



CBD

Secretariat of the Convention on Biological Diversity

22 May 2007
International Day for Biological Diversity



Biodiversity and Climate Change

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19 January 2007

NOTIFICATION

Subject: Questionnaire for the Third Review of the Effectiveness of the Financial Mechanism

Dear Madam/Sir,

At its eighth meeting held in Curitiba, Brazil, the Conference of the Parties decided, in decision VIII/13, paragraph 11, “to make the necessary arrangements for an evaluation of the effectiveness of the financial mechanism to be conducted in time for the ninth meeting of the Conference of the Parties.” In response to this decision, a questionnaire has been designed, using the criteria adopted in the guidelines for the third review of the effectiveness of the financial mechanism, to collect information and views from the Parties and other stakeholders.

The questionnaire for the third review of the effectiveness of the financial mechanism is attached hereto. Interviews with Parties and other stakeholders based on the questionnaire are also planned during the course of the CBD meetings and other meetings in 2007. The deadline for submitting responses is 1 September 2007.

Please accept, Madam/Sir, the assurances of my highest consideration.

Ahmed Djoghlaif
Executive Secretary

To: CBD National Focal Points and other stakeholders



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Survey for the third review of the effectiveness of the financial mechanism of the Convention on Biological Diversity

(Deadline of response: 1 September 2007)

Purpose

The Global Environment Facility has been designated by the Conference of the Parties as the institutional structure to operate the financial mechanism under the Convention by providing new and additional financial resources to enable developing country Parties to meet the agreed full costs to them of implementing measures which fulfill the obligations of this Convention and to benefit from its provisions. In accordance with Article 21, paragraph 3, the Conference of the Parties has decided to review periodically the effectiveness of the financial mechanism every four years. The third review is scheduled for completion by the ninth meeting of the Conference of the Parties to be held in May 2008.

In response to decision VIII/13, this survey has been designed to uptake perceptions and perspectives from Parties and Governments as well as other stakeholders, based on the provisions of existing decisions of the Conference of the Parties. Section A contains questions regarding general information for analytical purposes. Section B invites information on actions taken to improve the effectiveness of the financial mechanism, based on the objectives of the Guidelines for the Third Review of the Effectiveness of the Financial Mechanism contained in Decision VII/22, annex, as well as Decision IV/11, annex (Action to improve the effectiveness of the financial mechanism) and Decision VI/17. Section C is based on the guidance from the Conference of the Parties to the Convention. Parties and Governments as well as other stakeholders have the opportunity to raise additional issues/suggestions under question 30.

Your answers will be treated in a confidential manner. A compilation, without referring to respondents' names, of the findings and recommendations of the review will be prepared for consideration by the ninth meeting of the Conference of the Parties. Your participation is much appreciated as it will provide valuable guidance and insights needed to enhance the effectiveness of the financial mechanism.

A. General information (please check appropriate category)

- i) What type of experience do you have with the GEF: general national experience with the GEF ____; organizational experience with GEF projects ____; and/or individual experience with the GEF projects ____.
- ii) Is your country: least developed country ____; Small Island developing State ____; developing country ____; countries with economies in transition ____; developed country ____
- iii) Indicate your region: Africa ____; Asia and the Pacific ____; Eastern and Central Europe ____; Latin America and the Caribbean ____; Western Europe and Others ____
- iv) What type of support do you refer to in your response: full sized projects ____; medium-sized projects ____; enabling activity ____; US\$0-5 million ____; US\$5-10 million ____; more than US\$10 million ____

B. Actions to improve the effectiveness

1. How effective is the financial mechanism in providing and delivering financial resources (Decision VII/22)?							
Fully satisfactory		Satisfactory		Un-satisfactory		Highly un-satisfactory	
Additional Comments:							
Recommendations for improvements, if any:							

2. How effective is the financial mechanism in overseeing, monitoring and evaluating the activities financed by its resources (Decision VII/22)?							
Fully satisfactory		Satisfactory		Un-satisfactory		Highly un-satisfactory	
Additional Comments:							
Recommendations for improvements, if any:							

3. How efficient and effective is the process of providing guidance by the Conference of the Parties to the financial mechanism in promoting the implementation of the Convention and the achievement of its three objectives (Decision VII/22)?							
Fully satisfactory		Satisfactory		Un-satisfactory		Highly un-satisfactory	
Additional Comments:							
Recommendations for improvements, if any:							

4. Are the GEF-funded activities efficient on the implementation of the Convention and in the achievement of its three objectives (Decision VII/22)?							
Fully satisfactory		Satisfactory		Un-satisfactory		Highly un-satisfactory	
Additional Comments:							
Recommendations for improvements, if any:							

