



Convention on  
Biological Diversity



Ref.: SCBD/ITS/YX/69233

21 October 2009

## NOTIFICATION

### Initial review of the draft document concerning review of the guidance to the financial mechanism

Dear Madam/Sir,

I am pleased to attach an important document for your initial review prior to formally distributing it for consideration by the third meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention (WGRI-3) to be held in Nairobi from 24-28 May 2010, in response to paragraphs 1 and 2 of decision IX/31, C.

The draft document is the **Review of the Guidance to the Financial Mechanism**. In decision IX/31, C, the Conference of the Parties encouraged Parties to review the updated compilation of the guidance to the financial mechanism with participation of representatives from relevant thematic areas and cross-cutting issues, with a view to provide recommendations on retirement, streamlining and consolidation of previous guidance. It is advised that this initial review will be undertaken with participation from relevant thematic areas and cross-cutting issues, in particular with respect to section IV of the draft document.

The draft document is accessible at <https://www.cbd.int/financial/>. Please submit your comments and suggestions on the draft document to the CBD Secretariat ([financialservices@cbd.int](mailto:financialservices@cbd.int)) at your earliest convenience, but **no later than 20 November 2009**. The document will be revised and disseminated by the CBD Secretariat, for consideration at WGRI3, after incorporating all comments received by this date.

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

Ahmed Djoghlaif  
Executive Secretary

To: CBD National Focal Points



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COP 10 / MOP 5



## Convention on Biological Diversity

Distr.  
GENERAL

UNEP/CBD/WGRI/3/9  
28 September 2009

ORIGINAL: ENGLISH

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

Third meeting

Nairobi, 24-28 May 2010

Item 6(c) of the provisional agenda\*

### REVIEW OF THE GUIDANCE TO THE FINANCIAL MECHANISM

*Note by the Executive Secretary*

#### I. INTRODUCTION

1. In decision IX/31, C, paragraph 1, the Conference of the Parties requested the Executive Secretary to identify obsolete, repetitive and overlapping guidance, and prepare an updated compilation of the existing guidance to the financial mechanism, which should incorporate all decisions related to the financial mechanism, as a working document three months prior to the third meeting of the Ad Hoc Open-ended Working Group on Review of Implementation. In paragraph 2 of the same decision, the Conference of the Parties requested the Ad Hoc Open-ended Working Group on Review of Implementation at its third meeting to review the updated compilation with participation of representatives from relevant thematic areas and cross-cutting issues, as appropriate, with a view to provide recommendations on retirement, streamlining and consolidation of previous guidance. The Working Group was also requested to propose a system for communicating a coherent, prioritized and clear set of programme priorities during the tenth and eleventh meetings of the Conference of the Parties and leading up to GEF-6 replenishment negotiation, and to submit the results of its consideration to the Conference of the Parties at its tenth meeting.

2. This note is structured in response to the above request. Section II identifies obsolete, repetitive and overlapping guidance. Section III provides an updated compilation of the existing guidance to the financial mechanism, which has incorporated all decisions related to the financial mechanism. Section IV suggests recommendations on retirement, streamlining and consolidation of previous guidance. Section V proposes a system for communicating a coherent, prioritized and clear set of programme priorities during the tenth and eleventh meetings of the Conference of the Parties and leading up to GEF-6 replenishment negotiation. The final section offers some conclusive remarks.

\* UNEP/CBD/WGRI/3/1

**PEER REVIEW ONLY****II. OBSOLETE, REPETITIVE AND OVERLAPPING GUIDANCE**

3. In identifying obsolete, repetitive and overlapping guidance, all decisions, adopted by the Conference of the Parties from its first nine meetings, were marked manually on their reference to the financial mechanism, except for these decisions that were retired through decisions VI/27, annex and VII/33, annex. Then a key word search for the phrases “Global Environment Facility” and “financial mechanism” was conducted electronically to verify the marked provisions of all decisions. After these two steps of research, all the existing decisions and elements of the exiting decisions that are of relevance to the financial mechanism were reproduced in a separate document. The new document was then assessed in terms of obsolete, repetitive and overlapping guidance, with support from respective programme officers of the convention secretariat.

4. Obsolete guidance refers to one of the following situations: (i) referenced action by the financial mechanism has been completed; (ii) referenced action by recipient Parties is no longer in effect; (iii) referenced action appears in the decisions that have been superseded by subsequent decisions; (iv) referenced action has deadlines that have been elapsed. Repetitive guidance includes those provisions that have been repeated in the other decisions adopted by the same meeting of the Conference of the Parties or by its subsequent meetings. Overlapping guidance is the guidance that uses slightly different languages to express the same contents of other guidance. The obsolete, repetitive and overlapping guidance has been identified as follows:

Obsolete guidance:

