below.

Multi-Focal Area Projects

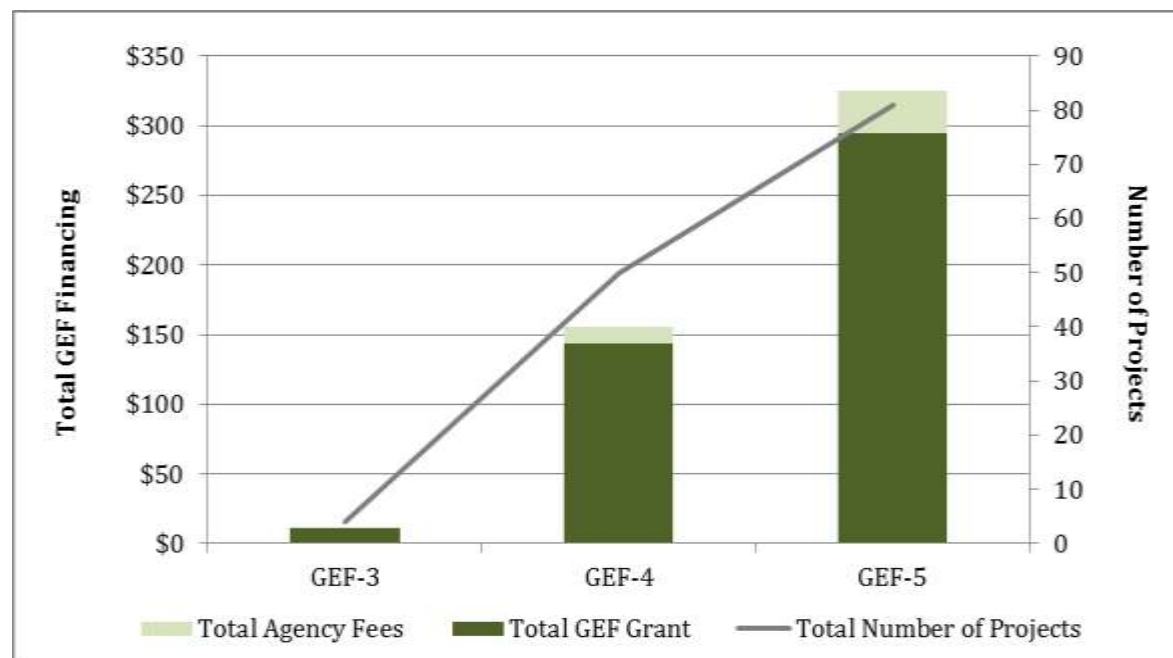
Multi-focal area projects are gaining importance across the GEF portfolio, as shown in Table 7.

24. **Table 7: GEF Funding for Multi-Focal Area Projects over Replenishment Periods**

	Pilot	GEF-1	GEF-2	GEF-3	GEF-4	GEF-5
GEF Funding Allocated to Multi-Focal Area Projects (million \$)	\$16	\$51	\$161	\$443	\$559	\$891

This trend applies to the biodiversity focal area as well, as illustrated in Figure 21. Over time, the total number of multi-focal area projects with biodiversity funding and the total amount of biodiversity funding for multi-focal area projects have both dramatically increased.³⁶

25. **Figure 21: Multi-Focal Area Projects with Biodiversity Funding: Total GEF Financing (\$ Million) and Number of Projects**



³⁵ Sustainable Forest Management (SFM)/REDD-PLUS Strategy, available at http://www.thegef.org/gef/sites/thegef.org/files/documents/document/GEF-5_SFM_strategy_0.pdf.

³⁶ In GEF-1 and GEF-2, no multi-focal area projects received biodiversity funding.

During this review period, multi-focal area projects have constituted an increasing portion of the biodiversity focal area. In GEF-4, multi-focal area projects made up 17 percent of the biodiversity focal area. In GEF-5, this percentage has increased to 45 percent of the biodiversity focal area.

This review assessed 97 multi-focal area projects with funding from the biodiversity focal area in GEF-5 to determine the number of projects that also incorporate land degradation and climate change focal area objectives.³⁷ Of these projects, 65 projects incorporate land degradation, 52 projects incorporate climate change mitigation, and 12 projects incorporate climate change adaptation. Over 90 percent of the multi-focal area projects incorporate either climate change or land degradation components. This suggests that in most cases, GEF multi-focal area projects with funding from the biodiversity focal area are focused on obtaining synergies across the Rio Conventions.

Stakeholders interviewed were generally positive about addressing various drivers of environmental degradation at once, and some believe that the GEF could play a more proactive role in enhancing synergies through multi-focal area projects. Some developing country Parties noted that synergies are especially important for them because their Ministries have limited staff that are responsible for covering multiple environmental issues. Agencies have noted that a major driver for synergies is the limited amount of resources under the STAR allocations. Combining STAR allocations from multiple focal areas can represent an opportunity to augment funding for a project. However, it was also noted that multi-focal area projects deal with complex issues in an integrated manner, which requires an augmented level of funding.

Survey results indicated that 20 percent of respondents felt that the GEF often encouraged projects that achieve common objectives and co-benefits across the three Rio Conventions in GEF-4. A higher percentage, 42 percent of respondents, said that the GEF often encouraged projects that achieve common objectives and co-benefits across the three Rio Conventions in GEF-5.

Challenges in GEF-4 and GEF-5

Monitoring Burden. The GEF EO's 2012 Annual Country Portfolio Evaluation Report found that many project developers consider multi-focal area projects to be a challenge, because there is a higher monitoring burden compared to single focal area projects. During this review period, baselines and corresponding tracking tools had to be submitted to the GEF Secretariat for each focal area involved in a multi-focal area project. The report recommended that the monitoring burden of multi-focal area projects be reduced to a level comparable to that of single focal area projects.³⁸ This recommendation was adopted at the 42nd GEF Council Meeting in June 2012.³⁹

GEF-4 and GEF-5 Lacked a Strategic Approach for Multi-Focal Area Projects. OPS-4 found that in GEF-4, the strategic focus and future role of the multi-focal area project was unclear.⁴⁰ The GEF EO's Evaluation of GEF Focal Area Strategies found that the GEF-5 Focal Area Strategies provide limited guidance on how to maximize synergies among focal areas, and there is no strategic approach for multi-focal area activities.

³⁷ Reliable data on the focal area objectives associated with each multi-focal area project with biodiversity funding was not available from the PMIS for GEF-4; therefore, only GEF-5 was assessed.

³⁸ GEF Evaluation Office (2012), Annual Country Portfolio Evaluation Report 2012.

³⁹ Joint Summary of the Chairs, GEF 42nd Council Meeting, June 2012.

⁴⁰ OPS-4

Potential for Negative Impacts on Biodiversity. There is a perception among some CBD stakeholders that the GEF may be supporting climate change or land degradation projects that have a negative impact on biodiversity. Of focal points that responded to the survey:

- 17 percent and 19 percent, respectively, believed that in GEF-4, the GEF often or sometimes supported climate change or land degradation projects that had an unintentional, negative impact on biodiversity.
- For GEF-5, 24 percent and 19 percent of focal points, respectively, believed that the GEF often or sometimes supported climate change or land degradation projects that had an unintentional, negative impact on biodiversity.

However, this review did not find any evidence of specific GEF-4 or GEF-5 projects that have had a negative impact on biodiversity. In the survey and in follow-up interviews, Parties were asked to provide specific examples of projects with this kind of negative impact, but none were provided. Most stakeholders reported that they did not know if this was happening. GEF Agencies noted that there is potential for unintended negative impacts on biodiversity from, for instance, wind energy projects or plantations for carbon sequestration benefits; Agencies' environmental and social safeguards are intended to help avoid these types of trade-offs and negative impacts. It was outside the scope of this review to analyze all GEF-supported climate change and land degradation projects for negative impacts on biodiversity.

Looking Forward

Looking forward to GEF-6, the *Evaluation of Focal Area Strategies* recommended that GEF-6 strategies enable a more flexible and strategic approach to developing multi-focal area projects, and facilitate the combination of elements from different focal areas in GEF programming. In addition, there is only one recommendation in the first report of OPS-5: that the GEF-6 replenishment meeting should request that the Secretariat develop strategies for GEF-6 that focus on more programmatic multi-focal area approaches, within the guidance of the conventions. If these recommendations are adopted, it will be an opportunity for the GEF to better promote coherence among the Rio Conventions in its programming.

The surge in multi-focal area projects may also present challenges for the Convention moving forward. The COP may wish to consider this rise in multi-focal area approaches when providing guidance to the GEF, and to consider how the GEF can best report back to the COP on biodiversity results from synergistic projects. Coordination between the GEF and the Convention will be necessary to avoid challenges in tracking results and reporting. These issues will need to be explored more fully in GEF-6.

Appendix A: Terms of Reference

TERMS OF REFERENCE FOR THE FOURTH REVIEW OF THE EFFECTIVENESS OF THE FINANCIAL MECHANISM

Objectives

1. In accordance with Article 21, paragraph 3, the Conference of the Parties will review the effectiveness of the mechanism, including the criteria and guidelines referred to in Article 21, paragraph 2, with a view to taking appropriate action to improve the effectiveness of the mechanism as necessary. For this purpose, effectiveness will include:

(a) The conformity of the activities of the Global Environment Facility (GEF), as the institutional structure operating the financial mechanism, with the guidance of the Conference of the Parties;

(b) The effectiveness of the financial mechanism in providing and mobilizing new and additional financial resources to enable developing country Parties and Parties with economies in transition to meet the agreed full incremental costs to them of implementing measures which fulfil the obligations of this Convention and to benefit from its provisions, taking into account the need for predictability, adequacy and timely flow of funds;

(c) The efficiency of the financial mechanism in providing and delivering financial resources, as well as, in accordance with the guidance of the Conference of the Parties, overseeing, monitoring and evaluating the activities financed by its resources, as appropriate;

(d) The efficiency and effectiveness of the activities funded by the Global Environment Facility on the implementation of the Convention and the achievement of its three objectives, taking into account the guidance provided by the Conference of the Parties;

(e) The effectiveness and relevance of guidance from the Conference of the Parties to the Global Environment Facility;

(f) The coherence with other Rio conventions.

