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**Conference of the Parties****Eighteenth session****Doha, 26 November to 7 December 2012**

Item 11(e) of the provisional agenda

**Matters relating to finance****Report of the Global Environment Facility to the Conference of the Parties  
and guidance to the Global Environment Facility****Report of the Global Environment Facility to the Conference  
of the Parties****Note by the secretariat\***

1. The Conference of the Parties (COP), by decision 12/CP.2, adopted and thereby brought into force a memorandum of understanding (MOU) between the COP and the Council of the Global Environment Facility (GEF). The MOU provides, inter alia, that annual reports of the GEF will be made available to the COP through the secretariat.
2. In response to that provision, the GEF secretariat has submitted the attached report (see the annex) dated 1 July 2012; it is reproduced here as submitted, without formal editing, and with the original pagination.\*\*
3. The MOU also provides that the COP shall, pursuant to Article 11, paragraph 1, of the Convention, decide on policies, programme priorities and eligibility criteria relating to the Convention for the financial mechanism, which shall function under the guidance of and be accountable to the COP.
4. The MOU further stipulates that the COP will, after each of its sessions, communicate to the Council of the GEF any policy guidance approved by the COP concerning the financial mechanism.

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\* This document was received from the Global Environment Facility secretariat on 15 August 2012 and was submitted thereafter.

\*\* The French and Spanish versions of the report are available at  
<[http://thegef.org/gef/reports\\_UNFCCC](http://thegef.org/gef/reports_UNFCCC)>.

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**Annex**

[English only]



**GLOBAL ENVIRONMENT FACILITY**

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July 1, 2012

**REPORT OF THE GLOBAL ENVIRONMENT FACILITY TO THE  
EIGHTEENTH SESSION OF THE CONFERENCE OF THE  
PARTIES TO THE UNITED NATIONS FRAMEWORK  
CONVENTION ON CLIMATE CHANGE**

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## Abbreviations and Acronyms

ADB	Asian Development Bank
AfDB	African Development Bank
AFR	Africa
AIACC	Assessments of Impacts and Adaptations to Climate Change
AMR	Annual Monitoring Report
BRT	Bus Rapid Transit
BUR	Biennial Update Report
CBA	Community-Based Adaptation
CBD	Convention on Biological Diversity
CBO	Community-Based Organization
CCA	Climate Change Adaptation
CCCD	Cross-Cutting Capacity Development
CCD	Convention to Combat Desertification
CCM	Climate Change Mitigation
CEITs	Countries with Economies in Transition
CEO	Chief Executive Officer
CGE	Consultative Group of Experts
CO <sub>2</sub> eq	Carbon Dioxide Equivalent
COP	Conference of the Parties
CPACC	Caribbean Planning for Adaptation to Climate Change
CSO	Civil Society Organization
CSP	Country Support Program
CTCN	Climate Technology Centre and Network
EA	Executing Agency
EAP	East Asia and Pacific
EBRD	European Bank for Reconstruction and Development
ECA	Europe and Central Asia
ECW	Expanded Constituency Workshop
EGTT	Expert Group on Technology Transfer
ESCO	Energy Service Company
EST	Environmentally Sound Technology
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FNC	Fourth National Communication
FSP	Full-Sized Project
FY	Fiscal Year
GCF	Green Climate Fund
GEBs	Global Environmental Benefits
GEF	Global Environment Facility
GEF EO	Global Environment Facility Evaluation Office
GEF SGP	Global Environment Facility Small Grants Programme
GEFTF	Global Environment Facility Trust Fund
GHG	Greenhouse Gas
IA	Implementing Agency
IBRD	International Bank for Reconstruction and Development (World Bank)
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
INC	Initial National Communication
IPCC	Intergovernmental Panel on Climate Change
kt	kiloton (10 <sup>3</sup> tons)
LAC	Latin America and the Caribbean
LEG	Least Developed Countries Expert Group
LDC	Least Developed Country



LDCF	Least Developed Countries Fund
LULUCF	Land Use, Land-Use Change, and Forestry
M&E	Monitoring and Evaluation
MDB	Multilateral Development Bank
MEA	Multilateral Environmental Agreement
MFA	Multi-focal Area
MLF	Multilateral Fund
MNA	Middle East and North Africa
MRV	Measurement, Reporting and Verification
MSP	Medium-Sized Project
Mt	Megaton (10 <sup>6</sup> tons)
MTF	Multi Trust Fund
NAMAs	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NC	National Communication
NCSA	National Capacity Self Assessment
NCSP	National Communications Support Program
NGO	Non-governmental Organization
NPFE	National Portfolio Formulation Exercise
ODP	Ozone Depletion Potential
OFP	Operational Focal Point
OPS	Overall Performance Study
PIF	Project Identification Form
PIR	Project Implementation Report
PMIS	Project Management Information System
PPG	Project Preparation Grant
PPP	Public-Private Partnership
PSC	Project Steering Committee
RAF	Resource Allocation Framework
RBM	Results-Based Management
REDD+	Reducing Emissions from Deforestation and Forest Degradation plus <sup>1</sup>
SA	South Asia
SBI	Subsidiary Body for Implementation
SCCF	Special Climate Change Fund
SCCF-A	Special Climate Change Fund Adaptation Program
SCCF-B	Special Climate Change Fund Program for Technology Transfer
SFM	Sustainable Forest Management
SIDS	Small Island Developing States
SNC	Second National Communication
SPA	Strategic Priority on Adaptation
STAP	Scientific and Technical Advisory Panel
STAR	System for Transparent Allocation of Resources
TAP	Technology Action Plan
TC	Transitional Committee
TEC	Technology Executive Committee
TNA	Technology Needs Assessment
TNC	Third National Communication
UNCCD	United Nations Convention to Combat Desertification
UNCSD	United Nations Conference on Sustainable Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

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<sup>1</sup> The term REDD+ includes carbon benefits not only from reducing deforestation and degradation, but also from the role of conservation, sustainable management of forests and enhancement of forest carbon stocks.

UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forum on Forests
UNIDO	United Nations Industrial Development Organization
V&A	Vulnerability and Adaptation
WB	World Bank

## Executive Summary

1. The Global Environment Facility (GEF), as an operating entity of the financial mechanism of the United Nations Framework Convention on Climate Change (UNFCCC), has provided financing to country-driven projects. This document reports on the activities of the GEF for fiscal year (FY) 2012, from July 1, 2011 to June 30, 2012, in the area of climate change.

### *GEF's Response to Convention Guidance*

2. The GEF has responded to guidance received from the Convention. During the reporting period, Convention guidance included five decisions from the seventeenth session of the Conference of the Parties (COP 17) and several conclusions from the 35th and/or 36th sessions of the Subsidiary Body for Implementation (SBI). In response to this guidance, the GEF continues to place strong emphasis on transparency of the project review process, mitigation, adaptation, finance, technology transfer, National Communications (NCs), capacity building, and all other areas identified in the guidance.
3. On mitigation, the GEF has supported activities based on the Cancun Agreements. For biennial update reports (BURs), for instance, the GEF provided policy guidelines for financing these. For the preparation and/or the implementation of Nationally Appropriate Mitigation Actions (NAMAs), the GEF provides resources through its regular financing of climate change mitigation projects. The GEF also provides financing for mitigation actions across the land base, including forests and non-forests, under the Land Use, Land Use Change, and Forestry (LULUCF) objective, and on forestlands under the Sustainable Forest Management (SFM)/REDD+ Program.
4. As the entity entrusted with the management of the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF), the GEF finances climate change adaptation in vulnerable developing countries. The GEF, through the LDCF, is preparing initial measures in support of the National Adaptation Plan (NAP) process in least developed countries, and is exploring additional support for the implementation of the least developed countries work programme. Moreover, in order to further facilitate access to financing under the LDCF and the SCCF, the GEF has enhanced communications with country stakeholders, clarifying key concepts and relevant procedures. The GEF, through the LDCF and the SCCF, continues to support systematic observation and monitoring networks, with considerable progress made during the reporting period.
5. In response to the COP 17 decision on the Green Climate Fund (GCF), the GEF Secretariat and the UNFCCC Secretariat have jointly taken the necessary steps to establish the interim Secretariat of the GCF. Both Secretariats have collaborated to successfully establish the interim GCF Secretariat.
6. For technology transfer, the GEF has supported projects and programs in both mitigation and adaptation based on the Poznan Strategic Program on Technology Transfer as well as its Long-Term elements. As for the operationalization and activities of the Climate Technology Centre and Network (CTCN), three regional technology centre and network projects were approved by the GEF Council in the reporting period. Another pilot project in Asia and the Pacific was approved by the GEF Council in May 2011. These four regional projects will enable integrated and innovative technology transfer support for mitigation and adaptation in Asia and the Pacific; Africa; Latin America and the Caribbean; and Europe and Central Asia.
7. All Parties have NC obligations under the UNFCCC. The GEF continues to work with its Agencies to improve the effectiveness and efficiency of the process to help countries access resources to meet their obligations for non-Annex I Parties. Resources for NCs are also available through direct access from the GEF Secretariat. Information on GEF's activities relating to the preparation of NCs is provided in a timely manner. The GEF has also provided significant capacity building support to countries, both through a capacity component in regular projects and through more targeted interventions.

### *Achievements of the GEF*

8. On climate change mitigation, to date the GEF has supported 569 projects with \$3.6 billion<sup>2</sup> in funding to 156 developing countries and economies in transition, attracting co-financing of \$23.7 billion. Most of the projects were funded from the GEF Trust Fund. During the reporting period, the GEF allocated \$546.6 million to 67 projects in the climate change mitigation focal area. This GEF investment leveraged an additional \$3.9 billion in outside funding, resulting in a co-financing ratio of 1 (GEF) to 7.1 (co-financing). The 67 mitigation projects are expected to mitigate over 1000 Mt CO<sub>2</sub> eq directly and indirectly over their lifetime, satisfying the GEF-5 cumulative greenhouse gas (GHG) mitigation target of 500 Mt CO<sub>2</sub> eq.
9. For adaptation, the GEF, through the LDCF and the SCCF Adaptation Program (SCCF-A), had mobilized \$317.3 million and \$162.2 million respectively for 76 and 41 projects as of June 30, 2012. Through the LDCF, the GEF has also financed the preparation of 48 National Adaptation Programmes of Action (NAPAs) with grants amounting to \$11.4 million. During the reporting period, LDCF resources amounting to \$142.0 million were approved for 27 projects, mobilizing \$650.4 million in co-financing. This represents an increase of 81 per cent in grant approvals compared to the last reporting period. Through SCCF-A, the GEF provided \$37.4 million for nine projects and two programs. An independent evaluation of the SCCF, which was completed in FY 2012, concludes, *inter alia*, that the adaptation projects financed under SCCF-A are relevant to COP guidance as well as to the national sustainable development agendas of beneficiary countries; and that the management costs of the SCCF are the lowest of comparable funds.
10. As described in paragraph 6, above, this reporting period saw the continued implementation of the Poznan Strategic Program on Technology Transfer. As for technology transfer pilot projects, eight projects have been endorsed by the GEF Chief Executive Officer (CEO) and are progressing through project implementation. With regard to Technology Needs Assessments (TNAs), 36 countries are participating in the TNA project supported by the Poznan Strategic Program, with 12 countries having submitted draft TNA reports to the UNFCCC Secretariat.
11. Since its inception, the GEF Trust Fund has financed 252 projects on enabling activities with \$283.7 million. In particular, the GEF continues to provide full-cost funding for NCs, while all requests to support NCs have been met by the GEF. In this reporting period, 28 non-Annex I Parties have submitted NCs to the UNFCCC. Capacity building is embedded in the design of both mitigation and adaptation projects. Sixty-four mitigation projects approved in FY 2012 have included capacity building as specific activity components, while distinct components on capacity building are found in all LDCF projects approved.
12. Under the GEF's Results-Based Management (RBM) System, 164 climate change projects were rated on their performance towards meeting the project's overall global environment/development objective and implementation progress. Eighty-eight per cent of the projects were rated marginally satisfactory or above in the likelihood of their achieving project development objectives. On progress towards implementation, 84 per cent were ranked marginally satisfactory or above. Both ratings met the target set by the GEF Council of at least 75 per cent qualifying as marginally satisfactory or above.

### *GEF Initiatives During the Reporting Period*

13. The GEF's key reforms to enhance country ownership include the provision of resources through direct access for countries to undertake National Portfolio Formulation Exercises (NPFs) on a voluntary basis. To date, 32 countries have undertaken NPFs with support from the GEF, while 10 countries carried out NPFs or similar programming exercises without requesting financial support. A pilot to accredit new institutions to serve as GEF project implementing partners is under implementation. The GEF Council in June 2012 approved 11 agencies to progress to the second step of the accreditation process. The Public Private Partnership (PPP) Programs are under implementation. During the reporting period, two regional PPP Programs were approved by the GEF Council.
14. Multi-focal area (MFA) and multi-Trust Fund projects and programs achieve greater global environmental benefits

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<sup>2</sup> All dollar amounts are in U.S. dollars.

in a more integrated manner. The SFM/REDD+ Program is a key element of many MFA projects, developing a range of environmental benefits in addition to GHG mitigation benefits. Moreover, GEF's support to phase out ozone-depleting substances under the Montreal Protocol has resulted in significant GHG mitigation benefits.

15. During Rio+20, the GEF shared the lessons it had learned over the past two decades. GEF-led activities include the launching of the book titled *From Rio to Rio: A 20-Year Journey to Green the World's Economies*, which describes the principal lessons learned through accounts from 20 projects that illustrate the GEF's mission to benefit the global environment by collaborating with a variety of stakeholders. In addition, the GEF issued a 12-point commitment at Rio+20 aimed at consolidating reforms and streamlining processes to enable countries to better access financial resources.

## Introduction

16. The Global Environment Facility (GEF) prepared this report for the eighteenth session of the Conference of the Parties (COP 18) to the United Nations Framework Convention on Climate Change (UNFCCC).
17. The report consists of three parts and seven annexes.
18. Part I summarizes Convention guidance to the GEF and the GEF response to COP 17 decisions and conclusions of the Subsidiary Body for Implementation (SBI) 35 and 36.
19. Part II describes project activities funded by the GEF since its establishment in 1991 to date, including the activities approved and conducted by the GEF during the reporting period, fiscal year (FY) 2012, from July 1, 2011 to June 30, 2012. These include climate change mitigation, climate change adaptation, technology transfer, enabling activities and capacity building funded from the GEF Trust Fund, the Least Developed Countries Fund (LDCF), and the Special Climate Change Fund (SCCF).
20. Part III of the report provides initiatives that the GEF conducted during the reporting period to deliver global environmental benefits (GEBs)<sup>3</sup> in the field of climate change.
21. The seven annexes to the report cover: (i) list of FY 2012 projects and programs under the GEF Trust Fund; (ii) list of FY 2012 projects and programs under the LDCF and the SCCF; (iii) summaries of FY 2012 projects and programs under the GEF Trust Fund; (iv) summaries of FY 2012 projects and programs under the LDCF and the SCCF; (v) the implementation of the Poznan Strategic Program on Technology Transfer; (vi) the status of National Communications (NCs) from parties not included in Annex I of the convention; and (vii) the status report on the LDCF and the SCCF.

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<sup>3</sup> Definitions of GEBs in GEF investments are available at <http://www.thegef.org/gef/GEB>.

## Part I: GEF's Response to Convention Guidance

### 1. Introduction

22. The GEF is an operating entity of the financial mechanism of the UNFCCC. Since the start of the Convention, guidance to the GEF has been provided within the context of the overall guidance to the financial mechanism. Since the GEF's inception, the number of articles of COP decisions that provide guidance to the GEF, including to the LDCF and the SCCF, totals 185. The COP, at its seventeenth session, provided guidance to the GEF with 14 articles.
23. The GEF has continued to be responsive to COP guidance by incorporating it into its climate change mitigation and adaptation strategies, by approving projects and programs, and by adapting its policies and procedures.
24. The GEF has also increased its efforts at the country level to promote consultations among the GEF Secretariat and the UNFCCC focal points. Many of the focal points are part of GEF national committees and of the decision-making process of prioritization exercises. Further, the GEF has communicated with the UNFCCC focal points through the GEF Familiarization Seminar (Washington DC, January 2012), where the GEF was introduced to newcomers to the GEF partnership, and through the 13 Expanded Constituency Workshops (ECWs)<sup>4</sup> which covered 137 countries.

#### *Enhancing Communication with the UNFCCC Secretariat*

25. The GEF has enhanced its communication with the UNFCCC Secretariat in its effort to be responsive to Convention guidance. The GEF continues to emphasize enhanced collaboration with the UNFCCC Secretariat. Examples include the following:
  - (a) The GEF Secretariat staff members participate on a regular basis in meetings and events organized by the UNFCCC, including the UN Climate Change Conferences and the COP. During this reporting period, the GEF delegation participated in the Panama Climate Change Conference (October 2011), COP 17 (November-December 2011), and the UN Climate Change Conference in Bonn, Germany (May 2012).
  - (b) The GEF Secretariat supported the Rio Convention Pavilion with the Secretariats of the UNFCCC, the United Nations Convention on Biodiversity (CBD) and the United Nations Convention to Combat Desertification (UNCCD) at COP 17 and at the United Nations Conference on Sustainable Development (Rio+20).
  - (c) The GEF Secretariat and the UNFCCC Secretariat held a joint retreat on 22 and 23 March 2012 by video conference to discuss themes of mutual interest, including: strategic cooperation between the two institutions, financial mechanism issues, mitigation, adaptation, technology transfer, National Communications, and capacity development. The GEF CEO and the UNFCCC Executive Secretary took part, agreeing to further enhance cooperation and communication. A summary of the retreat is available on the GEF website at: [http://www.thegef.org/gef/climate\\_change](http://www.thegef.org/gef/climate_change).
  - (d) The GEF Secretariat participated as an observer organization in the first, second and third Technology Executive Committee (TEC) meetings held in Bonn, Germany (September 2011; February 2012; and May 2012).

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<sup>4</sup> In the reporting period, the GEF held the ECWs in: (1) Dakar, Senegal (July 2011); (2) Monrovia, Liberia (July 2011); (3) Honiara, Solomon Islands (September 2011); (4) Tashkent, Uzbekistan (October 2011); (5) Nairobi, Kenya (October 2011); (6) Cape Town, South Africa (November, 2011); (7) Bujumbura, Burundi (February 2012); (8) Dead Sea, Jordan (February 2012); (9) San Jose, Costa Rica (March 2012); (10) Tirana, Albania (March 2012); (11) Ouagadougou, Burkina Faso (April 2012); (12) Antigua and Barbuda (May 2012); and (13) Lima, Peru (May 2012).

- (e) The GEF Secretariat participated in the 21st Meeting of the Least Developed Countries Expert Group (LEG) in Thimphu, Bhutan, in March 2012.
  - (f) The GEF Secretariat has actively collaborated with the UNFCCC Secretariat to develop a finance portal presenting information on the funding flows via the GEF in order to assist the intergovernmental process. The financial portal is available on the UNFCCC website: <http://unfccc.int/pls/apex/f?p=116:1:257226337886478>.
  - (g) The GEF Secretariat participated in the UNFCCC expert meeting on “Forest reference emission levels and forest reference levels for implementation of REDD-plus activities” in Bonn, Germany, in November 2011.
  - (h) The GEF Secretariat participated in: (i) the Durban Forum on Capacity-Building in Bonn, Germany in May 2012; and (ii) the workshop on the implementation of Article 6 of the Convention in least developed countries in Bonn, Germany in June 2012.
  - (i) The UNFCCC Secretariat, on its own behalf, provided developments of interest to the GEF during the GEF Council in November 2011 and June 2012.
26. Furthermore, the GEF seconded a senior staff to the Green Climate Fund (GCF) Transitional Committee Technical Support Unit located in the UNFCCC Secretariat. The GEF also participated in the GCF Transitional Committee meetings held in Japan, Switzerland and South Africa.

## 2. COP 17 Guidance and SBI 35/36 Conclusions

27. The COP, at its seventeenth session, provided guidance to the GEF in decisions 2, 3, and 11; and specific guidance to the GEF on the LDCF and SCCF in decisions 5 and 9. The SBI 35 and 36 conclusions are also relevant guidance for the GEF. This section describes the GEF’s response to the COP 17 guidance and SBI 35/36 conclusions.

### a. Transparency of Project Review Process

#### *COP 17 guidance*

28. UNFCCC COP decision 11/CP.17, paragraph 1(b), requests the GEF to continue to enhance the transparency of the project review process throughout the project cycle.

#### *GEF’s response*

29. The GEF has continued to enhance the transparency of the project review process throughout the project cycle.<sup>5</sup> For GEF projects and programs, the GEF-5 project cycle paper<sup>6</sup> articulates review criteria<sup>7</sup> which include: (a) country eligibility and ownership; (b) Agency’s comparative advantage; (c) resource availability; (d) project consistency; (e) project design; (f) project financing; (g) project monitoring and evaluation; and (h) Agency’s responses to comments and reviews.
30. As part of GEF’s effort to enhance the transparency of the project review process, the GEF Secretariat has implemented the “One Review Policy” described in the GEF-5 project cycle paper. The One Review Policy requires the Secretariat program managers to provide comprehensive and succinct comments when sending a review sheet to the Agencies the first time, and to avoid bringing up new questions subsequently, thus minimizing the need to go back and forth on questions and clarifications between the GEF Secretariat and the Agencies.

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<sup>5</sup> For the GEF project cycle, see Part II, Section 1.

<sup>6</sup> GEF Council document GEF/C.39/Inf.3 (October 2010).

<sup>7</sup> These criteria are the same as those used in GEF-4 Project Cycle but in GEF-5, additional emphasis has been attached to project/program design and consistency, and the comparative advantage of the GEF Agencies.



31. In addition to the above, starting with the GEF-5 project cycle, all review sheets are posted on the GEF website<sup>8</sup> next to the project document for all projects included in the work program. This provides access to those who are interested to find out the review and comments on each project.

## **b. Climate Change Mitigation**

### **b.1. Biennial Update Reports (BURs)**

#### *COP 17 guidance*

32. UNFCCC COP decision 2/CP.17, paragraph 44, urges and requests the GEF to make available support to non-Annex I Parties preparing their first biennial update reports as early as possible in 2012 and on the basis of agreed full-cost funding.

#### *SBI 36 conclusions*

33. Under SBI 36 agenda item 4, *National communications from Parties not included in Annex I to the Convention (d) Provision of financial and technical support* (FCCC/SBI/2012/15), the SBI
- (a) reiterated the request to the GEF made by the COP in its decision 2/CP.17, paragraph 44, to make available support to non-Annex I Parties preparing their BURs as early as possible in 2012 and on the basis of agreed full-cost funding (paragraph 55);
  - (b) invited the GEF to provide, in its report to COP 18, detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of request and approval of funding, as well as disbursement of funds (paragraph 57); and
  - (c) invited the GEF to report on providing funds for technical support for the preparation of BURs from non-Annex I Parties, similar to that provided by the National Communications Support Programme, in its report to COP 19 (paragraph 60).

#### *GEF's response*

34. The GEF finances biennial update reports (BURs), through the regular avenue of financing National Communications. The GEF has prepared policy guidelines for the financing of BURs for non-Annex I Parties, which were distributed to all Parties in early 2012. The policy guidelines provides that, for the BURs, non-Annex I Parties can access up to \$352,000 through a GEF Agency or by direct access. If \$352,000 for the BURs is not sufficient for a country, then the System for Transparent Allocation of Resources (STAR)<sup>9</sup> allocation can be used.
35. During the reporting period, the GEF Council approved two enabling activity projects that include preparation of BURs. In the two projects, "*India: Preparation of Third National Communication (3NC) to the UNFCCC and Strengthening Institutional and Analytical Capacities on Climate Change*" and "*Indonesia: Third National Communication to the UNFCCC*," BURs will be financed as a component of NC projects. Summaries of the two projects are presented in Annex 3, Section 4. The GEF will submit an addendum to this report, which provides detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of request and approval of funding, as well as disbursement of funds, as this information becomes available.

### **b.2. Registry**

#### *COP 17 guidance*

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<sup>8</sup> <[http://www.thegef.org/gef/work\\_programs](http://www.thegef.org/gef/work_programs)>.

<sup>9</sup> On the STAR, see paragraph 110 in this document.

36. UNFCCC COP decision 2/CP.17, paragraph 48, invites developed country Parties, the entity or entities entrusted with the operation of the financial mechanism, including the GEF and the Green Climate Fund, multilateral, bilateral and other public donors, and private and nongovernmental organizations that are in position to do so, to submit to the secretariat, as appropriate, the following information on financial, technology and capacity-building support available and/or provided for the preparation and/or implementation of nationally appropriate mitigation actions:
- (a) Whether the support available is for the preparation and/or implementation of nationally appropriate mitigation actions;
  - (b) The source of the support, including, where applicable, the name of the developed country Parties in question and the executing entity channeling the support, including contact information;
  - (c) The amount and type of support available, and whether it is financial (e.g. grant or facilitated loan), technology and/or capacity-building support;
  - (d) The status of delivery;
  - (e) The types of action that may be supported and the process for the provision of support.
37. UNFCCC COP decision 2/CP.17, paragraph 49, invites Parties and entities, including the GEF, to provide the secretariat, subsequent to the matching of action with support, information on both internationally supported mitigation actions and associated support.

*GEF's response*

38. The GEF, through its regular financing of climate change mitigation projects, can provide resources for the preparation and/or implementation of nationally appropriate mitigation actions (NAMAs). Countries can access resources through their STAR Allocation for NAMAs. For example, the GEF Council in June 2012 approved a project which explicitly focuses on NAMAs, titled "*Peru-Nationally Appropriate Mitigation Actions in the Energy Generation and End-Use Sectors*." This project will support the Government of Peru in the development and implementation of NAMAs in the energy sector to achieve the country's voluntary GHG emissions reduction target. A summary of the project is provided in Annex 3, Section 1.
39. As to providing information on financial, technology and capacity-building support available and/or provided for the preparation and/or implementation of NAMAs, the GEF Secretariat has held consultations with the UNFCCC Secretariat about how the GEF can provide such information in line with development of the NAMA Registry prototype.

**b.3. REDD+**

*COP 17 guidance*

40. UNFCCC COP decision 2/CP.17, paragraph 68, encourages the operating entities of the financial mechanism of the Convention to provide results-based finance for the actions referred to in decision 1/CP.16, paragraph 73. Decision 1/CP.16, paragraph 73, refers to mitigation actions in the forest sector contributed by undertaking the following activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; enhancement of forest carbon stocks.

*GEF's response*

41. In GEF-5, the GEF is providing financing for these mitigation actions in the forest sector under climate change mitigation's Land Use, Land Use Change, and Forestry (LULUCF) objective and under the cross-focal area (that is,

addressing multiple Convention needs) Sustainable Forest Management (SFM)/REDD+ Program, including supporting activities that will develop national systems to measure and monitor carbon stocks and change from forest and non-forest lands, strengthen related policies and institutions, undertake good management practices, and establish financing mechanisms and investment programs. LULUCF also includes non-forest lands which allows for lands to be converted to forest land and also for good practices to be applied to non-forest lands for GHG benefits. The specific objectives for SFM/REDD+ Program are to reduce pressures on forest resources and generate sustainable flows of forest ecosystem services, and strengthen the enabling environment to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from LULUCF activities.

42. Rigorous monitoring and/or measuring systems are key for results-based finance for mitigation in the forest sector. Support for national monitoring systems and for sub-national or local-based monitoring will be emphasized in these types of projects.

### **c. Climate Change Adaptation**

#### **c.1. National Adaptation Plans (NAPs)**

##### *COP 17 guidance*

43. UNFCCC COP decision 5/CP.17, paragraph 22, requests the GEF, “as an operating entity of the financial mechanism, through the Least Developed Countries Fund, to consider how to enable activities for the preparation of the national adaptation plan process for least developed countries Parties, while maintaining progress for the least developed countries work programme, which includes the national adaptation programmes of action.”
44. In COP decision 5/CP.17, paragraph 25, the COP invites the GEF, “as an operating entity of the financial mechanism for the operation of the LDCF, to submit information to the [SBI], through the secretariat, by 13 February 2012, on how they could enable activities undertaken as part of the national adaptation plan process in least developed country Parties, for compilation by the secretariat into a miscellaneous document for consideration by SBI 36.”
45. In COP decision 5/CP.17, paragraph 31, the COP further invites “the operating entities of the financial mechanism of the Convention, bilateral and multilateral organizations and other institutions as appropriate, to provide financial and technical support to developing country Parties to plan, prioritize and implement their national adaptation planning measures, consistent with decision 1/CP.16 and relevant provisions of the Convention.”