Decisions I/2, paras. 1 and 2; II/3, para. 9; II/6, paras. 1, 2, 6, 8, 9, 10 and 11; II/10, para. 11; III/4, para. 3; III/5, paras. 2(a), 2(b) and 2(d)(ii); III/9, para. 4; IV/1, D, paras. 1 and 9; IV/11, para. 4; IV/13, paras. 2, 5(a) and (c) and 6; IV/16, para. 18; V/11, para. 2; V/12; V/13, paras. 1 and 2(e); VI/10, para. 29; VI/16, paras. 4, 5 and 11; VI/17, paras. 1, 2, 6, 7, 8, 9, 10b, 10h and 11; VI/23, para. 33; VI/27, para. 9; VII/5, paras. 36 and 53; VII/8, para. 12; VII/9, para. 6; VII/20, paras. 11, 17, 25 and 26; VII/22; VII/33; VIII/1, para. 6; VIII/13, paras. 1, 3 and 11; VIII/18, paras. 2(a), 5, 6, 18, 26 and 29(c); VIII/24, para. 24(a); IX/18, B, paras. 4(e), 8 and 10; IX/31, A, para. 1 and C, para. 6

Repetitive and overlapping guidance:

Decision I/2, para. 3 and annex I, III, para. 4(b); II/7, para. 6; III/4, para. 2; III/5, para. 3; III/10, para. 10; III/11, para. 21; III/14, para. 5; III/15, para. 3; IV/1, C, para. 3 and D, para. 9; IV/2, para. 9; IV/4, para. 6; IV/8, para. 4; IV/10, A, para. 3; IV/11, paras. 1, 2, and annex, para. 1(h); IV/13, para. 1; IV/14, para. 5; V/8, para. 17; V/9, para. 6; V/13, para. 2(g); VI/2, para. 6; VI/3, para. 5; VI/5, paras. 12 and 16; VI/9, para. 7; VI/17, para. 4; VI/24, B, I, para. 7; VI/25, paras. 5 and 9; VII/20, paras. 2, 20 and 24; VIII/1, paras. 4 and 5; VIII/3, paras. 12, 13 and 14; VIII/6, para. 3; VIII/8, para. 7; VIII/9, paras. 8 and 23; VIII/14, paras. 7 and 8; VIII/18, paras. 8, 13 and 20; VIII/24, paras. 20, 22 and 23; VIII/27, para. 6; IX/4, B, paras. 3 and 30; IX/7, para. 7; IX/8, para. 9; IX/10, para. 4; IX/14, para. 17; IX/18, B, paras. 1 and 9; IX/26, para. 4; IX/30, para. 5; IX/31, C, paras. 12 and 13

**III. UPDATED COMPILATION OF THE EXISTING GUIDANCE TO THE FINANCIAL MECHANISM**

5. This section provides an updated compilation of the existing guidance to the financial mechanism, and has incorporated all decisions related to the financial mechanism as adopted by the Conference of the Parties from its first to its ninth meeting. It does not include relevant decisions and elements of decisions that have been retired by the Conference of the Parties at its sixth and seventh meetings, which are provided in decisions VI/27, annex and VII/33, annex, nor contain obsolete,

repetitive and overlapping guidance identified in section II. The updated compilation is grouped by themes and presented by the order of provisions of the Convention as far as possible.

Theme	Relevant decisions
General	III/8; IV/16, para. 13; V/20, I, para. 8; VIII/13, paras. 10 and 12; VIII/18, para. 1 and Annex; IX/31, A, para. 2 and B
Policy and Strategy	I/2, Annex I, I, and III, paras. 1, 3 and 4(a); IV/11, Annex, paras. 1(c), 1(f), 1(g) and 1(j); VI/27, para. 8; VII/20, para. 22
Eligibility Criteria	I/2, Annex I, II; VI/17, para. 3; VII/20, para. 21
Programme priorities	I/2, Annex I, III, para. 2; IX/31, C, para. 4
Biodiversity planning	I/2, Annex I, III, para. 4(e); IV/11, Annex, para. 1(d); VI/17, para. 10a; VIII/18, para. 19; IX/31, C, para. 9
Identification, monitoring, indicators and assessments	I/2, Annex I, III, paras. 4(c) and 4(d); V/13, para. 2(j); VII/20, para. 4; VIII/18, para. 17
Taxonomy	VI/17, para. 10f; VII/20, para. 7; VIII/18, paras. 24 and 25
Protected areas	VII/20, para. 10; VIII/18, paras. 29(a), 29(b) and 29(e); IX/31, C, para. 14(b)
Species conservation	I/2, Annex I, III, para. 4(l); VI/17, para. 10d
Invasive alien species	V/13, para. 2(m); VI/17, para. 10k; VII/20, para. 9; VIII/18, para. 27
Article 8(j) and related provisions	I/2, Annex I, III, para. 4(j); IV/9, para. 13; V/13, para. 2 (i); VI/17, para. 10n; IX/13, D, para. 3
Sustainable use	VII/20, para. 8
Engagement of business	IX/31, C, para. 11
Incentive measures	I/2, Annex I, III, para. 4(i); IV/13, para. 7; V/13, para. 2 (h); VI/17, para. 10j
Research and training	III/5, para. 6(a)
Education and public awareness	III/5, para. 6(b); IV/10, B, para. 9; V/13, para. 2(l); VI/17, para. 10(o); VII/20, para. 18; VIII/18, para. 21
Access and benefit sharing	III/5, para. 4; IV/13, para. 8; VI/17, para. 10m; VII/20, para. 19
Technology cooperation and transfer	I/2, Annex I, III, para. 4(f); VII/20, para. 12; IX/31, C, para. 7
Technical and scientific cooperation and clearing house mechanism	I/2, Annex I, III, para. 4(h); III/5, para. 2(d)(i); IV/13, para. 5(b); V/13, para. 2(f); IX/31, C, para. 8