5. How effective are the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives (Decision VII/22)?							
Fully satisfactory		Satisfactory		Un-satisfactory		Highly un-satisfactory	

Additional Comments:
Recommendations for improvements, if any:

6. How sustainable are the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives (Decision VII/22)?							
Fully satisfactory		Satisfactory		Un-satisfactory		Highly un-satisfactory	
Additional Comments:							
Recommendations for improvements, if any:							

7. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by: (c) Developing policies and procedures that fully comply with the guidance from the Conference of the Parties in a straightforward and timely manner; (g) Increasing its flexibility to respond to the thematic longer-term programme of work of the Convention on Biological Diversity, in accordance with the guidance of the Conference of the Parties; (j) Promoting efforts to ensure that the implementing agencies fully comply with the policy, strategy, programme priorities and eligibility criteria of the Conference of the Parties in their support for country-driven activities funded by the Global Environment Facility (Decision IV/11, annex). The Conference of the Parties requests the Global Environment Facility, in consultation with the Executive Secretary of the Convention, to initiate a dialogue to more effectively implement the guidance to the financial mechanism, drawing from the experiences and lessons learned from projects and programmes funded by the Global Environment Facility, and explore opportunities for streamlining the guidance (Decision VI/17, paragraph 7).			
Has the GEF adequately undertaken actions in respect of guidance to improve the overall effectiveness of GEF support?			
Adequate		Not adequate	
Additional comments:			
Further suggestions for improvements:			

8. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by: (d) Increasing support to priority actions identified in national plans and strategies of developing countries (Decision IV/11, annex)			
Has the GEF adequately undertaken actions in respect of national priority actions to improve the overall effectiveness of GEF support?			
Adequate		Not adequate	
Additional comments:			

Further suggestions for improvements:

9. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by: (f) Promoting genuine country ownership through greater involvement of participant countries in GEF-funded activities (Decision IV/11, annex)

Has the GEF adequately undertaken actions **in respect of country ownership** to improve the overall effectiveness of GEF support?

Adequate		Not adequate	
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Additional comments:

Further suggestions for improvements:

10. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by: (e) Applying in a more flexible, pragmatic and transparent manner the incremental cost principle (Decision IV/11, annex).

Has the GEF adequately undertaken actions **in respect of incremental costs** to improve the overall effectiveness of GEF support?

Adequate		Not adequate	
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Additional comments:

Further suggestions for improvements:

11. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by: (h) Promoting the catalytic role of the Global Environment Facility in mobilizing funding from other sources for GEF-funded activities (Decision IV/11, annex).

Has the GEF adequately undertaken actions **in respect of catalytic role and financial leverage** to improve the overall effectiveness of GEF support?

Adequate		Not adequate	
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Additional comments:

Further suggestions for improvements:

12. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by: (a) Further streamlining its project cycle with a view to making project

preparation simpler, more transparent and more country-driven; (b) Further simplifying and expediting procedures for approval and implementation, including disbursement, for GEF-funded projects; (k) Undertaking efforts to improve the efficiency, effectiveness and transparency of the process of cooperation and coordination between the implementing agencies with a view to improving the processing and delivery systems of the Global Environment Facility, and to avoid duplication and parallel processes. (Decision IV/11, annex)

The Conference of the Parties reiterates the call to the Global Environment Facility for improving and further streamlining its processes for increased flexibility and improving access to resources from the Global Environment Facility, taking into consideration the findings included in the Second Overall Performance Study of the Global Environment Facility and the second review of the effectiveness of the financial mechanism (Decision VI/17, paragraph 4)

The Conference of the Parties requests the Global Environment Facility, in consultation with the Executive Secretary and other multilateral and bilateral organizations, to explore funding modalities for facilitating the preparation of future national reports and thematic reports from Parties, taking into account the comments made by Parties on their experience in accessing relevant funds during the sixth meeting of the Conference of the Parties as well as the recommendations included in the second Overall Performance Study of the GEF and the second review of the effectiveness of the financial mechanism (Decision VI/17, paragraph 6)

The Conference of the Parties urges 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 (Decision VIII/18, paragraph 3)

Has the GEF adequately undertaken actions **in respect of access procedures and project cycle** to improve the overall effectiveness of GEF support?

Adequate		Not adequate	
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Additional comments:

Further suggestions for improvements:

13. The Conference of the Parties requests the Global Environment Facility to consider the benefits to Parties, particularly small island developing States, of an appropriate balance between national and regional projects in the implementation of decisions of the Conference of the Parties (Decision VI/17, paragraph 5)

The Conference of the Parties urges 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 (Decision VIII/18, paragraph 4)

Has the GEF adequately undertaken actions **in respect of geographical balance** to improve the overall effectiveness of GEF support?