##### *SBI 36 conclusions*

46. Under SBI 36 agenda item 8 (a) and (b), *National adaptation plans* (FCCC/SBI/2012/15), the SBI welcomed the submission by the GEF and “reiterated the urging of developed country Parties by the COP to mobilize financial support for the NAP process for LDC Parties through bilateral and multilateral channels, including through the Least Developed Countries Fund (LDCF), in accordance with decision 1/CP.16 and 5/CP.17.” (paragraphs 130 to 133)
47. In the same conclusions, the SBI also “reaffirmed the invitation by the COP to the operating entities of the financial mechanism of the Convention, bilateral and multilateral organizations and other institutions, as appropriate, to provide financial and technical support to developing country Parties to plan, prioritize and implement their national adaptation planning measures, consistent with decision 1/CP.16 and relevant provisions of the Convention.” (paragraph 143)

##### *GEF's response*

48. The GEF submitted, on February 13, 2012, information on NAPs for consideration by SBI 36. The submission<sup>10</sup>

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<sup>10</sup> FCCC/SBI/2012/MISC. Available at <<http://unfccc.int/resource/docs/2012/sbi/eng/misc03.pdf>>.

notes that the GEF and its Agencies have the experience and the operational modalities required to support the NAP process in LDCs through the LDCF.

49. The GEF welcomes further guidance from the COP to clarify whether enabling activities in support of NAPs are to be adopted in the LDC work programme and whether such activities are to be prioritized for financing under the LDCF. Moreover, the GEF notes that additional, designated contributions to the LDCF would be necessary to allow the GEF to support the NAP process in LDCs in addition to NAPA implementation.
50. As a first step, the GEF, in collaboration with its Agencies, the Least Developed Countries Expert Group (LEG), the UNFCCC Secretariat, and, once operational, the Adaptation Committee, will launch a support program that corresponds to the foundational elements of the NAP process, defined as “laying the groundwork and addressing gaps” in the initial guidelines for the formulation of NAPs by LDC Parties, annexed to Decision 5/CP.17. In particular, this program will strengthen the capacities of key stakeholders in LDCs to effectively carry out subsequent stages of the NAP process.
51. The GEF notes the invitation by the COP and the SBI to support the NAP process in developing countries that are not LDCs. As the entity entrusted with the management of the SCCF, the GEF holds a mandate to finance adaptation measures in all developing country parties to the UNFCCC. Through projects and programs financed under the SCCF, the GEF has also gained relevant experience of adaptation planning and implementation in non-LDCs. Yet, additional contributions to the SCCF would be necessary to allow the GEF to support the NAP process in non-LDCs.
52. The GEF stands ready to address further guidance on NAPs by COP 18 in collaboration with its Agencies, LEG, the Adaptation Committee, and the UNFCCC Secretariat.

## **c.2. Least Developed Countries Fund**

### *COP 17 guidance*

53. UNFCCC COP decision 9/CP.17, paragraph 1, requests the GEF, “as an operating entity of the financial mechanism of the Convention entrusted with managing the LDCF:
  - (a) To continue to provide information to the LDCs to further clarify project baselines and the application for accessing funding from the LDCF in order to develop and implement projects under NAPAs to address the effects of climate change;
  - (b) To support the development of a programmatic approach for the implementation of NAPAs by those LDC Parties that wish to do so;
  - (c) To further explore opportunities to streamline the LDCF project cycle, particularly during the project preparation stage;
  - (d) To further improve the provision of information to LDCs on the project development process for projects being considered under the LDCF.”
54. In COP decision 9/CP.17, paragraph 2, the COP “requests the LEG to provide further specification for each of the elements of the LDC work programme other than the NAPAs, in consultation with the GEF and report to SBI 36, with a view to informing the COP on guidance to be provided to the GEF on support for the implementation of the elements of the LDC work programme other than the NAPAs.”

### *SBI 36 conclusions*

55. Under SBI 36 agenda item 6, *Matters relating to finance (b) Other matters* (FCCC/SBI/2012/15, paragraphs 96 to 109), the SBI:

- (a) welcomed the report of the twenty-first meeting of the LEG;
- (b) in particular, noted that the further specification of the elements of the LDC work programme other than NAPAs provided in the report could be useful to the implementation of the LDC work programme;
- (c) noted with appreciation the ongoing efforts of the LEG as well as of bilateral and other agencies to facilitate the implementation of the remaining elements of the LDC work programme other than the NAPAs. The SBI further noted with appreciation the efforts of the GEF, in parallel to supporting the ongoing implementation of the NAPAs, to facilitate the implementation of the remaining elements of the LDC work programme as mandated by decision 5/CP.14;
- (d) recognized that the LDCF was established to support the LDC work programme, in accordance with decision 5/CP.7, paragraph 12, and that implementation of the remaining elements of the LDC work programme are to be supported, in parallel to the ongoing implementation of the NAPAs in accordance with decision 5/CP.14;
- (e) recognized that the LDCF plays an important role in supporting the implementation of the LDC work programme, particularly through the implementation of NAPAs;
- (f) noted with appreciation the increased resources provided by Parties to the LDCF and the consequent increase to the LDCF ceiling. However, further support continues to be required to formulate and implement the elements of the LDC work programme other than the NAPAs;
- (g) further encouraged donor countries to continue providing funding for country-driven activities. The SBI invited the GEF to continue raising awareness on the need for adequate and predictable resources under the LDCF to allow the full implementation of the LDC work programme, in particular NAPAs, as mandated by decision 5/CP.14, paragraph 8;
- (h) noted that existing modalities for implementing NAPA priorities are partially addressing the other elements of the LDC work programme, including through, inter alia, capacity-building and coordination at different levels of government and across sectors, as well as communication and outreach programmes, the development and introduction of adaptation technologies and the improved provision of hydrometeorological services;
- (i) encouraged the LDCF to support technology elements of the LDC work programme, as appropriate to the priorities of the LDC Parties, including through the support of NAPAs. The SBI further encouraged the LEG to identify synergies with the future work of the Climate Technology Centre and Network;
- (j) encouraged LDC Parties to consider the options highlighted in the report of the LEG, which identify various ways to further address the other elements of the LDC work programme, according to their specific needs and circumstances. The SBI further encouraged LDC Parties to submit proposals, including from elements of NAPAs, to the LDCF and to relevant bilateral, multilateral and international organizations that address the elements of the LDC work programme that are of highest priority to the LDC Parties;
- (k) looked forward to the remaining work of the LEG in its 2012–2013 work programme to support the remaining elements of the LDC work programme, and invited the GEF, UN agencies and other international organizations to make submissions on how they can further support the implementation of the remaining elements of the LDC work programme other than NAPAs, for consideration by SBI 37 with a view to making a recommendation to COP 18;
- (l) took note of the information submitted by the GEF on the activities relating to decision 7/CP.7, paragraph 2 (a–d). The SBI also noted that funding continues to be required to implement activities outlined in decision 7/CP.7, including paragraph 2 (c–d). The SBI further noted that activities outlined in decision 7/CP.7, paragraph 2 (a–b), were selected as the priority areas for the Special Climate Change Fund (SCCF) in accordance with decision 5/CP.9;

(m) encouraged donor countries to continue providing funding to the SCCF and invited the GEF to raise awareness on the need for adequate and predictable resources under the SCCF for country-driven activities; and

(n) further invited the GEF to report on the issues mentioned in the above to the COP.

56. Under SBI 36 agenda item 7 (b), *Matters relating to the least developed countries* (FCCC/SBI/2012/15, paragraph 126), the SBI also provided guidance to the GEF, inviting the GEF, “in its capacity as the entity entrusted with the operation of the LDC Fund, relevant organizations, agencies and regional centres, to support the organization, under the guidance of the LEG, of the regional training workshops mentioned in the LEG work programme for 2012–2013” (paragraph 9).

#### *GEF's response*

57. The GEF has continued to reach out to LDC parties with a view to enhancing communications and facilitating access to resources under the LDCF. The GEF Familiarization Seminar, as well as several Expanded Constituency Workshops (ECWs) organized between November 2011 and May 2012, have offered important opportunities for LDC representatives in this regard (see also paragraphs 24 and 149 in this document). With respect to Decision 9/CP.17, paragraph 1(d), please refer also to paragraphs 29 to 31 in this document.
58. In an information document prepared for the LDCF/SCCF Council in June 2012, the GEF clarifies the concepts of baseline projects, co-financing and additional cost, as applied in the context of projects and programs financed under the LDCF, as well as adaptation projects financed under the SCCF.<sup>11</sup> The document will be referenced in upcoming ECWs and Familiarization Seminars, as well as in communications with national focal points and GEF Agencies.
59. The GEF has invited LDCs, in collaboration with GEF Agencies, to propose programmatic approaches for NAPA implementation and it will continue to share information about the relevant modalities, processes and procedures. To date, one programmatic approach has been approved by the LDCF/SCCF Council, requesting resources from the LDCF, as well as the SCCF and the GEF Trust Fund; namely, the *Sahel and West Africa Program in Support of the Great Green Wall Initiative*. The program, implemented by the World Bank, mobilizes \$16 million from the LDCF in support of NAPA implementation activities in Chad, Ethiopia, Mali and Togo.
60. The GEF welcomes the request to further explore opportunities to streamline the LDCF project cycle. The GEF Secretariat is in the process of reviewing the programming principles of the LDCF, with the intention of updating these for the LDCF/SCCF Council in November 2012. The initiative coincides with a broader effort to streamline the project cycle, as well as the processes and procedures for accessing resources under the GEF, which was initiated by decision of the GEF Council in June 2012.<sup>12</sup>
61. The GEF Secretariat participated in the 21st LEG meeting in Thimphu, Bhutan in March 2012. The GEF welcomes the report of the meeting and, in particular, the efforts made by LEG to analyze and specify each of the remaining elements of the LDC work programme. Several follow-up actions are being prepared in support of the implementation of these remaining elements, consistent with LEG's review.
62. With respect to “strengthening the capacity of meteorological and hydrological services to collect, analyze, interpret and disseminate weather and climate information to support implementation of NAPAs”, as provided in decision 5/CP.7, paragraph 14 (c), and specified in the LEG report, the GEF, through the LDCF, has made considerable

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<sup>11</sup> LDCF/SCCF Council document GEF/LDCF.SCCF.12/Inf.04 (May 2012). Available at <<http://www.thegef.org/gef/sites/thegef.org/files/documents/Clarification%20on%20Additional%20Cost%208%20May.pdf>>.

<sup>12</sup> The GEF Council in June 2012 requested a working group, comprised of Council Members, Agencies, and the Secretariat, to propose at the November 2012 meeting, detailed streamlining measures in the project cycle.



progress in meeting LDC needs.<sup>13</sup> In June 2012, the GEF approved nine full-sized projects in nine LDCs in sub-Saharan Africa, requesting some \$41 million under the LDCF, aiming to support climate-resilient development and adaptation by strengthening weather and climate monitoring, data collection and early-warning systems. The projects address the countries' urgent needs pertaining to hydro-meteorological services and early-warning systems, as identified in their NAPAs, while providing essential information and decision-support services to enable sustainable and resilient planning and investment in key sectors of their economies. The nine projects build on and complement previous initiatives financed under the LDCF, as well as those carried out by other multilateral, bilateral, and national institutions. In addition, projects financed under the LDCF continue to include components that contribute towards strengthening the capacity of hydro-meteorological services.

63. The GEF, through the LDCF, continues to support technology transfer through projects and programs for the implementation of NAPAs. The GEF Secretariat estimates that most projects financed under the LDCF contribute towards the transfer of technologies, including the technologies prioritized in the LEG report.<sup>14</sup> With regard to the assessment of technology needs, the GEF, through the LDCF, has supported the preparation of NAPAs in 48 LDCs, thus allowing countries to identify their urgent and immediate adaptation needs, including their needs for the transfer of adaptation technologies. Moreover, during its first two phases, the Technology Needs Assessment (TNA) Project, financed under the SCCF Program for Technology Transfer (SCCF-B), supports the development of TNAs in 10 LDCs in Africa and Asia. The GEF looks forward to LEG's assessment of potential synergies between projects and programs financed under the LDCF and the Climate Technology Centre and Network (CTCN).
64. On public awareness, capacity building for negotiators, and strengthening existing and, where needed, establishing national climate change secretariats and/or focal points, the GEF Secretariat welcomes the ideas put forward by LEG. Projects and programs financed under the LDCF systematically contribute towards public awareness and communication on matters pertaining to climate change, in accordance with country priorities. Similarly, LDCF projects have supported the establishment and development of mechanisms to oversee and promote regulatory support for climate change adaptation. A capacity building program in support of these other elements of the LDC work programme, similar to the efforts proposed to launch the NAP process, is under consideration.
65. The GEF welcomes further guidance by COP 18, based on the work carried out by LEG, on the implementation of the remaining elements of the LDC work programme.
66. The GEF stands ready to support the organization of the regional training workshops, proposed by LEG in its work program for 2012–2013, in collaboration with other relevant agencies and regional centers, should the UNFCCC Secretariat find that other bilateral and multilateral sources of financing are not available.

### **c.3. Additional Costs of Adaptation Projects**

#### *COP 17 guidance*

67. UNFCCC COP decision 11/CP.17, paragraph 1(c), requests the GEF, as an operating entity of the financial mechanism of the Convention, to clarify the concept of additional costs as applied to different types of adaptation projects under the LDCF and the SCCF which seek to respond to climate change risks.

#### *GEF's response*

68. Please refer to paragraph 58 in this document.

### **c.4. Systematic Observation and Monitoring Networks**

#### *COP 17 guidance*

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<sup>13</sup> FCCC/SBI/2012/7, paragraphs 41–42.

<sup>14</sup> FCCC/SBI/2012/7, paragraph 39.

69. UNFCCC COP decision 11/CP.17, paragraph 1(d), requests the GEF, as an operating entity of the financial mechanism of the Convention, to continue to provide financial resources to developing countries for strengthening existing and, where needed, establishing national and regional systematic observation and monitoring networks under the LDCF and the SCCF.

*GEF's response*

70. The GEF continues to provide support for systematic observation and monitoring networks in the context of projects and programs financed under the LDCF and the SCCF. For further details, please refer to paragraph 62 above.

**d. Green Climate Fund (GCF)**

*COP 17 guidance*

71. UNFCCC COP decision 3/CP.17, paragraph 18, recognizes the need to facilitate the immediate functioning of the Green Climate Fund and ensure its independence, requests the UNFCCC secretariat jointly with the GEF secretariat to take the necessary administrative steps to set up the interim secretariat of the Green Climate Fund as an autonomous unit within the UNFCCC secretariat premises without undue delay after the COP 17 so that the interim secretariat can provide technical, administrative and logistical support to the Board until the independent secretariat of the Green Climate Fund is established.

*GEF's response*

72. Responding to the COP guidance, the UNFCCC Secretariat and the GEF Secretariat have taken the necessary administrative steps to set up the Interim Secretariat of the GCF as an autonomous unit within the UNFCCC Secretariat premises. The Interim Secretariat is to provide technical, administrative and logistical support to the GCF Board until the independent Secretariat of the GCF is established. In order to move quickly in establishing the Interim Secretariat, the Secretariats of the UNFCCC and the GEF assigned staff either full-time or part-time to work in the Interim Secretariat. Arrangements have also been made to use additional support of UNFCCC staff in Bonn for administrative, logistical and information technology (IT) support.
73. Since the COP 17 decision requested the Interim Secretariat to make arrangements for convening the first meeting of the GCF Board, there was some urgency in setting up the Interim Secretariat. At the same time, COP decision 3/CP.17 foresees the GCF Board appointing the Head of the Interim Secretariat. Hence it must be underlined that all arrangements made during the reporting period (from July 1, 2011 to June 30, 2012) are provisional in order to allow the GCF Board to exercise its authority over the Interim Secretariat and for the Head, once appointed, to select staff and lead the work of the team.
74. Financial support for the start-up phase of the GCF is essential. As per COP decision 3/CP.17, Parties are invited to make financial contributions for the start-up of the GCF, including to cover the administrative costs of the GCF Board and its Interim Secretariat. The arrangement for the Interim Secretariat has been communicated through an information note to Parties, together with an indicative administrative budget for the first phase of the work of the GCF. It was emphasized that the budgets presented in the information note sent to Parties are preliminary and subject to change as the GCF Board takes up its work and defines the direction and scope.
75. The designated Interim Trustee of the GCF, the World Bank, has now formally accepted the invitation by the COP. The Interim Trustee has established a Financial Intermediary Fund for the GCF and now stands ready to receive contributions from Parties for the start-up costs in this new GCF trust fund.
76. Many Parties have indicated their willingness to contribute and some are already in the process of making administrative arrangements for providing the funding. For the first months of the year 2012, it has been possible to finance operations from funds remaining from those provided to the UNFCCC Secretariat for the Transitional Committee (TC) in 2011 and from funds advanced from the GEF Secretariat's administrative budget. The generous



contributions by Parties to the TC work, both financial and in kind, and the agreement of the GEF Council regarding use of GEF resources, combined with an economic use of resources and prudent spending, has allowed these savings to be redirected, in agreement with donors, towards the work of the Interim Secretariat.

77. An important milestone in operationalizing the GCF is the selection of the host country of the GCF. Parties were requested to submit to the GCF Board by 15 April 2012 expressions of interest for hosting the GCF, based on the criteria agreed by Parties at the COP 17. These criteria include the ability to confer and/or recognize juridical personality and legal capacity to the GCF, the ability to provide the necessary privileges and immunities to the GCF, and financial arrangements, as well as administrative and logistical support to the GCF.
78. Six expressions of interest in hosting the GCF have been received. The expressions of interest are from: (i) Germany; (ii) Mexico; (iii) Namibia; (iv) Poland; (v) Republic of Korea; and (vi) Switzerland. These expressions of interest have been posted on the GCF website (<http://www.gcfund.net>). Some of the Parties presented information on their offers at the SBI 36. At its first meeting, the GCF Board is expected to consider these expressions of interest and initiate an open and transparent process for the selection of the host country. As a result of this process, the GCF Board will take a decision on the host country at one of its subsequent meetings and present it to the COP 18 for endorsement.
79. Parties have been invited, through their regional groups and constituencies, to submit nominations for the position of member and alternate member of the GCF Board. The agreed composition of the Board is 12 members from developing country Parties and 12 members from developed country Parties. Nominations were scheduled to be sent to the Interim Secretariat of the GCF by 31 March 2012.
80. The Interim Secretariat has prepared nine working papers and two information notes for consideration by the GCF Board. The first GCF Board meeting will be held in Geneva, Switzerland, from 23 to 25 August 2012.

#### **e. Technology Transfer**

##### **e.1. Operationalization and Activities of the Climate Technology Centre and Network**

###### *COP 17 guidance*

81. UNFCCC COP decision 2/CP.17, paragraph 140, requests the GEF to support the operationalization and activities of the Climate Technology Centre and Network (CTCN) without prejudging any selection of the host.

###### *SBI 36 conclusions*

82. Under SBI 36 agenda item 12(b), *Development and transfer of technologies* (FCCC/SBI/2012/15, paragraph 190), the SBI stressed decision 2/CP.17, paragraph 140, requesting the GEF to support the operationalization and activities of the CTCN without prejudging any selection of the host.

###### *GEF's response*

83. The GEF has financed technology transfer in line with the GEF-5 Climate Change Mitigation Strategy and the Long-Term Program on Technology Transfer, which the GEF submitted to COP 16 in response to decision 2/CP.14 to consider the long-term implementation of the Poznan Strategic Program on Technology Transfer, with the means at its disposal for that purpose. The GEF is also ready to continue to support the operationalization and activities of the CTCN in response to decision 2/CP.17.
84. The Long-Term Program on Technology Transfer, which was also approved by the GEF Council, includes climate technology transfer coordination at the global level (i.e., the global centre host function) and technology centers at the regional level. Countries wishing to establish a national centre/network were invited to do so by utilizing existing GEF national allocations.

85. In line with the Long-Term Program on Technology Transfer, the GEF Council in May 2011 approved the “*Pilot Asia-Pacific Climate Technology Network and Finance Center*” project by the Asian development Bank (ADB) and the United Nations Environment Programme (UNEP). Furthermore, the GEF Council in June 2012 approved three similar regional projects: the “*Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean*” project by the Inter-American Development Bank (IDB); the “*Pilot African Climate Technology Finance Center and Network*” project by the African Development Bank (AfDB), and; the “*Regional Climate Technology Transfer Center*” project by the European Bank for Reconstruction and Development (EBRD). Additional information on these centers is presented in paragraph 175 in this document.
86. At the national level, the GEF Council in June 2012 also approved the “*Facility for Low Carbon Technology Deployment*” project in India by the World Bank, which is expected to be part of the future CTCN. Summaries of the projects approved in FY 2012 are provided in Annex 3.
87. The GEF submitted its proposal to host the CTCN for consideration by the UNFCCC Secretariat in March 2012, in response to the Call for Proposal 2012-S1. The proposal was withdrawn by the GEF CEO in May 2012.

## **e.2. Technology Needs Assessments (TNAs)**

### *COP 17 guidance*

88. UNFCCC COP decision 11/CP.17, paragraph 2, invites the GEF, in the context of technology needs assessments, to continue to provide financial support to other non-Annex I Parties as appropriate to conduct or update their technology needs assessments, noting the availability of the updated Handbook for Conducting Technology Needs Assessments for Climate Change.

### *GEF's response*

89. The progress made in supporting TNAs is described in Part II, Section 4. The GEF also included TNA support in the Long-Term Program on Technology Transfer. In addition to its global support project for TNAs supported within the Poznan Strategic Program from 2009, the GEF Council approved, in FY 2012, a stand-alone national project including TNA activities titled the “*Preparation of Third National Communication (3NC) to the UNFCCC and Strengthening Institutional and Analytical Capacities on Climate Change*” in India by the United Nations Development Programme (UNDP). This is an innovative project aimed at realizing in one common framework India's NC, biennial update report, and technology needs assessment. Furthermore, a project titled “*Establish Measurement and Verification System for Energy Efficiency in China*” project by the World Bank was endorsed by the GEF CEO during this reporting period, and started implementation. This project includes extensive sectoral TNAs and pilot implementation (and monitoring) of specific activities targeting prioritized climate technologies, particularly in energy efficiency.

## **e.3. Development and Transfer of Technologies**

### *SBI 35 conclusions*

90. Under SBI 35 agenda item 11, *Development and transfer of technologies* (FCCC/SBI/2011/17, paragraphs 95 to 99), the SBI
- (a) noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer, including its long-term implementation, as invited by the SBI 34;
  - (b) acknowledged the support provided by the GEF for the implementation of technology transfer pilot projects and for the conduct of technology needs assessments (TNAs). It further acknowledged the progress made in implementing the long-term programme on technology transfer. Furthermore, it urged the GEF and Parties to expedite the process for the early implementation of projects submitted before 30 September 2009;

- (c) encouraged non-Annex I Parties to develop and submit project proposals, particularly for technologies for adaptation, to the GEF in line with elements of the long-term programme on technology transfer described in document FCCC/SBI/2011/14, annex, paragraphs 46 and 47;
- (d) invited the GEF to raise awareness of the long-term programme on technology transfer;
- (e) welcomed the results of the TNAs that are being prepared under the Poznan strategic programme in cooperation with the United Nations Environment Programme (UNEP). The SBI noted information provided orally by the Climate Technology Initiative's Private Financing Advisory Network on its collaboration with UNEP to assess any projects identified under the TNAs to determine their suitability for private-sector investment in order to accelerate implementation; and
- (f) invited the GEF to support the operationalization and activities of the CTCN without prejudging any selection of the host.

#### *SBI 36 conclusions*

91. Under SBI 36 agenda item 12, *Development and transfer of technologies (c) Poznan strategic programme on technology transfer* (FCCC/SBI/2012/15, paragraphs 195 to 200), the SBI

- (a) noted the report by the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer, as invited by the SBI 34;
- (b) noted the support provided by the GEF for the implementation of technology transfer pilot projects under the Poznan strategic programme and the views expressed by Parties on the need to balance support for mitigation and adaptation projects. It invited the GEF to enhance the balance between adaptation and mitigation projects in the long-term implementation of the Poznan strategic programme, including by enhancing its outreach and awareness-raising efforts on funding opportunities for projects related to technologies for adaptation. It recalled its conclusion at SBI 35 encouraging non-Annex I Parties to submit project proposals, particularly for technologies for adaptation, to the GEF in line with the elements of the long-term programme described in document FCCC/SBI/2011/14, annex, paragraphs 46 and 47;
- (c) invited the GEF and its implementing agencies to expedite the process for the implementation and completion of the remaining technology transfer pilot projects submitted in 2009 for support under the Poznan strategic programme;
- (d) acknowledged the support provided by the GEF to assist 36 non-Annex I Parties in conducting their TNAs. It recalled decision 11/CP.17, paragraph 2, which invited the GEF, in the context of TNAs, to continue to provide financial support to other non-Annex I Parties, as appropriate, to conduct or update their TNAs;
- (e) recalled the conclusion at SBI 34 inviting the GEF to provide reports on the progress made in carrying out its activities under the Poznan strategic programme, including its long-term implementation, for consideration by the SBI 35 and subsequent sessions. The SBI invited the GEF in its future progress reports to further elaborate on:
  - 1) the activities undertaken by the GEF to enhance its outreach and awareness raising efforts on funding opportunities for projects related to technologies for adaptation in order to address the need for balanced support for projects related to technologies for adaptation;
  - 2) experiences gained and lessons learned, including success stories and challenges faced in carrying out the activities under the Poznan strategic programme;
  - 3) progress made by its implementing agencies in the delivery of technology transfer under the Poznan strategic programme;

4) the efforts carried out to support, pursuant to decision 2/CP.17, the operationalization and activities of the Climate Technology Centre and Network.

(f) stressed the need for the further implementation of the element of the Poznan strategic programme included in document FCCC/SBI/2012/9, paragraph 23(a), to be aligned with, and to enable, the operationalization and activities of the CTC and its Network, taking into account document FCCC/SBI/2012/15, paragraphs 185 and 187, and decision 2/CP.17, paragraph 140.

#### *GEF's response*

92. The GEF presented its progress in carrying out activities under the Poznan Strategic Program to COP 17. The GEF also presented a summary of the report to the COP at SBI 35 and provided an oral update.

93. The GEF compiled a report on the progress made in carrying out the Poznan Strategic Program for the period of October 2011 to February 2012 and submitted it to SBI 36. As requested, the GEF also provided an oral update to Parties during SBI 36.

94. Detailed elaboration on the progress made in carrying out the Poznan Strategic Program and its long-term elements is included in this document in Part II, Section 4. Further information on the implementation of projects of the Poznan Strategic Program on Technology Transfer is also presented in Annex 5.

95. The GEF has been facilitating technology transfer for adaptation through multi-trust fund projects combining GEF Trust Fund and SCCF resources. The GEF has been consistently increasing its support to technology transfer for adaptation as illustrated in Part II, Section 4 of this document.

96. In order to raise awareness about its support for technology transfer including the Poznan Strategic Program and its long-term elements, the GEF presented its technology transfer efforts, including its funding opportunities for adaptation projects, at a variety of meetings including the following: (i) COP 17 side event (December 2011); (ii) the GEF Familiarization Seminar (January 2012); (iii) GEF Expanded Constituency Workshops (see paragraph 24 in this document). Many of these meetings included the UNFCCC national focal points as participants. The GEF also submitted updates on the CTCN-related efforts to the GEF Council in March and May 2012. Furthermore, the GEF website<sup>15</sup> has been updated regularly with information on the Poznan Strategic Program and its long-term elements.

97. The GEF continues to support technology transfer activities, in line with the Long-Term Program on Technology Transfer, and the operationalization and activities of the future CTCN, as indicated in paragraphs 85 and 86 in this document, in response to COP decision 2/CP.17, with the means at its disposal for that purpose and in line with GEF procedures.

#### **f. National Communications (NCs)**

##### *COP 17 guidance*

98. UNFCCC COP decision 11/CP.17, paragraph 1(a), requests the GEF to continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention (non-Annex I Parties) receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations and to avoid gaps between the enabling activities of current and subsequent national communications, recognizing that the process of preparation of national communications is a continuous cycle.

##### *SBI 36 conclusions*

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<sup>15</sup> <[http://www.thegef.org/gef/Technology\\_Transfer](http://www.thegef.org/gef/Technology_Transfer)>.

99. Under SBI 36 agenda item 4, *National communications from Parties not included in Annex I to the Convention (d) Provision of financial and technical support* (FCCC/SBI/2012/15), the SBI

- (a) invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, in accordance with decision 10/CP.2, paragraph 1(b), including information on the dates of approval of funding and disbursement of funds (paragraph 56);
- (b) invited the GEF to continue providing information on the approximate date of completion of the draft national communications and an approximate date of submission to the secretariat of the national communications, for consideration by SBI 37 (paragraph 56);
- (c) encouraged the GEF, in accordance with decision 4/CP.14, to continue to ensure, as a top priority, that sufficient financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention (paragraph 59).

*GEF's response*

100. The GEF continues to work with its Agencies to improve the effectiveness and efficiency of the process for countries to access resources to meet their obligations under Article 12, paragraph 1 of the Convention. For example, the GEF has established expedited procedures for an enabling activity project to meet obligations under the UNFCCC. The GEF continues to provide full-cost funding for NCs. All requests to support NCs have been met by the GEF. The GEF has set aside resources outside country allocations to support NCs and BURs. The GEF has expanded its options for countries to access resources for NCs. There are now four options, including: (i) working with a GEF Agency; (ii) being part of the UNEP umbrella project for NCs; (iii) by direct access from the GEF Secretariat; and (iv) through a national allocation as a full-sized project.