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Biosafety	VII/20, para. 23; VIII/18, paras. 11 and 12
National reports	II/17, para. 12; VI/17, para. 10(l); VIII/18, para. 22
Ecosystem approach	V/13, para. 2(a); VII/20, para. 5; IX/31, C, para. 10
Agricultural biological diversity	III/5, para. 2(c); V/13, paras. 2(b)(i) and 2(c); VI/17, para. 10g
Forest biodiversity	IV/13, para. 4; V/13, para. 2(b)(iii); VI/17, para. 10c
Biological diversity of inland water ecosystems	IV/4, para. 7; IV/13, paras. 3; V/13, para. 2 (n); VI/17, para. 10(i)
Marine and coastal biodiversity	I/2, Annex I, III, para. 4(k); IV/5, I, para. 3; V/13, para. 2 (d); VI/17, para. 10e; VII/20, para. 3
Island biological diversity	VIII/18, para. 14
Biological diversity of dry and sub-humid lands	I/2, Annex I, III, para. 4(k); V/13, para. 2 (b)(ii)
Mountain ecosystems	I/2, Annex I, III, para. 4(k)
Climate change and biodiversity	VII/20, para. 6
Development activities	I/2, Annex I, III, para. 4(m); VII/20, para. 13
Sustainability	I/2, Annex I, III, para. 4(g); IX/31, A, para. 3(f)
Actions to improve the effectiveness of the financial mechanism	
Cofinancing	VI/16, para. 9; IX/11, A, para. 3; IX/31, A, para. 3(c)
Innovative financing mechanisms and resource mobilization	VIII/18, para. 16; IX/11, B, para. 4, and Annex, paras. 13 and 15
Incremental costs	IV/11, Annex, para. 1(e)
Resource allocation	VIII/18, paras. 9 and 10; IX/12, para. 21; IX/31, C, para. 14(c)
Geographical consideration	VI/17, para. 5; VIII/18, paras. 3 and 4; IX/31, A, para. 3(d)
Gender	IX/11, A, para. 7
Processing and delivery systems	II/6, para. 5; III/5, para. 1; IV/11, Annex, para. 1(a), 1(b) and 1(k); V/13, para. 2(k); VI/10, para. 30; VI/19, para. 5; VI/23, paras. 19 and 22; VI/27, para. 10; VII/20, paras. 14 and 16; VIII/18, paras. 15, 23, 28

	and 30; IX/21, para. 9; IX/31, C, para. 14(a)
Review and evaluation	III/5, para. 5; IV/11, Annex, para. 1(i); VII/20, para. 15; VIII/18, paras. 7 and 29(d); IX/31, A, paras. 3(g), 3(h) and 4
Reporting	VII/20, para. 1; VIII/18, para. 2(b); IX/16, B, para. 4; IX/31, A, paras. 3(a), 3(b) and 3(e), and C, para. 5

#### IV. RETIREMENT, STREAMLINING AND CONSOLIDATION OF PREVIOUS GUIDANCE

6. The present section has been prepared to assist the third meeting of the Ad Hoc Open-ended Working Group on Review of Implementation, in accordance with paragraph 2 of decision IX/31, C, in providing recommendations on retirement, streamlining and consolidating of previous guidance to the tenth Conference of the Parties. In this regard, retirement of previous guidance suggests withdrawing relevant guidance from usual use or service. Streamlining previous guidance connotes bringing the previous guidance up to date, and making them simpler and in order. Consolidating previous guidance indicates bringing dispersed existing guidance into a single integrated whole one.

7. Given the diminished value of obsolete, repetitive and overlapping guidance as identified in section II, the retirement of these decisions and elements of decisions related to the financial mechanism would not have any impact on the development and implementation of projects for financing by the Global Environment Facility. However, the decisions and elements of decisions related to the financial mechanism can be kept on the website of the Convention for historical purposes, which is in line with paragraph 16 of decision IX/29 requesting the Executive Secretary to continue the practice of maintaining the full text of all decisions on the Secretariat website while indicating those decisions and elements of decisions that have been retired.

8. It should be noted that by decisions VI/27 and VII/33, the Conference of the Parties has succeeded in agreeing to retire decisions and elements of decisions adopted at its first four meetings. In decision VII/33, paragraph 2, the Conference of the Parties decided to adopt a phased process of consolidation of its decisions, to be undertaken under the guidance of the Bureau, with a view to completing the process of consolidating all its decisions by the year 2010. Recognizing the complexity and far reaching implications of the process of consolidation of decisions, the Conference of the Parties, through VIII/10, paragraph 38, decided to discontinue the process established in paragraph 2 of decision VII/33. In decision IX/29, paragraph 14(a), the Conference of the Parties decided to take care to avoid retiring guiding principles and decisions that have not been implemented or reflected in subsequent decisions while reviewing and retiring decisions and elements of decisions.