Methodology

2. The review will cover all the activities of the institutional structure operating as the financial mechanism, in particular for the period from July 2007 to June 2010.⁴¹

3. The review shall draw upon, *inter alia*, the following sources of information:

(a) Information provided by developing country Parties, in particular the least developed countries, small island developing States, and countries that are most environmentally vulnerable, as well as Parties with economies in transition, as well as developed country Parties, regarding the financial mechanism;

(b) Reports prepared by the Global Environment Facility, including its reports to the Conference of the Parties, as well as assessments by the GEF network organizations;

(c) Reports of the GEF Evaluation Office that relate to GEF biodiversity activities within the framework of the financial mechanism, including the Fourth Overall Performance Study of the Global Environment Facility;

(d) Information provided by other relevant stakeholders.

Criteria

4. The effectiveness of the financial mechanism shall be assessed taking into account, *inter alia*:

⁴¹ The CBD Secretariat extended the review period through 2013.

- 1417 (a) The actions taken by the financial mechanism in response to the guidance of the Conference of
1418 the Parties, as consolidated in the annex to decision X/24;
- 1419 (b) The number of developing country Parties, in particular least developed countries, small island
1420 developing States and countries that are most environmentally vulnerable, as well as Parties with
1421 economies in transition that receive timely, adequate and predictable funds to meet the agreed full
1422 incremental cost to them of implementing measures that fulfil the obligations under the
1423 Convention.
- 1424 (c) Views of developing country Parties, in particular least developed countries, small island
1425 developing States and countries that are most environmentally vulnerable, as well as Parties with
1426 economies in transition as to the performance and conditions for the provision of GEF resources
1427 through the Implementing and Executing Agencies;
- 1428 (d) The quantity, nature and sources of financial resources provided through the financial
1429 mechanism for the attainment of the objectives of the Convention;

1430 **Procedures for implementation**

- 1431 5. Under the authority and with the support of the Conference of the Parties, the Executive
1432 Secretary shall contract an experienced independent evaluator to undertake the review, in
1433 accordance with the above objectives, methodology and criteria;
- 1434 6. The evaluator will design a questionnaire using the criteria adopted in the present terms of
1435 reference, to be sent to the Parties and other stakeholders as soon as practicable, and prepare a
1436 compilation and synthesis of the information received.
- 1437 7. The evaluator will undertake such desk studies, interviews, field visits and collaboration with the
1438 GEF Evaluation Office, as may be required, for the preparation of the review, subject to the
1439 availability of resources.
- 1440 8. The evaluator will undertake regional and subregional consultations with Parties, taking
1441 advantage of regional and subregional workshops organized by the Convention Secretariat during
1442 the evaluation period;
- 1443 9. The draft synthesis report and recommendations of the evaluator will be made available to GEF
1444 for its review and comments. Such comments shall be included in the documentation and identified
1445 by source.
- 1446 10. Based on the synthesis report and recommendations of the independent evaluator, the
1447 Executive Secretary shall prepare, in consultation with the GEF, a draft decision on the fourth
1448 review of the financial mechanism, including specific suggestions for action to improve the
1449 effectiveness of the mechanism if necessary, for the consideration of the Conference of the Parties
1450 at its eleventh meeting.
- 1451 11. The Executive Secretary shall submit all the relevant documents to Parties at least three months
1452 prior to the eleventh meeting of the Conference of the Parties.

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1454

Appendix B: List of Documents Reviewed

- Convention on Biological Diversity (1992). Text of the Convention, *available at*
<http://www.cbd.int/convention/text/>.
- Convention on Biological Diversity (1996). Decision III/8: Memorandum of understanding between the
Conference of the Parties to the Convention on Biological Diversity and the Council of the Global
Environment Facility, UNEP/CBD/COP/3/38.
- Convention on Biological Diversity (2008). Decision IX/11: Review of implementation of Articles 20 and 21,
UNEP/CBD/COP/DEC/IX/11.
- Convention on Biological Diversity (2008). Decision IX/31: Financial resources and the financial mechanism
and guidance to the financial mechanism, UNEP/CBD/COP/DEC/IX/31.
- Convention on Biological Diversity (2008). Report of the Conference of the Parties to the Convention on
Biological Diversity on the Work of its Ninth Meeting, UNEP/CBD/COP/9/29.
- Convention on Biological Diversity (2008). Report of the Global Environment Facility, UNEP/CBD/COP/9/9.
- Convention on Biological Diversity (2008). Review of Implementation of Articles 20 and 21,
UNEP/CBD/COP/9/INF/20.
- Convention on Biological Diversity (2008). Review of Implementation of Articles 20 and 21, Compilation of
the past guidance provided by the Conference of the Parties to the Global Environment Facility,
UNEP/CBD/COP/9/INF/15.
- Convention on Biological Diversity (2008). Review of Implementation of Articles 20 and 21, Elements of the
four-year (2010-2014) framework for programme priorities related to utilization of GEF resources
for biodiversity, and recommendations to enhance the process of formulating and consolidating
guidance to the financial mechanism, UNEP/CBD/COP/9/INF/41.
- Convention on Biological Diversity (2008). Review of the effectiveness of the financial mechanism: the report
of the independent evaluator commissioned to carry out the third review of the effectiveness of the
financial mechanism, UNEP/CBD/COP/9/INF/20.
- Convention on Biological Diversity (2010). Decision X/2: Strategic Plan for Biodiversity 2011-2020.
- Convention on Biological Diversity (2010). Decision X/24: Review of guidance to the financial mechanism,
UNEP/CBD/COP/DEC/X/24.
- Convention on Biological Diversity (2010). Decision X/25: Additional guidance to the financial mechanism,
UNEP/CBD/COP/DEC/X/25.
- Convention on Biological Diversity (2010). Decision X/27: Preparation for the fourth review of the
effectiveness of the financial mechanism, UNEP/CBD/COP/DEC/X/27.
- Convention on Biological Diversity (2010). Decision X/3: Strategy for resource mobilization in support of the
achievement of the Convention's three objectives, UNEP/CBD/COP/DEC/X/3.
- Convention on Biological Diversity (2010). Recommendations Adopted by the Ad Hoc Open-Ended Working
Group on Review of Implementation of the Convention at its Third Meeting, 24-28 May 2010,
UNEP/CBD/COP/10/4.
- Convention on Biological Diversity (2010). Report of the Global Environment Facility, UNEP/CBD/COP/10/6.
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Appendix C: List of Consultations

1608 Round-Table Discussions

- 1609 - CBD Secretariat
- 1610 - GEF Secretariat⁴²
- 1611 - GEF Evaluation Office
- 1612 - UNDP
- 1613 - UNEP
- 1614 - World Bank

1615 Parties Interviewed

- 1616 - Australia
- 1617 - Canada
- 1618 - Democratic Republic of Congo
- 1619 - India
- 1620 - Japan
- 1621 - Madagascar
- 1622 - Maldives

1623 Parties Responding to the Questionnaire

- | | |
|------------------|------------------------|
| - Afghanistan | - Kuwait |
| - Argentina | - Madagascar |
| - Armenia | - Maldives |
| - Australia* | - Mauritius |
| - Bangladesh | - Mexico |
| - Barbados | - Morocco |
| - Benin | - Nepal |
| - Bolivia | - Nigeria |
| - Botswana | - Pakistan* |
| - Brazil | - Panama |
| - Cape Verde | - Peru* |
| - China* | - Philippines |
| - Colombia | - Saint Lucia |
| - Czech Republic | - Seychelles |
| - Egypt | - South Africa |
| - Eritrea | - Switzerland |
| - Ethiopia | - Syrian Arab Republic |
| - Germany | - Tajikistan |
| - Grenada | - Trinidad and Tobago |
| - Guatemala | - Turkey |
| - Honduras | - Tuvalu |
| - India | - United Kingdom |
| - Japan | - Vietnam |
| - Kiribati | - Yemen |

1624 * Indicates that some Parties only submitted a partial response

⁴² This review received comments from the GEF Secretariat on factual inaccuracies and clarifications. That feedback has been incorporated into this document.

Appendix D: Review Matrix

TOR Areas	Review Approach/Indicators	Methods	Key Sources of Information
(a) The conformity of the activities of the Global Environment Facility (GEF), as the institutional structure operating the financial mechanism, with the guidance of the Conference of the Parties	<ul style="list-style-type: none"> Alignment of GEF strategic programming and project/program funding with guidance of the COP Responsiveness of GEF to COP guidance on effectiveness and process-related issues Responsiveness and quality of reports of the GEF to the COP Extent to which GEF activities have fulfilled the Memorandum of Understanding (MOU) (decision III/8) 	<ul style="list-style-type: none"> Interviews Stakeholder questionnaire Desk study (documentary review) 	<ul style="list-style-type: none"> CBD Parties, CBD Secretariat, GEF Secretariat GEF reports to the COP GEF strategic programming documentation COP guidance to the GEF GEF EO reports MOU between COP and GEF Council
(b) The effectiveness of the financial mechanism in providing and mobilizing new and additional financial resources to enable developing country Parties and Parties with economies in transition to meet the agreed full incremental costs to them of implementing measures which fulfill the obligations of this Convention and to benefit from its provisions, taking into account the need for predictability, adequacy and timely flow of funds	<ul style="list-style-type: none"> Comparison of biodiversity focal area funding levels across replenishment periods and vis-à-vis other focal areas Trends in donor contributions Comparison of funding levels to CBD funding needs assessments Allocation of funding by year, country/region, project size, and project type Number of developing countries that receive funds, including number of LDCs, SIDS, CEITs, and countries that are most economically vulnerable Comparison of programming distribution through the RAF and STAR Comparison of biodiversity focal area co-financing sources and levels across replenishment periods and vis-à-vis other focal areas 	<ul style="list-style-type: none"> Interviews Stakeholder questionnaire Desk study (documentary review) Quantitative analysis (portfolio review) 	<ul style="list-style-type: none"> CBD Parties, CBD Secretariat, GEF Secretariat, Agencies GEF PMIS GEF resource programming documentation on RAF and STAR GEF OPS4 GEF annual performance reports CBD Needs Assessment
(c) The efficiency of the financial mechanism in providing and delivering financial resources, as well as, in accordance with the guidance of the Conference of the Parties, overseeing, monitoring and evaluating the activities financed by its resources, as appropriate	<p><i>Efficiency:</i></p> <ul style="list-style-type: none"> Process time throughout project cycle Timeliness of disbursements Assessment of dropped or rejected projects <p><i>Overseeing, monitoring and evaluating:</i></p> <ul style="list-style-type: none"> Utility and timeliness of evaluation reports for the COP Existence and appropriateness of monitoring and evaluation tools for biodiversity projects 	<ul style="list-style-type: none"> Interviews Stakeholder questionnaire Desk study (documentary review) Quantitative analysis (portfolio review) 	<ul style="list-style-type: none"> CBD Parties, CBD Secretariat, GEF Secretariat, GEF EO, Agencies GEF annual performance reports GEF OPS4 GEF PMIS GEF EO reports GEF terminal evaluation reports