101. The GEF has also provided detailed, accurate, timely and complete information on its activities relating to the preparation of NCs by non-Annex I Parties. Annex 6 of this document provides information on the status of NCs from non-Annex I Parties, which was compiled by the Implementing Agencies (UNDP and UNEP) as of March 2012. The GEF will submit an addendum to this report, which updates the status, including the approximate date of submission to the COP.

**g. Capacity Building**

*COP 17 guidance*

102. UNFCCC COP decision 2/CP.17, paragraph 152, encourages the relevant bodies established under the Convention, including, inter alia, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, the Least Developed Countries Expert Group and the GEF as an operating entity of the financial mechanism, to continue to elaborate and carry out work on capacity-building in an integrated manner, as appropriate, within their respective mandates.

*GEF's response*

103. The GEF, with its partner Agencies, has provided significant capacity building support to countries during the past decade, both through a capacity component in regular projects and through more targeted interventions. For example, the project in India, as described in paragraph 89 in this document, will strengthen institutional and analytical capacities in an integrated manner by realizing in one common framework India's NC, biennial update report (BUR), and technology needs assessment (TNA). The GEF continues to provide resources for capacity building activities through its regular financing of projects. The GEF's activities for capacity building during the reporting period are presented in Part II, Section 5.

## Part II. GEF Achievements

### 1. Introduction

104. Part II describes the achievements of the GEF, focusing mainly on accomplishments during the reporting period, FY 2012, July 1 2011 to June 30, 2012. Part II consists of five sections: climate change mitigation; climate change adaptation; technology transfer; enabling activities and capacity building; and results-based management.
105. As an operating entity of the financial mechanism of the UNFCCC, the GEF provides financing to country-driven projects consistent with guidance from the COP on policies, program priorities, and eligibility criteria. Ten Agencies manage GEF financed projects.<sup>16</sup>
106. GEF support can be grouped into two main types: (a) projects, including full-sized (over \$1 million) and medium-sized (up to \$1 million) that address a particular priority need; and (b) programs, which are a strategic combination of projects and activities with a common focus structured to build upon or complement one another to produce results that would not be possible through a project-by-project approach. Projects under parent programs are called “child” projects.
107. The GEF provides new and additional grant and concessional funding to meet the agreed incremental costs of measures to achieve agreed global environmental benefits (GEBs). In addition to the GEF financing, co-financing is an essential part of GEF projects and programs. The types of co-financing include: grants, concessional or market-rate loans, credits, equity investments, and in-kind contribution. Co-financing is provided by the governments of the recipient countries, the private sector, the GEF Agencies, other multilateral and bilateral agencies, and non-governmental organizations (NGOs).
108. For full-sized projects (FSPs) financed from the GEF Trust Fund, there are four steps in the project cycle where the GEF Secretariat and/or GEF Council review and make decisions on providing funding for projects. The four steps are: (i) GEF CEO review of the Project Identification Form (PIF); (ii) GEF Council approval of the Work Program which comprises cleared PIFs; (iii) GEF CEO endorsement of the project; and (iv) implementation, supervision, monitoring and final evaluation of the project. Since the PIF provides the overall outline of the proposal, a more detailed project document is required at the GEF CEO endorsement stage. For medium-sized projects (MSPs), the above project cycle is expedited.
109. Resources for the GEF Trust Fund are replenished every four years when countries that wish to contribute to the GEF Trust Fund pledge resources through a process called the 'GEF Replenishment.' The fifth replenishment of the GEF Trust Fund (GEF-5) covers GEF operations and activities for the four years from July 1, 2010 through June 30, 2014. For the GEF-5 cycle, new focal area strategies have been adopted, and they include long-term strategic goals and objectives. The focal area strategies respond to guidance from the Conventions. A results framework for each focal area, including climate change, complements each objective. The results framework includes expected impacts related to each of the long-term strategic objectives and expected outcomes related to each of the strategic programs, as well as measurable indicators for the expected impacts and outcomes.
110. In GEF-5, three focal areas (climate change mitigation, biodiversity and land degradation) are covered under the System for Transparent Allocation of Resources (STAR). The STAR is a system that allocates resources to countries based on objective criteria in the focal areas. The main benefits of the STAR for countries are

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<sup>16</sup> These are the Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development (EBRD), the Food and Agriculture Organization of the United Nations (FAO), the Inter-American Development Bank (IDB), the International Fund for Agricultural Development (IFAD), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO), and the World Bank (WB).



predictability of funding and flexibility in programming. The STAR is expected to enhance planning at the country level and to contribute to improving country ownership of GEF projects and programs.

111. For adaptation, the GEF now manages adaptation finance solely through the LDCF and the SCCF.<sup>17</sup> In response to UNFCCC guidance, the GEF was entrusted with the management of the two funds in 2001.<sup>18</sup> While the SCCF has four financing windows, adaptation constitutes the priority area for both the LDCF and the SCCF.

## 2. Climate Change Mitigation

### a. Overview of GEF Support for Mitigation

112. Since its establishment in 1991, the GEF has been funding projects on climate change mitigation in developing countries and economies in transition all over the world. As of June 30, 2012, the GEF has funded 569 projects on climate change mitigation with \$3.6 billion GEF funding in 156 countries<sup>19</sup> (see Table 1). Most of these were funded from the GEF Trust Fund, while four projects also included funding from the SCCF for technology transfer and/or adaptation. The GEF funding leveraged nearly \$23.7 billion from a variety of sources including GEF Agencies, national and local governments, multilateral and bilateral agencies, the private sector, and NGOs, with an average co-financing ratio of 1 to 6.6.

Table 1

#### **GEF Projects on Climate Change Mitigation by Region (1991–2012)**

<i>Region</i>	<i>Number of Projects</i>	<i>GEF Amount (\$ millions)</i>	<i>Co-financing (\$ millions)</i>
Africa	122	559.9	3,000.0
Asia	194	1,368.8	12,641.4
Eastern Europe and Central Asia	115	584.7	3,721.3
Latin America and the Caribbean	106	710.0	3,811.9
Global	32	363.5	524.8
<b>Total</b>	<b>569</b>	<b>3,587.0</b>	<b>23,699.3</b>

These amounts include all focal area contributions to climate change, including Agency fees. The total includes \$436 million from other focal areas. Parent programs were not counted. Child projects under parent programs were counted.

113. These projects cover developing countries in all the regions in a well-balanced manner throughout Asia, Africa, Latin America and the Caribbean, and Eastern Europe and Central Asia. In addition, there are 32 global projects. All 10 GEF Agencies have participated in the implementation of these GEF climate change mitigation projects. UNDP, the World Bank (WB), UNEP, and UNIDO have the major shares of the portfolio in the order of appearance in terms of number of projects.
114. As shown in Table 2, the number of climate change mitigation projects has been growing steadily. Among the 569 projects, the total share of energy efficiency and renewable energy projects combined is predominant and reaches more than 63 per cent of all projects in terms of funding, while the number of sustainable urban transport and Land Use, Land-Use Change, and Forestry (LULUCF) projects has shown rapid growth, especially during GEF-4.
115. Table 2 also provides GEF financing and co-financing for climate change mitigation by phase. GEF funding for

<sup>17</sup> The GEF also provides Secretariat services to the Adaptation Fund Board.

<sup>18</sup> Decisions 5/CP.7 and Decision 7/CP.7

<sup>19</sup> This includes individual projects in 147 countries and 9 additional countries participating in regional projects.

climate change mitigation projects increased steadily from the GEF Pilot Phase to GEF-4. This trend is directly attributable to the increased importance that GEF-recipient countries place on climate change mitigation.

116. The GEF has supported technology transfer in climate change mitigation projects and programs. The entire GEF climate change mitigation portfolio can be characterized as supporting technology transfer outlined by the COP. In Table 2, “Technology Transfer” is highlighted as the “special initiative of technology transfer” up to GEF-4 and “promoting innovative low-carbon technologies” in GEF-5. Table 2 shows that the technology transfer special initiative and projects that promote innovation have gained prominence in GEF-4 and GEF-5.



Table 2

**GEF Projects on Climate Change Mitigation by Phase**

<i>Phase</i>		<i>Technology Transfer/ innovative low-carbon technologies<sup>a</sup></i>	<i>Energy Efficiency</i>	<i>Renewable Energy</i>	<i>Transport /Urban</i>	<i>LULUCF</i>	<i>LULUCF &amp; SFM/REDD+</i>	<i>Mixed<sup>b</sup></i>	<i>Small Grants Program<sup>c</sup></i>	<i>Others<sup>d</sup></i>	<i>Grand Total<sup>e</sup></i>
GEF Pilot (1991–1994)	<i>Number of Projects</i>	2	7	12	2	2	-	0	-	5	30
	<i>GEF Amount (\$ millions)</i>	10.1	33.3	94.5	9.0	4.0	-	0.0	-	48.5	199.4
	<i>Co-financing (\$ millions)</i>	0.1	341.2	1,848.0	2.0	0.1	-	0.0	-	145.9	2,337.2
GEF-1 (1994–1998)	<i>Number of Projects</i>	2	16	16	0	0	-	2	-	2	38
	<i>GEF Amount (\$ millions)</i>	8.2	133.7	150.8	0.0	0.0	-	12.3	-	14.3	319.2
	<i>Co-financing (\$ millions)</i>	6.2	575.7	892.8	0.0	0.0	-	64.6	-	29.9	1,569.2
GEF-2 (1998–2002)	<i>Number of Projects</i>	6	32	44	6	1	-	4	-	2	95
	<i>GEF Amount (\$ millions)</i>	102.3	189.9	229.1	30.4	0.9	-	13.6	-	12.1	578.4
	<i>Co-financing (\$ millions)</i>	204.4	1,321.6	1,120.0	28.3	1.0	-	151.5	-	20.1	2,846.9
GEF-3 (2002–2006)	<i>Number of Projects</i>	4	29	53	13	0	-	13	-	1	113
	<i>GEF Amount (\$ millions)</i>	64.6	228.2	273.1	88.9	0.0	-	73.9	-	3.7	732.5
	<i>Co-financing (\$ millions)</i>	128.9	1,258.9	1,488.9	847.5	0.0	-	486.5	-	5.1	4,215.8
GEF-4 (2006–2010)	<i>Number of Projects</i>	10	83	50	20	25	-	17	3	0	208
	<i>GEF Amount (\$ millions)</i>	55.2	384.9	123.2	111.3	122.1	-	62.6	62.7	0.0	921.9
	<i>Co-financing (\$ millions)</i>	174.6	2,894.9	961.5	1,571.4	774.0	-	419.9	43.0	0.0	6,839.3
GEF-5 FY 2011	<i>Number of Projects</i>	6	2	0	1	0	2	1	6	0	18
	<i>GEF Amount (\$ millions)</i>	191.0	32.8	0.0	20.0	0.0	9.4	8.0	27.9	0.0	289.0
	<i>Co-financing (\$ millions)</i>	932.9	863.0	0.0	88.3	0.0	21.9	21.2	31.6	0.0	1,958.9
GEF-5 FY 2012	<i>Number of Projects</i>	13	9	11	4	4	14	10	2	0	67
	<i>GEF Amount (\$ millions)</i>	104.0	68.8	34.3	20.4	16.5	189.4	70.5	42.8	0.0	546.6
	<i>Co-financing (\$ millions)</i>	534.2	1,286.0	164.9	365.1	45.6	843.6	651.8	41.0	0.0	3,932.1
<b>Total</b>	<i>Number of Projects</i>	<b>43</b>	<b>178</b>	<b>186</b>	<b>46</b>	<b>32</b>	<b>16</b>	<b>47</b>	<b>11</b>	<b>10</b>	<b>569</b>
	<i>GEF Amount (\$ millions)</i>	<b>535.4</b>	<b>1,071.6</b>	<b>904.9</b>	<b>280.1</b>	<b>143.5</b>	<b>198.8</b>	<b>240.8</b>	<b>133.3</b>	<b>78.6</b>	<b>3,587.0</b>
	<i>Co-financing (\$ millions)</i>	<b>1,981.2</b>	<b>8,541.2</b>	<b>6,476.1</b>	<b>2,902.6</b>	<b>820.7</b>	<b>865.5</b>	<b>1,795.4</b>	<b>115.6</b>	<b>201.0</b>	<b>23,699.3</b>

<sup>a</sup> "Technology Transfer" means special initiative of technology transfer up to GEF-4 and promoting innovative low-carbon technologies in GEF-5.

<sup>b</sup> Mixed projects are projects with multiple climate change mitigation (CCM) objectives. Mixed projects with technology transfer components are categorized into "Technology Transfer."

<sup>c</sup> In addition to 11 GEF SGPs on the table, there were 11 SGP projects from GEF Pilot to GEF-3 that have CCM objectives. However funding contributed from CCM was not recorded in these early periods. The total GEF amount for these projects are 261 million, and have leveraged 204 million of co-financing.

<sup>d</sup> "Others" include seven projects related to methane and three projects related to fuel substitution. These are no longer GEF CC strategic objectives since GEF-4.

<sup>e</sup> Since publication of the GEF Report to COP 17, four GEF-4 projects have been canceled. One project in FY 2011 was mistakenly counted in the GEF Report to COP 17.

117. The number of “Mixed” projects, which have multiple mitigation objectives (e.g. energy efficiency and renewable energy) shows an increasing trend. Out of 47 “Mixed” projects, the combination of energy efficiency and renewable energy is prominent, accounting for 77 per cent of the total funding.
118. Since GEF-4, multi-focal area (MFA) projects have been prominent in the climate change mitigation portfolio. As shown in Table 3, the number of MFA projects and funding from other focal areas, including SFM/REDD+ Program, are noticeable, especially in GEF-5. In particular, “LULUCF” and “LULUCF&SFM/REDD+” sectors account for a large part of MFA projects. Synergies created through MFA projects are described in Part III, Section 2.
119. There is an increased use of programmatic approaches. Programmatic approaches are expected to achieve greater transformative, synergistic impacts than individual projects. To date, the number of programs GEF financed in climate change mitigation are one in GEF-3, nine in GEF-4 and eight in GEF-5. Since the programs are eventually implemented as multiple child projects, the numbers of funded programs are not included in Table 2 to avoid double-counting.

Table 3

**Breakdown of GEF Funding for Climate Change Mitigation Projects**

	Number of Projects			GEF Amount (\$ millions)			
	CCM Stand-Alone Projects	MFA Projects	Total	Funding from CCM	Funding from Other Focal Areas <sup>a</sup>	Others <sup>b</sup>	Total
GEF-4 (2006–2010)	183	25	208	712.3	105.7	103.9	921.9
GEF-5 FY2011	8	10	18	139.4	129.0	20.7	289.0
GEF-5 FY2012	40	27	67	306.6	182.1	57.9	546.6

<sup>a</sup> Includes funding from SFM/REDD+ Program.

<sup>b</sup> Includes SCCF funding, project preparation grant and Agency fee.

120. In the GEF-5 Focal Area Strategies, the overall goal of the GEF in climate change mitigation is to support developing countries and economies in transition toward a low-carbon development path to slow growth in GHG emissions and contribute to the stabilization of GHG concentrations in the atmosphere. The key indicator for successful investments is tons of carbon dioxide equivalent (CO<sub>2</sub> eq) avoided (both direct and indirect) over the investment or impact period of the projects.<sup>20</sup> To achieve this goal, six strategic objectives have been identified: innovative low-carbon technologies, energy efficiency, renewable energy, sustainable transport and urban systems, LULUCF, and enabling activities. The objectives and expected outcomes are shown in Table 4. The first objective focuses on innovative technologies at the stage of market demonstration or commercialization where technology push is still critical. The second to fifth objectives focus on technologies that are commercially available in the country but face barriers and require market pull to achieve widespread adoption and diffusion. The last objective is devoted to supporting enabling activities and capacity building under the UNFCCC.

<sup>20</sup> Based on the GEF Results-Based Management System, the GEF Agencies are required to monitor this indicator by using the Tracking Tools in implementing their projects.

Table 4

**Climate Change Mitigation: Strategic Objectives and Results Framework**

<i>Climate Change Mitigation (CCM) Strategic Objectives</i>	<i>Expected Outcomes</i>
<b>CCM-1: Innovative Low-Carbon Technologies:</b> Promote the demonstration, deployment, and transfer of innovative low-carbon technologies	<b>Outcome 1.1:</b> Technologies successfully demonstrated, deployed, and transferred <b>Outcome 1.2:</b> Enabling policy environment and mechanisms created for technology transfer
<b>CCM-2: Energy Efficiency:</b> Promote market transformation for energy efficiency in industry and the building sector	<b>Outcome 2.1:</b> Appropriate policy, legal and regulatory frameworks adopted and enforced <b>Outcome 2.2:</b> Sustainable financing and delivery mechanisms established and operational
<b>CCM-3: Renewable Energy:</b> Promote investment in renewable energy technologies	<b>Outcome 3.1:</b> Favorable policy and regulatory environment created for renewable energy investments <b>Outcome 3.2:</b> Investment in renewable energy technologies increased
<b>CCM-4: Transport/ Urban:</b> Promote energy efficient, low-carbon transport and urban systems	<b>Outcome 4.1:</b> Sustainable transport and urban policy and regulatory frameworks adopted and implemented <b>Outcome 4.2:</b> Increased investment in less-GHG intensive transport and urban systems
<b>CCM-5: LULUCF:</b> Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change, and forestry	<b>Outcome 5.1:</b> Good management practices in LULUCF adopted both within the forest land and in the wider landscape <b>Outcome 5.2:</b> Restoration and enhancement of carbon stocks in forests and non-forest lands, including peatland
<b>CCM-6: Enabling Activities:</b> Support enabling activities and capacity building under the Convention	<b>Outcome 6.1:</b> Adequate resources allocated to support enabling activities under the Convention <b>Outcome 6.2:</b> Human and institutional capacity of recipient countries strengthened

**b. Achievements During the Reporting Period**

121. During the reporting period, FY 2012, July 1, 2011 to June 30, 2012, the GEF allocated \$546.6 million from the GEF Trust Fund to 67 projects in the climate change focal area (see Table 2). These projects are expected to leverage approximately \$3.9 billion in co-financing, resulting in a co-financing ratio of 1 (GEF) to 7.1 (co-financing). Out of 67 projects, one project is a medium-sized project (MSP)<sup>21</sup> and the other 66 projects are full-sized projects (FSPs). Furthermore, the GEF Council also approved seven programs in FY 2012. Annex 1 lists the projects and programs approved in FY 2012. Annex 3 provides summaries of the approved projects and programs.
122. These projects are expected to avoid or sequester over 1000 Mt CO<sub>2</sub> eq (both direct and indirect) in total over their lifetime, surpassing the overall GEF-5 target GHG emission reduction goal of 500 Mt CO<sub>2</sub> eq. Thus, a key indicator of success for GEF-5 is already expected to be surpassed with the FY 2012 investments made in the 67 projects.
123. The 67 approved projects during the reporting period are distributed across countries in four different regions. Out of the 67 projects, 22 are in Asia and the Pacific, 17 are in Latin America and the Caribbean, 17 are in Europe and Central Asia, seven are in Africa, while four are global projects. Regional distribution of GEF investments (\$546.6 million) is \$190.0 million (34.7 per cent) for Latin America and the Caribbean, \$166.6 million (30.4 per cent) for Asia and the Pacific, \$98.3 million (18.0 per cent) for Europe and Central Asia, \$48.5 million (8.9 per cent) for

<sup>21</sup> The GLOBE Legislator Forest Initiative project (UNEP)

Africa, and \$43.3 million (7.9 per cent) for global projects.

124. Of the 67 climate change mitigation projects, nine projects predominantly focus on energy efficiency; 11 on renewable energy; four on sustainable transport and urban systems; five on LULUCF; 14 projects on LULUCF and SFM/REDD+; and 14 on technology transfer/innovative low-carbon technologies. In addition, there are 10 projects that are classified as mixed because they support multiple mitigation objectives.
125. Of the 67 climate change mitigation projects, 27 projects are categorized into MFA projects which include other strategic objectives for other focal areas such as biodiversity. In terms of the GEF financing, LULUCF and SFM/REDD+ is the largest sector in the climate change mitigation portfolio, which amounts to \$189.4 million. This is because all “LULUCF and SFM/REDD+” projects are categorized into MFA projects, which include GEF financing from other focal areas. Furthermore, three projects are multi-trust fund (MTF) projects, which are financed from SCCF-B as well as the GEF Trust Fund.
126. The projects are distributed over nine GEF Agencies. UNDP and WB have the largest share in terms of number of projects: both Agencies implement 17 each out of the 67 approved projects. This is followed by UNIDO (10 projects), UNEP (8 projects) and IDB (7 projects).
127. In addition to financing the implementation of projects, the GEF assists eligible countries in formulating and developing projects consistent with their national priorities, including those identified in their National Communications. During the reporting period, the GEF provided a total of \$1.95 million of project preparation grants (PPGs) for the development of 22 of the 67 climate change mitigation projects from the GEF Trust Fund.
128. Of the seven climate change mitigation programs, five programs are MFA programs. Also, two programs are MTF programs funded not only from the GEF Trust Fund but from the SCCF. Furthermore, seven child projects under the programs were approved in the reporting period.

### **c. GEF Support for Key Mitigation Sectors**

129. In this sub-section, further explanations are provided for climate change mitigation activities in key sectors supported by the GEF during the reporting period. Technology transfer is presented in Section 4, as it is a cross-cutting topic for mitigation and adaptation.

#### *Energy Efficiency*

130. The GEF relies on five general project models to remove existing barriers for energy efficiency. Projects in the five models will: (i) focus on policy and regulatory frameworks; (ii) develop standards and labeling programs; (iii) rely on market-based approaches; (iv) establish financial instruments; and (v) focus on specific sectors and technologies.
131. During the reporting period, nine energy efficiency projects were approved GEF grant funding for these nine projects was over \$68 million, attracting co-financing of over \$1.3 billion. In addition, out of 10 mixed projects, eight projects included energy efficiency components. The above seventeen energy efficiency projects cover the full spectrum of GEF energy efficiency project models.
132. Several large-scale efficiency projects were approved that will leverage GEF funding to attract private sector investment through the use of energy efficiency financing and risk-sharing facilities. Even though this reporting period evidenced a trend towards large-scale efficiency projects with financing components, projects are not limited to large emerging markets—several projects will promote efficiency in lighting and buildings in small countries. Further, several efficiency projects in the reporting period focus on energy management systems in the industrial sector, targeting small- and medium-scale enterprises that will enable continuous energy efficiency improvement and promote the development of measurement, reporting, and verification (MRV) tools. These energy management systems will be vital to promote Green Industry and sustainable development in the industrial sector.

#### *Renewable Energy*

133. During the reporting period, the GEF supported 11 renewable energy projects. The GEF allocation to these projects amounts to \$34.3 million. This funding has been supplemented by \$164.9 million in co-financing. Furthermore, all 10 mixed projects include renewable energy components. Out of seven programs approved in FY 2012, five programs include components on renewable energy.
134. The renewable energy projects that the GEF funded during the reporting period promote investment in all types of renewable energy technologies, including solar power, wind power and biomass energy. However, there are three trends that characterize this specific portfolio: (i) the focus on biomass-based electricity and heat generation; (ii) the promotion of renewable energy technologies in industrial applications; and (iii) the interest in promoting decentralized solutions.

#### *Sustainable Transport and Urban Systems*

135. During the reporting period, the GEF supported four projects that include components on sustainable transport and urban systems. The GEF allocation to these projects amounts to \$20.4 million. This funding has been supplemented by \$365.1 million in co-financing.
136. The sustainable transport and urban system projects that the GEF funded during the reporting period include land use and transport planning, public transit systems, energy efficiency improvement of the fleet, efficient traffic control and management, transport demand management, and non-motorized transport. It is noteworthy that the first program in the area of transportation was approved in the reporting period. The program titled “*ASTUD Asian Sustainable Transport and Urban Development Program*” will help Asian countries deal with the challenges of rapid urbanization by investing in sustainable transport and urban planning to reduce GHG emissions.

#### *LULUCF, and LULUCF and SFM/REDD+ Program*

137. During the reporting period, the GEF supported 24 projects that explicitly contained the climate change mitigation Land Use, Land-Use Change, and Forestry (LULUCF) objective and funding (Table 5). The GEF allocation to these projects amounts to \$285.5 million. This funding has been supplemented by \$1.1 billion in co-financing. Furthermore, two programs include LULUCF components.
138. LULUCF objectives include support for carbon monitoring systems and good practices directed at activities for reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; and enhancement of forest carbon stocks. Except for one technology transfer project, 23 LULUCF-related projects are categorized as MFA and include funding from the SFM/REDD+ Program and/or other focal areas. Sixteen projects access the SFM/REDD+ Program, including two mixed projects. Two projects are GEF Small Grants Programme (GEF SGP) projects; four LULUCF projects are multi-focal but do not fall into the SFM/REDD+ category usually because they are not forest. LULUCF linkage to the SFM/REDD+ Program is described in Part III, Section 2.
139. Through the LULUCF objective, climate change mitigation contributes to a diverse and innovative set of initiatives focusing on strategies that deliver multiple environmental benefits, including carbon benefits, across a variety of ecosystems and landscapes, and addressing multiple Conventions. The objective supports developing new carbon monitoring systems, or upgrading existing monitoring systems which are necessary for estimating results with precision, which in turn is crucial for results-based finance. This is a flexible approach allowing for project design to explicitly choose activities to improve carbon benefit production.

Table 5

**GEF Funding for LULUCF-related Projects in FY 2012**

	<i>LULUCF</i>	<i>LULUCF &amp; SFM/REDD+</i>	<i>Mixed</i>	<i>Small Grants Programme</i>	<i>Technology Transfer/ innovative low-carbon technologies</i>	<i>Grand Total</i>
Number of Projects	4	14	2	2	2	24
<b>GEF Funding (\$ millions)</b>						
CCM Funding	4.4	47.4	5.1	16.1	11.1	84.1
SFM/REDD+ Funding	-	34.9	4.1	-	0.0	39.0
Other Focal Area Funding	10.6	89.8	7.4	24.9	3.7	136.3
Others <sup>a</sup>	1.6	17.3	1.9	1.8	3.5	26.1
<b>Total</b>	<b>16.5</b>	<b>189.4</b>	<b>18.5</b>	<b>42.8</b>	<b>18.3</b>	<b>285.5</b>

<sup>a</sup> Includes SCCF funding, project preparation grant and Agency fee.

**d. Small Grants Program for Climate Change Mitigation**

140. The GEF Small Grants Programme (GEF SGP), implemented by UNDP on behalf of the GEF partnership, was launched at the time of the Earth Summit in 1992. Through its decentralized governance mechanism, the GEF SGP channels its support through civil society action by providing grants of up to \$50,000 directly to NGOs, community based organizations (CBOs) and indigenous peoples to undertake environmental projects.

141. At the start of the GEF SGP 5th Operational Phase (OP5), which runs from 2011 to 2014, the programme had supported a cumulative total of more than 14,600 projects and strengthened more than 12,000 civil society groups in 125 countries, across all the GEF focal areas. In the climate change mitigation focal area, GEF SGP programming has supported more than 2,824 community-based climate change mitigation projects totaling \$67 million, leveraging a further \$50 million in cash co-financing, and \$38 million in in-kind contributions.

142. During the reporting period, the GEF SGP funded 521 projects on climate change. With a total budget in grants of \$ 17.1 million, the amount co-financed on cash and in-kind has amounted to \$ 17.8 million. A majority (70 per cent) of the projects were developed by NGOs while the remaining 30 per cent were developed by CBOs. The projects belong to four categories: renewable energy (33 per cent); energy efficiency (27 per cent); sustainable transport (five per cent); and carbon storage (28 per cent). Projects specifically focused on capacity development and awareness raising constituted eight per cent of the portfolio. Of the 521 projects, 255 started during that period and are currently under implementation, which are expected to reduce 2.8 kt CO<sub>2</sub> eq per project on average. The 266 projects completed during reporting period achieved a GHG reduction of 503 kt CO<sub>2</sub> eq in total through the use of energy efficient and renewable energy technologies.

**3. Climate Change Adaptation****a. Overview of GEF Support for Adaptation**

143. As an entity entrusted with the operation of the financial mechanism of the UNFCCC, the GEF has played a pioneering role in supporting climate change adaptation. The GEF Operational Strategy of 1995<sup>22</sup> notes that “the strategic thrust of GEF financed climate change activities is to support sustainable measures that minimize climate change damage by reducing the risk, or the adverse effects, of climate change. The GEF will finance agreed and eligible enabling, mitigation, and adaptation activities in eligible recipient countries.” Initially, the GEF financed

<sup>22</sup> GEF Council document GEF/C.6/3 (September 1995).



Stage I<sup>23</sup> adaptation measures, particularly in the context of the formulation of National Communications. From the beginning of its second replenishment in 1998, the GEF has financed six regional and global Stage II initiatives to build capacity for adaptation in vulnerable countries. Totalling some \$27 million in GEF grants, these early programs, such as the Assessments of Impacts and Adaptations to Climate Change (AIACC)<sup>24</sup> and the Caribbean Planning for Adaptation to Climate Change (CPACC),<sup>25</sup> have been instrumental in preparing the ground for subsequent investments in adaptation.