9. The updated compilation contained in section III does not contain any provisions of the proposed retirement suggested in section II, and thus is used as the basis for streamlining and consolidating previous guidance. Once streamlined and consolidated, these provisions can also be retired together with the obsolete, repetitive and overlapping guidance. For purposes of the present note, streamlining and consolidating previous guidance does not intend to involve altering the substance of existing guidance.

##### General

Financial resources and the financial mechanism will continue to be a standing agenda item for meetings of the Conference of the Parties;

Guidance to the financial mechanism should be incorporated into a single decision, including the identification of priority issues which will provide support for cross-cutting issues and capacity-building,

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especially for developing countries, in a manner that: (a) Is transparent; (b) Allows participation; and (c) Allows full consideration of its other decisions;

While the Subsidiary Body on Scientific, Technical and Technological Advice should consider the financial implications of its proposals, its recommendations will only include advice to the Conference of the Parties regarding financial matters, including guidance to the financial mechanism, when the Conference of the Parties has so requested;

The Conference of the Parties will continue to explore ways and means to improve the effectiveness of providing guidance to the financial mechanism, including the four-year framework for programme priorities related to utilization of GEF resources for biodiversity, coinciding with replenishments of the Trust Fund of the Global Environment Facility;

The review of the effectiveness of the financial mechanism will be undertaken every four years and that this review should coincide with the meeting of the Conference of the Parties;

The updated list of developed country Parties and other Parties that voluntarily assume the obligations of developed country Parties in accordance with Article 20, paragraph 2 of the Convention is contained in the annex to Decision VIII/18.

Memorandum of understanding between the Conference of the Parties to the Convention on Biological Diversity and the Council of the Global Environment Facility is contained in decision III/8.

The four-year outcome-oriented framework of programme priorities related to utilization of GEF resources for biodiversity for the period from 2010 to 2014 is provided in the annex to decision IX/31, B.

#### Policy and Strategy

The conservation of biological diversity and sustainable use of its components is one of the key elements in achieving sustainable development and therefore contribute to combating poverty;

Financial resources should be allocated to projects that fulfil the eligibility criteria and are endorsed and promoted by the Parties concerned;

Projects and programmes should have national priority status and be consistent with their national priorities and objectives;

Projects and programmes should fulfil the obligations of the Convention, and be flexible 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;

The provision of financial resources by the Global Environment Facility shall be for country-driven activities and promote genuine country ownership through greater involvement of participant countries in GEF-funded activities;

A strategic approach to capacity-building for the global environment at the national level is urgently needed and promoting cross-convention synergies, national policy integration, national institutional development and cooperation among stakeholders in capacity-building activities is a priority in order to promote efficiency and quality;

Projects should contribute to the extent possible to build cooperation at the sub-regional, regional and international levels in the implementation of the Convention;

Projects should promote utilization of regional and local expertise and be flexible to accommodate national priorities and regional needs within the aims of the Convention

The institutional structure should over time assist all eligible countries to fulfil their obligations under the Convention. It should develop policies and procedures that fully comply with the guidance from the Conference of the Parties in a straightforward and timely manner, and promote 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;

Policy and strategy may be revised, as necessary, by the Conference of the Parties;

#### Eligibility Criteria

Only developing countries<sup>1</sup> that are Parties to the Convention are eligible to receive funding upon the entry into force of the Convention for them. In accordance with the provisions of the Convention, projects that seek to meet the objectives of conservation of biological diversity and sustainable use of its components are eligible for financial support from the institutional structure;

The Global Environment Facility should continue its efforts to provide financial resources to Parties with economies in transition for biodiversity-related projects;

Under the Cartagena Protocol on Biosafety, the eligibility criteria for funding by the Global Environment Facility are:

- (a) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Protocol, are eligible for funding by the Global Environment Facility in accordance with its mandate;
- (b) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, shall also be eligible for funding by the Global Environment Facility for the development of national biosafety frameworks and the development of national biosafety clearing-houses and other necessary institutional capabilities to enable a non-Party to become a Party. Evidence of such political commitment shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Protocol on completion of the activities to be funded;

#### Programme priorities

The Global Environment Facility should provide financial resources to developing country Parties, taking into account the special needs of the least developed countries and the small island developing States amongst them, for country-driven activities and programmes, consistent with national priorities and objectives and in accordance with the mandate of the Global Environment Facility, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries, and taking fully into consideration all relevant decisions from the Conference of the Parties. The list of programme priorities given below may be revised by the Conference of the Parties, as necessary;

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<sup>1</sup> Please note that the Conference of the Parties has not developed a list of developing countries that are Parties to the Convention. This has led divergent operational interpretations.