TOR Areas	Review Approach/Indicators	Methods	Key Sources of Information
(d) The efficiency and effectiveness of the activities funded by the Global Environment Facility on the implementation of the Convention and the achievement of its three objectives, taking into account the guidance provided by the Conference of the Parties	<ul style="list-style-type: none"> • Comparison of GEF projects and funding distribution with the three CBD objectives and CBD priorities • Comparison of GEF projects and funding with biodiversity strategic objectives and programs • Assessment of project results and progress towards impacts 	<ul style="list-style-type: none"> • Interviews • Stakeholder questionnaire • Desk study (documentary review) 	<ul style="list-style-type: none"> • CBD Parties, CBD Secretariat, GEF Secretariat, GEF EO, Agencies • Strategic Plan for Biodiversity • COP guidance to the GEF • GEF annual performance reports • GEF OPS4 • GEF PMIS • GEF-4 and GEF-5 focal area strategy • GEF EO reports
(e) The effectiveness and relevance of guidance from the Conference of the Parties to the Global Environment Facility	<p><i>Effectiveness:</i></p> <ul style="list-style-type: none"> • Quality of guidance from the COP to the GEF • Quality of communication between the GEF and CBD, and reciprocal participation in GEF and CBD meetings <p><i>Relevance:</i></p> <ul style="list-style-type: none"> • Alignment of guidance from the COP with CBD strategic plan 	<ul style="list-style-type: none"> • Interviews • Stakeholder questionnaire • Desk study (documentary review) 	<ul style="list-style-type: none"> • CBD Parties, CBD Secretariat, GEF Secretariat • COP guidance to the GEF • CBD strategic goals • GEF EO reports
(f) The coherence with other Rio conventions	<ul style="list-style-type: none"> • Identification of synergistic opportunities and actions among the three Rio Conventions • Trends related to multi-focal area projects • Assessment of potential conflicts, including climate change or land degradation projects that may negatively impact biodiversity 	<ul style="list-style-type: none"> • Interviews • Stakeholder questionnaire • Desk study (documentary review) 	<ul style="list-style-type: none"> • CBD Parties, CBD Secretariat, GEF Secretariat • CBD, UNFCCC, and UNCCD articles, decisions, and documents on cooperation • NGO reports • GEF EO reports • GEF PMIS • GEF focal area strategies

Appendix E: COP Decisions and GEF Responses

COP Guidance	GEF Response in Reports to the COP
<p>Decision VIII/18</p> <p><i>Requests</i> the Global Environment Facility, as the institutional structure to operate the financial mechanism of the Convention, to include in its regular report to the Conference of the Parties information on:</p> <p>(a) The initial application of the Resource Allocation Framework to resources allocated in the fourth replenishment of the Global Environment Facility that is operational from July 2006, focusing on the biodiversity focal area;</p> <p>(b) How the Resource Allocation Framework is likely to affect funding available to developing countries and countries with economies in transition for the implementation of their commitments under the Convention;</p>	<p>The GEF response was the Mid-Term Evaluation of the RAF, which is discussed briefly in the GEF report to COP-IX. The GEF report to COP-IX does not explicitly provide this requested information on the RAF.</p>
<p><i>Urges</i> the Global Environment Facility to further simplify and streamline its procedures, in consideration of the special conditions within developing country Parties, in particular the least developed countries and the small island developing States as referred to in paragraphs 5 and 6 of Article 20 as well as those conditions within Parties with economies in transition;</p>	<p>GEF report to COP-IX (Table 8): discusses progress achieved in simplifying the approval process, including a proposed project cycle that reduces the time between project identification and start of implementation to an average of 22 months; Notes expedited approval mechanism for countries' proposals for their 2010 Biodiversity Targets National Assessments.</p>
<p><i>Urges</i> the Global Environment Facility to develop responses to the capacity and access challenges faced by the small island developing States, the least developed countries and the less developed countries with economies in transition, as identified in the third Overall Performance Study of the Global Environment Facility;</p>	<p>GEF report to COP IX (paragraphs 42 – 43): "The only global project approved during the reporting period, 'Supporting Country Action on the CBD Programme of Work on Protected Areas (PoWPA)', specifically responds to a COP request. The GEF provided \$9.4 million which leveraged co-financing of an additional \$4.04 million. The project considers applications for up to \$150,000 from countries in need of assistance to undertake one or more of the critical 13 PoWPA activities. At least half of the grant pool will be disbursed to Least Developed Countries (LDCs) and Small Island Developing State (SIDS)."</p> <p>GEF Report to COP-X (paragraph 25): "A key refinement of the GEF's mainstreaming strategy in GEF-5 is the opportunity provided under strategy objectives two and five ("Integrate CBD Obligations into National Planning Processes through Enabling Activities")."</p> <p>GEF Report to COP-XI (paragraphs 70-74): "In the previous reporting period, a global project was approved: "Supporting Country Action on the CBD Programme of Work on Protected Areas (PoWPA)" ...Of the 127 projects funded, 46 are in Least Developed Countries (LDCs) and 52 are from Small Island Developing States (SIDS). 17 of the 47 countries included in the project are LDCs and 19 are SIDS. This distribution was part of a conscious effort to focus on LDCs and SIDS, in direct response to a COP-VIII decision</p>

COP Guidance	GEF Response in Reports to the COP
	that specifically requested assistance to LDCs and SIDs.”
<i>Invites</i> the third Assembly of the Global Environment Facility to include in its high-level political discussions the opportunities and challenges of the GEF in its role as financial mechanism for the Convention ;	<i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i>
<i>Requests</i> the Global Environment Facility to consult with the Executive Secretary in relevant review processes undertaken by the Global Environment Facility that affect the financial mechanism of the Convention;	<i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i>
<i>Requests</i> the Global Environment Facility to provide an assurance that the introduction of the Resource Allocation Framework will not in any way jeopardize eligible Parties’ access to funding for biosafety-related activities including regional activities where appropriate;	<i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i>
<i>Requests</i> the Global Environment Facility to base their allocation of resources to support the implementation of the Cartagena Protocol on country needs and priorities , and as a priority to support the establishment of a base level of capacity in all eligible developing country Parties, in particular the least developed and the small island developing States, and Parties with economies in transition;	<i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i>
<p><i>Urges</i> the Global Environment Facility to support in-country, regional and subregional stock-taking studies to enable:</p> <ul style="list-style-type: none"> (a) 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; (b) The identification of clear and realistic targets; (c) The identification and provision of technical and adequately experienced expertise for the implementation of national biosafety frameworks; (d) The development of effective coordination which facilitates the support, ownership and involvement of all relevant national ministries and authorities, to ensure synergy and continuity; <p><i>Requests</i> the Global Environment Facility to support:</p> <ul style="list-style-type: none"> (a) The provision of longer-term support for building, consolidating and enhancing sustainable human resource capacity in risk assessment and risk management, and also in developing detection techniques for identifying living modified organisms; (b) Awareness-raising, public participation and information sharing, including through the Biosafety Clearing-House; (c) Coordination and harmonization of national biosafety frameworks at regional and subregional levels, where appropriate; 	<p>GEF Report to COP-IX (paragraphs 58 – 62): “In March 2007, the GEF CEO invited UNEP to take the lead role, in close collaboration with the GEF Secretariat, in the development of a strategic approach for programming resources for biosafety capacity-building during GEF-4...In September 2007, the GEF Council approved the biosafety strategy as part of the Biodiversity Focal Area Strategy and Strategic Programming for GEF-4. A Program Document for GEF Support to Biosafety in GEF-4 has been developed and is before the Council for consideration at its April 2008 meeting. The Program shapes the GEF Strategy for Financing Biosafety into an operational program under GEF-4 and beyond, through which GEF Agencies with a comparative advantage in biosafety can provide support to countries that have established or are in the process of establishing biosafety priorities under their Resource Allocation Framework. Projects to be funded under the GEF-4 Biosafety Program are out of the reporting period...Biosafety projects approved between January 2006 and December 2007 have been developed under the interim approach to the financing of biosafety capacity building activities, approved by GEF Council at its June 2005 meeting. The interim approach sought to support countries with urgent needs to move forward in implementing their NBFs and the CPB, pending the completion of the evaluation of GEF’s support to the CPB, prepared by the GEF Office of Monitoring and Evaluation, and the preparation of the new Strategy for Funding Biosafety. 13 projects addressing biosafety were approved under the interim approach described above for a total of \$16.82 million of GEF resources and \$32.17 million of cofinancing.”</p>