144. In 2001, as part of the Marrakesh Accords, the COP decided to establish the Least Developed Countries Fund (LDCF) (decision 5/CP.7) and the Special Climate Change Fund (SCCF) (decision 7/CP.7). The GEF was entrusted with the management of the two funds, both of which were to prioritize climate change adaptation. The COP further requested the GEF to carry out pilot and demonstration projects to show how adaptation planning and assessment could be practically translated into projects that provide real benefits (decisions 6/CP.7; 27/CP.7). Accordingly, the Strategic Priority on Adaptation (SPA) was launched in 2005 as a \$50 million allocation within the GEF Trust Fund. The objective of SPA was to reduce vulnerability and to increase adaptive capacity to the adverse effects of climate change within the GEF focal areas.<sup>26</sup> Twenty-six innovative pilot projects were approved under SPA and initial lessons from the portfolio were captured in a 2010 evaluation.<sup>27</sup>
145. As SPA resources have been fully allocated and SPA is completed, the GEF now finances adaptation solely through the LDCF and the SCCF. The LDCF was established to support the special needs of least developed countries (LDC), as enshrined in Article 4 of the UNFCCC and the LDC work programme, with a priority to support the preparation and implementation of National Adaptation Programmes of Action (NAPAs). The SCCF, in turn, was established to finance activities, programs and measures relating to climate change that are complementary to those funded by the climate change focal area of the GEF Trust Fund, and through bilateral and multilateral sources. While the SCCF has four financing windows,<sup>28</sup> adaptation was given top priority in accordance with COP guidance (decision 5/CP.9). As of June 30, 2012, the LDCF and SCCF Adaptation Program (SCCF-A) had mobilized \$328.7 million and \$162.2 million respectively for 126 and 41 projects and enabling activities.
146. All adaptation projects and programs financed under SPA, the LDCF and the SCCF share the same guiding principles of country-drivenness, replicability, sustainability, stakeholder participation, and a specific focus on gender. These guiding principles are elaborated in relevant GEF policies, as well as in the programming principles and strategies that guide adaptation finance under SPA, the LDCF and the SCCF. Projects and programs supported

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<sup>23</sup> In decision 11/CP.1, the COP noted that “(i) adaptation to the adverse effects of climate change, as defined by the Convention, will require short, medium and long term strategies which should be cost effective, take into account important socio-economic implications, and should be implemented on a stage-by-stage basis in developing countries that are Parties to the Convention. In the short term, the following stage is envisaged:

- Stage I: Planning, which includes studies of possible impacts of climate change, to identify particularly vulnerable countries or regions and policy options for adaptation and appropriate capacity-building; (ii) In the medium and long term, the following stages are envisaged for the particularly vulnerable countries or regions identified in Stage I:

- Stage II: Measures, including further capacity-building, which may be taken to prepare for adaptation, as envisaged by Article 4.1(e);

- Stage III: Measures to facilitate adequate adaptation, including insurance, and other adaptation measures as envisaged by Article 4.1(b) and 4.4.

<sup>24</sup> <<http://www.aiaccproject.org/aiacc.html>>.

<sup>25</sup> <<http://www.caricom.org/jsp/projects/macc%20project/cpace.jsp>>.

<sup>26</sup> GEF Council document GEF/C.27/Inf.10 (October 2005).

<sup>27</sup> GEF Council document GEF/ME/C.39/4 (October 2010).

<sup>28</sup> In accordance with COP guidance, the SCCF finances activities related to climate change that are complementary to those funded by the GEF in the following areas: (a) adaptation to climate change; (b) technology transfer; (c) energy, transport, industry, agriculture, forestry and waste management; and (d) economic diversification. COP 9 decided that adaptation activities to address the adverse impacts of climate change shall have top priority for funding and that technology transfer and its associated capacity building activities shall also be essential areas for funding.

through these mechanisms are designed based on the information and guidance provided in National Communications and NAPAs, as well as other relevant assessments and action plans. These projects and programs are among the first to translate systematic and scientifically robust vulnerability assessments into concrete interventions that seek to enhance the resilience of core sectors such as agriculture and food security, water resources management, disaster risk management, public health, infrastructure development, and the sustainable management of ecosystems. These early initiatives have empowered developing countries to begin mainstreaming climate change adaptation across national and sub-national development policies, strategies and frameworks, and to safeguard some of the world's most vulnerable communities and individuals from the adverse effects of climate change.

147. The GEF applies a results-based management (RBM) framework for adaptation projects and programs financed under the LDCF and the SCCF. For adaptation, the two funds share the strategic goal of supporting developing countries to become climate resilient by integrating adaptation measures in development policies, plans, programs, projects and actions. Three strategic objectives guide efforts to achieve this goal; namely reducing vulnerability, increasing adaptive capacity, and promoting the transfer of adaptation technologies. The strategic objectives and their associated outcomes are shown in Table 6.

Table 6

**Climate Change Adaptation: Strategic Objectives and Expected Outcomes**

<i>Climate Change Adaptation (CCA) Objective</i>	<i>Expected Outcomes</i>
<b>CCA-1: Reducing Vulnerability:</b> Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level	<p><b>Outcome 1.1:</b> Mainstreamed adaptation in broader development frameworks at country level and in targeted vulnerable areas</p> <p><b>Outcome 1.2:</b> Reduced vulnerability to climate change in development sectors</p> <p><b>Outcome 1.3:</b> Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas</p>
<b>CCA-2: Increasing Adaptive Capacity:</b> Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level	<p><b>Outcome 2.1:</b> Increased knowledge and understanding of climate variability and change-induced threats at country level and in targeted vulnerable areas</p> <p><b>Outcome 2.2:</b> Strengthened adaptive capacity to reduce risks to climate-induced economic losses</p> <p><b>Outcome 2.3:</b> Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level</p>
<b>CCA-3: Adaptation Technology Transfer:</b> Promote transfer and adoption of adaptation technology	<p><b>Outcome 3.1:</b> Successful demonstration, deployment, and transfer of relevant adaptation technology in targeted areas</p> <p><b>Outcome 3.2:</b> Enhanced enabling environment to support adaptation-related technology transfer</p>

**b. Least Developed Countries Fund (LDCF)**

*Achievements Since Inception*

148. The LDCF was designed to address the special needs of LDCs under the UNFCCC, with the priority of supporting the preparation and implementation of NAPAs. At the end of the reporting period, \$328.7 million had been approved for projects and enabling activities to meet this mandate (see Figure 1). Since its inception, the GEF, through the LDCF, has financed the preparation of 48 NAPAs, of which 47 have been completed, while the remaining one is expected to be formally submitted to the UNFCCC Secretariat in the third quarter of 2012. Forty-six countries have officially submitted NAPA implementation projects for approval by the LDCF/SCCF Council or



the GEF CEO.<sup>29</sup> Seventy-six NAPA implementation projects in 44 countries have been approved for funding, totaling \$317.3 million and mobilizing \$1.5 billion in co-financing (see Table 7). Of 76 projects (51 in Africa, 23 in Asia, and two in Latin America and the Caribbean), 42 projects have been endorsed or, in the case of MSPs, approved by the GEF CEO, and thus find themselves under various stages of implementation. As of June 30, 2012, cumulative pledges to the LDCF amounted to \$540.2 million, of which \$451.5 million had been received.

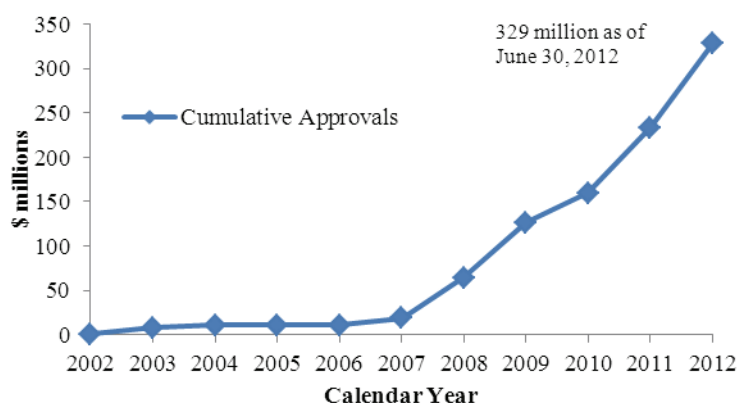


Figure 1  
Cumulative Funding Approvals under the LDCF (as of June 30, 2012)

Table 7

#### Regional Distribution of Adaptation Projects under the LDCF

<i>Region</i>	<i>Number of Projects</i>	<i>LDCF Financing (\$ millions)</i>	<i>Co-financing (\$ millions)</i>
Africa	51	204.6	1203.9
Asia	23	105.7	320.4
Latin America and the Caribbean	2	7.0	19.1
<b>Total</b>	<b>76</b>	<b>317.3</b>	<b>1543.4</b>

Includes all medium- and full-sized projects approved under the LDCF.

149. Through the LDCF, the GEF and its partners have allowed the world's most vulnerable countries to identify their urgent and immediate adaptation needs, and to carry out tangible measures to address such needs. At the end of the reporting period, 24 countries had at least two NAPA implementation projects approved, while six countries had seen at least three approvals and one country, Malawi, had four projects approved. Projects had also grown in size, with the last ten approvals under the LDCF averaging \$5.3 million, compared with \$3.5 million for the first ten. There is evidence to suggest that LDCs have been able to learn from their initial experiences of NAPA implementation, and to scale up successful approaches and practices. Thanks to a streamlined project cycle, user-friendly guidelines for accessing resources, and enhanced communication between the GEF Secretariat and LDC stakeholders, proposals are being developed and processed faster. The time elapsed between NAPA completion and the approval of the first NAPA implementation project has decreased from 32 months for the first five NAPAs to 12 months for the last five, with a recent record of merely 75 days for Timor Leste. Time elapsed between project approval and CEO Endorsement has been reduced from 17 months for the first ten projects to 14 months for the last ten.

<sup>29</sup> Support to the preparation of NAPAs is classified as an enabling activity. For purposes of this section, enabling activities are not shown in the summaries of projects and programs.

### *LDCF Achievements During the Reporting Period*

150. During the reporting period, two additional NAPAs were completed (Timor Leste and Angola), bringing the total of completed NAPAs to 47. To date, the following countries have completed their NAPAs: Afghanistan, Angola, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Cape Verde, Central African Republic, Chad, Comoros, Democratic Republic of the Congo, Djibouti, Eritrea, Ethiopia, the Gambia, Guinea, Guinea Bissau, Haiti, Kiribati, Lao People's Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Maldives, Mali, Mauritania, Mozambique, Nepal, Niger, Rwanda, Samoa, Sao Tomé and Príncipe, Senegal, Sierra Leone, Solomon Islands, Sudan, Timor Leste, Togo, Tuvalu, Uganda, United Republic of Tanzania, Vanuatu, Yemen, and Zambia.
151. The LDCF portfolio has seen considerable growth during the reporting period. Between July 1, 2011 and June 30, 2012, LDCF resources amounting to \$142.0 million were approved for 26 FSPs and 1 MSP. This represents an increase in grant approvals of 81 per cent in a single year (see also Figure 1). These projects will mobilize approximately \$650.4 million in co-financing from the governments of the recipient countries, GEF Agencies, other multilateral and bilateral agencies, NGOs, and the private sector. List and summaries of the projects approved in FY 2012 are presented in Annex 2 and Annex 4, respectively. Out of the 27 projects approved during the reporting period, 18 are in Africa and nine are in Asia. Four of these projects have been approved for LDCs classified as small island developing States (SIDS).
152. In addition, nine FSPs totaling \$29.4 million were endorsed by the GEF CEO during the reporting period, thus becoming ready to begin implementation on the ground.

### **c. Special Climate Change Fund (SCCF)**

#### *Achievements Since Inception*

153. The SCCF was established under the UNFCCC in 2001 to finance activities, programs and measures relating to climate change that are complementary to those funded under the climate change focal area of the GEF Trust Fund, and through other bilateral and multilateral sources. While the SCCF has four financing windows, adaptation was given top priority in accordance with UNFCCC guidance (Decision 5/CP.9). At the end of the reporting period, the GEF, through SCCF-A, had provided \$162.2 million for adaptation projects. Forty-one projects had been approved for funding, mobilizing \$1.25 billion in co-financing (Table 8). Of these, two projects had been completed and 25 projects had been endorsed by the GEF CEO, thus finding themselves in various stages of implementation. The SCCF remains the only multilateral source of adaptation finance open to all developing country parties to the UNFCCC. As of June 30, 2012, some \$241.1 million had been pledged to SCCF-A, of which \$197.7 million had been received. Despite recent significant pledges, the demand for SCCF-A resources continues to exceed supply.

Table 8

#### **Regional Distribution of Adaptation Projects under the SCCF-A**

<i>Region</i>	<i>Number of Projects</i>	<i>SCCF Financing (\$ millions)</i>	<i>Co-financing (\$ millions)</i>
Africa	14	44.1	273.4
Asia	13	56.7	735.5
Eastern Europe and Central Asia	4	17.1	66.4
Latin America and the Caribbean	8	37.7	155.7
Global	2	6.6	19.5
<b>Total</b>	<b>41</b>	<b>162.2</b>	<b>1,250.5</b>

Includes all medium- and full-sized projects under the SCCF-A.

154. Like the LDCF, SCCF-A has benefited from user-friendly guidelines for accessing resources, as well as a coherent

framework for RBM. The portfolio of projects and programs financed under SCCF-A represents a multitude of adaptation approaches in diverse regional settings. The program has continued to focus on agriculture, food security, and water resources management, but recent approvals also include efforts towards developing innovative insurance schemes as well as the transfer of adaptation technologies. New projects have been approved equally across all GEF regions.

155. An independent evaluation of the SCCF was completed during the reporting period, the main findings of which were presented to the LDCF/SCCF Council in November 2011. The evaluation concludes, *inter alia*, that the adaptation projects financed under SCCF-A are relevant to COP guidance; these projects are highly relevant to the national sustainable development agendas of beneficiary countries, contributing to socio-economic development goals; projects employ innovative approaches to overcome the lack of data on many emerging adaptation issues; and the SCCF has been managed by the GEF in a cost-effective way – its management costs are the lowest of comparable funds. The evaluation also notes, however, that the LDCF/SCCF Council should appeal to donors to adequately fund the SCCF in a predictable manner, preferably through a replenishment process.<sup>30</sup>

#### *SCCF Achievements During the Reporting Period*

156. During the reporting period, SCCF-A grants amounting to \$37.4 million were approved for nine FSPs and two programmatic approaches. These projects and programs will mobilize approximately \$492.8 million in co-financing from the governments of the recipient countries, GEF Agencies, other multilateral and bilateral agencies, NGOs, and the private sector. List and summaries of the projects and programs approved in FY 2012 are presented in Annex 2 and Annex 4, respectively. Out of the 11 projects and programs approved during the reporting period, two are in Africa, one is in Europe and Central Asia, five are in Asia and three are in Latin America.
157. In addition, eight FSPs totaling \$24.5 million were endorsed by the GEF CEO during the reporting period, thus becoming ready to begin implementation on the ground.

## **4. Technology Transfer**

158. The transfer of low-carbon climate-resilient technologies has been a key cross-cutting theme for the GEF since its establishment. The GEF-5 climate change mitigation strategy promotes technology transfer at various stages of the technology development cycle, from demonstration of innovative emerging low-carbon technologies to diffusion of commercially proven environmentally sound technologies (ESTs) and practices. Similarly, the results-based management framework for the SCCF and the LDCF includes the transfer and adoption of adaptation technology as one of the three overarching objectives of the funds. The entire GEF climate change portfolio can be characterized as supporting technology transfer as defined by the Intergovernmental Panel on Climate Change (IPCC) and by the technology transfer framework adopted by COP 7.<sup>31</sup>
159. As shown in Table 4, the demonstration and deployment of innovative technologies with significant impacts on long-run emissions reductions are supported under objective 1 (CCM-1). Deployment and diffusion of technologies, to be catalyzed by GEF investments, fall under mitigation objectives 2 through 5, addressing energy efficiency, renewable energy, urban systems and transport, and LULUCF. Enabling activities, such as the technology needs assessments (TNAs) and National Communications, also provide information on priorities to be addressed (CCM-6).
160. The SCCF has a specific financing window on technology transfer (SCCF-B), which has contributed to the implementation of the Poznan Strategic Program on Technology Transfer. In addition to SCCF-B, the transfer and adoption of adaptation technologies constitutes a strategic objective of the LDCF and the SCCF, including the SCCF Adaptation Program (SCCF-A).

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<sup>30</sup> LDCF/SCCF Council document GEF/LDCF.SCCF.11/ME/02 (October 2011).

<sup>31</sup> Decision 4/CP.7.

161. Technology transfer has been a major component in most adaptation projects and programs financed under the LDCF and the SCCF. Such projects have supported, *inter alia*, efficient irrigation systems, drought-resistant crops, climate resilient infrastructure, and high-tech solutions for hydro-meteorological monitoring, data logging and early-warning systems. In addition, capacity building, public awareness, and support for the mainstreaming of adaptation strategies in local economic development, land-use, and environmental planning have been important components of many projects.
162. In November 2008, the GEF Council and the LDCF/SCCF Council approved the Strategic Program on Technology Transfer, which included a funding window of \$50 million with \$35 million from the GEF Trust Fund and \$15 million from the SCCF-B.
163. In December 2008, COP 14 welcomed the GEF's Strategic Program on Technology Transfer (renaming it the Poznan Strategic Program on Technology Transfer) as a step toward scaling up the level of investment in the transfer of ESTs to developing countries, while recognizing the contribution that this program could make to enhancing technology transfer activities under the Convention. There are three funding windows to support technology transfer under the Poznan Strategic Program, namely: (1) technology needs assessments (TNAs); (2) piloting priority technology projects linked to TNAs; and (3) dissemination of GEF experience and successfully demonstrated ESTs. The following sub-sections describe progress made in each funding window. Projects supported under each window during the reporting period are summarized in Annex 3.

#### **a. Technology Transfer Pilot Projects**

164. Guided by COP decision 2/CP.14, the call for proposals for technology transfer pilot projects under window two of the Poznan Strategic Program was issued in March 2009 by the GEF CEO and closed in September 2009. Fourteen proposals of pilot projects were prioritized for funding, including 13 FSPs and one MSP. During the call for proposals, only one proposal for adaptation was received. This proposal was funded, along with three other proposals that included adaptation elements. Total GEF Trust Fund and SCCF-B funding for the 14 pilot projects amounted to \$58 million, and total co-financing for these projects comes to more than \$195 million.
165. As of June 2012, GEF Agencies charged with implementing these 14 pilot projects have reported progress in project preparation and implementation:
  - (d) Eight projects have been endorsed by the GEF CEO and are progressing in their implementation. These projects are taking place in Cambodia, Chile, China, Jordan, Mexico, Russia, Sri Lanka and Thailand. The funding from the GEF Trust Fund and SCCF-B for these project amounts respectively to \$41 million and \$2.4 million, and the total co-financing amounts respectively to \$173 million and \$5.5 million.
  - (e) Two projects have been undergoing preparations for GEF CEO endorsement by respective GEF Agencies and countries. These projects take place in Senegal and Cote d'Ivoire.
  - (f) One project was re-submitted by another Agency, and was approved by the GEF Council in November 2011. This project takes place in Colombia, Kenya, and Swaziland. It is currently undergoing preparations for GEF CEO endorsement.
  - (g) Three projects were cancelled upon request from the GEF Agencies and/or the concerned national government, one in July 2011, one in February 2012 and one in June 2012.
166. The technologies targeted by these projects address both mitigation and adaptation, and are diverse and innovative. They include technologies on renewable energy (solar, biomass, wind), energy efficiency (insulation materials, efficient and hydrofluorocarbon-free appliances), transport ("green" trucks), and composting. For adaptation-related technologies, membrane drip irrigation, flood- and drought-resistant crops with sustainable land management practices, and reduction of wave energy impacts on communities and infrastructure were included.
167. In response to SBI 36 conclusions, the GEF has requested the GEF Agencies in June 2012 to provide updates to

further elaborate on the experiences gained and lessons learned in carrying out the Poznan pilot projects and progress made by the Agencies in the delivery of technology transfer. The compiled information is presented in Annex 5. Furthermore, to strengthen its outreach and awareness-raising on funding opportunities for both mitigation and adaptation, the GEF plans to publish a revised brochure on the Poznan Strategic Program in early FY 2013.

#### **b. Technology Needs Assessments (TNAs)**

168. The TNA project concept, under window one of the Poznan Strategic Program, was approved by the LDCF/SCCF Council in April 2009. Based on this TNA project concept, UNEP, as the GEF Agency, developed a full project document, which was endorsed by the GEF CEO in September 2009. Project implementation by UNEP started in October 2009. Total SCCF-B funding for this project is \$9 million.

169. The TNA project aims to provide targeted financial and technical support to assist 35 to 45 developing countries in developing and/or updating their TNAs within the framework of Article 4.5 of the UNFCCC and to support them in preparing Technology Action Plans (TAPs). The project seeks to use methodologies in the updated TNA Handbook and to provide feedback to fine-tune the methodologies through an iterative process.

170. Key areas of progress that have been achieved during the reporting period include the following:

(a) Thirty-six countries are participating in the TNA project. They include:

*Africa (11):* Cote d'Ivoire, Ethiopia, Kenya, Ghana, Mali, Morocco, Mauritius, Rwanda, Senegal, Sudan, Zambia;

*Asia and Europe (15):* Azerbaijan, Bangladesh, Bhutan, Cambodia, Georgia, Indonesia, Kazakhstan, Laos, Lebanon, Moldova, Mongolia, Nepal, Sri Lanka, Thailand, Vietnam; and

*Latin America and the Caribbean (10):* Argentina, Bolivia, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Peru.

(b) A Project Steering Committee (PSC) has been constituted by UNEP to assess the project's progress and to plan upcoming activities. The PSC consists of representatives of the Expert Group on Technology Transfer (EGTT) until 2010, the UNFCCC Secretariat, UNEP, UNDP, UNIDO, the World Bank, UNEP Risoe Centre and the GEF Secretariat. In FY 2012, PSC meetings were held in November 2011 and May 2012.

(c) Building on the foundation established in most countries, technical support and stakeholder engagement are underway. During the reporting period, a second round of regional capacity-building workshops for countries was held in February 2012 in Africa, Asia and Latin America, adding to the collective training programme of the project.

(d) In regard to progress in TNA preparations, draft TNA reports were submitted by 12 countries (Bangladesh, Cambodia, Costa Rica, Cote d'Ivoire, Georgia, Indonesia, Mali, Morocco, Peru, Senegal, Thailand, and Vietnam) in 2011. TAPs were submitted by six countries (Costa Rica, Cote d'Ivoire, Indonesia, Morocco, Mali, and Thailand). For the remainder of the countries, UNEP requested a project extension until April 2013. TNAs and TAPs are recognized as contributing to existing national policies, plans/strategies including NAMAs, low-carbon development strategies, and the Millennium Development Goals. Linkages between the TNA Project and other climate change projects under UNFCCC such as National Communications have also been strengthened.

(e) The project has published material in 2011 on TNA practices. Three guidebooks to support adaptation TNAs and three sectoral guidebooks for mitigation have been developed and published. Another guidebook on mitigation in the building sector is under review and expected to be published in July 2012. Also, two finance guidebooks, one for mitigation and one for adaptation projects, are expected to be published by July 2012 and will be widely disseminated at the Experience Sharing Workshop to be held in Bangkok, Thailand in September 2012.

- (f) The Experience Sharing Workshop to be held in Bangkok, Thailand in September 2012 will serve to: (i) showcase best practices in TNA implementation; (ii) generate feedback from participating countries on the implementation process feeding into an expected new round of TNAs in response to requests from countries; (iii) enhance capacity of National TNA Coordinators in project proposal development; and (iv) facilitate interaction between country representatives and the funding community.
- (g) A series of case studies titled "Technology Transfer Perspectives" covering technology for adaptation and renewable energy was published in November 2011 and is available from the project website, <http://www.tech-action.org/perspectives.asp>.
- (h) The use of the updated handbook for conducting TNAs for climate change published by UNDP was included in COP decision 2/CP.14. The handbook has been shared with country teams and is being used as the basic resource document on the general methodology of sector prioritization. A new guidebook on how to conduct barrier analysis and develop enabling frameworks has been developed to supplement the TNA handbook. A draft version of the handbook was used for the first-round countries and, based on this experience, a final handbook was published in January 2012. The handbook is available at the website, <http://tech-action.org/Guidebooks.asp>.
- (i) The first project newsletter ("TNA Newsletter"), aimed at keeping countries and other stakeholders informed of the project's progress and sharing experiences, was published in June 2011. The second newsletter was released in October 2011; the third volume was published in November 2011 and distributed during COP 17; and the fourth newsletter was published in May 2012.
- (j) The project held a side event during COP 17 as described in paragraph 176 in this document.

171. The experience gained at this stage shows that:

- (a) High-level political support is crucial for TNA implementation effectiveness and sustained momentum against a backdrop of often competing initiatives in a given country; in addition, regular project updates delivered at periodic and ad hoc meetings to political and technical actors is needed to buttress this political buy-in.
- (b) Stakeholder engagement and commitment to the TNA process tends to be high where there is a strong signal from donors regarding the availability of financing for the TAP, NAPA and NAMA or specific prioritized technologies.
- (c) Efforts should continue to explore and operationalize synergies between TNA-TAP processes in countries and other existing efforts such as NAMAs, National Communications, and specific technology transfer projects to address the need to implement the results of TNAs and other efforts, while reaching out as well to new initiatives such as the CTCN.
- (d) Creating an efficient mechanism for delivering highly targeted information about real funding opportunities linked to prioritized technologies would be crucial.

### **c. Long-Term Implementation of the Poznan Strategic Program**

172. The GEF submitted a Long-Term Program on Technology Transfer to COP 16, in response to COP decision 2/CP.14. The GEF submission included the following elements to further scale up investment in ESTs in developing countries in accordance with the GEF-5 climate change strategy and to enhance technology transfer activities under the Convention: (i) Support for Climate Technology Centers and a Climate Technology Network (CTCN); (ii) Piloting Priority Technology Projects to Foster Innovation and Investments; (iii) Public-Private Partnership (PPP) for Technology Transfer; (iv) Technology Needs Assessments (TNA); and (v) GEF as a Catalytic Supporting Institution for Technology Transfer.

173. The GEF-5 climate change portfolio can be characterized as supporting technology transfer for mitigation. In GEF-



5 (FY 2011 and FY 2012), the GEF has supported 85 projects with \$835.6 million of GEF funding and \$5.9 billion of co-financing. Among these projects, 19 projects have to do with the promotion and transfer of innovative low carbon technologies while the remaining 66 are aimed at market transformation for specific technologies. Four of these projects incorporated both mitigation and adaptation objectives (with additional funding from the SCCF), and 37 combined climate change mitigation objectives with the objectives of other focal areas.

174. The GEF, through the LDCF and SCCF-A, has approved \$317.3 million and \$162.2 million respectively for 76 and 41 adaptation projects. These projects represent a considerable contribution towards the demonstration, deployment and diffusion of climate-resilient technologies. Out of the 76 projects approved under the LDCF, an estimated 40 have distinct components aimed at technology transfer. Under SCCF-A, at least 20 projects focus explicitly on technology transfer.

175. The progress made in Long-Term Program implementation in FY 2011 was reported to COP 17. During FY 2012, the following progress has been made in elements of the Long-Term Program.

(a) *Support for Climate Technology Centers and Climate Technology Network*: The GEF is supporting four regional projects as shown in Table 9. All projects receive funding from the GEF Trust Fund for mitigation as well as from the SCCF for adaptation. They are expected to generate lessons learned to help inform the ongoing process to operationalize the Technology Mechanism, in particular the CTCN. At the national level, the “*Facility for Low Carbon Technology Deployment*” project in India by the World Bank supports national level networking efforts and could be part of the future CTCN, with the potential to connect with other climate technology centers in developing countries. The summaries of projects approved in FY 2012 are presented in Annex 3.

Table 9

**GEF Regional Projects for Climate Technology Centres and Climate Technology Networks**

Title	Region	Agency	GEF financing (\$ millions)		Co financing (\$ millions)	Status
			Trust Fund	SCCF		
Pilot Asia-Pacific Climate Technology Network and Finance Center	Asia and Pacific	ADB/ UNEP	10.0	2.0	74.7	CEO Endorsed
Pilot African Climate Technology Finance Center and Network	Africa	AfDB	10.0	5.8	95.0	Council approved
Regional Climate Technology Transfer Center	Europe and Central Asia	EBRD	10.0	2.0	77.0	Council approved
Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean	Latin America and the Caribbean	IDB	10.0	2.0	63.4	Council approved

(b) *Piloting Priority Technology Projects to Foster Innovation and Investments*: For climate mitigation, 67 projects were approved in FY 2012 with \$546.6 million of GEF funding and \$3.9 billion of co-financing. These include 13 projects aimed at promoting and transferring innovative low carbon technologies, and 54 addressed toward market transformation in targeted sectors. Out of 67 projects, 27 projects have multiple focal area objectives. For SCCF-B, four projects, including the three regional projects for CTCN, were approved during the reporting period (see Table A2.4). A UNEP global project titled “*Enhancing Capacity, Knowledge and Technology Support to Build Climate Resilience of Vulnerable Developing Countries*,” which is financed from SCCF-B, will build climate resilience using an ecosystem management approach supporting south-south technology transfer.