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### Biodiversity planning

Capacity-building, including human resources development and institutional development and/or strengthening, to facilitate the preparation and/or implementation of national strategies, plans for priority programmes and activities for conservation of biological diversity and sustainable use of its components;

Elaboration, development, review, revision as necessary, and update of national, and where appropriate, regional biodiversity strategies and action plans;

Implementation of priority actions identified in national, and where appropriate, regional biodiversity plans and strategies and activities which assist their implementation consistent with guidance to the Global Environment Facility from the Conference of the Parties;

### Identification, monitoring, indicators and assessments

Strengthening capabilities to develop monitoring programmes and suitable indicators for biological diversity;

Development and implementation of effective biodiversity indicators;

Conducting national and other sub-global assessments making use of the conceptual framework and methodologies of the Millennium Ecosystem Assessment, as appropriate;

Identification and monitoring of wild and domesticated biodiversity components, in particular those under threat, and implementation of measures for their conservation and sustainable use;

Strengthening conservation, management and sustainable use of ecosystems and habitats identified by national Governments in accordance with article 7 of the Convention;

### Taxonomy

National and regional taxonomic capacity-building, as a basis for implementing the programme of work for the Global Taxonomy Initiative, with particular attention to funding country-driven pilot projects identified under the Global Taxonomy Initiative, taking into consideration the special needs of least developed countries and small island developing States;

Integrating taxonomic capacity-building activities into thematic and cross-cutting programmes, including supporting activities and projects, such as, where appropriate, stand-alone capacity-building projects;

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;

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, inter alia, taxonomic training related to specific taxa and information technologies;

### Protected areas

Addressing the long-term financial sustainability of protected areas, including through different mechanisms and instruments, to help achieve the target of securing, by 2008, sufficient resources to meet the costs to effectively implement and manage national and regional systems of protected areas;

Further development of the portfolio on protected areas towards comprehensive, representative and effectively managed protected area systems addressing system wide needs;

Country driven early action activities of the programme of work on protected areas by continuing to streamline its procedures and the provision of fast disbursing resources through expedited means, 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;

National and regional systems of protected areas taking into account the targets and timetables in the programme of work on protected areas;

Community conserved areas, ensuring the immediate, full and effective participation of indigenous peoples and local communities in the development of relevant activities;

Proposals that demonstrate the role-protected areas play in addressing climate change;

#### Species conservation

Projects that promote the conservation and/or sustainable use of endemic species;

Country-driven capacity-building activities for the implementation of the Global Strategy for Plant Conservation;

#### Invasive alien species

Activities to implement the Global Invasive Species Programme;

Improved prevention, rapid response and management measures to address threats of alien invasive species;

Capacity-building to prevent or minimize the risks of the dispersal and establishment of invasive alien species at the national, subregional, or regional levels;

Projects that assist with the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans, in particular those strategies and actions related to geographically and evolutionarily isolated ecosystems, paying particular attention to the needs of least developed countries and small island developing States, including needs related to capacity-building;

#### Traditional knowledge and indigenous and local communities (Article 8(j) and related provisions)

Projects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components;

Projects in support of the development of national legislation and corresponding strategies on the implementation of Article 8(j);

Projects in support of preparations by indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity for their active participation in and contribution to the working group;

Implementation of the priority activities identified in the programme of work on Article 8(j) and related provisions;

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Enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and sub-national levels, and for building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge;

Development of national action plans for the retention of traditional knowledge relevant to the conservation and sustainable use of biological diversity;

### Sustainable use

Implementation of the Addis Ababa Principles and Guidelines at the national level to ensure that the use of biological diversity is sustainable;

### Engagement of business

Capacity-building for engaging the business community in the implementation of the Convention;

### Incentive measures

Innovative measures, including in the field of economic incentives, aiming at conservation of biological diversity and/or sustainable use of its components, including those which assist developing countries to address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated, in accordance with article 11 of the Convention;

Design and approaches relevant to the implementation of incentive measures, including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives;

Projects that incorporate incentive measures that promote the development and implementation of social, economic and legal incentive measures for the conservation and sustainable use of biological diversity;

Projects that assist with the implementation of the programme of work on incentive measures, taking into consideration the specific circumstances of countries, in particular, least developed countries and small island developing States;

### Research and training

Project components addressing targeted research which contributes to conservation of biological diversity and the sustainable use of its components including research for reversing current trends of biodiversity loss and species extinction;

### Communication, education and public awareness

Project components addressing promotion of the understanding of the importance of, and measures required for, the conservation and sustainable use of biological diversity;

Projects which promote measures for implementing the provisions of the Convention on public education and awareness;

Capacity development for education, public awareness and communication in biological diversity at the national and regional levels;

Implementation of national communication, education and public-awareness programmes and activities;

Implementation of 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;

#### Access and benefit sharing

Human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidances on access to genetic resources, including scientific, technical, business, legal and management skills and capacities;

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

Capacity-building on measures on access to genetic resources and sharing of benefits, including capacity-building on economic valuation of genetic resources;

Capacity-building regarding the transfer of technologies which enables providers to fully appreciate and actively participate in benefit-sharing arrangements at the stage of granting access permits;