COP Guidance	GEF Response in Reports to the COP
<p>(d) 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;</p> <p>(e) Transfer and joint development of technology in risk assessment, risk management, monitoring and detection of living modified organisms;</p> <p>(f) Development and implementation of national biosafety frameworks;</p> <p>(g) Development of technical, financial, and human capacity including postgraduate education, biosafety-related laboratories and relevant equipment;</p> <p>(h) Implementation of the revised Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety;</p> <p>(i) Facilitation of the consultative information-gathering process leading to the preparation of national reports under the Protocol for those developing country Parties, in particular the least developed and small island developing States, and Parties with economies in transition, which lack sufficient capacity in this regard;</p>	<p>GEF report to COP-X (paragraphs 85 – 87): “During the reporting period, GEF approved 37 projects for the Implementation of National Biosafety Frameworks (NBF) and related obligations to the Cartagena Protocol on Biosafety which covered 46 countries totaling \$35.2 million while leveraging co-financing of \$43.0 million for a total of \$78.2 million. The GEF approved all biosafety proposals presented during the reporting period that met GEF’s funding criteria. The GEF also approved a project in support of the Biosafety Clearing House during the reporting period in response to guidance from COP/Decision/IX/31. This project will provide further assistance in strengthening the national capacities to effectively access and use of the Biosafety Clearing House (BCH) in up to 50 countries. This project will promote regional and sub-regional collaboration, networking and exchange of experience for national and regional BCH management. The GEF contributed \$2.5 million and leveraged an additional \$2.5 million in co-financing. The GEF will continue supporting the Cartagena Protocol on Biosafety during GEF-5 under objective three of the biodiversity strategy. The GEF will support single-country projects that implement National Biosafety Frameworks, regional or sub-regional projects and thematic projects that develop the capacities of groups of countries lacking competencies in relevant fields.”</p>
<p><i>Invites</i> the Global Environment Facility, developed country Parties and Governments, as well as relevant organizations to take into account the revised Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety and increase their financial and technical support to developing countries and countries with economies in transition for its implementation;</p>	<p><i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i></p>
<p><i>Requests</i> the Global Environment Facility and its Implementing Agencies to recognize the programme of work on island biodiversity and its relevance to developing countries, and in particular least developed countries and small island developing States, and to provide support for its implementation;</p>	<p>a) GEF Report to COP-IX (paragraphs 72 – 77): “The GEF Pacific Alliance for Sustainability (GEF-PAS), (Cook Islands, Federated States of Micronesia (FSM), Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea (PNG), Samoa, Solomon Islands, Timor Leste, Tonga, Tuvalu and Vanuatu) led by the World Bank, with participation from the ADB, UNEP and UNDP, consists of 25 projects from various focal areas (biodiversity (BD), climate change (CC), international waters (IW), and persistent organic pollutants (POPs). The goal of the GEF-PAS is to contribute to sustainable development in the Pacific Islands Region through improvements in natural resource and environmental management. This multi-agency program is regionally coordinated but nationally executed through projects supported by GEF resources of \$98.6 million (BD: \$38.2 million) and initial co-financing of approximately \$108</p>

COP Guidance	GEF Response in Reports to the COP
	<p>million. The Program was designed to enhance the achievement of both global environmental and national sustainable development goals by assisting the small island developing states in the Pacific to improve their access to GEF resources and to increase the efficiency and effectiveness of GEF's support to the Pacific. The GEF-PAS will add value to existing efforts by focusing on individual country investments while at the same time ensuring that shared regional objectives will be met. It will also provide a stronger framework for leveraging additional investments in the area of sustainable development in the region...The GEF Secretariat is currently exploring the possibilities of developing a similar programmatic approach to GEF investment in the Caribbean region with the Caribbean constituency.</p> <p>b) The Coral Triangle Initiative Program (Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands, Timor Leste; Federated States of Micronesia, Fiji, Palau and Vanuatu) involves the protection and sustainable use of a multi-country area of coasts and oceans in East Asia and the Pacific.</p> <p>c) GEF supports the ongoing efforts of the Global Island Partnership (GLISPA) to advance the implementation of the CBD 2010 target to further the programmes of work on Island Biodiversity.</p>
<p><i>Requests</i> the Global Environment Facility to further simplify their procedures so as to take into account the special circumstances of small island developing States in implementing the programme of work on island biodiversity;</p>	<p>GEF report to COP-IX (Table 8): discusses progress achieved in simplifying the approval process, including a proposed project cycle that reduces the time between project identification and start of implementation to an average of 22 months; Notes expedited approval mechanism for countries' proposals for their 2010 Biodiversity Targets National Assessments.</p>
<p><i>Invites</i> the Global Environment Facility, in coordination with the Executive Secretary, to identify gaps and needs in relation to existing financial resources, until 2010, to meet the unprecedented additional efforts needed to significantly reduce the rate of biodiversity loss and maintain the provision of ecosystem goods and services;</p>	<p>GEF report to COP-IX (paragraph 89): "GEF supported the project "Building the Partnership to Track Progress at the Global Level in Achieving the 2010 Biodiversity Target", which was approved during the reporting period. The 2010 Biodiversity Indicators Partnership (2010BIP) project will ensure the coordinated delivery of the full suite of selected global biodiversity indicators that are being developed by a wide range of organizations. The project will deliver products and analyses based on these indicators to a range of users, including Parties to the biodiversity-related conventions and others, in order to support policy intervention and assess progress towards the 2010 biodiversity target."</p>
<p><i>Encourages</i> Parties and other Governments to conduct national and other sub-global assessments making use of the conceptual framework and methodologies of the Millennium Ecosystem Assessment, as appropriate, and <i>invites</i> the Global Environment Facility and bilateral and multilateral funding organizations, as</p>	<p>GEF report to COP-IX (paragraph 95): "During the reporting period, the GEF approved the global project, "Support to GEF Eligible CBD Parties for carrying out 2010 Biodiversity Targets National Assessments –Phase I". The project is the first of two phases of a global umbrella Medium Size Project within the Enabling Activities window</p>

COP Guidance	GEF Response in Reports to the COP
appropriate, to provide funding for these assessments;	that is designed to provide funding and technical support to assist eligible countries to assess progress towards the 2010 Target through a national participatory assessment process.
<i>Invites</i> the Global Environment Facility to provide information on its contribution and experience regarding the implementation of goals 2 and 3 of the Strategic Plan ;	GEF report to COP-IX (paragraph 22): To date the GEF has invested a total of \$93.7.million and leveraged nearly \$23 million in co-financing to developing and countries in transition for 292 enabling activities. Enabling activities are those activities that assist countries in preparing the foundation for design and implementation of effective response measures to achieve the CBD objectives nationally including the development of National Biodiversity Strategies and Action Plans (NBSAPs) and programs referred to in Article 6 of the Convention. Enabling activities also support self-assessments of capacity building needs, reporting to the Convention on Biological Diversity, and participation in the clearing house mechanism (CHM) of the Convention.
<i>Invites</i> the Global Environment Facility and bilateral and multilateral funding organizations to provide funding for the review and update of national biodiversity strategies and action plans ;	GEF report to COP-X (paragraphs 25-26): “A key refinement of the GEF’s mainstreaming strategy in GEF-5 is the opportunity provided under strategy objectives two and five (“Integrate CBD Obligations into National Planning Processes through Enabling Activities”) to support the integration of the objectives of the National Biodiversity Strategy and Action Plans into sectoral planning documents. Enabling activity support will be provided from the focal area set-aside funds (FAS) for an amount up to \$500,000 per country for revising NBSAPs in line with the CBD’s new strategic plan to be adopted at COP-10, national reporting, and implementation of guidance related to the CHM. This could help foster effective use of national biodiversity strategies and action plans (NBSAPs) as tools for mainstreaming biodiversity into national development strategies and programs which responds to Outcomes 4.1 and 4.2 Priority One of the Four-Year Framework of Programme Priorities agreed at COP 9, in Decision IX/31.”
<i>Invites</i> the Global Environmental Facility to provide financial support to developing countries and countries with economies in transition for the implementation of the programme of work on technology transfer ;	GEF Report to COP-IX (paragraph 91): “Technology transfer and cooperation is often a significant element in GEF biodiversity projects and has been exemplified during the reporting period through activities such as: a) the development, through participatory Global Information Systems (GIS), of community information systems including patterns of wildlife conflict, community and social mapping of key wetland and other natural resources in the “Wildlife Conflict Management and Biodiversity Conservation for Improved Rural Livelihoods” project in Botswana; b) strengthening national enabling environments through the support provided to countries to implement their National Biosafety Frameworks; c) demonstrating replicable Payment for Environmental Services (PES) models in selected micro-watersheds where biodiversity is threatened in the Ecuadorian páramo and where water supply is critical for downstream users in the “Management of Chimborazo's Natural Resources” project in Ecuador; and d) the promotion of appropriate technology including communication technology to help fisher communities improve their products and access to markets in the “Fisheries

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	<p>Revitalization Project” in Indonesia. During the reporting period, including the illustrative examples provided above, at least fifty-two projects included technology transfer and cooperation as an element of project implementation. Support for priority needs in the area of technology transfer will continue to be addressed through the development of country driven projects as is done today.”</p>
<p><i>Urges</i> the Global Environment Facility and other bilateral and multilateral institutions to make available the necessary financial resources especially for developing countries, particularly the least developed and small island developing States, and countries with economies in transition, to implement the identified Communication, Education and Public Awareness priority activities at national and regional levels in support of biodiversity strategies and action plans and any other information, education, and communication awareness strategies;</p>	<p>GEF Report to COP-IX (paragraphs 97 – 100): “More than 50% of the projects approved during the reporting period include a component or activities that target biodiversity education and awareness-raising on the values of biodiversity, both ecological and economic...During the reporting period, projects addressing new areas in biodiversity conservation often emphasized education and awareness-raising slightly more than traditional conservation initiatives. For example, as part of the global project, “Conservation and Management of Pollinators for Sustainable Agriculture through an Ecosystem Approach” (GEF: \$7.8 m, Cofinancing: \$18.66 m) seven countries (Brazil, Ghana, India, Kenya, Nepal, Pakistan and South Africa) have worked together to identify activities that address the threats to pollinators and expand global understanding, capacity and awareness of the conservation and sustainable use of pollinators for agriculture. The project dedicates an entire component to disseminate lessons learned globally on the role and value of pollination services and seeks to raise public awareness of pollination services by 15% in target groups around project sites through public awareness campaigns by project end. Another area in agrobiodiversity conservation which the GEF has supported and where there is also limited awareness is the conservation and sustainable use of wild relatives of crops. In the project, “Conservation and Sustainable Utilization of Wild Relatives of Crops” (GEF: \$7.85 m, Cofinancing: \$12.84 m) being implemented in China, the project will facilitate mainstreaming of conservation of wild relatives of rice, soybean, and wheat within agricultural production. A key aspect of the project’s stakeholder capacity building component is an awareness and education campaign for the agricultural extension service, farmers, and government officials at central and local levels on the importance of wild relatives of these key crops, the threats that they face, and the need to incorporate their conservation into mainstream agricultural technical assistance and extension packages.”</p>
<p><i>Invites</i> the Global Environment Facility and other bilateral and multilateral financial instruments as appropriate, to provide financial support to eligible Parties for the preparation of their fourth national reports, in a timely fashion and preferably no later than 1 January 2007; <i>Further invites</i> the Global Environment Facility to explore and establish easier and expeditious mechanisms for the provision of funds to eligible countries for preparing their future national reports;</p>	<p>GEF report to COP-IX (paragraphs 94-96): “The GEF approved the global project, ‘Support to GEF Eligible CBD Parties for carrying out 2010 Biodiversity Targets National Assessments –Phase I’. The project is the first of two phases of a global umbrella Medium Size Project within the Enabling Activities window that is designed to provide funding and technical support to assist eligible countries to assess progress towards the 2010 Target through a national participatory assessment process, using the provisional framework for goals and targets adopted by the CBD COP decision VIII/15. The guidelines for the fourth national report of the CBD will be used in connection with this</p>