- (c) *Public Private Partnership (PPP) for Technology Transfer*: PPP Programs can be a strong tool for promoting technology transfer by supporting businesses in developing countries that are trying to commercialize or scale up ESTs. As described in Part III, Section 1, two new PPP Programs were approved in FY 2012. These PPP Programs aim to use concessional loans or equity investments to promote technology transfer; foster clean energy development; and protect natural resources in several countries in Africa and Latin America.
- (d) *Technology Needs Assessments (TNAs)*: Progress achieved under the Poznan Strategic Program on Technology Transfer, particularly in the development of pilot projects and TNAs, has highlighted the need to go beyond current practices to catalyze investments in technology transfer. The GEF is ready to support additional TNAs focusing on low- and medium-income countries, taking into consideration the lessons learned from the ongoing Poznan-supported TNA project implemented by UNEP. During this reporting period, UNEP conducted a mid-term review of the project to articulate such lessons. Regarding additional TNA support, the GEF Council approved an innovative project in India that combines an NC, BUR, and TNA.<sup>32</sup> Furthermore, a large-scale TNA project in China was endorsed by the GEF CEO during FY 2012. This project combines extensive sectoral TNAs with pilot implementation and monitoring of activities targeting prioritized climate technologies, particularly in energy efficiency.
- (e) *GEF as a Catalytic Supporting Institution for Technology Transfer*: The GEF participated in key international discussions supporting the development of technology transfer initiatives and to raise awareness about the Longer-Term Program during the reporting period (see paragraphs 96 and 176 in this document).

#### **d. Dissemination of GEF Experiences in Technology Transfer**

176. The GEF has been supporting dissemination of GEF experiences and of successfully demonstrated ESTs, under window three of the Poznan Strategic Program. The project is managed by the GEF Secretariat in collaboration with relevant GEF Agencies and other interested parties. Key activities and progress made during this reporting period include:

- (a) *Publications related to Technology Transfer*. The GEF has prepared a publication on lessons learned in the past 20 years (see paragraph 227 in this document) and is preparing another publication on energy efficiency.
- (b) *GEF Technology Transfer website*. The GEF website has been updated periodically with specific information on technology transfer, which can be accessed from: <http://www.thegef.org/gef/TT>.
- (c) *COP 17 Side Event on GEF: "GEF Innovations and Technology Transfer," 3 December 2011*. The objective of the meeting was to share information about GEF innovative approaches to technology transfer as well as to launch the first GEF-funded regional climate technology center and network in the Asia-Pacific region.
- (d) *COP 17 "Joint SBI/SBSTA Forum on the Impact of the Implementation of Response Measures," 1 December 2011*. The GEF secretariat participated in this forum in response to a request from the UNFCCC Secretariat, and gave a presentation on technology transfer.
- (e) The GEF held a variety of meetings and workshops to share and inform on the potential for wide climate change technology applications in developing countries (see paragraph 96 in this document).

## **5. Enabling Activities and Capacity Building**

### **a. Overview of GEF Support for Enabling Activities**

177. Enabling activities fulfill essential communication requirements to the UNFCCC, namely National Communications (NCs), and provide information to enable policy decisions to be made. Since its inception, the

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<sup>32</sup> The project title is "Preparation of Third National Communication (3NC) to the UNFCCC and Strengthening Institutional and Analytical Capacities on Climate Change."



GEF has funded 252 projects on enabling activities with \$283.7 million GEF funding (see Table 10). These projects were funded from the GEF Trust Fund. GEF projects for enabling activities cover developing countries in all regions in a well-balanced manner, i.e., throughout Asia, Africa, Latin America and the Caribbean, and Eastern Europe and Central Asia. UNDP and UNEP have participated in the implementation of these GEF enabling activity projects.

Table 10

**GEF Projects on Enabling Activities by Region (1991–2012)**

<i>Region</i>	<i>Number of Projects</i>	<i>GEF Amount (\$ millions)</i>	<i>Co-financing (\$ millions)</i>
Africa	84	24.6	1.3
Asia	54	52.2	56.1
Eastern Europe and Central Asia	30	7.4	1.4
Latin America and the Caribbean	66	40.7	33.3
Global	18	158.8	25.3
<b>Total</b>	<b>252</b>	<b>283.7</b>	<b>117.4</b>

178. As shown in Table 11, the number of enabling activity projects has been decreasing from the early days to the present. This is partly because umbrella-type global projects, which cover a number of countries, have played a major role since GEF-3 to support NCs. In addition, it is worth noting that co-financing, which comes mainly from national governments, is increasing.

Table 11

**GEF Projects on Enabling Activities by Phase**

<i>Enabling Activities</i>			
<i>Phase</i>	<i>Number of Projects</i>	<i>GEF Amount (\$ millions)</i>	<i>Co-financing (\$ millions)</i>
GEF Pilot (1991–1994)	8	34.1	9.4
GEF-1 (1994–1998)	93	40.7	7.3
GEF-2 (1998–2002)	101	31.8	4.1
GEF-3 (2002–2006)	36	83.0	14.0
GEF-4 (2006–2010)	8	56.1	30.2
GEF-5 FY 2011	0	0.0	0.0
GEF-5 FY 2012	6	38.0	52.3
<b>Total</b>	<b>252</b>	<b>283.7</b>	<b>117.4</b>

179. Under GEF-5, the objectives and expected outcomes of enabling activities are included as one of the Climate Change Mitigation Strategic Objectives and Results Framework (Table 4). Annex 1, Section 3 provides a list of enabling activity projects approved in the reporting period, FY 2012. The GEF allocated \$38 million from the GEF Trust Fund to six enabling activity projects in the climate change focal area. These projects will leverage \$52.3 million in co-financing. Of these projects, two are global umbrella NC support programmes for LDCs and SIDS. Four projects support the development of NCs at the country level, with BUR development included in two of these. Summaries of the enabling activity projects are provided in Annex 3, Section 4. In addition, one project

supports NAMA development and implementation in the energy sector.<sup>33</sup>

## **b. National Communications**

180. The GEF continues to provide full-cost funding for NCs. All requests to support NCs have been met by the GEF. The GEF has set aside resources so that each country can get up to \$500,000 for NCs. These resources are separate from the STAR allocations of countries. The GEF has expanded its options for countries to access resources for NCs. There are now four options. In the first option countries can work with the GEF Agency of their choice. In the second option countries can be part of the UNEP Umbrella project for NCs. In the third option, countries can access resources up to \$500,000 via direct access from the GEF Secretariat. The resources for direct access do not come from the country STAR allocation. Fourthly, for those countries that wish to do full-sized projects and require additional resources, they can use their STAR allocation.

181. In this reporting period, 28 Parties have submitted NCs to the UNFCCC. All the NC projects currently under implementation are at different stages of progress. Based on the status report submitted by the GEF Implementing Agencies in March 2012, 56 countries reported their intention to submit their NCs by the end of 2012. For country-by-country details, please see Annex 6. The GEF will submit an addendum to this report, prepared in collaboration with UNDP and UNEP, which updates the COP on the status of NCs from non-Annex I Parties, including the approximate date of submission to the COP, as well as on the status of BURs.

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

182. The GEF, through its Agencies, continues to provide assistance to countries in formulating project proposals identified in their NCs in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2. The GEF Agencies work with countries in order to identify and formulate project proposals. This active collaboration aims to secure that proposals will be country-driven and consistent with the priorities or programs of the countries, as these are identified in their NCs and other national strategy papers. The GEF Agencies support countries during the formulation and development of proposals through the implementation of capacity building activities as described in detail in the next sub-section, and also through bilateral communications.

183. In order to submit any project proposal for approval, the GEF Agencies have to ensure the proposal's consistency with a country's national priorities. The country confirms its endorsement of the proposal by providing a letter signed by the GEF Operational Focal Point (OFP). Following the proposal submission, the GEF Secretariat, as a prerequisite for approval, examines and confirms its linkage to national priorities or programs. All the projects that have been approved by the GEF during the reporting period have been confirmed to correspond explicitly to national priorities, including those identified in NCs.

184. In GEF-5, many countries have undertaken the GEF National Portfolio Formulation Exercises (NPFs). These are undertaken voluntarily by countries and serve as a means for seeking GEF support. The NPFs provide additional opportunities for countries to formulate and develop project proposals identified in their NCs. More information on the NPFs is in Part III, Section 1. In addition, the GEF will utilize other assessments supported within the Convention framework, such as the TNAs, to inform project proposal development on a voluntary basis.

### *The National Communications Support Program (NCSP)*

185. The National Communications Support Program (NCSP) is implemented by UNDP and UNEP. As the NCSP arrives at its final year of services, it continues its support to non-Annex I countries for the completion of their NCs, through a number of activities. Under thematic and sub-regional training, the NCSP collaborated with the UNFCCC in the development of training and guidance materials for the following workshops organized under the Consultative Group of Experts on NCs (CGE): (i) Greenhouse Gas Emissions Inventories for Latin America and Caribbean (September 2011, Santiago, Chile); (ii) Vulnerability and Adaptation Assessment for the African Region

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<sup>33</sup> The project (*Peru: Nationally Appropriate Mitigation Actions in the Energy Generation and End-Use Sectors*) is classified as a climate change mitigation project.

(November 2011, Nairobi, Kenya); and (iii) Mitigation Assessment for the Asia-Pacific Region (February-March 2012, Bangkok, Thailand). This collaboration is intended to ensure the most cost-efficient training approach by joining efforts with the UNFCCC in the delivery of training support to countries.

186. In the area of targeted technical backstopping, one of the main activities during the reporting period was to provide one-on-one support to countries facing difficulties in finalizing their NCs. The package of support activities included:

- Guidance to national teams on specific areas of the NC work to fill gaps and improve the technical quality of the studies;
- Technical reviews of draft studies in the areas of GHG inventories, mitigation analysis and vulnerability and adaptation assessments;
- Feedback on draft NC reports, at the request of countries, to improve the reports before submission to the UNFCCC;
- On-line discussions with project coordinators on technical questions to provide recommendations on how to address specific constraints;
- Guidance and assistance in the preparation of terms of references for the technical studies; and
- Dissemination of relevant technical work and case studies to provide information and data to countries, as requested.

187. In the area of publication and guidance material, the NCSP published the guidance document “*The National Communication as a Tool for Integrating Climate Change into National Development*,” which was distributed during COP 17 in Durban. Furthermore, dissemination and exchange of information included the publication of the NCSP bi-monthly newsletter (in English, French and Spanish) featuring articles from non-Annex I Parties on their findings and experiences from their NC preparation, as well as the dissemination of relevant materials through the NCSP website (<http://ncsp.undp.org>).

188. The GEF Secretariat will continue to work with UNDP and UNEP in providing assistance to countries for NCs, BURs, and emerging issues from the UNFCCC. During the reporting period, two umbrella programmes for NCs were approved to provide financial and technical support to 36 LDCs and SIDS. Summaries of the two programmes are provided in Annex 3, Section 4.

### **c. Capacity Building**

#### *Capacity Building in GEF Mitigation and Adaptation Projects*

189. Capacity building is a key theme of GEF projects, and is embedded in the design of both mitigation and adaptation projects. In particular, capacity building for enabling activities and fulfillment of Convention obligations is identified as a distinct objective in a large number of projects.

190. Among the 67 climate change mitigation projects approved in FY 2012, 64 projects have included activity components on capacity building. The total GEF amount for these components is \$111.0 million. For example, the project titled “*Nationally Appropriate Mitigation Actions in the Energy Generation and End-Use Sectors*” in Peru includes strengthening human and institutional capacity of the country as one of the project objectives.

191. For adaptation, projects financed under the LDCF and the SCCF consistently include distinct components for capacity building, as defined in decision 2/CP.7. All 76 projects approved under the LDCF as of June 30, 2012, and 39 of the 41 projects approved under SCCF-A, include components or sub-components aimed at capacity building. In addition to targeted training and awareness raising for relevant stakeholders, these projects contribute to the knowledge base necessary for effective adaptation, through support for hydro-meteorological observation systems, modeling, and vulnerability assessments (see also paragraph 62 in this document). Moreover, adaptation projects allow stakeholders to learn by doing, through the design and implementation of pilot and demonstration activities. Finally, by mainstreaming climate change adaptation across national and sub-national policies, plans and frameworks, projects financed under the LDCF and the SCCF help create enabling environments for adaptation action.

192. The GEF will request the Agencies and countries to provide data on the resources specifically allocated to capacity building and public awareness for each project. The compiled information will be submitted as an addendum to this report at a later date, by early November 2012.

#### *GEF-5 Cross-Cutting Capacity Development*

193. For GEF-5, cross-cutting capacity development (CCCD) programmatic frameworks have been approved, with \$70 million allocated outside the STAR. Five objectives of the frameworks<sup>34</sup> are:

- Enhancing the capacities of stakeholders to engage throughout a consultative process;
- Generating, accessing, and using information and knowledge;
- Strengthening capacities to develop policy and legislative frameworks;
- Strengthening capacities to implement and manage global Convention guidelines; and
- Enhancing capacities to monitor and evaluate environmental impacts and trends.

194. The first objective is implemented through the GEF Country Support Program (CSP) and the GEF SGP. The CSP organized 13 ECWs during FY 2012. The UNFCCC focal points of each country, as well as other convention focal points, the GEF national focal points, and other stakeholders were invited to enhance their knowledge about GEF strategies, policies and procedures and to encourage coordination. The GEF SGP achievements for FY 2012 are summarized in Part II, Section 2.d.

195. The remaining four strategic objectives are implemented through targeted CCCD projects, with GEF funding up to \$1 million at an equal ratio of co-financing. Given the inherent relationship between policies, legislation, the organizations that seek to implement and enforce them, and the technical skills and resources organizations need to carry out their work, there is overlap in the capacities to be developed among the CCCD programmatic frameworks. The focus of targeted CCCD in GEF-5 builds on National Capacity Self Assessment (NCSA) recommendations. During the reporting period, two GEF SGP projects included the strategic framework components. Future CCCD projects will address urgent capacity challenges and priorities necessary to enhance a country's ability to meet its obligations under the three Rio Conventions.

196. The strategic logic behind these types of projects is to strengthen the underlying capacities needed to implement and sustain objectives and outcomes in biodiversity, climate change, and land degradation. For example, in order to mitigate and adapt to the impacts of climate change and climate variability, a country must have a minimum foundation of capacity at the individual, institutional and systemic level in order to adequately conceptualize, develop, execute and manage project interventions, and to meet their obligations under the Rio Conventions. The same applies to protecting endemic species and tackling desertification.

197. The NCSA and CCCD work represent a valuable resource wherein countries identified and assessed their priority capacities (individual, organizational, and systemic) to address climate change concerns, and then take practical measures to address capacity gaps and shortcomings. Specifically, the NCSA and CCCD work relates directly to the following priority areas according to the UNFCCC capacity building framework<sup>35</sup>:

- Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points;
- Enhancement and/or creation of an enabling environment;
- Vulnerability and adaptation assessment;
- Capacity-building for implementation of adaptation measures;
- Improved decision-making, including assistance for participation in international negotiations;
- Needs arising out of the implementation of Article 4, paragraphs 8 and 9, of the Convention;
- Education, training and public awareness.

198. The GEF is committed to continuing to provide support for countries to build their capacities to meet the

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<sup>34</sup> GEF Council document GEF/C.37/3 (May 2010), page 77.

<sup>35</sup> COP decision 2/CP.7.

challenges of climate change.

## 6. Results-Based Management (RBM)

199. The GEF's Results-Based Management (RBM) system aims to improve management effectiveness and accountability by defining expected results and targets, monitoring progress toward results, integrating lessons learned into management decisions, and reporting on performance. The GEF has strengthened its RBM system and engaged with GEF Agencies to improve its Annual Monitoring Report (AMR) process.
200. Under the RBM system, GEF Agencies are responsible for monitoring individual project progress against a set of portfolio-specific results indicators, which align with GEF focal area indicators, and as appropriate, results indicators are aggregated for each focal area portfolio. Each GEF Agency submits individual annual Project Implementation Reports (PIRs) on all active projects in their respective portfolios. The AMR includes performance ratings by focal area, Agency, and region, based on Agency PIRs. During the reporting period, Parts I and II of the AMR 2011 were submitted to the GEF Council.
201. The AMR 2011: Part I<sup>36</sup> includes performance ratings of GEF's projects that have started implementation on or before June 30, 2011 and were under implementation for at least a part of FY 2011. For climate change mitigation, 164 projects, including 125 FSPs and 39 MSPs, were rated on their performance towards meeting the project's overall global environment/development objective and implementation progress. As shown in Table 12, 88 per cent of the projects were rated marginally satisfactory or above in the likelihood of achieving project development objectives. On the progress towards implementation, 84 per cent were ranked marginally satisfactory or above. Both ratings met the target set by the GEF Council of at least 75 per cent marginally satisfactory or above.<sup>37</sup>

Table 12

### Performance Ratings for Climate Change Mitigation Projects

Focal Area	Total No. of Projects	Project Objective Ratings		Implementation Progress Ratings	
		Percentage Marginally Satisfactory or above	Percentage Marginally Unsatisfactory or below	Percentage Marginally Satisfactory or above	Percentage Marginally Unsatisfactory or below
Climate Change	164	88%	12%	84%	16%

202. The AMR 2011: Part II<sup>38</sup> provides an analysis of projects that have undergone a mid-term review or were in their last year of implementation in FY 2011. For climate change mitigation, a total of 19 projects reached completion and 15 reached mid-term in FY 2011. Out of the 19 completed projects, as shown in Table 13, approximately 62 Mt CO<sub>2</sub> eq of lifetime direct GHG emission reductions were achieved (66 per cent of summed targets as compared to the targets set at the endorsement stage), and are expected to achieve an indirect impact of at least 99.4 Mt CO<sub>2</sub> eq of emission reductions.<sup>39</sup> The gap between the project targets and actual results come from: inconsistency in reporting and emission tracking; and lack of emission reduction reporting from part of the GEF-2 projects. In this regard, it is noteworthy that reporting and tracking of GHG emission reductions were improved at a later stage (GEF-3 and GEF-4).

<sup>36</sup> GEF Council document GEF/C.41/04/Rev.02 (December 2011).

<sup>37</sup> The GEF ratings use a 6-point scale: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Marginally Unsatisfactory, Unsatisfactory, and Highly Unsatisfactory.

<sup>38</sup> GEF Council document GEF/C.42/05/Rev.01 (May 2012).

<sup>39</sup> The indirect emission reductions could potentially be much larger. Many of these 19 projects were proposed before the tracking tools were developed. Therefore the indirect benefits were not tracked or reported.

Table 13

**Cumulative GHG Emission Reductions by GEF Phase as of FY 2011**

<i>GEF Phase</i>	<i>Number of Projects</i>	<i>Project Targets * (Mt CO<sub>2</sub>eq)</i>	<i>Actual Results (Mt CO<sub>2</sub>eq)</i>	<i>Percentage Achieved</i>
GEF-2	6	32.87	10.66	32%
GEF-3	12	61.34	51.2	83%
GEF-4	1	0.02	0.04	>100%
<b>Total</b>	<b>19</b>	<b>94.22</b>	<b>61.91</b>	<b>66%</b>

\* Target as in project document at endorsement stage

203. For climate change adaptation, the AMR 2011: Part II analyzed one project which reached completion and two projects which reached mid-term in FY 2011 under the Strategic Priority on Adaptation (SPA). For the two projects at mid-term, both experienced partial progress towards outcomes, and were rated satisfactory in this regard. One completed project, which aimed to contribute to the mainstreaming of adaptation within the development planning of non-Annex I countries, satisfactorily met this goal and appears likely to be sustainable.

204. Moreover, the FY 2011 AMR for the LDCF and the SCCF provides performance ratings for 14 active projects under the LDCF and 13 projects under SCCF-A. Twelve of the projects under the LDCF were rated marginally satisfactory or above in terms of their progress towards adaptation objectives, representing 86 per cent of all projects starting implementation on or before June 30, 2010. Under SCCF-A, 12 projects or 92 per cent were rated in the satisfactory range for progress towards their adaptation objectives.<sup>40</sup>

<sup>40</sup> LDCF/SCCF Council document GEF/LDCF.SCCF.12/04 (May 2012).



## Part III. GEF Initiatives during the Reporting Period

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

### 1. Progress on GEF Reforms

#### a. National Portfolio Formulation Exercise (NPFE)

206. In GEF-5, one of the key reforms to enhance country ownership is the provision of resources through direct access for countries to undertake a National Portfolio Formulation Exercise (NPFE) on a voluntary basis. NPFE arose from Recommendation 5 of the Fourth Overall Performance Study (OPS) of the GEF which “called for the further development of programming at the national level by supporting the creation of GEF national committees and the development of GEF national business plans.” NPFE serves as a foundation for programming GEF resources at the country level, enabling countries to identify priority areas for GEF support in line with the countries’ development objectives and climate change policies and strategies. Therefore, a key objective for the voluntary NPFEs is to strengthen country ownership over decisions on GEF resource programming. The GEF Secretariat provided financial support to interested recipient countries to cover the costs of these exercises, including the holding of necessary meetings, broader consultations, and contracting any necessary consultants or experts. The output of NPFE is a National Portfolio Formulation Document (NPDF), which identifies and describes a country’s strategic priorities under each of the GEF focal areas plus an indicative list of project concepts that could be developed to achieve these objectives. In a departure from prior country-level programming practices, by carrying-out the NPFEs, countries have provided a more predictable and transparent programming process at the national level, which allows the GEF Secretariat, the GEF Agencies, and the GEF Council to gain a better understanding of each country’s prospective project pipeline during a replenishment period. An update on the NPFEs was presented as an information paper to the GEF Council in June 2012.<sup>41</sup>

207. As of June 30, 2012, 32 countries undertook NPFEs with support from the GEF while 10 countries carried out NPFEs or similar programming exercises without requesting financial support from the GEF. Out of 42 countries which undertook NPFEs or similar programming exercises, 30 countries have submitted their NPDFs. Those documents are available on the GEF web-site at <http://www.thegef.org/gef/NPDF>. Climate change mitigation priorities identified in NPFEs are shared with GEF Agencies to help inform project development discussions.

#### b. Broadening the GEF Partnership

208. GEF-financed projects are currently implemented by the ten Agencies. With regard to broadening the GEF partnership, the GEF Council in May 2011 approved a pilot to accredit new institutions to serve as GEF project implementing partners. Accredited new institutions will be able to receive resources directly from the GEF to implement projects, thereby enabling direct access. The application system has two stages. Stage I is for determining the applicants’ value-added to the GEF partnership while Stage II is for determining the applicants’ level of compliance with the GEF’s minimum fiduciary standards as well as its environmental and social safeguards policies.

209. Sixteen agencies and organizations submitted the Stage I applications to the GEF Secretariat. Based on the GEF Secretariat’s review of those applications, the GEF Council in June 2012 approved 11 agencies (five national agencies,<sup>42</sup> two regional agencies<sup>43</sup> and four civil society organizations<sup>44</sup>) progress to Stage II of the accreditation

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<sup>41</sup> GEF Council document GEF/C.42/Inf.06 (May 2012).

<sup>42</sup> National Agencies: South Africa, the Development Bank of Southern Africa (DBSA); Brazil, Fundo Brasileiro para a Biodiversidade (FUNBIO); China, Ministry of Environment, Foreign Economic Cooperation Office (MEP FECO); Peru, National Environment Fund (FONAM); and Russian Federation, VTB Bank (VTB)

process. An Application Panel will review Stage II applications and seek to determine whether applicants' status comply with the GEF standards.

### c. Private Sector Strategy

210. The GEF has engaged with the private sector since its inception, by the underlying idea that in order to have long-term and substantive impact on the global environment, private enterprises -the dominant driver of economic activity- must be encouraged to pursue commercially viable activities that also generate global environmental benefits (GEBs). For GEF-5, the Parties to the replenishment agreed to a private sector set-aside of \$80 million.
211. At the November 2011 Council meeting, the *GEF-5 Revised Strategy for Enhancing Engagement with the Private Sector*,<sup>45</sup> defining specific modalities for utilizing the set-aside, was approved. The strategy emphasizes partnerships with the multilateral development banks (MDBs) to focus on the expanded use of non-grant instruments, and also includes components to support technology transfer and innovation among small and medium enterprises (SMEs). To guide the implementation of Public Private Partnership (PPP) Programs under the approved strategy, the *Operational Modalities for Public Private Partnership Programs*<sup>46</sup> was developed and submitted to the GEF Council in June 2012. These operational modalities describe the process for preparing and submitting PPP Programs as Programmatic Framework Documents under the GEF Process Cycle.
212. Under the approved strategy, the GEF has worked with MDBs to develop PPP Programs that will make investments in private sector partners for activities that will generate GEBs. The GEF Council in June 2012 approved two regional PPP Programs as the first to access the GEF-5 private sector set-aside: (i) *the Multilateral Investment Fund (MIF)-IADB Public-Private Partnership Program*; and (ii) *AfDB Public-Private Partnership Program*. These two PPP programs will deliver significant GEBs, including reduction of GHG emissions, and enhance private sector engagement in Latin America and Africa. Summaries of the two PPP programs can be found in Annex 3, Section 3.

### d. Scientific and Technical Advisory Panel (STAP)

213. The Scientific and Technical Advisory Panel (STAP) is an advisory body to the GEF with the mandate to provide objective, strategic, scientific and technical advice on the GEF's policies, operational strategies, programs and projects. The STAP also interacts with other relevant scientific and technical bodies, including the subsidiary body of the UNFCCC.
214. During the reporting period, the STAP's activities include:
- (a) Submission of the GEF-STAP cross-focal area workshop report: "*Review of tools and methods to increase climate resilience of GEF projects and programs*" to the GEF Council in November 2011. Based on the report, the STAP will introduce a climate risk screening procedure as an integral part of its screening process, and will monitor climate risk-related information in proposals in the future, and report back to the GEF Council on a regular basis.
  - (b) Presentation of an advisory document to the GEF Council on "Experimental Project Design in the GEF: Designing Projects to Create Evidence and Catalyze Investments to Secure Global Environmental Benefits." The document describes how the GEF can contribute to improving project design with features of experimental designs to test important questions related to effective project implementation.

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<sup>43</sup> Regional Agencies: Latin America, Banco de Desarrollo de America Latina (CAF); West Africa, Banque Ouest Africaine de Développement (BOAD),

<sup>44</sup> Civil Society Organizations: World Wildlife Fund, Inc. (WWF- US); Conservation International (CI); International Union for Conservation of Nature (IUCN); and International Federation of Red Cross and Red Crescent Societies (IFRC)

<sup>45</sup> GEF Council document GEF C.41.09.Rev1 (November 2011).

<sup>46</sup> GEF Council document GEF/C.42/Inf.08 (May 2012).



- (c) A workshop on “*Developing GHG Emission Reduction Methodology for GEF Energy Efficiency Projects*” was hosted by STAP in February 2012. The main goal of the workshop was to review the approach for the new GEF energy efficiency methodology proposed to be used by STAP to assess ex-ante (before actual project implementation starts) GHG benefits of these projects across multiple sectors.

## **2. Synergies across GEF Focal Areas and Trust Funds**

215. There has been a significant shift during GEF-5 towards projects and programs which seek to achieve multiple GEBs by combining resources from several focal areas to achieve greater impact, in a more integrated manner. Multi-focal area (MFA) projects include objectives from more than one focal area usually to take advantage of additional benefits or synergies that may be derived by explicitly focusing on multiple objectives. As well, the financing with resources from multiple trust funds to address mitigation and adaptation priorities, should allow for synergistic efficiencies and greater strategic synergies. An illustrative example of an MFA, multi-trust fund (MTF) initiative is a program titled “*Sahel and West Africa Program in Support of the Great Green Wall Initiative*.” For this program, the GEF is providing a total \$108.8 million of financing: \$87.8 million from the GEF Trust Fund (climate change mitigation, biodiversity, SFM/REDD+ and land degradation); \$16 million from the LDCF; and \$5 million from the SCCF. The program focuses on sustainability and resistance to climate change in the Sahel. In COP 17, the GEF hosted a discussion of African leaders and international development organizations on the combined efforts to protect and enhance the key natural resources of sub-Saharan Africa.
216. Out of the 67 climate change mitigation projects approved in the reporting period, 27 projects are MFA ones; and three projects are MTF that are financed from the GEF Trust Fund and SCCF-B. Out of seven climate change mitigation programs, five are MFA; two are MTF financing from the GEF Trust Fund and SCCF-B. Of the 27 climate change adaptation projects under LDCF approved in the reporting period, two projects are MTF which are co-financed from the GEF Trust Fund.
217. As illustrative examples of synergies across GEF focal areas, the following sub-section describes LULUCF linkage to sustainable forest management and GHG benefits of mitigating Ozone-depleting substances.