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

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

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

#### Technology cooperation and transfer

In accordance with Article 16 of the Convention, and to meet the objectives of conservation of biological diversity and sustainable use of its components, projects which promote access to, transfer of and cooperation for joint development of technology; (decision I/2, Annex I, III, para. 4(f))

Implementation of the programme of work on technology transfer and technological and scientific cooperation, consistent with Articles 16 to 20 of the Convention;

Preparation of national assessments of technology needs for implementation of the Convention;

Building policy, legal, judicial and administrative capacity;

Building capacities of, and empowering, indigenous and local communities and all relevant stakeholders with respect to access to and use of relevant technologies;

Improving the capacity of national research institutions in developing countries and countries with economies in transition for the development of technologies, as well as for adaptation, diffusion and the further development of imported technologies consistent with their transfer agreement and international law including through fellowships and international exchange programmes;

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Provision of capacity-building, where needed, on, inter alia: technologies for conservation and sustainable use; and governance and regulatory frameworks associated with access and transfer of technology and innovation;

Facilitating access to relevant proprietary technologies;

Providing other financial and non-financial incentives for the diffusion of relevant technologies;

Supporting the development and operation of regional or international initiatives to assist technology transfer and cooperation as well as scientific and technical cooperation, including those initiatives designed to facilitate South-South cooperation and South-South joint development of new technologies and also such cooperation among countries with economies in transition;

National programmes for the conservation and sustainable use of biodiversity through improved access to and transfer of technology and innovation;

Technical and scientific cooperation and the clearing house mechanism

Activities that provide access to other international, national and/or private sector funds and scientific and technical cooperation;

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

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

Participation in the clearing-house mechanism of the Convention;

Biosafety

In-country, regional and subregional stock-taking studies to enable: (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;

Implementation of the revised Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety;

Development and implementation of national biosafety frameworks;

Coordination and harmonization of national biosafety frameworks at regional and subregional levels, where appropriate;

Awareness-raising, public participation and information sharing, including through the Biosafety Clearing-House;

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;

Transfer and joint development of technology in risk assessment, risk management, monitoring and detection of living modified organisms;

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;

Development and implementation of capacity-building activities, including organization of national, regional and inter-regional capacity building workshops and preparatory meetings;

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;

Development of technical, financial, and human capacity including postgraduate education, biosafety-related laboratories and relevant equipment;

#### National reports

Preparation of national reports by developing country Parties;

#### Ecosystem approach

Projects utilizing the ecosystem approach, without prejudice to differing national needs and priorities which may require the application of approaches such as single-species conservation programmes;

#### Agricultural biological diversity

Supporting efforts for the conservation and sustainable use of biological diversity important to agriculture;

Projects which implement the Convention's programme of work on agricultural biodiversity;

Projects that assist with the implementation of the Plan of Action for the International Initiative for the Conservation and Sustainable Use of Pollinators by developing country Parties, in particular, least developed countries and Small Island developing States;

#### Forest biodiversity

Projects and capacity-building activities for implementing the programme of work of forest biological diversity at the national, regional and subregional levels and the use of the clearing-house mechanism to include activities that contribute to halting and addressing deforestation, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat;

Country-driven projects focusing on the identified national priorities, as well as regional and international actions that assist the implementation of the expanded work programme considering conservation of biological diversity, sustainable use of its components and fair and equitable sharing of the benefits from genetic resources in a balanced way, underscoring the importance of ensuring long-term conservation, sustainable use, and benefit-sharing of native forests;

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### Biological diversity of inland water ecosystems

Implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland waters, and capacity-building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity and for information gathering and dissemination among riparian communities;

Projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems;

Projects that assist with the implementation of the programme of work on biological diversity of inland water ecosystems;

### Marine and coastal biodiversity

Projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat;

Implementation of the elaborated programme of work on marine and coastal biodiversity;

Capacity-building at the national, subregional and regional level to address the issue of coral bleaching within the context of implementation of the programme of work on marine and coastal biological diversity;

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

### Island Biological Diversity

Implementation of the programme of work on island biodiversity;

### Biological diversity of dry and sub-humid lands

Projects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas;

Projects which implement the Convention's programme of work on biodiversity of dry and sub-humid lands;

### Mountain ecosystems

Projects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas;

### Climate change and biodiversity

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;

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;

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

#### Development activities

Projects aimed at the conservation of biological diversity and sustainable use of its components which integrate social dimensions including those related to poverty;

Capacity-building activities in developing countries, as a contribution towards the Millennium Development Goals, to implement development activities in ways that are consistent with, and do not compromise, the achievement of the objectives of the Convention on Biological Diversity and the 2010 target, including by improving environmental policies in relevant development agencies and sectors such as through integrating concerns relating to biodiversity and the Millennium Development Goals more directly into environmental impact assessments, strategic environmental assessments and other such tools, including at the national level through the national strategies for sustainable development and the poverty reduction strategies and programmes;

#### Sustainability

Projects that promote the sustainability of project benefits; that offer a potential contribution to experience in the conservation of biological diversity and sustainable use of its components which may have application elsewhere; and that encourage scientific excellence;

Promoting exchange of experience and lessons learned in addressing sustainability of funded projects on biological diversity;

#### Actions to improve the effectiveness of the financial mechanism

The Council of the Global Environment Facility should continue to take actions to improve the effectiveness of the financial mechanism.