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	national assessment...The project provides an expedited mechanism for the development, submission and approval of countries' proposals (individual funding requests of up to \$20,000) for their 2010 Biodiversity Targets National Assessments."
<i>Requests</i> the Global Environment Facility to continue to support the implementation of the planned activities contained in the programme of work on the Global Taxonomy Initiative , including taxonomic needs assessments, projects with a taxonomic focus or clearly identified taxonomic components, and regional activities on taxonomic capacity development and access to technology	GEF report to COP-IX (paragraph 83): "In response to CBD guidance, GEF has historically supported taxonomic capacity building in projects that clearly demonstrated the effective use of the taxonomic information in the conservation and/or sustainable uses of biological diversity. Under GEF-4, GEF will continue to support country-driven proposals that show the links between taxonomy and conservation and sustainable use of biodiversity, while being consistent with GEF's mandate and GEF's biodiversity strategy."
<i>Further requests</i> the Global Environment Facility to provide financial resources to developing countries, in particular the small island developing States, and countries with economies in transition, for projects which help to establish and operationalize their national focal points for the Global Taxonomy Initiative , as well as financial resources to support capacity-building activities such as, <i>inter alia</i> , taxonomic training related to specific taxa and information technologies;	GEF report to COP-IX (paragraph 85): "GEF has supported 57 projects categorized under the enabling activities that include taxonomic components. Most of these projects have focused on assessments of national capacity building needs, including taxonomy. Some of the projects had significant focus on taxonomy, with a specific component to assess the national taxonomic capacity needs."
<i>Requests</i> the secretariats of the Convention and the Global Environment Facility to conduct a joint analysis of funded projects related to the Global Taxonomy Initiative and relevant project information contained in national reports, including analysis of the resources directed specifically to capacity-building, with a view to extracting best practices and sharing information and experience in promoting financial support for the Initiative;	GEF report to COP-IX (paragraph 84): "Based on the COP decision VIII/18 paragraph 26, an analysis was conducted of GEF projects with taxonomic components that were approved during fiscal year 1991-2006. " A summary and full listing of projects is provided in the report to COP-IX.
<i>Notes</i> the need for the provision of additional funding by the financial mechanism of the Convention to support capacity-building for developing countries, in particular the least developed and small island developing States, and countries with economies in transition, to prevent or minimize the risks of the dispersal and establishment of invasive alien species at the national, subregional, or regional levels;	GEF report to COP-IX (paragraph 78 – 82): "Within the biodiversity strategy for GEF-4, Strategic Program 7: Prevention, Control, and Management of Invasive Alien Species" has been developed to provide a specific funding window for projects that will support a) strengthening the enabling policy and institutional environment for cross-sectoral prevention and management of invasions; b) implementing communication and prevention strategies that emphasize a pathways and ecosystem approach to managing invasions; c) developing and implementing appropriate risk analysis procedures for non-native species importations; d) developing and implementing early detection and rapid response procedures for management of nascent infestations; and e) managing priority alien species invasions in pilot sites to ensure conservation and sustainable use of biodiversity...During the reporting period one project in the biodiversity focal area that addressed invasive alien species was approved by the GEF for \$2 million that leveraged an additional \$4.9 million of cofinancing. The project entitled "Mainstreaming Prevention and Control Measures for Invasive Alien Species (IAS) into Trade, Transport and Travel across the Production Landscape" is being implemented in Seychelles and

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	<p>may have many illustrative lessons for other island states addressing the management of invasive alien species. This innovative proposal reflects the integrated and systemic approach that the GEF will seek to support in GEF-4. The objective of the IAS project is to increase capacities to prevent and control the introduction and spread of Invasive Alien Species through Trade, Travel and Transport across the Production landscape.”</p> <p>GEF report to COP-X (paragraphs 92-93): “During the reporting period five projects that addressed invasive alien species (IAS) were approved for a total of \$17,930,929 which leveraged and additional \$29,560,897 in cofinance. These projects addressed IAS in 19 island states.”</p>
<p><i>Invites</i> the United Nations Development Programme, the World Bank, the United Nations Environment Programme and other Implementing Agencies of the Global Environment Facility, along with other relevant organizations, to help facilitate and financially support the protected-area financing roundtables referred to in paragraph 18 (a) of decision VIII/24, on protected areas, in accordance with their mandates;</p>	<p>N/A – guidance is not directed at the GEF</p>
<p><i>Invites</i> the Global Environment Facility:</p> <p>(a) To support early action activities of the programme of work, taking into account the identified national needs at a scale to sufficiently support developing countries, particularly the least developed and small island developing States, and countries with economies in transition;</p> <p>(b) To support national and regional systems of protected areas taking into account the targets and timetables in the programme of work;</p> <p>(c) To maintain the proportion of funding for protected areas in the biodiversity envelop of the business plan of the fourth phase of the Global Environment Facility, taking into account the goals and targets in the programme of work and the niche of the Global Environment Facility in providing system-wide protected-areas support;</p> <p>(d) To review and revise, as appropriate, its protected areas’ policies in relation to indigenous and local communities; and</p> <p>(e) To support community conserved areas, ensuring the immediate, full and effective participation of indigenous peoples and local communities in the development of relevant activities;</p>	<p>GEF report to COP-IX (paragraph 33 – 45): “Guidance on protected areas has been provided by a number of previous COP decisions. The latest guidance is summarized by Decision VIII/18, paragraphs 28-30. In considering this guidance, the GEF has further strengthened its support to protected areas through the formulation of a more comprehensive strategy on protected areas in GEF-4 that focuses on catalyzing sustainable protected area systems. The GEF defines a sustainable protected area system as one that possesses the following characteristics: a) sufficient and predictable revenue, including external funding, available to support protected area management costs; b) includes coverage of ecologically viable representative samples of ecosystems; and c) has adequate individual, institutional, and systemic capacity in place to manage protected areas such that they achieve their management objectives. GEF is supporting comprehensive interventions that address these three aspects of protected area management in order to catalyze the long-term sustainability of the system. GEF-4 support to catalyzing sustainable protected area systems will be channeled through three strategic programs: a) sustainable financing of protected area systems at the national level; b) increasing representation of effectively managed national marine protected area networks in protected area systems; and c) strengthening terrestrial protected area networks...in response to COP guidance, the strategy acknowledges the importance of the participation of indigenous and local communities in the design, implementation, management and monitoring of projects to conserve and sustainably use biodiversity. The strategy supports community- and indigenous- conserved areas as</p>

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	<p>part of national systems of protected areas, and as a way to strengthen sustainable management of protected areas systems. This approach is best exemplified in a project approved during the reporting period: “Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil’s Forest Ecosystems” (GEF: \$6 million, Cofinancing: \$31.7 million). The project’s objective is to consolidate Indigenous Lands as protected areas that are critical to the conservation of Brazil’s forest ecosystems and as an integral part of the National Protected Area Plan...Twenty-seven projects supported individual countries, one project was regional and two projects were global. Of the 27 single-country projects that were focused on specific protected area systems, nine projects were primarily focused on improving the financial sustainability of the system.”</p>
Decision IX/31	
<p>Improve results-based reporting on the total contribution of the GEF to achieving the objectives of the Convention, including the GEF’s contribution to incremental-cost financing and leveraging co-financing</p>	<p>GEF report to COP-X (paragraphs 172-188) provides results from the GEF Evaluation Office, summarizing the GEF contributions to biodiversity outcomes. The amount of leveraged co-financing is also provided.</p>
<p>Report on implementation of the four-year framework for programmatic priorities related to utilization of GEF resources for biodiversity to the tenth meeting of the COP</p>	<p>GEF report to COP-X (paragraph 14): “Given that this report from GEF is required to be submitted prior to the beginning of GEF-5 and the actual implementation of the Four-year Framework of Programme Priorities, within this report GEF is reporting on the plan for implementation of the four-year framework, that is, the GEF-5 biodiversity strategy itself. At subsequent COPs, the GEF will report on implementation of the Four-year Framework of Programme Priorities and the GEF-5 strategy as resources are programmed by countries.”</p>
<p>Enhance the role of the Global Environment Facility in providing and leveraging resources for activities to achieve the Convention’s objectives</p>	<p>GEF report to COP-X (Table 7): “The GEF itself has been an effective mechanism for resource mobilization. GEF has provided grants of about \$2.9 billion which has leveraged \$8.2 billion for biodiversity conservation and sustainable use since GEF’s inception, a total of more than \$11 billion. With regards to the recently concluded replenishment, the pledged amount of \$1.2 billion should leverage an additional \$3.6 billion over the course of GEF-5, which will result in almost \$5 billion for biodiversity.</p> <p>In the GEF-5 strategy, the Focal Area Set Aside provides countries the opportunity and resources necessary for revising their NBSAPs in accordance with COP recommendations that will arise out of the new strategic plan to be adopted at COP-10. In addition, objective five encourages the integration of NBSAP objectives and targets into other development processes thereby potentially leveraging resources and greater impacts. In our view, the NBSAP should serve as the primary vehicle for prioritization of GEF investments and project interventions to help GEF-recipient countries to achieve the objectives of the CBD at national level. Therefore, the revision of the NBSAP should provide a substantive input to the country resource mobilization strategy as any</p>