### **a. LULUCF linkage to Sustainable Forest Management and REDD+ Program during GEF-5**

218. Since its inception, the GEF has recognized the importance of forests for their role in producing GEBs, sustaining livelihoods, and their potential contribution to countries’ sustainable development plans. The LULUCF strategy focuses on the importance of forests for climate change mitigation by promoting restoration, enhancement, and management of carbon stocks in forests as well as preventing emissions to the atmosphere through the reduction of the pressure on these lands in the wider landscape. In addition, LULUCF explicitly recognizes that interventions on all land-uses and land-use changes may affect carbon stocks and GHG benefits, and so covers the spectrum of land-use and land-use change categories, including not only forests but non-forest lands such as peatlands, as well as production and conservation landscapes. LULUCF is the climate change mitigation linkage to the GEF’s SFM/REDD+ Program which strengthens GEF investments in forests to take advantage of the latest developments in new and innovative financing opportunities for Sustainable Forest Management and for REDD+.
219. The SFM/REDD+ Program is used to coalesce and augment MFA investments in transformative initiatives in forests across the landscape that deliver multiple GEBs, including climate change mitigation-, biodiversity-, and land degradation-related benefits in the context of sustainable forest management. The GEF has a significant comparative advantage in directing investments that support such measures. Because the SFM/REDD+ Program leverages resources additional to those from the climate change focal area, this new program has resulted in additional incremental resources directed at climate change mitigation-related benefits.
220. Measuring or monitoring systems are key for showing land or plant-based climate change mitigation. During GEF-5, therefore, LULUCF objectives focus on activities that will develop national systems to measure or monitor carbon stocks and fluxes from forest and non-forest lands, strengthen related policies and institutions, undertake good management practices with local communities, and establish financial mechanisms and investments.

Including LULUCF objectives in SFM/REDD+ projects allows for meaningful consideration of climate change mitigation benefits for the entire landscape, which may include areas of non-forest. SFM/REDD+ interventions reduce pressures on forest resources and generate sustainable flows of forest ecosystem services, and strengthen the enabling environment to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks. All SFM/REDD+ projects are expected to show carbon benefits.

221. The SFM/REDD+ Program includes a separate \$250 million funding envelope for forests, which was derived from the three STAR focal areas, including climate change mitigation. This operates as an incentive mechanism for developing countries to invest up to \$750 million of their STAR allocations in forests. Altogether, up to \$1 billion will be made available for SFM/REDD+ projects throughout GEF-5. The allocation of resources to projects and programs in SFM/REDD+ is made in a ratio of 3:1 that is, for every three units of investment from a country's STAR resources one unit will be released from the SFM/REDD+ incentive to the project. To qualify for SFM/REDD+ incentive funds, a country's combined allocations in the project must be above the minimum investment of \$2 million up to a maximum of \$30 million. Large allocation countries may also choose to allocate additional resources for forests, but these would not be eligible for incentive funding beyond the \$30 million ceiling.

#### **b. Co-Benefits of Mitigating Ozone-Depleting Substances**

222. Since 1991, the GEF has assisted 18 Countries with Economies in Transition (CEITs) to meet their ozone-depleting substances (ODS) phase-out targets under the Montreal Protocol by allocating up to \$235 million of its resources. So far a total GEF funding of \$202 million has been committed to 29 projects with a co-financing of \$247 million. The GEF has supported new technologies, enhanced recycling operations, and provided training to reduce ODS use in these countries. Because of its contributions, the GEF is credited with sharing the success of the Montreal Protocol with amounts of ODS phased out in Russia and CEITs roughly equivalent to amounts phased out in all other developing countries supported by the Multilateral Fund (MLF), which is the financial mechanism for the Montreal Protocol.
223. ODS and their substitutes are potent GHGs, therefore reducing ODS emissions results in significant climate benefits. GEF intervention has prevented annual consumption of over 25,000 ozone depletion potential (ODP)-tonnes and probably prevented substantial growth in ODS,<sup>47</sup> which results in significant GHG mitigation benefits achieved through GEF investments. Because of GEF programs in CEITs, ODS annual consumption in those countries was reduced from 147 Mt CO<sub>2</sub> eq in 1996 to 42 Mt CO<sub>2</sub> eq year in 2007, for a total reduction of 105 Mt CO<sub>2</sub> eq.<sup>47</sup>
224. The GEF is currently working with the MLF Secretariat on developing modalities to access funding from both the GEF Trust Fund and MLF to combine ODS reduction with energy efficiency improvements in technologies. In this regard, a UNEP global project, approved in FY 2012, titled "*SolarChill Development, Testing and Technology Transfer Outreach*" is noteworthy, because it includes co-financing from the MLF. The GEF has developed a concept paper on opportunities for synergistic programs for ozone, climate and chemicals which will serve as a path forward in considering future synergistic projects resulting in multiple GEBs.<sup>48</sup> This paper has been reviewed by the MLF Secretariat and was presented as an information paper to the GEF Council in June 2012.

### **3. Rio+20**

225. In 1992, the United Nations Conference on Environment and Development, known as the Rio "Earth Summit," set the GEF in motion as a financial mechanism for the Rio Conventions, the UNFCCC, the Convention on Biological Diversity (CBD) and the United Nations Convention to Combat Desertification (UNCCD). Since then, the GEF has

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<sup>47</sup> "GEF Impact Evaluation of the Phase-out of Ozone-Depleting Substances in Countries with Economies in Transition" (September 2010). Available at <http://www.thegef.org/gef/sites/thegef.org/files/documents/ODS-complete-LOW.pdf>.

<sup>48</sup> GEF Council document GEF/C.42/Inf.09 (May 2012).

delivered measurable impact through incremental grant financing to developing countries to meet international environmental commitments.

226. In June 20-22, 2012, the United Nations Conference on Sustainable Development (UNCSD), better known as “Rio+20,” was held in Rio de Janeiro, Brazil. In the outcome of the UNCSD, the Heads of State and Government and high-level representatives recognized the important achievement of the GEF over the past 20 years in finding environmental projects and welcomed important reform processes that the GEF has carried out during recent years.<sup>49</sup> The GEF issued a 12-point “Statement of Commitments” for the UNCSD, pledging to swiftly implement the guidance of the conference and to widen global access to GEF funds.<sup>50</sup>
227. During the Rio+20, the GEF shared the lessons it had learned over the past two decades to help policymakers build on past experiences to shape the world’s future sustainable development agenda. Overall, GEF staff made presentations in 71 events in Rio+20, including many in conjunction with the UNFCCC Secretariat. Highlights from GEF-led activities include:
- (d) *Launching of the book “From Rio to Rio: A 20-Year Journey to Green the World’s Economies.”* This book describes the principal lessons learned through a sample of 20 project accounts from all of GEF’s focal areas that illustrate the GEF’s mission to benefit the global environment.<sup>51</sup>
  - (e) *The Rio Conventions Pavilion.* This is a collaborative effort between the Secretariats of the three Rio Conventions and the GEF. The pavilion, which ran from June 13 to 22, served as a platform for raising awareness and sharing information about the latest practices and scientific findings on the co-benefits that can be realized through implementation of the Rio Conventions.

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<sup>49</sup> UNCSD document A/CONF.216/L.1.

<sup>50</sup> Available at <[http://www.thegef.org/gef/sites/thegef.org/files/documents/document/commitments\\_the\\_GEF.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/document/commitments_the_GEF.pdf)>.

<sup>51</sup> Available at <<http://www.thegef.org/gef/sites/thegef.org/files/publication/GEF-fromRiotoRio-May11-CRA-lo.pdf>>.

## Annex 1: List of FY 2012 Projects and Programs under the GEF Trust Fund

### 1. List of FY 2012 Climate Change Mitigation Projects

Table A1.1

**FY 2012 Climate Change Mitigation Projects**

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>Type<sup>a</sup></i>	<i>GEF Amount<sup>b</sup> (\$ millions)</i>	<i>Co-financing (\$ millions)</i>	<i>Total (\$ millions)</i>
<b>Climate Mitigation Stand-Alone Projects</b>						
Global	UNEP	SolarChill Development, Testing and Technology Transfer Outreach	TT	3.0	5.7	8.6
Global	UNEP	Stabilizing GHG Emissions from Road Transport Through Doubling of Global Vehicle Fuel Economy: Regional Implementation of the Global Fuel Efficiency Initiative (GFEI)	TU	1.9	13.5	15.3
Regional (AFR)	AfDB	Pilot African Climate Technology Finance Center and Network <sup>c</sup>	TT, EE, RE, TU	15.8	95.0	110.8
Regional (ECA)	EBRD	Regional Climate Technology Transfer Center <sup>c</sup>	TT, EE	12.0	77.0	89.0
Regional (LAC)	IDB	Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean <sup>c</sup>	TT, EE, RE, TU, LF	12.0	63.4	75.4
Argentina	IDB	Introduction of Energy Efficiency and Renewable Energy Measures in Design, Construction and Operation of Social Housing and Community Equipment	TT, EE	11.3	44.5	55.8
Armenia	UNDP	Green Urban Lighting	EE	1.8	8.6	10.4
Bangladesh	UNDP	Development of Sustainable Renewable Energy Power Generation	RE	4.6	29.8	34.4
Bangladesh	ADB	ASTUD: Greater Dhaka Sustainable Urban Transport Corridor Project <sup>d</sup>	TU	5.0	250.4	255.4
Belarus	UNDP	Removing Barriers to Wind Power Development in Belarus	RE	3.4	17.1	20.5
Brazil	UNDP	Production of Sustainable, Renewable Biomass-based Charcoal for the Iron and steel Industry in Brazil	EE, RE	7.9	32.7	40.6
Cameroon	UNIDO	Promoting Investments in the Fight against Climate Change and Ecosystems Protection through Integrated Renewable Energy and Biomass Solutions for Productive Uses and Industrial Applications	RE	2.2	10.0	12.2
China	ADB	Hebei Energy Efficiency Improvement and Emission Reduction Project	EE	4.0	189.0	193.0
China	UNIDO	Promoting Energy Efficiency in Industrial Heat Systems and High Energy-consuming (HEC) Equipment	EE	5.9	40.5	46.4
China	WB	Urban-Scale Building Energy Efficiency and Renewable Energy	EE, RE	13.2	152.1	165.3
China	WB	Establish Measurement and Verification System for Energy Efficiency in China	EE	19.6	104.0	123.6
Colombia	IDB	Low-carbon and Efficient National Freight Logistics Initiative	TU	3.4	16.2	19.6
Dominican Republic	UNIDO	Stimulating Industrial Competitiveness Through Biomass-based, Grid-connected Electricity Generation	RE	1.5	7.5	9.0
Guyana	IDB	Sustainable Energy Program	RE	5.5	23.4	28.9

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>Type <sup>a</sup></i>	<i>GEF Amount <sup>b</sup> (\$ millions)</i>	<i>Co- financing (\$ millions)</i>	<i>Total (\$ millions)</i>
India	UNIDO	Promoting Business Models for Increasing Penetration and Scaling up of Solar Energy	TT	4.8	21.8	26.6
India	UNIDO	Promoting Industrial Energy Efficiency through Energy Management Standard, System Optimizaton and Technology Incubation	TT, EE	4.9	27.4	32.3
India	WB	Partial Risk Sharing Facility for Energy Efficiency	EE	19.8	594.3	614.1
India	WB	Efficient and Sustainable City Bus Services	TU	10.1	85.0	95.1
India	WB	Facility for Low Carbon Technology Deployment	TT	9.9	59.3	69.2
Lebanon	UNDP	Small Decentralized Renewable Energy Power Generation	RE	1.6	9.7	11.4
Liberia	WB	Lighting One Million Lives in Liberia	RE	1.6	4.1	5.6
Malaysia	UNIDO	GHG Emissions Reductions In Targeted Industrial Sub-Sectors Through EE And Application Of Solar Thermal Systems	EE, RE	4.4	20.0	24.4
Maldives	UNEP	Strengthening Low-Carbon Energy Island Strategies	EE	4.3	21.3	25.6
Nepal	UNDP	Renewable Energy for Rural Livelihood (RERL)	RE	3.4	14.6	17.9
Pakistan	UNIDO	Sustainable Energy Initiative for Industries	EE, RE	4.0	32.7	36.7
Peru	UNDP	Nationally Appropriate Mitigation Actions in the Energy Generation and End-Use Sectors	EE, RE, EA	5.0	29.5	34.4
Russian Federation	EBRD	ARCTIC Targeted Support for Energy Efficiency and Renewable Energy in the Russian Arctic <sup>d</sup>	EE, RE	6.7	81.0	87.7
Serbia	UNDP	Reducing Barriers to Accelerate the Development of Biomass Markets in Serbia	RE	3.2	14.0	17.2
Suriname	IDB	Development of Renewable Energy, Energy Efficiency and Electrification of Suriname	EE, RE	4.8	21.5	26.3
Timor Leste	UNDP	Promoting Sustainable Bio-energy Production from Biomass	RE	2.0	7.0	9.0
Turkey	WB	Small and Medium Enterprise Energy Efficiency Project	EE	4.0	252.5	256.5
Ukraine	UNDP	Development and Commercialization of Bioenergy Technologies	RE	5.3	27.8	33.1
Ukraine	UNIDO	Introduction of Energy Management System Standard in Ukrainian Industry	EE	6.2	39.8	45.9
Uruguay	UNIDO	Towards a Green Economy in Uruguay: Stimulating Sustainable Production Practices and Low-emission Technologies in Prioritized Sectors	TT, RE	3.8	19.8	23.6
Vietnam	UNDP	Promotion of Non-fired Brick (NFB) Production and Utilization	EE	3.2	36.1	39.3
<b>Stand-Alone Project Subtotal</b>				<b>246.9</b>	<b>2,599.3</b>	<b>2,846.1</b>
<b>Multi-Focal Area Projects</b>						
Global	UNDP	Fifth Operational Phase of the GEF Small Grants Program - Implementing the program using STAR resources I	SGP, TT, TU, LF	37.4	35.9	73.3
Global	UNEP	The GLOBE Legislator Forest Initiative	LF	1.1	1.2	2.3
Regional (LAC)	UNEP	Multiplying Environmental and Carbon Benefits in High Andean Ecosystems	LFSM	5.3	18.2	23.4
Albania	WB	Environmental Services Project	LFSM	3.2	22.6	25.7
Belize	WB	Management and Protection of Key Biodiversity Areas	LFSM	6.8	16.0	22.8

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>Type <sup>a</sup></i>	<i>GEF Amount <sup>b</sup> (\$ millions)</i>	<i>Co- financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Bosnia- Herzegovina	WB	Sustainable Forest and Abandoned Land Management	LFSM	6.1	18.4	24.5
Brazil	UNDP	Fifth Operational Phase of the GEF Small Grants Program in Brazil	SGP, LF	5.4	5.1	10.5
Brazil	IDB	Recovery and Protection of Climate and Biodiversity Services in the Paraiba do Sul Basin of the Atlantic Forest of Brazil	LFSM	29.3	168.8	198.1
Brazil	IDB	Consolidation of National System of Conservation Units (SNUC) and Enhanced Flora and Fauna Protection	LFSM	35.9	128.2	164.1
Cameroon	FAO	Sustainable Forest Management Under the Authority of Cameroonian Councils	LFSM	3.9	16.2	20.1
Chile	UNDP	Supporting Civil Society and Community Initiatives to Generate Global Environmental Benefits using Grants and Micro Loans in the Mediterranean Ecoregion	LF	3.6	15.3	18.9
Guatemala	UNDP	Sustainable Forest Management and Multiple Global Environmental Benefits	LFSM	4.9	13.2	18.1
India	WB	Integrated Biodiversity Conservation and Ecosystem Services Improvement	LFSM	22.6	115.0	137.6
Kyrgyz Republic	FAO	Sustainable Management of Mountainous Forest and Land Resources under Climate Change Conditions	LFSM	6.0	17.1	23.1
Lao PDR	WB	Strengthening Protection and Management Effectiveness for Wildlife and Protected Areas <sup>d</sup>	LFSM	7.4	17.6	25.0
Mexico	WB	Conservation of Coastal Watersheds in Changing Environments	LFSM	43.5	239.9	283.4
Russian Federation	UNEP	ARCTIC Conserving Biodiversity in the Changing Arctic <sup>d</sup>	LF	6.2	14.2	20.5
Russian Federation	UNEP	ARCTIC Improvement of Environmental Governance and Knowledge Management for SAP-Arctic Implementation <sup>d</sup>	TT, EE	2.4	9.9	12.2
Russian Federation	WB	ARCTIC Environment Project (Financial Mechanism for Environmental Rehabilitation in Arctic) <sup>d</sup>	EE, RE	6.0	230.0	236.0
Thailand	WB	GMS-FBP Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex <sup>d</sup>	LFSM	8.0	29.4	37.4
Turkey	FAO	Sustainable Land Management and Climate Friendly Agriculture	TT, LF	6.3	21.3	27.6
Uganda	UNDP	Addressing Barriers to the Adoption of Improved Charcoal Production Technologies and Sustainable Land Management practices through an integrated approach	RE, LFSM	3.9	7.6	11.5
Ukraine	UNEP	Conserving, Enhancing and Managing Carbon Stocks and Biodiversity while Promoting Sustainable Development in the Chernobyl Exclusion Zone through the Establishment of a Research and Environmental Protection Centre and Protected Area	LF	5.5	15.0	20.5
Uzbekistan	WB	Sustainable Agriculture and Climate Change Mitigation Project	TT, EE, RE	14.0	75.0	89.0
Vietnam	UNIDO	Implementation of Eco-industrial Park Initiative for Sustainable Industrial Zones in Vietnam	TT	3.9	14.2	18.0
Zambia	UNDP	Strengthening Management Effectiveness and Generating Multiple Environmental Benefits within and around Protected Areas in Zambia	RE, LFSM	14.6	44.8	59.4

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>Type <sup>a</sup></i>	<i>GEF Amount <sup>b</sup> (\$ millions)</i>	<i>Co- financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Zimbabwe	WB	Hwange-Sanyati Biological Corridor (HSBC) Environment Management and Conservation Project	LFSM	6.4	23.2	29.6
<b>Multi-focal Area Project Subtotal</b>				<b>299.8</b>	<b>1,332.9</b>	<b>1,632.6</b>
<b>Total</b>				<b>546.6</b>	<b>3,932.1</b>	<b>4,478.7</b>

<sup>a</sup> EE: energy efficiency, RE: renewable energy, EA: enabling activities, TU: sustainable transport and urban systems, LF: land use, land use change and forestry (LULUCF), LFSM: LULUCF&SFM/REDD+, TT: demonstration, deployment, and transfer of innovative low-carbon technologies

<sup>b</sup> These amounts include all focal area contributions, including project preparation grants and Agency fees. The total GEF Amount includes \$255 million from other focal areas or trust funds, including SCCF.

<sup>c</sup> Multi-trust fund project, including funding from SCCF

<sup>d</sup> Child project under the programs

## 2. List of FY 2012 Climate Change Mitigation Programs

Table A1.2

**FY 2012 Climate Change Mitigation Programs**

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>Type<sup>a</sup></i>	<i>GEF Amount<sup>b</sup> (\$ millions)</i>	<i>Co-financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Regional (AFR)	WB	MENA- Desert Ecosystems and Livelihoods Program (MENA-DELP) <sup>c d</sup>	RE	22.9	226.2	249.1
Regional (AFR)	AfDB	LCB-NREE Lake Chad Basin Regional Program for the Conservation and Sustainable Use of Natural Resources and Energy Efficiency <sup>c</sup>	RE	22.1	172.6	194.7
Regional (AFR)	AfDB	AfDB-PPP Public-Private Partnership Program	RE	21.6	240.0	261.6
Regional (Asia)	ADB/WB	GMS-FBP Greater Mekong Subregion Forests and Biodiversity Program <sup>c d</sup>	LFSM	21.9	131.9	153.8
Regional (Asia)	ADB	ASTUD Asian Sustainable Transport and Urban Development Program	TU	14.7	988.0	1,002.7
Regional (LAC)	IDB	IDB-PPP MIF Public-Private Partnership Program <sup>c</sup>	EE, RE	16.2	266.3	282.5
Russian Federation	UNEP/EBRD, UNDP, WB	ARCTIC GEF-Russian Federation Partnership on Sustainable Environmental Management in the Arctic under a Rapidly Changing Climate (Arctic Agenda 2020) <sup>c</sup>	TT, EE, RE, LF	27.7	310.3	338.0
<b>Total</b>				<b>147.1</b>	<b>2,335.2</b>	<b>2,482.4</b>

<sup>a</sup> EE: energy efficiency, RE: renewable energy, TU: sustainable transport and urban systems, LF: land use, land use change and forestry (LULUCF), LFSM: LULUCF&SFM/REDD+, TT: demonstration, deployment, and transfer of innovative low-carbon technologies

<sup>b</sup> These amounts represent GEF funding at Work Program inclusion.

<sup>c</sup> Multi-focal area program

<sup>d</sup> Multi-trust fund program, including funding from SCCF



### 3. List of FY 2012 Enabling Activity Projects

Table A1.3

**FY 2012 Enabling Activity Projects**

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>GEF Amount (\$millions)</i>	<i>Co- financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Global <sup>a</sup>	UNEP	Umbrella Programme for National Communication to the UNFCCC	12.5	2.0	14.5
Global <sup>b</sup>	UNEP	Umbrella Programme for National Communication to the UNFCCC	7.9	1.3	9.2
Colombia	UNDP	Third National Communication to the UNFCCC	2.2	1.7	3.9
India	UNDP	Preparation of Third National Communication (3NC) to the UNFCCC and Strengthening Institutional and Analytical Capacities on Climate Change	9.9	26.2	36.2
Indonesia	UNDP	Third National Communication to the United Nations Framework Convention on Climate Change	5.0	21.0	26.0
Serbia	UNDP	Second National Communication to the UNFCCC	0.6	0.1	0.6
<b>Total</b>			<b>38.0</b>	<b>52.3</b>	<b>90.3</b>

<sup>a</sup> Participating countries are Afghanistan, Angola, Burundi, Cambodia, Central African Republic, Chad, Congo, Djibouti, Guinea, Guinea-Bissau, Guyana, Haiti, Lesotho, Liberia, Malawi, Mozambique, Nepal, Palau, Sierra Leone, Saint Lucia, Swaziland, and Zambia.

<sup>b</sup> Participating countries are Antigua and Barbuda, Burkina Faso, Dominica, Fiji, Grenada, Myanmar, Niue, Rwanda, St. Kitts and Nevis, Solomon Islands, Somalia, St. Vincent and the Grenadines, Suriname, and Tuvalu.

## Annex 2: List of FY 2012 Projects under the LDCF and the SCCF

### 1. List of LDCF Projects Approved in FY 2012<sup>52</sup>

Table A2.1

#### FY 2012 LDCF Projects

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>LDCF Amount (\$ millions)</i>	<i>LDCF co-financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Bangladesh	UNDP	Integrating Community-based Adaptation into Afforestation and Reforestation Programmes in Bangladesh	6.3	41.6	47.9
Benin	UNDP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Benin <sup>a</sup>	4.4	18.1	22.5
Bhutan	UNDP	Addressing the risk of climate-induced disasters through enhanced national and local capacity for effective actions	12.8	45.8	58.5
Burkina Faso	UNDP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Burkina Faso <sup>a</sup>	4.4	24.3	28.7
Cambodia	FAO	Strengthening the adaptive capacity and resilience of rural communities using micro watershed approaches to climate change and variability to attain sustainable food security	5.6	18.8	24.4
Ethiopia	UNDP	Strengthening climate information and early warning systems in Ethiopia to support climate resilient development <sup>a</sup>	5.4	20.8	26.1
Gambia	UNDP	Enhancing Resilience of Vulnerable Coastal Areas and Communities to Climate Change in the Republic of Gambia	10.0	41.4	51.3
Guinea	UNDP	Strengthening farmers communities livelihoods resilience against climate changes in the Guinean Prefectures of Gaoual, Koundara and Mali	4.2	50.6	54.8
Lao PDR	UNDP	Effective Governance for Small Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate	5.3	25.9	31.2
Lesotho	IFAD	Adaptation of Small-scale Agriculture Production (ASAP)	4.9	13.0	17.9
Malawi	WB	Shire Natural Ecosystems Management Project <sup>b</sup>	1.7	11.7	13.4
Malawi	UNDP	Climate Proofing Local Development Gains in Rural and Urban Areas of Machinga and Mangochi Districts	6.0	36.0	42.0
Malawi	UNDP	Strengthening climate information and early warning systems in Malawi to support climate resilient development <sup>a</sup>	4.4	17.1	21.5
Nepal	UNDP	Community Based Flood and Glacial Lake Outburst Risk Reduction	7.0	18.9	25.9
Niger	UNDP	Scaling up Community-Based Adaptation (CBA) in Niger	4.2	13.3	17.4
Rwanda	WB	Landscape Approach to Forest Restoration and Conservation (LAFREC) <sup>c</sup>	4.4	19.6	24.0
Samoa	UNDP	Enhancing the resilience of tourism-reliant communities to climate change risks	2.2	7.1	9.3
Sao Tome and Principe	UNDP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Sao Tome and Principe <sup>a</sup>	4.4	17.9	22.3

<sup>52</sup> There is no LDCF program approved in FY 2012.

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>LDCF Amount (\$ millions)</i>	<i>LDCF co-financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Sierra Leone	UNDP	Building adaptive capacity to catalyze active public and private sector participation to manage the exposure and sensitivity of water supply services to climate change in Sierra Leone	3.3	25.6	28.9
Sierra Leone	UNDP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Sierra Leone <sup>a</sup>	4.4	18.4	22.8
Solomon Islands	UNDP	Solomon Islands Water Sector Adaptation Project (SIWSAP)	7.7	40.3	48.0
Tanzania	UNDP	Strengthening climate information and early warning systems in Tanzania to support climate resilient development <sup>a</sup>	4.4	19.8	24.2
Timor Leste	UNDP	Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk	5.2	24.5	29.7
Togo	IFAD	Adapting Agriculture Production in Togo (ADAPT)	6.0	13.0	19.0
Tuvalu	UNDP	Effective and Responsive Island-level Governance to Secure and Diversify Climate Resilient Marine-based Coastal Livelihoods and Enhance Climate Hazard Response Capacity	4.8	19.6	24.4
Uganda	UNDP	Strengthening climate information and early warning systems in Uganda to support climate resilient development <sup>a</sup>	4.4	23.7	28.1
Zambia	UNDP	Strengthening climate information and early warning systems in Zambia to support climate resilient development <sup>a</sup>	4.4	23.7	28.1
<b>Total</b>			<b>142.0</b>	<b>650.4</b>	<b>792.4</b>

<sup>a</sup> Country-level project under the regional initiative titled "*Strengthening climate information and early warning systems to support climate resilient development*"

<sup>b</sup> Multi-trust fund project, financed from the GEF Trust Fund (GEF amount: \$5.6 million, Co-financing: \$58.4 million)

<sup>c</sup> Multi-trust fund project, financed from the GEF Trust Fund (GEF amount: \$6.0 million, Co-financing: \$38.8 million)

## 2. List of SCCF Projects and Programs Approved in FY 2012

### a. List of SCCF-A Projects Approved in FY 2012

Table A2.2

#### FY 2012 SCCF-A Projects

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>SCCF Amount (\$ millions)</i>	<i>SCCF co-financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Colombia	IADB	Adaptation to Climate Impacts in Water Regulation and Supply for Bogota's Metropolitan Area	4.6	23.3	27.9
El Salvador	FAO	Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds located in the municipalities of Texistepeque and Candelaria de la Frontera <sup>a</sup>	1.1	3.3	4.4
Honduras	IFAD	Competitiveness and Sustainable Rural Development Project in the Northern Zone	3.4	21.0	24.4
India	ADB	Climate Resilient Coastal Protection and Management	2.0	54.7	56.7
India	WB	Sustainable Livelihoods and Adaptation to Climate Change (SLACC)	8.8	234.0	242.8
Moldova	IFAD	Climate Resilience Through Conservation Agriculture	4.8	13.8	18.6
Philippines	UNDP	Scaling up Risk Transfer Mechanisms for Climate Vulnerable Farming Communities in Southern Philippines	1.2	9.3	10.5
Sri Lanka	UNDP	Strengthening the Resilience of Post Conflict Reconstruction to Climate Risks in Coastal Communities in North and East Sri Lanka	3.5	57.3	60.8
Zimbabwe	UNDP	Scaling up Adaptation in Zimbabwe, with a Focus on Rural Livelihoods, by Strengthening Integrated Planning Systems	4.4	58.5	62.9
<b>Total</b>			<b>33.9</b>	<b>475.1</b>	<b>509.0</b>

<sup>a</sup> Multi-trust fund project, financed from the GEF Trust Fund (GEF Amount: \$0.6 million, Co-financing: \$2.0 million)

### b. List of SCCF-A Programs Approved in FY 2012

Table A2.3

#### FY 2012 SCCF-A Programs

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>SCCF Amount (\$ millions)</i>	<i>SCCF co-financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Regional (AFR)	WB	MENA- Desert Ecosystems and Livelihoods Program (MENA-DELP) <sup>a</sup>	3.0	12.0	15.0
Regional (Asia)	ADB/WB	Greater Mekong Subregion Forests and Biodiversity Program (GMS-FBP) <sup>b</sup>	0.5	5.6	6.1
<b>Total</b>			<b>3.5</b>	<b>17.6</b>	<b>21.1</b>

<sup>a</sup> Multi-trust fund program, financed from the GEF Trust Fund (GEF Amount: \$19.9 million, Co-financing: \$214.2 million)

<sup>b</sup> Multi-trust fund program, financed from the GEF Trust Fund (GEF Amount: \$21.4 million, Co-financing: \$126.3 million)

**c. List of SCCF-B Projects Approved in FY 2012<sup>53</sup>**

Table A2.4

**FY 2012 SCCF-B Projects**

<i>Country</i>	<i>Agency</i>	<i>Title</i>	<i>SCCF Amount (\$ millions)</i>	<i>SCCF co-financing (\$ millions)</i>	<i>Total (\$ millions)</i>
Global	UNEP	Enhancing Capacity, Knowledge and Technology Support to Build Climate Resilience of Vulnerable Developing Countries	5.5	23.0	28.5
Regional (AFR)	AfDB	Pilot African Climate Technology Finance Center and Network <sup>a</sup>	5.8	32.0	37.8
Regional (ECA)	EBRD	Regional Climate Technology Transfer Center <sup>b</sup>	2.0	12.6	14.6
Regional (LAC)	IADB	Climate technology transfer mechanisms and networks in Latin America and the Caribbean <sup>c</sup>	2.0	6.3	8.3
<b>Total</b>			<b>15.3</b>	<b>73.9</b>	<b>89.2</b>

<sup>a</sup> Multi-trust fund project, financed from the GEF Trust Fund (GEF Amount: \$10.0 million, Co-financing: \$63 million)

<sup>b</sup> Multi-trust fund project, financed from the GEF Trust Fund (GEF Amount: \$10.0 million, Co-financing: \$64.4 million)

<sup>c</sup> Multi-trust fund project, financed from the GEF Trust Fund (GEF Amount: \$10.0 million, Co-financing: \$57.1 million)

<sup>53</sup> There is no SCCF-B program approved in FY 2012.