#### Cofinancing

Explore opportunities to further develop, enhance and strengthen its catalytic role in identifying and promoting co-financing resources, and, also, to take definitive actions to explore and examine innovative and creative financing modalities to leverage increased funds from the private sector and non-traditional sources of funding;

Continue to mobilize co-financing and other modes of financing for its projects related to implementation of the Convention, and requests the Global Environment Facility to continue to leverage financial resources to support the Convention's objectives;

Enhance the role of the Global Environment Facility in providing and leveraging resources for activities to achieve the Convention's objectives;

#### Innovative financing mechanisms and resource mobilization

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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;

Support diffusion, and facilitate replication and scaling-up, of new and innovative financing mechanisms initiatives that have proved to be successful;

Consider how it can contribute to the implementation of the strategy for resource mobilization, and report back to the Conference of the Parties through the third meeting of the Working Group on Review of Implementation of the Convention, including consideration of a plan to address the strategy for resource mobilization, in consultation with the GEF implementing agencies;

Collaborate to promote exchange of experience and good practice in financing for biological diversity;

Incremental costs

Apply in a more flexible, pragmatic and transparent manner the incremental cost principle;

Resource allocation

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;

Base their allocation of resources to support the implementation of the 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;

Ensure that protected areas remain a priority of the Global Environment Facility for the foreseeable future;

Strengthen the efforts to implement its strategic programme on capacity-building for access and benefit-sharing in order to enable Parties to elaborate, negotiate and implement the international regime, mobilizing available resources of the fourth replenishment and to provide appropriate resources in its fifth replenishment, and urges Parties to make full use of the programmes of the Global Environment Facility, including for the full implementation of the articles of the Convention related to access and benefit-sharing;

Geographical consideration

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;

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;

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;

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;

#### Gender

Include gender, indigenous peoples and local communities perspectives in the financing of biodiversity and its associated ecosystem services;

#### Processing and delivery systems

Facilitate urgent implementation of Article 6 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner;

Continue promoting awareness of the Global Taxonomy Initiative in the relevant activities of the Global Environment Facility, such as the Country Dialogue Workshops, and facilitate capacity-building in taxonomy, including in its Capacity Development Initiative;

Give special consideration in funding to projects that clearly contain elements of participation of indigenous and local communities, where appropriate, and continue to apply the Global Environment Facility's policy on public involvement to support the full and effective participation of indigenous and local communities;

Support and participate in the international cooperative initiative on invasive alien species on islands, developed by the Government of the New Zealand, the Invasive Species Specialist Group, and the Global Invasive Species Programme;

Support and participate in the "I3N" (Inter-American Biodiversity Information Network (IABIN) Invasives Information Network) initiative on invasive alien species;

Consider how regional support for biodiversity planning and capacity-building can be enhanced through core financial support by the Implementing Agencies;

Further streamline its project cycle with a view to making project preparation simpler, more transparent and more country-driven;

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;

Further simplify and expedite procedures for approval and implementation, including disbursement, for GEF-funded projects;

Undertake 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;

Treat requests for access to funding for the projects mentioned in 29 (a) and (b) of decision VIII/18 in an expeditious manner;

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;

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Collaborate to strengthen the various capacities of Parties, particularly developing country Parties and countries with economies in transition, to prepare their future national and thematic reports;

Explore ways to expedite and simplify its procedures for allocating funds to the eligible countries to prepare their national reports to fulfil their reporting obligations under the Convention;

Explore and establish easier and expeditious mechanisms for the provision of funds to eligible countries for preparing their future national reports;

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;

Further simplify and expedite the process for accessing the necessary funds for implementation of the island biodiversity programme of work from the Global Environment Facility in the fifth replenishment;

Include expertise relating to communication, education and public awareness when evaluating projects for funding approval and to strengthen its involvement in and support of the national implementation of the Global Initiative on Communication, Education and Public Awareness;

### Review and evaluation

Consult with the Executive Secretary in relevant review processes undertaken by the Global Environment Facility that affect the financial mechanism of the Convention;

Continue to strengthen inter-secretariat cooperation;

Examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation;

Review and revise, as appropriate, its protected areas' policies in relation to indigenous and local communities;

Analyse the progress of Parties, particularly developing country Parties and countries with economies in transition, in implementing the Convention, in relation to those areas identified as a priority by those countries, in order to inter alia assist them in the preparation of their future national reports;

Include 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;

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;

### Reporting

Make available the report from the Council of the Global Environment Facility to the Conference of the Parties three months prior to an ordinary meeting of the Conference of the Parties as well as with updates as appropriate;

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;

Include in its regular report to the Conference of the Parties information on 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;