Adequate		Not adequate	
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Additional comments:

Further suggestions for improvements:

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14. Noting the importance of the Small Grants Programme of the Global Environment Facility, the Conference of the Parties welcomes its continued expansion to other developing countries, in particular the least developed countries and the small island developing States (Decision VI/17, paragraph 2)

Has the GEF adequately undertaken actions **in respect of small grants** to improve the overall effectiveness of GEF support?

Adequate		Not adequate	
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Additional comments:

Further suggestions for improvements:

15. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by: (i) Including in its monitoring and evaluation activities the assessment of the compliance under its operational programmes with the policy, strategy, program priorities and eligibility criteria established by the Conference of the Parties (Decision IV/11, annex)

The Conference of the Parties requests the Global Environment Facility, in its plan of action to respond to the Second Overall Performance Study, to take into consideration the recommendations of the second review of the effectiveness of the financial mechanism, and to report to the Conference of the Parties on how it has done so (Decision VI/17, paragraph 8)

The Conference of the Parties requests the Executive Secretary and the Global Environment Facility to explore possible synergies between the review processes of the Convention and the Global Environment Facility, and make suggestions on the arrangements for the third review of the effectiveness of the financial mechanism (Decision VI/17, paragraph 9)

The Conference of the Parties requests 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 (Decision VIII/18, paragraph 7)

Has the GEF adequately undertaken actions **in respect of monitoring and evaluation** to improve the overall effectiveness of GEF support?

Adequate		Not adequate	
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Additional comments:

Further suggestions for improvements:

16. The Conference of the Parties notes the strong support expressed by developing countries, in particular the least developed and the small island developing States amongst them, and countries with economies in transition, as well as developed countries, for assistance from the Global Environment Facility in the implementation of the Convention (Decision VI/17, paragraph 1)

Has the GEF adequately undertaken actions **in respect of replenishment** to improve the overall

effectiveness of GEF support?			
Adequate		Not adequate	
Additional comments:			
Further suggestions for improvements:			

C. Responsiveness to the guidance

17. The Conference of the Parties has requested the GEF to support the implementation of Article 6 (biodiversity planning) in decisions I/2, annex I, paragraphs 4(b) and 4(e), II/6, paragraphs 5 and 11, as well as decisions VI/17, paragraph 10(a), VII/20, paragraph 11 and VIII/18, paragraphs 18-19.			
To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 6?			
High		Low	
Additional comments:			
Further suggestions for improvements:			

18. The Conference of the Parties has requested the GEF to support the implementation of Article 7 (identification, monitoring, indicators and assessments) in decisions I/2, annex I, paragraph 4(d), III/5, paragraph 2(b), V/13, paragraph 2(j), VII/20, paragraph 4 and VIII/18, paragraphs 16-17.			
To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 7?			
High		Low	
Additional comments:			
Further suggestions for improvements:			

19. The Conference of the Parties has requested the GEF to support the implementation of Article 8 (In situ conservation and protected areas) in decision II/6, paragraph 11, VII/20, paragraph 10, and VIII/18, paragraphs 28-30.			
To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of in-situ conservation and protected areas?			
High		Low	
Additional comments:			

Further suggestions for improvements:

20. The Conference of the Parties has requested the GEF to support the implementation of **Article 8(h) (invasive alien species)** in decisions IV/13, paragraph 1, V/13, paragraph 2(m), VI/17, paragraph 10(k), VII/20, paragraph 9 and VIII/18, paragraph 27.

To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 8(h)?

High		Low	
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Additional comments:

Further suggestions for improvements:

21. The Conference of the Parties has requested the GEF to support the implementation of **Article 8(j) (indigenous and local communities and traditional knowledge)** in decisions I/2, annex I, paragraph 4(j), III/5, paragraph 5, V/13, paragraph 2(i), and VI/17, paragraph 10(n).

To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 8(j)?

High		Low	
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Additional comments:

Further suggestions for improvements:

22. The Conference of the Parties has requested the GEF to support the implementation of **Article 11 (incentive measures)** in decisions I/2, annex I, paragraph 4(i), III/5, paragraphs 3, IV/13, paragraph 7, V/13, paragraph 2(h) and VI/17, paragraphs 10(j).

To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 6?