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	<p>financing strategy must focus on priorities and opportunities for resource mobilization. As such, support to NBSAPs is the most targeted, tangible and relevant role for the GEF to play in the implementation of a strategy for resource mobilization at the country level.</p> <p>In addition, as part of the recommendations of GEF-5 replenishment, recipient countries will be provided resources if they wish to undertake a <u>voluntary</u> national GEF portfolio identification process to provide a framework for programming GEF resources. This would also provide concrete national level opportunities for countries to leverage resources across GEF focal area to generate multiple environmental benefits, including benefits to biodiversity. In particular, the funding opportunities under GEF's Sustainable Forest Management program provide an excellent opportunity for national level resource mobilization across GEF focal areas along with sectoral financing to generate biodiversity benefits."</p>
<p>Address capacity constraints in developing countries Parties, especially Small Island developing States and least developed countries, as well as countries with economies in transition with regard to the implementation of the Resource Allocation Framework</p>	<p><i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i></p>
<p>Improve the project information system, including through data sets and web-based data tools, to increase the accessibility of project information and allow for better tracking against the guidance from the Conference of the Parties</p>	<p><i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i></p>
<p>Promote exchange of experience and lessons learned in addressing sustainability of funded projects on biological diversity;</p>	<p><i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i></p>
<p>Elaborate and transmit to the Conference of the Parties, well-summarized evaluation products and full evaluation reports relevant to biological diversity and to the guidance provided by the Conference of the Parties; Include in its regular report findings, conclusions and recommendations of all relevant evaluations of the GEF Evaluation Office;</p>	<p>GEF report to COP-X (paragraphs 172-188) reports on the activities of the GEF Evaluation Office during the reporting period that are related to the area of biological diversity including syntheses of ten biodiversity-related studies.</p>
<p><i>Acknowledges</i> the GEF-4 strategy for biodiversity is a useful starting point for GEF-5 and requests GEF, for the fifth replenishment period, to build on the GEF-4 strategy based on the four-year framework of programme priorities</p>	<p>GEF report to COP X (Table 7): GEF took note of the four-year framework approved at COP-IX and used it, as well as the GEF-4 strategy, as the starting point for the GEF-5 strategy. (Paragraph 13): "The GEF-5 strategy maintains coherence with the GEF-4 strategy while proposing refinements to the strategy's objectives based on COP-IX guidance, advances in conservation practice, and advice from the GEF's Scientific and Technical Advisory Panel." (Paragraph 18): "The GEF-5 strategy is the road map for implementation for the four-year framework of program priorities. All response measures in the GEF-5 strategy,</p>

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	when taken as a whole, will allow Parties to respond to the COP 2010-2014 programme priorities in their entirety.”
<i>Requests</i> the Global Environment Facility Evaluation Office to assess the impact of the Resource Allocation Framework on the implementation of the Cartagena Protocol , and propose measures that can minimize potential resource limitations that may affect the implementation of the Protocol including measures that facilitate consideration of regional and subregional projects developed by the countries of the region	GEF report to COP-X (Table 7): The Evaluation Office conducted an assessment of the GEF support to Biosafety within at least three of its evaluations: Evaluation of GEF support to Biosafety (presented to GEF Council at its November 2005), Midterm review of the Resource Allocation Framework (presented to GEF Council at its November 2008 meeting) and the Fourth Overall Performance Study (presented to GEF Council at its June 2009 meeting). Please refer to the GEF Evaluation Office section below for further explanation.
<i>Urges</i> the Global Environment Facility to make financial resources available with a view to enable eligible Parties to prepare their national report	GEF report to COP-X (Table 7): “This would be eligible under enabling activities funded under the focal area set-aside.”
<i>Urges</i> the Global Environment Facility to extend the UNEP-GEF Biosafety Clearing-House project , in its current form as a global project with a view to ensuring sustainability of national Biosafety Clearing-House nodes and providing more capacity-building support, with special attention to targeted stakeholders (e.g., customs departments and phytosanitary inspectors), and to provide additional funding for these activities from sources other than the Resource Allocation Framework (RAF) taking into consideration the global nature of the project	GEF report to COP-X (Table 7): “The UNEP-GEF Project for Continued Enhancement of Building Capacity for Effective Participation in the BCH II (UNEP, GEF \$2.5M, co-financing \$2.5M, Total \$5.0M) was approved during the reporting period.”
<i>Invites</i> the Global Environment Facility, at the request of developing countries Governments, to provide financial and other support to enable universities and relevant institutions to develop and/or expand existing biosafety academic programmes and provide scholarships to students from developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition	GEF report to COP-X (Table 7): “The GEF does not provide financial support for this kind of intervention under the Council-approved GEF Biosafety strategy. GEF has never provided this kind of support in the biodiversity focal area given that it is not consistent with the GEF mandate.”
<i>Requests</i> the Global Environment Facility, to cooperate with and support developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, in their efforts to build their capacities in the area of sampling and detection of living modified organisms , including the setting up of laboratory facilities and training of local regulatory and scientific personnel	GEF report to COP-X (Table 7): “This is currently eligible under the GEF biosafety strategy and is already a part of the ongoing National Biosafety Framework Implementation projects.”
<i>Requests</i> the Global Environment Facility to consider the following programme funding priority needs for biosafety during the period of its fifth replenishment (2010-2014), where appropriate, using the issue-specific approach and providing longer-term support for building, consolidating and enhancing sustainable human resource capacity: (i) Implementation of legal and administrative systems for notification	GEF report to COP-X (Table 7): “The Council-approved GEF biosafety strategy remains the guiding document for GEF support to CPB implementation. Given that not all countries have finished the second stage of GEF support (implementation of the NBFs), GEF’s focus during GEF-5 will be to ensure that all remaining countries will complete their NBF implementation projects. Of the 142 countries that have received financial support to develop their NBFs, 71 have projects for its implementation, leaving

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<p>procedures;</p> <p>(ii) Risk assessment and risk management;</p> <p>(iii) Implementation of enforcement measures including detection of living modified organisms;</p> <p>(iii) Implementation of liability and redress measures.</p>	<p>significant opportunities to provide ongoing support for single country projects to accelerate implementation of the protocol. Within the GEF-5 biosafety strategy allowances are made for thematic and regional projects.</p> <p>Regional or sub-regional projects: Providing support to eligible countries through regional or sub-regional projects will be pursued when there are opportunities for cost-effective sharing of limited resources and for coordination between biosafety frameworks. Regional and sub-regional approaches will be pursued where stock-taking assessments support the potential for: coordinating biosafety frameworks, interchange of regional expertise, and capacity building of common priority areas.</p> <p>Thematic projects: A thematic approach can be an effective way to develop the capacities of groups of countries lacking competencies in relevant fields. This multi-country approach will be pursued where stock-taking assessments support the needs of eligible countries and where this approach would foster the pooling of resources, economies of scale and international coordination."</p>
<p><i>Requests</i> the Global Environment Facility to assist with the preparation of the Global Biodiversity Outlook</p>	<p>GEF report to COP-X (Table 7): "Information from the GEF portfolio can always serve as a source of information for the production of the Global Biodiversity Outlook with regards to response measures that GEF has funded in response to biodiversity loss, however, it should be noted that funding for production of these kinds of analyses is not explicitly part of the GEF mandate to fund incremental costs of achieving global environmental benefits."</p>
<p><i>Requests</i> the Global Environment Facility to: Provide support to developing country Parties in the preparation of national assessments of technology needs for implementation of the Convention; Continue to support ongoing national programmes for the conservation and sustainable use of biodiversity through improved access to and transfer of technology and innovation; Consider possibilities to provide funding under enabling activities for the provision of capacity-building, where needed, on, <i>inter alia</i>: Technologies for conservation and sustainable use; Governance and regulatory frameworks associated with access and transfer of technology and innovation;</p>	<p>GEF report to COP-X (Table 7): "The GEF biodiversity strategy provides a series of response measures to biodiversity loss. During the reporting period, and historically, GEF has provided support to project interventions that promote conservation and sustainable use of biodiversity making use of technology and innovation as appropriate.</p> <p>The GEF Earth Fund (pilot project) is another vehicle for enhancing GEF engagement with the private sector through a matching of GEF resources with private sector resources to catalyze the sustainable generation of global environmental benefits. Its primary role is to mobilize private capital into projects, technologies and business models that will contribute to the protection of the global environment and to thereby promote environmentally sound and sustainable economic development."</p> <p>There is also a technology transfer section in the report to COP-X with project examples.</p>
<p><i>Urges</i> the Global Environment Facility and other donors to continue to provide funding to developing country Parties, in particular the least developed countries and small island developing States among them, and countries with economies in</p>	<p>GEF report to COP-X (Table 7): "Under the resource allocation framework for GEF-4, and continuing for GEF-5, countries have the option to allocate resources to support the Clearing House Mechanism (CHM) as part of GEF support to enabling activities. In GEF-5,</p>

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<p>transition, for the establishment and updating of their clearing-house mechanisms;</p> <p><i>Requests</i> the Global Environment Facility, and <i>urges</i> Governments and other donors to provide funding to developing countries, in particular the least developed countries and small island developing States among them, as well as countries with economies in transition, for the revision and implementation, through projects, of national, and where appropriate, regional biodiversity strategies;</p>	<p>all countries will be able to access up to \$500,000 per country as part of the Focal-Area Set Aside (FAS) for enabling activities, including the CHM."</p> <p>GEF report to COP-X (Table 7): "Enabling activity support will be provided from the focal area set-aside funds (FAS) for an amount up to \$500,000 per country for revising NBSAPs in line with the CBD's new strategic plan to be adopted at COP-10, national reporting, and implementation of guidance related to the CHM. This could help foster effective use of national biodiversity strategies and action plans (NBSAPs) as tools for mainstreaming biodiversity into national development strategies and programs which responds to Outcomes 4.1 and 4.2 Priority One of the Four-Year Framework of Programme Priorities agreed at COP 9, in Decision IX/31.17 Enabling Activities (EAs) were approved by the GEF during the reporting period. Three MSPs were approved as global medium-size projects during this reporting period to expedite fund disbursement in support of national reporting. The projects, "Support to GEF Eligible CBD Parties for carrying out 2010 Biodiversity Targets National Assessments –Phases II and III" received \$3.0 million from GEF which leveraged an additional amount of \$ 2.565 in cofinance. All GEF projects have to identify how they are in support of the country's NBSAP. This is a key criterion when assessing GEF support for projects."</p>
<p><i>Invites</i> the Global Environment Facility, in accordance with its mandate, and other funding institutions and development agencies to provide financial support for the implementation of the ecosystem approach by developing countries, particularly the least developed and small island developing States, and countries with economies in transition, and encourages bilateral and multilateral donor agencies to apply the ecosystem approach in providing aid assistance;</p>	<p>GEF report to COP-X (Table 7): "The vast majority of GEF-supported biodiversity projects employ the ecosystem approach."</p>
<p><i>Requests</i> the Global Environment Facility, and <i>invites</i> Parties, other Governments, and relevant organizations to support capacity-building in developing countries, in particular the least developed and the small island developing States and Parties with economies in transition, for engaging the business community in the implementation of the Convention;</p>	<p>GEF report to COP-X (Table 7): "The GEF welcomes engagement of the business community in the implementation of GEF biodiversity projects and GEF-4 has seen an increase of private sector engagement in both biodiversity mainstreaming projects and private sector support to generate increased revenue for protected area management. Technology transfer and cooperation and the participation of the private sector is often a significant element of most GEF biodiversity projects and has been exemplified during the reporting period through many projects. In addition, the Earth Fund was fully operational during the reporting period and brought enhanced engagement of the private sector in GEF biodiversity investments. Earth Fund Platforms (portfolios of individual activities) relevant to the implementation of the CBD and approved during the reporting period totaled \$ 40 million."</p>
<p><i>Reiterates</i> its invitation to the Global Environment Facility, Parties, other Governments and funding organizations to provide adequate and timely financial support to enable the Global Invasive Species Programme to fulfil the tasks</p>	<p>GEF report to COP-X (Table 7): "The GEF identified invasive alien species as a priority strategic program in GEF-4, Strategic Program 7: "Prevention, control, and management of invasive alien species (IAS)". During the reporting period five projects that addressed</p>