Improve results-based reporting on the total contribution of the Global Environment Facility to achieving the objectives of the Convention, including the Facility's contribution to incremental-cost financing and leveraging co-financing;

Report on implementation of the four-year framework for programme priorities related to utilization of GEF resources for biodiversity to the tenth meeting of the Conference of the Parties;

Explore ways and means to achieve biodiversity co-benefits and benefits for combating desertification/land degradation in climate-change activities, including through capacity-building, with a view to presenting a specific proposal to the Conference of the Parties at its tenth meeting;

Consider the following guidance, submitted in its entirety in decision IV/5, paragraph 4, of the fourth meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety, noting that subparagraph (f) should be considered in the context of the programme priorities in the annex to decision IX/31 B, and to report back to the Conference of the Parties at its tenth meeting:

(a) Requests the Global Environment Facility Evaluation Office to assess the impact of the Resource Allocation Framework on the implementation of the 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;

(b) Urges the Global Environment Facility to make financial resources available with a view to enable eligible Parties to prepare their national report;

(c) Urges 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;

(d) Invites 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;

(e) Requests 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

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living modified organisms, including the setting up of laboratory facilities and training of local regulatory and scientific personnel;

(f) Requests 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 procedures;
- (ii) Risk assessment and risk management;
- (iii) Implementation of enforcement measures including detection of living modified organisms;
- (iii) Implementation of liability and redress measures.

**V. SYSTEM FOR COMMUNICATING A COHERENT, PRIORITIZED AND CLEAR SET OF PROGRAMME PRIORITIES DURING THE TENTH AND ELEVENTH MEETINGS OF THE CONFERENCE OF THE PARTIES AND LEADING UP TO GEF-6 REPLENISHMENT**

10. The present section has been prepared to assist the third meeting of the Ad Hoc Open-ended Working Group on Review of Implementation, in accordance with paragraph 2 of decision IX/31, C, in proposing a system for communicating a coherent, prioritized and clear set of programme priorities during the tenth and eleventh meetings of the Conference of the Parties and leading up to GEF-6 replenishment negotiation. In this regard, coherent guidance denotes those that are logically ordered or integrated, consistent with each other, and have the quality of working together to contribute to achieving the objectives of the Convention. Prioritization signifies the process of listing projects or goals in order of their importance to be financed. Clear guidance refers to those that are free from obscurity, ambiguity, or undue complexity, and can be quickly and easily understood.

11. In decision IX/31, B, the ninth meeting of the Conference of the Parties adopted the four-year outcome-oriented framework of programme priorities, for consideration during the fifth replenishment of the Global Environment Facility Trust Fund, as related to utilization of Global Environment Facility resources for biodiversity for the period from 2010 to 2014. That decision has advanced a new venue of guidance provision by defining outcomes expected out of utilization of available resources, in addition to the traditional way of defining what activities to be financed with available resources. The two-tiered approach has considerably improved the coherence, prioritization and clearness of programme priorities defined for financial support under the Convention on Biological Diversity, but the direct link between what activities to be financed and resultant outcomes expected was not explicitly defined. No indicators and associated targets, particularly quantitative ones, were identified for either programme priorities or expected outcomes.

12. With the retirement, streamlining and consolidation of previous guidance as discussed in section IV, it is possible to examine explicit linkage between the existing guidance and the outcome-oriented programme priorities for a specific period of time. Such linkage can be well established by developing indicators for generic guidance and setting specific targets for these indicators that will be expected to achieve during a given period of time. In decision IX/31, A, the Conference of the Parties already requested the Council of the Global Environment Facility to report on implementation of the four-year framework for programme priorities related to utilization of GEF resources for biodiversity to the tenth meeting of the Conference of the Parties. Based on the report, the Conference of the Parties may at its tenth meeting endeavour to develop a set of indicators for measuring the progress of implementation of

the guidance to the financial mechanism, and agree on specific targets for each indicator for consideration by the sixth replenishment of the Global Environment Facility Trust Fund.

## VI. CONCLUSIONS

13. WGRI-3 is invited to:

(i) Consider streamlining and consolidating previous guidance to the financial mechanism as discussed in section IV of the present note;

(ii) Consider retiring decisions and elements of decisions identified in sections II and III of the present note, as related to the financial mechanism and only limited to those provisions related to the financial mechanism<sup>2</sup>, after having completed the streamlining and consolidation of the previous guidance referred to above;

(iii) Invite the Global Environment Facility to suggest relevant indicators used in its report on implementation of the four-year framework for programme priorities related to utilization of GEF resources for biodiversity to the tenth meeting of the Conference of the Parties;

(iv) Request the Executive Secretary, in collaboration with the Global Environment Facility, to propose indicators for all programme priorities, based on recommendations of the WGRI-3, for consideration by the tenth meeting of the Conference of the Parties.

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<sup>2</sup> This would mean that all the previous guidance provided by the Conference of the Parties from its nine meetings (COP1-9) will be consolidated into one single set of guidance that will be used by the financial mechanism, and all the previous guidance will be archived on the website of the Convention for historical purposes only.