High		Low	
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Additional comments:

Further suggestions for improvements:

23. The Conference of the Parties has requested the GEF to support the implementation of **Article 13 (education, public awareness and communication)** in decisions III/5, paragraph 6(b), V/13, paragraph 2(l), VI/17, paragraph 10(o), VII/20, paragraph 18 and VIII/18, paragraph 21.

To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 13?			
High		Low	
Additional comments:			
Further suggestions for improvements:			

24. The Conference of the Parties has requested the GEF to support the implementation of Article 15 (access and benefit sharing) in decision III/5, paragraph 4, IV/13, paragraph 8, V/13, paragraph 2(g), VI/17, paragraph 10(m), and VII/20, paragraph 19.			
To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 15?			
High		Low	
Additional comments:			
Further suggestions for improvements:			

25. The Conference of the Parties has requested the GEF to support the implementation of Article 16 (cooperation on technology) in decisions I/2, annex I, paragraph 4(f), VII/20, paragraph 12 and VIII/18, paragraph 20.			
To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 16?			
High		Low	
Additional comments:			
Further suggestions for improvements:			

26. The Conference of the Parties has requested the GEF to support the implementation of Article 18 (scientific and technical cooperation and clearing-house mechanism) in decisions I/2, annex I, paragraph 4(h), II/6, paragraph 11, III/5, paragraph 2(d), IV/13, paragraph 5, and V/13, paragraph 2(f).			
To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of Article 18?			
High		Low	
Additional comments:			

Further suggestions for improvements:

27. The Conference of the Parties has requested the GEF to support the implementation of **Article 19 and Cartagena Protocol on Biosafety** in decisions III/5, paragraph 2(a), V/13, paragraph 1, VI/17, paragraph 10(b), VII/20, paragraphs 20-26 and VIII/18, paragraphs 9-13.

To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of biosafety?

High		Low	
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Additional comments:

Further suggestions for improvements:

28. The Conference of the Parties has requested the GEF to support the implementation of **Article 26 (national reporting)** in decisions II/6, paragraph 11, IV/13, paragraph 6, V/13, paragraph 2(e), VI/17, paragraph 10(l), VII/20, paragraphs 14-17 and VIII/18, paragraphs 22-23.

To what extent do the GEF biodiversity activities conform to the guidance of the Conference of the Parties in respect of national reporting?

High		Low	
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Additional comments:

Further suggestions for improvements:

29. To what extent do the GEF biodiversity activities conform to the following guidance of the Conference of the Parties?

Area of guidance	Extent of GEF responsiveness		Further suggestions for improvements
	High	Low	
Global Taxonomy Initiative (Decisions IV/13, paragraph 2, V/13, paragraph 2(k), VI/17, paragraph 10(f), VII/20, paragraph 7, VIII/18, paragraph 24-26)			
Global strategy for plan conservation (Decision VI/17, paragraph 10(d))			
Endemic species (Decision I/2, annex I, paragraph 4(l))			
Biodiversity and climate change (Decision VII/20, paragraph 6)			
Sustainable use (Decision VII/20, paragraph 8)			
Targeted research (Decision III/5, paragraph 6(a))			
Sustainability, replication and scientific excellence			

29. To what extent do the GEF biodiversity activities conform to the following guidance of the Conference of the Parties?			
Area of guidance	Extent of GEF responsiveness		Further suggestions for improvements
	High	Low	
(Decision I/2, annex I, paragraph 4(g))			
Marine and coastal biodiversity (Decisions I/2, annex I, paragraph 4(k), V/13, paragraph 2(d), VI/17, paragraph 10(e), VII/20, paragraph 3)			
Biological diversity of dry and sub-humid lands (Decisions I/2, annex I, paragraph 4(k), V/13, paragraph 2(b.ii))			
Mountain ecosystems (Decision I/2, annex I, paragraph 4(k))			
Agricultural biological diversity (Decisions III/5, paragraph 2(c), V/13, paragraphs 2(b.i) and 2(c), VI/17, paragraphs 10(g) and 10(h))			
Biological diversity of inland water ecosystems (Decisions IV/13, paragraph 3, V/13, paragraph 2(n) and VI/17, paragraph 10(i))			
Island biological diversity (Decision VIII/18, paragraphs 14 and 15)			
Forest biological diversity (Decisions IV/13, paragraph 4, V/13, paragraph 2(b.iii) and VI/17, paragraph 10(c))			
Ecosystem approach (Decisions V/13, paragraph 2(a), VII/20, paragraph 5)			
Integration of social dimensions (Decision I/2, annex I, paragraph 4(m))			
Development activities consistent with CBD (Decision VII/20, paragraph 13)			

30. Please provide additional suggestions below on how the designated financial mechanism can be further improved

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