## Annex 3: Summaries of Projects Approved under the GEF Trust Fund

*Note:*

- 1) Annex 3 summarizes projects and programs on climate change mitigation and enabling activities approved under the GEF Trust Fund (GEFTF) during the reporting period (July 1, 2011 to June 30, 2012).
- 2) Multi-focal area projects include climate change mitigation and one or more objectives of other focal areas: biodiversity (BD); international waters (IW); land degradation (LD); and persistent organic pollutants (POPs).
- 3) Implementing Agencies of the listed projects and programs are: the Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development (EBRD), the Food and Agriculture Organization of the United Nations (FAO), the Inter-American Development Bank (IDB), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO), and the World Bank (WB).
- 4) GEF funding includes Project Preparation Grant (PPG) and Agency Fee. Total cost is the sum of GEF funding and co-financing.
- 5) Some of the project summaries include estimations of GHG emissions reductions included in each Project Identification Form (PIF). Those numbers will be examined in their project documents prior to GEF CEO Endorsement.

### 1. Summaries of FY 2012 Climate Change Mitigation Stand-Alone Projects

*Global: SolarChill Development, Testing and Technology Transfer Outreach (GEF ID: 4682, UNEP, GEFTF: \$3.0 million; Total Cost: \$8.6 million)*

The objective of the project is to commercialize and transfer the Solar Chill vaccine refrigerator (Solar Chill A) and to begin the process of commercializing and transferring the Solar Chill household and light-commercial refrigerator (Solar Chill B). The project includes co-financing from the Multilateral Fund under the Montreal Protocol. The project focuses on technology transfer through large-scale field demonstrations and facilitation of manufacturing capacity with the private sector. The project will reduce the need for lead batteries, reduce the use of ozone-depleting substances with potent high GWP (e.g., HFCs), eliminate GHG emissions from burning kerosene and propane now used to operate off-grid vaccine coolers and refrigerators, resulting in direct and indirect GHG emission savings of 427 kt CO<sub>2</sub> eq.

*Global (Armenia, Azerbaijan, Brazil, China, Cote d'Ivoire, Georgia, India, Jamaica, Mauritius, Mexico, Montenegro, Peru, Philippines, Russian Federation, Vietnam): Stabilizing GHG Emissions from Road Transport through Doubling of Global Vehicle Fuel Economy: Regional Implementation of the Global Fuel Efficiency Initiative (GEF ID: 4909, UNEP, GEFTF: \$1.9 million; Total Cost: \$15.3 million)*

The objective of the project is to support the development of vehicle fuel economy policies in the targeted countries through national, regional and global activities. This project is based on the outputs of the GEF-4 project titled "The Global Fuel Economy Initiative," including a toolkit to establish fuel economy baselines. The project has the following three components: (i) development and adoption of national fuel economy policies through establishing fuel economy baselines; (ii) enhancement of regional replication in four regions (i.e., Africa; Latin America and Caribbean; Central and Eastern Europe; Asia), giving positive effects to national policies; and (iii) global communications to share fuel economy policies and lessons learnt. The total of the direct CO<sub>2</sub> emission reductions in Jamaica, Montenegro, Mauritius, Peru are estimated to be approximately 20 Mt CO<sub>2</sub> eq per year by 2025.

*Regional (Africa): Pilot African Climate Technology Finance Center and Network (GEF ID:4904, AfDB, GEFTF: \$10.0 million; SCCF-B: \$5.8 million; Total Cost: \$110.8 million)*

This multi-trust fund project is proposing for the African region a set of activities similar to the ADB/UNEP regional pilot climate technology network. Its aim is to support on the ground the deployment of technologies for both climate change mitigation and adaptation in developing countries in Africa by: (a) catalyzing public and private finance for low-carbon technologies and climate resilient development projects; and (b) assisting with integrating technology transfer considerations into developing countries' policies and investment programs and strengthening design and enforcement capacities of public institutions. Project components are designed to: (i) promote knowledge transfer and networking; (ii) support services at country level (support to policies supporting climate technology transfer and investor incentives);

(iii) mobilize financial resources and support services at technology transfer investment level. Capacity building for different actors (bank staff, national counterparts, private investors, etc.) is treated as a cross-cutting issue. The direct GHG emissions savings due to the associated investments over their 16-year average lifetime are estimated at 9.2 Mt CO<sub>2</sub> eq. The components financed under the SCCF-B will contribute towards addressing knowledge gaps, forging partnerships, developing enabling environments, and catalyzing resources for the demonstration, deployment and diffusion of relevant technologies for climate change adaptation and climate-resilient development.

*Regional (Europe and Central Asia): Regional Climate Technology Transfer Center (GEF ID:4956, EBRD, GEFTF: \$10.0 million; SCCF-B: \$2.0 million; Total Cost: \$89.0 million)*

This multi-trust fund project proposes to set up the climate technology network and centre for EBRD's countries of operations. The proposed activities are similar to the ADB/UNEP regional pilot climate technology network. Its aim is to facilitate accelerated investments in climate technologies (mitigation and adaptation). It focuses on increasing private sector involvement in adopting climate technologies, showcases broader networking in the region, furthers the development of innovative financing mechanisms for both climate change mitigation and adaptation technologies, and provides a platform for disseminating knowledge and bringing together key stakeholders. Project components are: (i) Regional Climate Technology Transfer Network (to facilitate regional dialogue on technology transfer and related issues); (ii) technology transfer technical assistance (targeted technical assistance / capacity building supporting the financing mechanisms); and (iii) climate technology transfer financing mechanism (a combination of financing instruments to promote accelerated investment in climate change mitigation and adaptation technologies). The direct GHG emissions savings due to the associated investments over a 10-year equipment lifetime are estimated at 2 Mt CO<sub>2</sub> eq. The components financed under the SCCF-B will leverage resources and pilot financing products for the transfer of adaptation technologies.

*Regional (Latin America and Caribbean): Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean (GEF ID: 4880, IDB, GEFTF: \$10.0 million; SCCF-B: \$2.0 million; Total Cost: \$75.4 million)*

This multi-trust fund project proposes to set up the climate technology network and centre for Latin America and the Caribbean (LAC). Its aim is to promote the development and transfer of environmentally sound technologies (ESTs) in LAC in order to contribute to the ultimate goal of reducing GHG emissions and reducing the vulnerability to climate change in specific sectors. The project strategy is to build national capacities to identify, assess, develop and transfer ESTs, focusing on: (a) promotion of and support to regional collaborative efforts; (b) support to planning and policy-making processes at national and sectoral levels; (c) demonstration of policies and enabling mechanisms; and (d) mobilization of private and public financial and human resources. Project components include: (i) development of national policy and institutional capacities; (ii) strengthening of technology networks and centers on selected topics (e.g. solar power, low-carbon transport, sustainable forest management, climate resilient agriculture, etc.); (iii) piloting technology transfer mechanisms through the creation of enabling environments supporting concrete examples of technology transfer; and (iv) leveraging private and public investments to facilitate pilot investments by private and public entities. The direct and indirect GHG emissions savings due to the associated investments are estimated at 1.5 Mt CO<sub>2</sub> eq. The components financed under the SCCF-B will support networking, policy support, and demonstration activities for the transfer of adaptation technologies, particularly in the agriculture sector.

*Argentina: Introduction of Energy Efficiency and Renewable Energy Measures in Design, Construction and Operation of Social Housing and Community Equipment (GEF ID: 4861, IDB, GEFTF: \$11.3 million; Total Cost: \$55.8 million)*

This project will promote the application of energy efficiency and renewable energy measures in the design, construction, and operation of social housing and community equipment. The project consists of the following components: (i) low-carbon social housing pilot projects designed and demonstrated; (ii) carbon monitoring for pilot technologies; (iii) adoption of regulatory framework at national level regarding energy efficiency and renewable energy in social housing; (iv) building expert capacity for local/regional production of energy efficiency and renewable energy technologies; and (v) outreach and dissemination. Emission benefits are estimated to be 12 kt CO<sub>2</sub> eq direct and 3.6 Mt CO<sub>2</sub> eq indirect over ten years.

*Armenia: Green Urban Lighting (GEF ID: 4742, UNDP, GEFTF: \$1.8 million; Total Cost: \$10.4 million)*

This project will promote the installation of energy efficient street lighting in the major city of Yerevan, Armenia, and establish policies and financial mechanisms to replicate installation in multiple municipalities. The project consists of the following components: (i) knowledge and capacities for green urban lighting; (ii) policies and regulations for green urban development with a focus on energy efficient lighting; (iii) financial and institutional models for green urban



lighting; and (iv) pilot urban green lighting projects. The investment components will use 50 per cent of the GEF grant and will promote innovative financial mechanisms, including revolving loan funds and ESCO financing models, to sustain investment in energy efficient street lighting after the project is complete. GHG emissions benefits are estimated to be 3.3 kt CO<sub>2</sub> eq direct and 190 kt CO<sub>2</sub> eq indirect.

*Bangladesh: Development of Sustainable Renewable Energy Power Generation (GEF ID: 4459, UNDP, GEFTF: \$4.6 million; Total Cost: \$34.4 million)*

The objective of the project is to reduce annual growth rate of GHG emissions from fossil fuel-fired power generation through the exploitation of Bangladesh's renewable energy resources. The project will significantly increase renewable energy investments in Bangladesh with investments covering dissemination of solar LED lanterns (150,000 - 200,000 lanterns) to low-income enterprises and households and scale up in renewable energy (3 MW wind, 3 MW solar for grid connection, 4 MW biomass from residues). The project will also address the barrier of lack of access to finance through the creation of a financial mechanism as well as close cooperation with micro credit institutions. Direct emissions reductions of 35 kt CO<sub>2</sub> eq per year, with a total sum of 212 kt CO<sub>2</sub> eq during the project's lifetime, are expected.

*Bangladesh: ASTUD: Greater Dhaka Sustainable Urban Transport Corridor Project (GEF ID: 4931, ADB, GEFTF: \$5.0 million; Total Cost: \$255.4 million)*

This is a child project of the program "ASTUD Asian Sustainable Transport and Urban Development Program." The objective of the project is to promote energy-efficient low-carbon transport and urban systems in the Gazipur area of north Greater Dhaka, through the delivery of a 20-kilometer Bus Rapid Transit (BRT) corridor and associated infrastructure, systems and capacity building. The GEF will fund the following components: (i) financing of new articulated CNG buses for BRT operations; and (ii) energy efficient street lighting along BRT route. The project has significant potential for demonstration effect and replication as no modern mass-transit system currently exists in Bangladesh. The estimated carbon benefits are to reduce 50 kt CO<sub>2</sub> eq emissions directly.

*Belarus: Removing Barriers to Wind Power Development in Belarus (GEF ID: 4374, UNDP, GEFTF: \$3.4 million; Total Cost: \$20.5 million)*

The project aims to reduce regulatory, capacity, and financial barriers to the widespread implementation of wind energy projects in Belarus. Two-thirds of the GEF funding will be used for the replenishment of an investment support mechanism that will generate at least 5 MW (and potentially 10 MW) of wind projects during the implementation period. The project will also support the formulation and enforcement of secondary legislation developed to operationalize the Renewable Energy Law.

*Brazil: Production of Sustainable Renewable Biomass-Based Charcoal for the Iron and Steel Industry in Brazil (GEF ID: 4718, UNDP, GEFTF: \$7.9 million; Total Cost: \$40.6 million)*

This project will promote the use of sustainable charcoal for the iron and steel industry in Brazil by building a demonstration plant for the energy-efficient production of charcoal. The technology will reduce methane emissions and local air pollution compared to traditional charcoal production methods. The project consists of four components: (i) policy and institutional coordination; (ii) information and analysis; (iii) technology development and demonstration; and (iv) promotion and capacity building. The project supports efforts by the Government of Brazil to eliminate non-sustainable charcoal production. Emissions benefits from the demonstration plant will be approximately 430 kt CO<sub>2</sub> eq over the lifetime of the plant.

*Cameroon: Promoting Investments in the Fight Against Climate Change and Ecosystems Protection through Integrated Renewable Energy and Biomass Solutions for Productive Uses and Industrial Applications (GEF ID: 4785, UNIDO, GEFTF: \$2.2 million; Total Cost: \$12.2 million)*

This project aims at supporting Cameroon's efforts to address its energy deficit by designing and demonstrating a sustainable financing mechanism enabling private sector participation in renewable energy generation in the country. GEF resources will be used to help remove the critical barriers to increasing the share of renewable energy in the national energy mix, thereby reducing dependence on and proliferation of diesel and other fossil fuel electricity generation systems. Project components include: (i) preparation and adoption of the legal documents supporting the setting up of a Renewable Energy window under the Cameroon Rural Energy Fund (CREF); (ii) design and implementation of this specific Renewable Energy window along with training stakeholders how to use it; and (iii) demonstration of the viability of private-sector investments in renewable energy mini-grids once they are supported by this new window. The GHG emissions savings due to the demonstration investments (3 MW) and to further investments

supported by the new renewable energy window over an average 10-year lifetime are estimated at 450 kt CO<sub>2</sub> eq.

*China: Hebei Energy Efficiency Improvement and Emission Reduction Project (GEF ID:4621, ADB, GEFTF: \$3.6 million; Total Cost: \$ 193 million)*

This project aims to: (a) facilitate Hebei province to meet its 12th Five-Year Plan target of energy intensity reduction and carbon emission mitigation; (b) build up capacity for Hebei in monitoring and reporting carbon emission mitigation in industrial sector that will contribute to Hebei's and China's carbon emission cap and trading in 2015; and (c) develop capacity for local banks and ESCOs in financing industrial energy efficiency. The project consists of the following four components: (i) energy efficiency and emission reduction technology identification and dissemination, and design of market-based incentives; (ii) capacity building and development of ESCO industry and GHG emission reduction monitoring and reporting (M&R) agents in Hebei; (iii) capacity building of banks and industrial firms to increase bank financing of energy efficiency projects; and (iv) investment in energy efficiency projects in the industrial sector in Hebei Province in China. Targeted global environmental benefits are: to mitigate about 15.2 Mt CO<sub>2</sub> eq directly, and an additional 65.6 Mt CO<sub>2</sub> eq indirectly during the project lifetime (20 years).

*China: Promoting Energy Efficiency in Industrial Heat Systems and High Energy-Consuming (HEC) Equipment (GEF ID: 4866, UNIDO, GEFTF: \$5.4 million; Total Cost: \$ 45.9 million)*

The objectives of the project are to: (a) promote energy efficiency in high energy consuming special equipment through a comprehensive approach, developing and revising technical regulations, and providing training to national experts; and (b) establish a national Special Equipment Energy Efficiency Testing Centre to test high energy consumption equipment. The project has four components: (i) developing policy, testing standards, and promoting market; (ii) testing and enforcing policy and laboratory capacities; (iii) training heat system optimization experts for conducting energy assessment; and (iv) optimizing industrial boilers and systems. The GHG emission benefits of the project are estimated to be 8.5 Mt CO<sub>2</sub> eq.

*China: Urban-Scale Building Energy Efficiency and Renewable Energy (GEF ID: 4869, WB, GEFTF: \$13.2 million; Total Cost: \$ 165.3 million)*

The objective of the project is to support transformational scaling up of energy efficiency (EE) and renewable energy (RE) in the urban built environment through city pilots/demonstrations and national replication/dissemination. There are three major components: (i) national guidance and support for city-based policies and programs; (ii) Beijing pilot and demonstration in investing in EE and new RE technologies; and (iii) Ningbo pilot and demonstration in investing in EE and new RE technologies. The global environment benefit target is to mitigate 69 Mt CO<sub>2</sub> eq. The project will also considerably mitigate other pollutants including mercury, SO<sub>2</sub>, and NO<sub>x</sub> in cities.

*China: Establish Measurement and Verification System for Energy Efficiency in China (GEF ID: 4947, WB, GEFTF: \$19.6 million, Total Cost: \$122.6 million)*

The objective of this project is to establish a measurement & verification (M&V) system and a pilot market-based mechanism such as Energy Saving Certificates Trading, to support the Chinese government to achieve energy saving targets in its 12th Five-Year Plan in a cost-effective way. This project is a direct application, for one sector (energy efficiency), of results from a previous TNA project by the World Bank targeting prioritized climate technologies. The project consists of two phases: (i) establishing energy-saving M&V and data collection policy, methodology, system, and capacity at the national level; and (ii) piloting market-based mechanisms such as energy saving certificates trading. This project will select enterprises from the 10,000 enterprises program to pilot the M&V system and the trading mechanism. After the demonstration, a national roll-up plan for M&V and data collection will be considered for the 13th five-year plan. The target for global environment benefits is to reduce 136 kt CO<sub>2</sub> eq emissions directly and 600 Mt CO<sub>2</sub> eq indirectly. The project will also considerably mitigate other pollutants including mercury, SO<sub>2</sub>, and NO<sub>x</sub>.

*Colombia: Low-Carbon and Efficient National Freight Logistics Initiative (GEF ID:4603, IDB, GEFTF: \$3.4 million; Total Cost: \$19.6 million)*

The objective of the project is to reduce GHG emissions from freight transportation operations in Colombia through transforming the sector to a low-carbon and efficient one. The project has the following three components: (i) strengthening policy and institutional framework for logistics, including the Vehicle Renovation Fund; (ii) retrofitting 80 existing trucks with mechanical and aero dynamical technologies; and (iii) scaling up the retrofitting through providing on-lending finance to trucking companies. The successful implementation of the Vehicle Renovation Fund is expected to reduce 300 kt CO<sub>2</sub> eq per year, while the project will increase this reduction through the demonstration and

scaling up of programs.

*Dominican Republic: Stimulating Industrial Competitiveness Through Biomass-Based Grid-Connected Electricity Generation (GEF ID: 4747, UNIDO, GEFTF: \$1.5 million; Total Cost: \$9.0 million)*

The project will support investment in biomass-based generation in order to specifically provide industrial free zones with renewable electricity. Thus, industrial competitiveness will be stimulated and GHG emissions will be avoided. Under the project, a 2.5 MW biomass plant will be financed, procured and put into operation at the Santiago industrial free zone. Also, the project will provide policy support to decentralized biomass-based electricity generation and implement activities for training, promotion and dissemination. The project will result in direct emission reductions of 184 kt CO<sub>2</sub> eq.

*Guyana: Sustainable Energy Program (GEF ID:4520, IDB, GEFTF: \$5.5 million; Total Cost: \$28.9 million)*

The goal of the project is to promote and support sustainable energy programs in Guyana in order to contribute to the country's energy security, energy access, reduction of fossil fuel dependence, and to provide additional opportunities to reduce GHG emissions. To achieve its objective, the project will promote on-grid and off-grid renewable energy installations in Guyana. At least 4 MW of photovoltaic and hydro power plants will be installed, while capacity building and regulatory reform activities will also be supported.

*India: Promoting Business Models for Increasing Penetration and Scaling Up of Solar Energy (GEF ID:4788, UNIDO, GEFTF: \$4.8 million; Total Cost: \$26.6 million)*

This project will promote the use of solar energy for industrial applications, with a focus on medium- and high-temperature applications. The project is consistent with the national plans and has been designed to address a gap in the area of medium- and high-temperature applications (for both heat and cooling) in industry. The project consists of the following components: (i) strengthening of policy and institutional framework; (ii) technology investment and application; (iii) scaling up of solar technologies in industrial applications; and (iv) awareness raising and capacity building. The investment component will include innovative financial mechanisms, including non-grant instruments, to create leverage and sustain investment in solar energy scale-up after the project is complete. The technology demonstrations will yield an estimated direct reduction of 98 kt CO<sub>2</sub> eq over a 20-year lifecycle for the technologies; indirect emissions will increase these reductions up to 500 kt CO<sub>2</sub> eq.

*India: Promoting Industrial Energy Efficiency through Energy Management Standard, System Optimization and Technology Incubation (GEF ID: 4893, UNIDO, GEFTF: \$4.9 million; Total Cost: \$32 million)*

This project has two objectives: (a) promote energy efficiency by introducing the ISO energy management standard 50001 and integrating system optimization practices in industry; and (b) facilitate formation of technology incubators to catalyze innovation and technology transfer for cross-cutting technologies. The project consists of four major components: (i) national program to build capacity and awareness on the ISO Energy Management Standard 50001 and system optimization; (ii) implementation of energy management system and system optimization projects; (iii) benchmarking study of technologies and establishment of incubators for facilitating technology transfer and innovation; and (iv) financial capacity development to support energy efficiency projects in industry. The target for GHG emission mitigation is approximately 1.3 Mt CO<sub>2</sub> eq.

*India: Partial Risk Sharing Facility for Energy Efficiency (GEF ID: 4918, WB, GEFTF: \$10.1 million; Total Cost: \$ 95.1 million)*

This project will support the launch of a risk sharing facility to accelerate the development of the performance contracting industry in energy efficiency in India, and encourage commercial lenders to invest in energy efficiency. The project consists of the following components: (i) establish a Partial Risk Sharing Facility for Energy Efficiency (PRSFEE) to encourage investments in energy service companies; and (ii) technical assistance for PRSFEE. This project is included in the approved Climate Technology Fund (CTF) Investment Plan for India. The targeted emissions reductions from energy efficiency could yield as much as 4.8 Mt CO<sub>2</sub> eq annually, or 96Mt CO<sub>2</sub> eq over an investment lifetime of 20 years.

*India: Efficient and Sustainable City Bus Services (GEF ID: 4921, WB, GEFTF: \$10.1 million; Total Cost: \$95.1 million)*

The project aims to promote a shift to sustainable modes of transport through a more comprehensive focus on city bus transport. The project encompasses the following three components: (i) development of policy notes for sustainable city

bus transportation to create awareness and facilitate deliberation at the national and state level; (ii) adoption of efficient and sustainable city bus services, including route rationalization and private-sector participation in demonstration cities (four to six cities); and (iii) pilot projects with a focus on less-GHG intensive transport and urban systems (e.g., better bus stops; terminals and depot infrastructure; passenger information systems ) in the demonstration cities. By modernizing the bus services, the project will reduce 1.3 Mt CO<sub>2</sub> eq in ten years.

*India: Facility for Low Carbon Technology Deployment (GEF ID: 4927, WB, GEFTF: \$9.9 million; Total Cost: \$69.2 million)*

This project will facilitate identification and deployment of low-carbon technologies in India that can address technology gaps to mitigate climate change and improve the economy's energy efficiency. The project will do so through a Facility for Low Carbon Technology Deployment that will bring together government, industry, consumers, academia, and CSO representatives. It is proposed to be part of the CTCN at the national level. Four key technology areas are identified to begin operations: refrigeration; air conditioning; lighting; and low-temperature waste heat recovery. The facility will be designed to be sustainable over the long-term using private sector support. The project consists of the following components: (i) competitive awards; and (ii) technical assistance for Support Facility. The project will support indirect emissions reductions of 7 Mt CO<sub>2</sub> eq annually at the end of ten years.

*Lebanon: Small Decentralized Renewable Energy Power Generation (GEF ID: 4749, UNDP, GEFTF: \$1.6 million; Total Cost: \$11.4 million)*

The objective of the project is to remove barriers to widespread application of decentralized renewable energy-based power generation in Lebanon. This will be done mainly through financing decentralized small photovoltaic applications that are eligible to receive concessional funding by the baseline project. Also, the project will provide technical assistance for enforcement of supportive policies and regulations for decentralized renewable energy production as well as for the monitoring and quality control of such installations. At least 1 MW of photovoltaic installations are expected to be supported during project implementation.

*Liberia: Lighting One Million Lives in Liberia (GEF ID: 4336, WB, GEFTF: \$1.6 million; Total Cost: \$5.6 million)*

This project builds on the successful Lighting Africa program of the WB and the International Finance Corporation (IFC) started in Kenya and Ghana with GEF sponsorship. This project will be closely coordinated with other potential Lighting Africa countries. The project includes two components: (i) capacity building and strengthening of policy and regulations in partnership with the Rural and Renewable Energy Agency (RREA) and the private sector; and (ii) business development for rapid scale-up of solar energy and access to modern lighting. The GEF funds and co-financing will provide support for the distribution of more than 100,000 solar lanterns and lay the foundation for sustainable business models. The project will reduce GHG emissions by displacing kerosene and disposable batteries, resulting in a direct offset of about 335 kt CO<sub>2</sub> eq.

*Malaysia: GHG Emissions Reductions in Targeted Industrial Sub-Sectors through Energy Efficiency and Application of Solar Thermal Systems (GEF ID: 4878, UNIDO, GEFTF: \$4.4 million; Total Cost: \$24.4 million)*

The objective of the project is to reduce GHG emissions by promoting and demonstrating sector-specific energy efficiency improvements and solar thermal technology utilization in the industrial sector of Malaysia. Almost three quarters of the GEF funding will complement governmental and private funds for the implementation of investments, while the rest of the GEF funding will be used for capacity building activities and regulatory development. The direct emission reduction due to the project is estimated at 1.1 Mt CO<sub>2</sub> eq.

*Maldives: Strengthening Low-Carbon Energy Island Strategies (GEF ID:4629, UNEP, GEFTF: \$4.3 million; Total Cost: \$25.6 million)*

The project will deliver energy efficiency improvements in the building sector in the Maldives by focusing on low-emissions tropical architecture. The project has been oriented to provide substantial direct investment in energy efficient buildings. The project consists of the following components: (i) energy efficiency/low-carbon energy technologies, design and practices; and (ii) diffusion of efficient and low-carbon technologies leading to market transformation. The project is focused on delivering direct investment and pilot demonstrations in three sectors: social-housing, government buildings, and hotels. An estimation of annual GHG emissions reductions due to the project is 86 kt CO<sub>2</sub> eq.

*Nepal: Renewable Energy for Rural Livelihood (GEF ID: 4345, UNDP, GEFTF: \$3.4 million; Total Cost: \$17.9 million)*



The objective of the project is to remove barriers to increased utilization of renewable energy resources in rural Nepal in order to support economic, environmental and social development of people in the rural areas and to reduce GHG emissions. Almost two-thirds of the GEF funding will be used for renewable energy projects (off-grid micro-hydro power plants and solar power systems) for a total capacity of 13.6 MW. The project will also establish a capital fund and a risk guarantee fund to support and complement investments in renewable energy technologies.

*Pakistan: Sustainable Energy Initiative for Industries (GEF ID:4753, UNIDO, GEFTF: \$4.0 million; Total Cost: \$36.7 million)*

This project will promote expanded use of energy efficiency and renewable energy in small and medium enterprises in Pakistan. The project consists of three components: (i) develop the policy and regulatory framework on use of energy efficiency and renewable energy in industry; (ii) create an investment platform for promoting investments in energy efficiency and renewable energy and scaling up the market; and (iii) establish an accreditation center for energy experts on energy management systems and renewable energy applications in industry. More than 70 per cent of the GEF funding is for the investment component of the project, which will potentially include a non-grant instrument to be determined during the project design phase. Based on preliminary estimates, the project will result in up to 150 kt CO<sub>2</sub> eq of annual emissions reductions.