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outlined in many of its decisions	invasive alien species (IAS) were approved for a total of \$17,930,929 which leveraged and additional \$29,560,897 in cofinance. These projects addressed IAS in 19 island states. In GEF-5, under Objective Two, GEF will continue to offer support to country-driven projects that seek to respond to COP-guidance vis-à-vis Invasive Alien Species: GEF will support interventions that address the issue of invasive alien species systemically through developing the sectoral policy, regulations, and institutional arrangements for the prevention and management of invasions emphasizing a risk management approach by focusing on the highest risk invasion pathways. Priority will be given to establishing policy measures that reduce the impact of invasive species on the environment, including through prevention of new incursions, early detection and institutional frameworks to respond rapidly to new incursions.”
<i>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 developing country Parties, in particular the least developed countries and small island developing states as well as countries with economies in transition, to enable the full implementation of the programme of work on protected areas	GEF report to COP-X (Table 7): “The GEF defines a sustainable protected area system as one that: a) has sufficient and predictable financial resources available, including external funding, to support protected area management costs; b) effectively protects ecologically viable representative samples of the country’s ecosystems and species at a sufficient scale to ensure their long term persistence; and c) retains adequate individual and institutional capacity to manage protected areas such that they achieve their conservation objectives. GEF support will strengthen these fundamental aspects of protected area systems to accelerate their current trajectory towards long-term sustainability. The GEF-5 strategy provides an array of opportunities for countries to move their protected area system towards sustainability and this is further explained in Annex 1 of this report.”
<i>Invites</i> the Global Environment Facility to: Continue to provide, and facilitate easier access to financial resources for protected areas in its biodiversity focal area including projects such as the UNDP/GEF project “Supporting Country Action on the CBD programme of work on protected areas”, so as to extend support to developing countries, in particular the small island developing States and least developed countries among them, and countries with economies in transition, taking into account the goals and targets set in the programme of work; to consider support for proposals that demonstrate the role-protected areas play in addressing climate change ; and to ensure that protected areas remain a priority of the Global Environment Facility for the foreseeable future.	GEF report to COP-X (Table 7): Upon completion of the GEF project, “Supporting Country Action on the CBD programme of work on protected areas”, an independent evaluation of its performance will be conducted, consistent with GEF practice. At this point an assessment will be made on the efficacy of said approaches to supporting PoWPA. During the reporting period, more than 50% of biodiversity resources were directed towards PA management through the GEF’s regular project modalities. Please see Tables 4 and 5 of this report. As noted in the GEF-5 strategy, developing climate-resilient protected area systems remains a challenge for most protected area managers because the scientific understanding and technical basis for informed decision-making on adaptation or resiliency measures is in its nascent stages. To help overcome these technical challenges, GEF will support the development and integration of adaptation and resilience management measures as part of protected area management projects (see paragraph 10 of Annex 1). This support is important to ensure that GEF’s investments will continue to contribute to the sustainability of national protected area systems and responds to Outcome 1.5 of Priority One of the Four-Year Framework of Programme Priorities agreed at COP 9, in Decision IX/31. In the GEF-5 strategy,

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	protected areas remain a priority, and the nominal allocation of GEF-5 resources amount to \$700 million - or almost 60% of the total allocation for biodiversity - for the objective on protected areas in the strategy. Of course, this figure will, in the end, be a reflection of the GEF-5 programming as decided by GEF-recipient countries."
Decision X/25	
<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;	GEF report to COP-XI (Table 8, B): "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."
<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 for Biodiversity 2011-2020 ;	See above.
<i>Urges</i> Parties, in particular developed country Parties, and invites other Governments and international financial institutions, the Global Environment Facility, regional development banks, and other multilateral financial institutions to provide adequate, predictable and timely financial support to eligible country Parties to enable the full implementation of the Strategic Plan for Biodiversity 2011-2020 , and reiterate that the extent to which developing country Parties will effectively implement their commitments under this Convention will depend on the effective implementation by developed country Parties of their commitments under this Convention related to financial resources and transfer of technology;	<i>None; the GEF only responds to guidance related to funding in its reports to the COP.</i>
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 ;	GEF report to COP-XI (Table 8): "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."
<i>Requests</i> the Global Environment Facility to provide timely and adequate financial support to updating national biodiversity strategies and action plans , which	GEF report to COP-XI (Table 8): "The proposals for NBSAP revision include support for activities to develop resource mobilization strategies as part of the NBSAP revision

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may include the development of country-specific resource mobilization strategies ;	process. See Annex 11.”
<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 (GEF) and <i>invites</i> Parties, other Governments, and other international and funding organizations to continue to provide funding for Global Taxonomy Initiative (GTI) proposals	GEF report to COP-XI (Table 8): “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, <u>no such projects were submitted during the reporting period that explicitly included these elements.</u> ”
<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;	GEF report to COP-XI (Table 8): “The proposals for NBSAP revision include support for activities to develop national targets and monitoring frameworks as part of the NBSAP revision process.”
<i>Invites</i> the financial mechanism to consider strengthening the Global Strategy for Plant Conservation in its country-driven activities;	GEF report to COP-XI (Table 8): “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, <u>no such projects were submitted during the reporting period that explicitly included these elements.</u> ”
<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 ;	GEF report to COP-XI (Table 8): “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 \$279 million of GEF grants and \$1.35 billion of cofinance.”
<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	GEF report to COP-XI (Table 8): “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.”
<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 ;	GEF report to COP-XI (Table 8): “GEF continues to review and respond to such requests in the context of country-driven projects aligned with the GEF biodiversity strategy.”
<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	GEF report to COP-XI (Table 8): “Objective Four of the biodiversity strategy provides capacity building opportunities for countries in ABS. One project has been submitted

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Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity and its implementation;	and approved during the reporting period under objective four of the strategy. The GEF also approved a Medium Sized Project of \$1 million 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."
<i>Recalling</i> the importance, as underlined in the preamble to 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 ;	GEF report to COP-XI (Table 8): "The NBSAP proposals submitted to the GEF can include the cost of a technology needs assessment. See Annex 11."
<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 for Biodiversity 2011-2020, as well as the implementation of national biodiversity strategies and action plans;	GEF report to COP-XI (Table 8): "Support to the CHM has been provided in the proposals supporting the revision of the NBSAP. See Annex 11."
<i>Invites</i> the Global Environment Facility (GEF) 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;	GEF report to COP-XI (Table 8): "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."
<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	GEF report to COP-XI (paragraph 122): At the time of the submission of the COP report, 99 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."
<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 decision X/29, and in particular, with respect to the invitation in paragraph 38 of decision X/29;	GEF report to COP-XI (Table 8): "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

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	<p>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. 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. 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 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.</p>	<p>GEF report to COP-XI (Table 8): "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 biodiversity strategy, identification of ESBAs and capacity building activities may be supported. Please also note above the pilot program on ABNJ referenced in paragraphs 113-117."</p>
<p><i>Urges</i> the Global Environment Facility to:</p> <p>(a) Continue to implement all previous guidance to the financial mechanism with respect to biosafety;</p> <p>(b) Consider, in the context of the replenishment process for GEF-6, supporting the implementation of the Protocol within the System for Transparent Allocation of Resources (STAR) by defining specific quotas for biosafety for each country, on the basis of the second national reports on the implementation of the Protocol;</p> <p>(c) Make available, in a timely manner, financial resources to eligible Parties to facilitate the preparation of their second national reports under the Cartagena Protocol on Biosafety;</p> <p>(d) Expand its support for capacity-building for effective participation in the Biosafety Clearing-House to all eligible Parties to the Protocol and to submit a report for consideration of the sixth meeting of the Parties to the Protocol;</p> <p>(e) Ensure the inclusion of biosafety-related elements in the terms of reference for national capacity self-assessments (NCSAs) and other capacity assessment initiatives carried out with GEF funding;</p> <p>(f) Ensure that identification requirements of paragraph 2 (a) of Article 18 and</p>	<p>GEF report to COP-XI (Table 8):</p> <p>(a) GEF was ready to continue to implement previous guidance; however no projects were submitted in the first two years of GEF-5.</p> <p>(b) Using the second national reports that are now filed with the CBD Secretariat for almost all GEF-eligible countries, data that each country produced on their budgetary demands for biosafety can be extracted.</p> <p>(c) Resources for national reporting were made available outside of the STAR in GEF-5 through Objective 5 of the strategy and the focal area set aside. Three global umbrella projects implemented by UNEP were approved to support national reporting. The medium-sized umbrella project, Support to Preparation of the Second National Biosafety Reports to the Cartagena Protocol on Biosafety: Latin America, Caribbean and Pacific Regions covering 39 eligible parties was first received on April 20, 2011 and after one revision was approved by the CEO on May 16, 2011. The medium-sized umbrella project, Support to Preparation of the Second National Biosafety Reports to the Cartagena Protocol on Biosafety-North Africa (NA), Asia (A), Central and Eastern Europe (CEE) covering 41 eligible parties was first received on April 20, 2011 and after one revision was approved by the CEO on May 16, 2011. The medium-sized umbrella project, Support</p>

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<p>related decisions are taken into account in activities carried out with GEF funding; Ensure that the programme of work on public awareness, education and participation concerning the safe transfer, handling and use of living modified organisms is taken into account in activities carried out with GEF funding; (g) Make funds available to eligible Parties in a facilitated manner and to monitor, as appropriate, the expeditious accessibility to those funds;</p>	<p>to Preparation of the Second National Biosafety Reports to the Cartagena Protocol on Biosafety-Africa, covering 42 eligible parties was first received on April 20, 2011 and after one revision was approved by the CEO on May 16, 2011. (d) An update on the implementation of the UNEP GEF BCH-II implementation project has been appended as Annex 13 of this report. Upon satisfactory completion and evaluation of BCH-II, extension of the project could be considered. (e) The NCSA process is essentially over, however, for new GEF-eligible countries, GEF takes note of the need to include biosafety-related elements. (f) Within the context of future submissions of National Biosafety Framework (NBF) implementation projects, GEF will systematically review projects to assess whether these elements are taken into account in the project design and if not request explanation and justification. However, <u>no new NBF implementation projects were submitted during the first two years of GEF-5.</u> (g) No projects were submitted during the first two years of GEF-5.</p>
<p><i>Invites</i> 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 report to COP-XI (Table 8): “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>

Appendix F: Country Categories

Mega-Diverse	Least Developed Countries		
Australia	Afghanistan	Guinea	Sao Tome and Principe
Brazil	Angola	Guinea-Bissau	Senegal
China	Bangladesh	Haiti	Sierra Leone
Colombia	Benin	Kiribati	Solomon Islands
Congo DR	Bhutan	Lao PDR	Somalia
Ecuador	Burkina Faso	Lesotho	South Sudan
India	Burundi	Liberia	Sudan
Indonesia	Cambodia	Madagascar	Tanzania
Madagascar	Central African Republic	Malawi	Timor Leste
Malaysia	Chad	Mali	Togo
Mexico	Comoros	Mauritania	Tuvalu
Papua New Guinea	Congo DR	Mozambique	Uganda
Peru	Djibouti	Myanmar	Vanuatu
Philippines	Equatorial Guinea	Nepal	Yemen
South Africa	Eritrea	Niger	Zambia
United States	Ethiopia	Rwanda	
Venezuela	Gambia	Samoa	

Economies in Transition	Small Island Developing States		
Albania	American Samoa	Guam	Papua New Guinea
Armenia	Anguilla	Guinea-Bissau	Puerto Rico
Azerbaijan	Antigua And Barbuda	Guyana	Samoa
Belarus	Aruba	Haiti	Sao Tome and Principe
Bosnia-Herzegovina	Bahamas	Jamaica	Seychelles
Croatia	Barbados	Kiribati	Singapore
Kazakhstan	Belize	Maldives	Solomon Islands
Kyrgyz Republic	British Virgin Islands	Marshall Islands	St. Kitts and Nevis
Macedonia	Cape Verde	Mauritius	St. Lucia
Moldova	Comoros	Micronesia, Fed. Sts.	St. Vincent and the Grenadines
Montenegro	Cook Islands	Montserrat	
Russian Federation	Cuba	Nauru	Suriname
Serbia	Dominica	New Caledonia	Timor Leste
Tajikistan	Dominican Republic	Niue	Tonga
Turkmenistan	Fiji	Northern Mariana Islands	Trinidad and Tobago
Ukraine	French Polynesia		Tuvalu
Uzbekistan	Grenada	Palau	Vanuatu

Appendix G: Biodiversity Allocations

Country	RAF	STAR
Afghanistan	\$3.20	\$3.35
Albania*	\$3.80	\$1.50
Algeria	\$3.95	\$3.87
Angola*	\$3.80	\$6.99
Antigua And Barbuda*	\$3.80	\$1.50
Argentina	\$15.10	\$14.61
Armenia*	\$3.80	\$1.50
Azerbaijan*	\$3.80	\$1.50
Bahamas*	\$3.80	\$4.26
Bangladesh*	\$3.80	\$1.88
Barbados*	\$3.80	\$1.50
Belarus*	\$3.80	\$1.50
Belize*	\$3.80	\$2.44
Benin*	\$3.80	\$1.50
Bhutan*	\$3.80	\$1.96
Bolivia	\$11.60	\$11.44
Bosnia-Herzegovina*	\$3.80	\$1.50
Botswana*	\$3.80	\$2.11
Brazil	\$66.60	\$68.22
Bulgaria*	\$3.80	\$0.00
Burkina Faso*	\$3.80	\$1.50
Burundi*	\$3.80	\$1.50
Cambodia*	\$3.80	\$3.85
Cameroon	\$11.20	\$10.31
Cape Verde	\$3.70	\$3.52
Central African Republic*	\$3.80	\$1.68
Chad*	\$3.80	\$1.91
Chile	\$16.15	\$18.09
China	\$47.35	\$52.67
Colombia	\$38.65	\$37.49
Comoros*	\$3.80	\$2.08
Congo*	\$3.80	\$3.28
Congo DR	\$11.85	\$13.81
Cook Islands*	\$3.80	\$2.14
Costa Rica	\$11.90	\$11.27
Cote d'Ivoire	\$3.40	\$3.25
Croatia*	\$3.80	\$1.50
Cuba	\$15.05	\$11.52
Macedonia*	\$3.80	\$1.50
Madagascar	\$24.90	\$26.06

Country	RAF	STAR
Djibouti*	\$3.80	\$1.50
Dominica*	\$3.80	\$1.50
Dominican Republic	\$5.85	\$5.36
Ecuador	\$23.95	\$24.37
Egypt	\$4.30	\$4.58
El Salvador*	\$3.80	\$1.50
Equatorial Guinea*	\$3.80	\$1.50
Eritrea*	\$3.80	\$1.50
Ethiopia	\$8.10	\$8.13
Fiji	\$4.85	\$4.56
Gabon*	\$3.80	\$3.40
Gambia*	\$3.80	\$1.50
Georgia*	\$3.80	\$1.50
Ghana*	\$3.80	\$2.62
Grenada*	\$3.80	\$1.50
Guatemala	\$8.25	\$7.99
Guinea*	\$3.80	\$2.43
Guinea-Bissau*	\$3.80	\$1.50
Guyana*	\$3.80	\$3.26
Haiti	\$4.25	\$4.56
Honduras	\$6.90	\$7.27
India	\$30.00	\$30.58
Indonesia	\$44.55	\$54.17
Iran	\$6.80	\$6.33
Iraq	\$0.00	\$1.50
Jamaica	\$5.15	\$4.80
Jordan*	\$3.80	\$1.50
Kazakhstan	\$5.65	\$4.76
Kenya	\$8.35	\$8.95
Kiribati*	\$3.80	\$1.69
Korea DPR*	\$3.80	\$1.50
Korea, Rep.*	\$3.80	\$0.00
Kyrgyz Republic*	\$3.80	\$1.50
Lao PDR	\$5.35	\$6.11
Lebanon*	\$3.80	\$1.50
Lesotho*	\$3.80	\$1.50
Liberia*	\$3.80	\$2.42
Libya*	\$3.80	\$1.50
Senegal*	\$3.80	\$1.80
Serbia*	\$3.80	\$1.50

Malawi	\$4.25	\$4.39
Malaysia	\$15.60	\$14.66
Maldives*	\$3.80	\$2.54
Mali*	\$3.80	\$1.96
Marshall Islands*	\$3.80	\$2.02
Mauritania*	\$3.80	\$2.05
Mauritius	\$5.35	\$5.19
Mexico	\$55.30	\$52.75
Micronesia, Fed. Sts.*	\$3.80	\$3.49
Moldova*	\$3.80	\$1.50
Mongolia	\$4.15	\$4.33
Montenegro*	\$3.80	\$1.50
Morocco	\$4.50	\$4.90
Mozambique	\$6.80	\$7.00
Myanmar*	\$3.80	\$6.72
Namibia	\$6.50	\$6.28
Nauru*	\$3.80	\$1.50
Nepal*	\$3.80	\$2.67
Nicaragua	\$4.05	\$3.94
Niger*	\$3.80	\$1.50
Nigeria	\$5.65	\$5.64
Niue*	\$3.80	\$1.50
Pakistan	\$5.30	\$4.92
Palau*	\$3.80	\$1.92
Panama	\$11.45	\$11.29
Papua New Guinea	\$13.30	\$13.32
Paraguay*	\$3.80	\$2.95
Peru	\$25.75	\$26.25
Philippines	\$23.25	\$25.96
Romania*	\$3.80	\$0.00
Russian Federation	\$25.65	\$24.37
Rwanda*	\$3.80	\$1.50
Samoa*	\$3.80	\$2.43
Sao Tome and Principe*	\$3.80	\$2.77

Seychelles	\$4.95	\$4.90
Sierra Leone*	\$3.80	\$1.50
Solomon Islands*	\$3.80	\$3.60
South Africa	\$22.40	\$21.68
Sri Lanka	\$7.20	\$7.84
St. Kitts And Nevis*	\$3.80	\$1.50
St. Lucia*	\$3.80	\$1.87
St. Vincent and the Grenadines*	\$3.80	\$1.50
Sudan	\$4.40	\$3.68
Suriname	\$3.70	\$3.00
Swaziland*	\$3.80	\$1.50
Syria*	\$3.80	\$1.50
Tajikistan*	\$3.80	\$1.50
Tanzania	\$13.25	\$13.95
Thailand	\$9.70	\$9.05
Timor Leste*	\$3.80	\$1.50
Togo*	\$3.80	\$1.50
Tonga*	\$3.80	\$1.59
Trinidad and Tobago*	\$3.80	\$2.74
Tunisia*	\$3.80	\$1.50
Turkey	\$6.55	\$5.65
Turkmenistan*	\$3.80	\$1.70
Tuvalu*	\$3.80	\$1.50
Uganda	\$3.90	\$3.83
Ukraine*	\$3.80	\$1.50
Uruguay*	\$3.80	\$1.99
Uzbekistan*	\$3.80	\$1.65
Vanuatu*	\$3.80	\$2.55
Venezuela	\$17.30	\$14.49
Vietnam	\$10.90	\$12.12
Yemen*	\$3.80	\$4.27
Zambia	\$4.75	\$4.26
Zimbabwe*	\$3.80	\$1.72

* Part of the Group Allocation under the RAF

** Values shown in \$million USD

Sources: Progress Report on the Implementation of the Resource Allocation Framework (RAF)/System for a Transparent Allocation of Resources (STAR) (2010); Progress Report on the STAR (2012).