*Peru: Nationally Appropriate Mitigation Actions in the Energy Generation and End-Use Sectors (GEF ID: 4884, UNDP, GEFTF: \$5.0 million; Total Cost: \$34.4 million)*

The project will support the government of Peru to develop and implement National Appropriate Mitigation Actions (NAMAs) in the energy generation and end-use sectors to achieve the country's GHG emissions reduction voluntary target. The project has four components: (i) develop a business-as-usual GHG emissions baseline; (ii) identify mitigation options for the energy generation and end-use sectors; (iii) design and implement NAMAs in the energy generation and end-use sectors; and (iv) develop a measurement, reporting and verification (MRV) system and national registry for mitigation actions in the energy generation and end-use sectors. The implementation of NAMAs in selected sub-sectors will directly contribute to emissions reductions of approximately 2 Mt CO<sub>2</sub> eq.

*Russian Federation: ARCTIC Targeted Support for Energy Efficiency and Renewable Energy in the Russian Arctic (GEF ID: 4683, EBRD, GEFTF: \$6.7 million; Total Cost: \$87.7 million)*

This project is a child project of the program "GEF-Russian Federation Partnership on Sustainable Environmental Management in the Arctic under a Rapidly Changing Climate (Arctic Agenda 2020)." The project includes three components: (i) legislation, restructuring and governance support to municipalities and service companies to address legal and structural barriers to investments in energy efficiency and renewable energy; (ii) market and pipeline development to support investment identification and sound development, as well as activities to communicate lessons and experiences and so increase the chances of replication; and (iii) facilitation for financing of GHG-reduction projects in energy efficiency and renewable energy through pilot investments in the region using non-grant instruments. The specific type of financial instruments will be defined during project preparation. Project investments are estimated to generate energy savings and GHG emissions reductions of 25 per cent or more.

*Serbia: Reducing Barriers to Accelerate the Development of Biomass Markets in Serbia (GEF ID: 4517, UNDP, GEFTF: \$3.2 million; Total Cost: \$17.2 million)*

The project seeks to reduce the remaining legislative, capacity, and financial barriers to accelerate the development of biomass markets in Serbia. Almost two-thirds of the GEF funding will be used for the replenishment of an investment support mechanism that will generate at least 4 MW of biomass projects (wood biomass and agricultural biomass) during the project duration. Other components in the project include: raising awareness and creating market demand for biomass energy; and development of a mechanism for institutional support for biomass projects.

*Suriname: Development of Renewable Energy, Energy Efficiency and Electrification of Suriname (GEF ID 4497, IDB, GEFTF: \$4.8 million; Total Cost: \$26.3 million)*

This project aims to promote the use and development of renewable energy and enhance energy efficiency in Suriname. GEF funding will complement IDB grants and loans for the installation of on-grid and off-grid renewable energy systems in urban and rural areas, respectively. At least 2.7 MW of micro-hydro systems and 0.7 MW of solar PV systems are expected to be installed. IDB funding will also be used for the promotion of energy efficiency practices (efficient lighting and solar water heaters) and a 300 kW biofuel power plant.

*Timor-Leste: Promoting Sustainable Bio-Energy Production from Biomass (GEF ID: 4344, UNDP, GEFTF: \$2.0 million; Total Cost: \$9.0 million)*

This project will remove the barriers to sustainable production and utilization of biomass resources in Timor-Leste and will promote the application of biomass energy technologies to support local economic, environmental and social development that leads to GHG mitigation. The project will invest in: (i) 180 sub-projects for biogas production for cooking, heating and lighting; (ii) one site for production of biofuel briquettes; and (iii) two sites for production of energy-efficient cookstoves. Approximately 170 kt CO<sub>2</sub> eq is expected to be avoided directly through this project.

*Turkey: Small and Medium Enterprise Energy Efficiency Project (GEF ID: 4957, WB, GEFTF: \$4.0 million; Total Cost: \$256.5 million)*

This project will expand the use of energy-efficient technologies in small and medium enterprises (SMEs) by supporting the scaling up of private commercial bank lending for energy efficiency. The project consists of the following: (i) energy efficiency investments in SMEs and buildings; and (ii) broad market development and policy support. Support for reforms of Government regulations will lead to sustainable support for efficiency in the long-term. GEF funding will be used to defray risk for commercial banks. Reflows from the GEF investment will be retained in Turkey and used to promote additional lending for efficiency projects by local banks. Estimated direct emissions reductions are 684 kt CO<sub>2</sub> eq annually over the 10-year lifetime.

*Ukraine: Development and Commercialization of Bioenergy Technologies (GEF ID: 4377, UNDP, GEFTF: \$5.3 million; Total Cost: \$33.1 million)*

This project will remove the regulatory, capacity, and financial barriers to the commercial utilization of solid biofuels by the municipal sector in Ukraine. Almost two-thirds of the GEF funding will be used for the replenishment of a financial mechanism that during the project duration is expected to finance six municipal co-generation projects (15 MW in total). The project proposal includes the following components: (i) development of municipal programs on biomass; (ii) national program on biomass and investment grant mechanism; (iii) investment grant mechanism for biomass projects in two regions; and (iv) replication and dissemination of municipal biomass programs throughout Ukraine. Approximately 80 kt CO<sub>2</sub> eq per year is expected to be avoided by the six investments on the assumption that they total 15MW.

*Ukraine: Introduction of Energy Management System Standard in Ukrainian Industry (GEF ID: 4784, UNIDO, GEFTF: \$6.2 million; Total Cost: \$45.9 million)*

This project will establish a new initiative to strengthen energy efficiency in the industrial sector of Ukraine. Building on other efficiency programs, the project will establish a strong emphasis on energy management standards to improve systems efficiency and conform with ISO 50001. The project consists of the following components: (i) policy and institutional support for the introduction of a national energy management system standard corresponding to the ISO 50001; (ii) building national capacity on planning, implementation and certification of energy management system standards; and (iii) technology diffusion and deployment to promote energy management system standards in selected industrial sectors. The investment component will develop five to 10 projects in three to six industrial sectors with a total number of 30 companies to be assisted. Direct GHG emissions reductions are estimated to be approximately 116 kt CO<sub>2</sub> eq.

*Uruguay: Towards a Green Economy in Uruguay: Stimulating Sustainable Production Practices and Low-Emission Technologies in Prioritized Sectors (GEF ID: 4890, UNIDO, GEFTF: \$3.8 million; Total Cost: \$23.6 million)*

This project will promote transfer of technologies and adoption of renewable energy and sustainable production practices in key agro-industrial sectors in Uruguay. Agricultural waste in the farming and livestock sectors are a large source of biomass feedstock for waste-to-energy conversion technologies. The project consists of the following components: (i) policy and regulatory framework for sustainable production strengthened; (ii) technology capacity strengthened in the area of waste valorization; (iii) full-scale demonstrations of renewable waste-to-energy technologies; and (iv) best practices dissemination and promotion. The emissions benefits are estimated to be 300-600 kt CO<sub>2</sub> eq annually over the 10-year project time horizon.

*Vietnam: Promotion of Non-Fired Brick (NFB) Production and Utilization (GEF ID: 4801, UNDP, GEFTF: \$3.2 million; Total Cost: \$39.3 million)*

This project will target the displacement of fossil fuel use and the reduced use of good quality soil for brickmaking through the increased production, sale and utilization of non-fired bricks (NFB) in Vietnam. The project will help the

Government and industry work together to meet the manufacturing target levels for non-fired bricks under recently enacted regulations. The project consists of the following components: (i) policy support for NFB technology development; (ii) technical capacity building on NFB technology application and operation; (iii) sustainable financing support for NFB technology application; and (iv) NFB technology application investment and replication. The project will result in a cumulative GHG emissions avoidance of about 4.5 Mt CO<sub>2</sub> eq from 2012-2020.

## 2. Summaries of FY 2012 Climate Change Mitigation Multi-Focal Area Projects

*Global: Fifth Operational Phase of the GEF Small Grants Program - Implementing the program using STAR resources I (GEF ID: 4541, UNDP, GEFTF: \$37.4 million in total: \$14.1 million from CC, \$11.3 million from BD, \$8.9 million from LD; Total Cost \$73.3 million)*

Launched in 1992, the GEF Small Grants Programme (GEF SGP) is a mechanism by which the GEF contributes to the overall objective of the UNFCCC at the community level. This project will implement the fifth Operational Phase (OP5) of the GEF SGP in 16 targeted countries (Argentina, Cuba, Egypt, Ethiopia, Indonesia, Iran, Kazakhstan, Morocco, Madagascar, Malaysia, Peru, Papua New Guinea, Thailand, Turkey, Tanzania, and South Africa). The GEF SGP contributes to the achievement of global environmental benefits (GEBs) through support to community climate change projects. Grants (maximum amount: \$50,000) are made directly to CSOs and community-based organizations (CBOs) in recognition of the key role they play as a resource and constituency for climate change concerns. GEF SGP supports initiatives in the areas of renewable energy, energy efficiency, environmentally sustainable transport projects, and community-based adaptation (CBA). The GEF SGP also supports the conservation and enhancement of carbon stocks through LULUCF activities including development of carbon monitoring systems. These projects also become capacity building endeavors at the institutional level because of the highly decentralized and demand-driven nature of the projects and because of the use of processes that encourage maximum country and community ownership.

*Global (Brazil, the Democratic Republic of Congo, Indonesia and Mexico): The GLOBE Legislator Forest Initiative (GEF ID: 4543, UNEP, GEFTF: \$1.1 million in total: \$0.2 million from CC, \$0.2 million from BD, \$0.6 million from SFM/REDD+; Total Cost \$2.3 million)*

The objective of this multi-focal area project is to strengthen legislation and parliamentary scrutiny functions within key forested developing countries (Brazil, the Democratic Republic of Congo, Indonesia and Mexico) in support of national efforts on REDD+ and to promote sustainable forest management. The project has the following three components: (i) establishment of cross-party group of legislators; (ii) strengthening capacity and improving understanding of legislators; and (iii) enhancing international dialogue among legislators. The baseline for this project is the GLOBE (the Global Legislators Organization) Legislator Forest Initiative. GEF incremental funding will allow GLOBE to engage with parliamentarians of the four participating countries by means of one-on-one meetings, oral briefings, papers on existing forest policy and the gaps in the regulatory frameworks, and guidelines of potential actions.

*Regional (Ecuador and Peru): Multiplying Environmental and Carbon Benefits in High Andean Ecosystems (GEF ID: 4750, UNEP, GEFTF: \$5.3 million total: \$0.9 million from CC in Peru and \$0.4 million from CC in Ecuador, \$0.6 million from LD in Ecuador, \$1.7 million from BD in Ecuador, \$1.2 million from SFM/REDD+; Total Cost \$23.4 million)*

This multi-focal area project focuses on producing multiple global environmental benefits in the high Andean ecosystems of upper montane forest called the Paramo and the Puna by improving both estimation and conservation of soil carbon as well as by developing economic incentives for improved practices aligned with cost-effective measurement, monitoring, and verification (MRV) systems. The project will implement improved management practices with local communities on six pilot sites covering a total area of 150,000 ha in Ecuador and Peru, where land-use plans that incorporate biodiversity conservation, climate change mitigation, and ecosystem services valuation will be designed with local participation. On the ground, activities will be implemented in 50,000 ha of priority sites through payment for environmental services frameworks to support the uptake of sustainable practices to improve habitat for biodiversity, sustain water flows for downstream users, and maintain and improve carbon stocks, with estimated climate mitigation benefits of 4.3 Mt CO<sub>2</sub> eq.

*Albania: Environmental Services Project (GEF ID: 4778, WB, GEFTF: \$3.2 million in total: \$0.6 million from CC, \$1.5 million from LD, \$0.7 million from SFM/REDD+; Total Cost \$25.7 million)*

This multi-focal area project focuses on sustainable community-based natural resource management planning and implementation in erosion-prone upland areas, reversing land degradation and sediment runoff, while increasing carbon



sequestration and biodiversity benefits. Concerning climate change mitigation, the project will prevent future loss of soil and re-establish forest on degraded/denuded lands, increasing carbon sequestration through improved forest management. Indicative carbon benefits are estimated at 994 kt CO<sub>2</sub> eq. Synergy is being achieved in the sustainable forest management component, which will reduce pressures on forests by working with communities to reduce grazing, to rehabilitate damaged and eroded lands, and to undertake regeneration and reforestation activities as part of the implementation of SFM plans. Furthermore, the project is looking to access the voluntary carbon market for payments for carbon sequestered through improved forest management and regeneration.

*Belize: Management and Protection of Key Biodiversity Areas (GEF ID:4605, WB, GEFTF: \$6.8 million in total: \$1.2 million from CC, \$3.4 million from BD, \$1.6 million from SFM/REDD+; Total Cost \$22.8 million)*

Although limited in extent, Belize has a wide range of important habitats with over 22 per cent of its area under some form of protection. However, the protected area (PA) estate is being lost and degraded due to weak institutional capacities, poor management, and limited enforcement of protective measures. This multi-focal area project will work in both public PAs and Belize's well-developed private PA network. The project strengthens management in one-third of Belize's protected areas (300,000 ha), and will result in reducing GHG emissions by an estimated 5.5 Mt CO<sub>2</sub> eq from avoided deforestation over the project life. It will also reduce anthropogenic forest fires by 40 per cent and increase the forest area managed under sustainable forest management practices by 50 per cent. The project will also work with local communities on the reduction of illegal encroachment, non-timber forest products harvesting and hunting, and the rehabilitation of high conservation value areas through the piloting of payment for environmental services for community-based management activities.

*Bosnia-Herzegovina: Sustainable Forest and Abandoned Land Management (GEF ID: 4779, WB, GEFTF: \$6.1 million in total: \$2.0 million from CC, \$2.2 million from LD; \$1.4 from SFM/REDD+; Total Cost \$24.5 million)*

This multi-focal area project aims to help the country implement investments to improve environmental and economic sustainability and carbon sequestration opportunities through enhanced and integrated management of forest, scrub, and pasture landscapes. Investments that increase carbon benefits would include improved forest management and reforestation of scrub forest and bare land within the forest estate, as well as improved management of abandoned agricultural lands, meadows, and pastures. The project will develop and test a national system for measuring and monitoring carbon stocks (including carbon sequestration). Climate mitigation benefits are estimated at 730 kt CO<sub>2</sub> eq.

*Brazil: Fifth Operational Phase of the GEF Small Grants Program in Brazil (GEF ID: 4560, UNDP, GEFTF: \$5.4 million in total: \$1.0 million from CC, \$2.0 million from BD, \$2.0 million from LD; Total Cost \$10.5 million)*

This multi-focal area project aims to conserve the Cerrado and Caatinga biomes of Brazil through community initiatives on sustainable resource use and through actions that maintain or enhance carbon stocks and increase areas under sustainable land management. Community reforestation with native species will be supported, as will the development of resource plans and reducing forest conversion to pasture. The project will support at least 307 initiatives by civil society and community organizations, with climate change mitigation benefits estimated to be 4.4 Mt CO<sub>2</sub> eq.

*Brazil: Recovery and Protection of Climate and Biodiversity Services in the Paraiba do Sul Basin of the Atlantic Forest of Brazil (GEF ID: 4834, IDB, GEFTF: \$29.3 million in total: \$16.8 million from CC, \$5.0 million from BD, \$4.9 million from SFM/REDD+; Total Cost \$198.1 million)*

This multi-focal area project aims to reduce GHG emissions and sequester carbon and improve biodiversity in Brazil's Atlantic Forest, one of the most diverse eco-regions in the world. It is greatly threatened by deforestation and degradation, with only 11 to 16 per cent of the original 1.2 million km<sup>2</sup> of forest cover remaining. It contains an estimated 1.6 million species of animals (including insects): 7 per cent of the world's plant species and amphibians, 9 per cent of the world's bird species, and 5 per cent of the world's mammals. The project focuses on: (i) promoting practices to reduce land use change and GHG emissions; (ii) establishing a land use monitoring system; (iii) promoting payment for ecosystem services schemes and market-based incentives, and (iv) certification of producers, enlargement of existing protected area systems, and creation of new protected areas. The project is estimated to produce direct and indirect benefits of 25.7 Mt CO<sub>2</sub> eq.

*Brazil: Consolidation of National System of Conservation Units (SNUC) and Enhanced Flora and Fauna Protection (GEF ID: 4859, IDB, GEFTF: \$35.9 million in total: \$4.5 million from CC, \$24.8 million from BD, \$3.3 million from SFM/REDD+; Total Cost \$164.1 million)*

The objective of this multi-focal area project is to improve the effective conservation of globally significant ecosystems

and endangered flora and fauna species, as well as to restore degraded landscapes and enhance carbon stocks in priority areas of the Caatinga, Pampa and Pantanal biomes. This objective will be achieved through expanding and consolidating the National System of Conservation Units (SNUC, according to its abbreviation in Portuguese) and by promoting sustainable management of adjacent forest and non-forest lands. The project will result in the declaration of 24 new protected areas covering one million hectares and in the preparation of management plans for 14 existing priority protected areas. The project will also: carry out 11 action plans for priority endangered species; implement good fire management practices in protected and adjacent areas; rehabilitate 5,000 hectares of priority landscapes; and implement business plans focusing on ecosystem services in four selected communities adjacent to protected areas. It is estimated the project will provide climate mitigation benefits of 61 Mt CO<sub>2</sub> eq.

*Cameroon: Sustainable Forest Management Under the Authority of Cameroonian Councils (GEF ID: 4800, FAO, GEFTF: \$3.9 million in total: \$2.4 million from BD, \$0.18 million from CC, \$0.85 million from SFM/REDD+; Total Cost: \$20.1 million)*

This multi-focal area project aims to reverse deforestation and degradation of forests under the authority of the councils (communes) in order to improve biodiversity conservation, reduce emissions, enhance carbon stocks, and strengthen local benefits for communities. The GEF will fund establishing council forests and conservation sites within these to guarantee biodiversity conservation, develop capacities for the sustainable management of council forests, and monitor and manage carbon stocks. The targets are to establish 20 new council forests covering 400,000 ha as well as 40,000 ha of protected areas within these. The GEF funding will also support capacity building activities in order to strengthen sustainable forest management practices in the council forests. Regarding climate change mitigation and especially carbon monitoring, the project will provide more detailed ground-level monitoring in the council forests where carbon-related land use is more diverse and difficult to assess. Indicative CO<sub>2</sub> benefits are estimated at 220 kt CO<sub>2</sub> eq per year.

*Chile: Supporting Civil Society and Community Initiatives to Generate Global Environmental Benefits using Grants and Micro Loans in the Mediterranean Ecoregion (GEF ID: 4939, UNDP, GEFTF: \$3.6 million in total: \$0.3 million from CC, \$0.2 million from LD; \$2.9 from BD; Total Cost \$18.9 million)*

The objective of this multi-focal area project is to develop, demonstrate, and mainstream the delivery of globally significant environmental benefits by community-based organizations into the management of critically endangered landscapes in the Chilean Mediterranean ecoregion. Community organizations supported by the project will be sustainably managing 700,000 hectares of globally significant dryland forests and grasslands and 150,000 hectares of agricultural and pastoral lands. The project will avoid GHG emissions by restoring and enhancing carbon stocks in forests and non-forest lands. The project will also work to conduct land management activities at appropriate pilot demonstration sites in each of the five agroclimatic zones of the Mediterranean ecoregion in order to adopt practices to reduce carbon stock emissions or to sequester carbon through, e.g., wildfire suppression or prevention, reforestation, restoration, and improved land use planning. By the end of the project, carbon benefits will total approximately 29 kt CO<sub>2</sub> eq, while after 15 years they are estimated to reach 139 kt CO<sub>2</sub> eq.

*Guatemala: Sustainable Forest Management and Multiple Global Environmental Benefits (GEF ID: 4479, UNDP, GEFTF: \$4.9 million in total: \$2.0 million from CC, \$0.8 million from LD, \$0.4 million from SFM/REDD+; Total Cost \$18.1 million)*

This multi-focal area project seeks to reduce drivers of forest degradation and deforestation in some of the last remaining dry-forest landscapes in Latin America. Impacts to threatened forests in mixed forest/agriculture landscapes in the southeastern and western regions of Guatemala will be addressed through an integrated approach to strengthen forest and land management practices, enhance biodiversity conservation activities, and improve carbon stocks within REDD-plus pilot projects. The project will work with indigenous and forest-dependent communities and is estimated to result in an increased carbon stock of 0.7 Mt CO<sub>2</sub> eq over five years. Other outcomes include: expanded areas under sustainable management; forest restoration; improved water flows; stable numbers of species; and improvements in capacity development. Results should be replicable in dry-forest areas throughout the region.

*India: Integrated Biodiversity Conservation and Ecosystem Services Improvement (GEF ID:4942, WB, GEFTF: \$22.6 million in total: \$3.0 million from CC, \$12.5 million from BD; \$5.0 from SFM/REDD+; Total Cost \$137.6 million)*

This multi-focal area project will strengthen institutional capacities for conservation of globally significant biodiversity, enhanced carbon sequestration, and securing a sustainable flow of ecosystem services in production forests of the Central Indian Highlands and the Western Ghats hotspot. In addition, the project will also undertake some innovative pilots on shifting forest cultivation in the state of Nagaland to another globally significant biodiversity hotspot -- the

Himalaya. The project directly supports conservation, restoration, enhancement, and management of carbon stocks in forests and non-forest lands as well as prevents carbon emissions through reducing pressures on these ecosystems. The project will help develop and refine a national system for measuring and monitoring carbon stocks and fluxes, which is currently being piloted by the Forest Survey of India. Cumulative climate mitigation benefits of 40 Mt CO<sub>2</sub> eq are expected by the year 2020.

*Kyrgyz Republic: Sustainable Management of Mountainous Forest and Land Resources under Climate Change Conditions (GEF ID:4761, FAO, GEFTF: \$6.0 million in total: \$1.8 million from CC, \$2.7 million from LD, \$0.9 million from SFM/REDD+; Total Cost \$23.1 million)*

This multi-focal area project will contribute to the sustainable management of mountainous silvo-agro-pastoral ecosystems in the Kyrgyz Republic by influencing production practices employed by the forestry and agriculture sectors (including pastures), and supporting climate change mitigation by improving management of natural forests, rehabilitating degraded lands, and promoting conservation agriculture. Innovations and incentives through participatory monitoring, community-driven approaches, and knowledge exchange will be provided. Climate mitigation benefits of 1.8 Mt CO<sub>2</sub> eq are expected.

*Lao PDR: Strengthening Protection and Management Effectiveness for Wildlife and Protected Areas (GEF ID: 4650, WB, GEFTF: \$7.4 million total: \$0.4 million from CC, \$4.6 million from BD; \$0.08 from LD; \$1.7 from SFM/REDD+; Total Cost \$25.0 million)*

This multi-focal area project is a child project under the “GMS-FBP Greater Mekong Sub-Region Forests and Biodiversity Program.” The project focuses on REDD+ approaches to create multiple global environmental benefits while focusing on wildlife conservation. The project follows a two-pronged approach of: (i) supporting protected areas management, wildlife conservation, REDD and sustainable forest management; and (ii) strengthening capacity of national institutions mandated with illegal wildlife trade control. GEF support will be used to develop and implement an innovative REDD+ pilot for the voluntary carbon market by financing feasibility studies for Nam Kading NPA and Xe Pian NPA, and based on this, establish a pilot project at both sites. Direct and indirect climate mitigation benefits are estimated to be 1.1 Mt CO<sub>2</sub> eq over a 15-year period.

*Mexico: Conservation of Coastal Watersheds in Changing Environments (GEF ID: 4792, WB, GEFTF: \$43.5 million in total: \$10.9 million from CC, \$16.4 million from BD, \$3.2 million from LD, \$9.1 million from SFM/REDD+; Total Cost \$283.4 million)*

This multi-focal area project supports an innovative multi-organizational approach covering natural, economic, human and institutional systems and their interactions in key watersheds. With a deforestation rate among the highest in Latin America, forested coastal watersheds have been heavily degraded, leaving them and their dependent communities particularly vulnerable to the loss of ecosystem services, in particular water-related services. The project will strengthen management of the protected area system as well as promote sustainable use in the wider landscape, enhancing landscape connectivity of entire watersheds using payments for environmental services mechanisms for promoting sustainable land use techniques and ecosystem management and rehabilitation. The project will create three new protected areas, enhance the management and financial sustainability of seven additional protected areas, and is expected to produce climate mitigation benefits of at least 16.4 Mt CO<sub>2</sub> eq.

*Russian Federation: ARCTIC Conserving Biodiversity in the Changing Arctic (GEF ID:4665, UNEP, GEFTF: \$6.2 million in total: \$0.8 million from CC, \$4.9 million from BD; Total Cost \$20.5 million)*

This multi-focal area project is a child project under the program "GEF-RF Partnership on Sustainable Environmental Management in the Arctic under a Rapidly Changing Climate (Arctic Agenda 2020)." The project objective is to enhance carbon sequestration and biodiversity conservation under changing climate conditions and other environmental pressures across the Russian Arctic. This would be achieved through sustainable wildlife resource management and mainstreaming biodiversity conservation priorities in decision-making processes at federal, regional, local, and indigenous-community levels. The project's approach will be supported by: an increase in the efficiency of the protected areas system; the implementation, together with indigenous communities, of National Species Conservation Strategies within and outside protected areas; and improved conservation and management of globally important carbon stocks within and around protected areas. The project will also generate carbon benefits by supporting the conservation of extensive areas of Arctic peatland and permafrost ecosystems that represent a source of critical ecosystem services, functioning as a major and globally significant storage of potential GHGs including CO<sub>2</sub> and methane.

*Russian Federation: ARCTIC Improvement of Environmental Governance and Knowledge Management for SAP-Arctic Implementation (GEF ID: 4796, UNEP, GEFTF: \$2.4 million in total: \$0.8 million from CC, \$0.8 million from IW, \$0.4 million from BD; Total Cost: \$12.2 million)*

This multi-focal area project is a child project under the program "GEF-Russian Federation Partnership on Sustainable Environmental Management in the Arctic under a Rapidly Changing Climate (Arctic Agenda 2020)." The project will assist the Russian Federation in improving environmental governance systems in the Arctic region to reduce multiple stressors on coastal and terrestrial ecosystems and improve ecosystem resilience. It will build necessary capacity and governance frameworks for the continued implementation of the Strategic Action Programme (SAP)-Arctic and sustainability of outcomes of other projects in the AA2020. The project will focus on: (i) establishing the environmental governance framework, building on the Integrated Coastal Management (ICM) principles, to address transboundary water issues; (ii) incorporating biodiversity values and ecosystem services in the ICM frameworks and associated legislations; (iii) the ICM mechanism that can present measures for the local population to adapt to the changing Arctic environment and to make possible their sustainable socio-economic development. This project will support the initial response of the Russian Federation to the emerging Arctic issue of the Short-Lived Climate Forcers. If successful, this project will lead to an estimated 3.3 Mt CO<sub>2</sub> eq of direct emissions reductions over five years.

*Russian Federation: ARCTIC Environment Project (Financial Mechanism for Environmental Rehabilitation in Arctic) (GEF ID: 4964, WB, GEFTF: \$6.0 million in total: \$3.7 million from CC, \$1.8 million from IW; Total Cost: \$236.0 million)*

This multi-focal area project is a child project under the program "GEF-Russian Federation Partnership on Sustainable Environmental Management in the Arctic under a Rapidly Changing Climate (Arctic Agenda 2020)." The project will strengthen Russia's environmental management systems through establishment of a sustainable financing mechanism, supported by formulating appropriate legal frameworks and increasing the institutional capacity at local, regional, and national levels. The climate change mitigation elements of the project will support funding to the Arctic Investment Fund, which will establish a revolving fund to invest in energy efficiency and renewable energy projects and to prevent and abate pollution of the coastal and marine environments in the Russian Arctic. The latter will be achieved through supporting identified Strategic Action Programme (SAP) priority activities; developing a new legal framework/institutional strengthening; and investing in water treatment technologies that will reduce transboundary transport of pollutants. Through the investments in energy efficiency and renewable energy, the estimated avoided emissions of GHG equals 2.6 Mt CO<sub>2</sub> eq over the lifetime of the project.

*Thailand: GMS-FBP Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex (GEF ID: 4677, WB, GEFTF: \$8.0 million in total: \$1.8 million from CC, \$3.7 million from BD; \$1.8 from SFM/REDD+; Total Cost \$37.4 million)*

This multi-focal area project is a child of the GMS-FBP Greater Mekong Sub-Region Forests and Biodiversity Program. The project aims to incentivize community stewardship and improve management effectiveness and sustainable financing for the Huai Kha Khaeng - Thungyai World Heritage Site, in an area of 622,000 ha in the Western Forest Complex. The focus of the investment is on strengthening on-ground conservation actions and wildlife protection through development of best practices for management of wildlife, including patrolling, monitoring, and information management. The project also aims to increase revenue for the site by piloting a REDD-plus Wildlife premium, an incentive that would protect both wildlife species and carbon stocks. The project is creating multiple global environmental benefits while focusing on wildlife protection, in particular protection of the Indochinese tiger and its prey at this key tiger resource site in SE-Asia. Through its SFM/REDD-plus activities, the project is estimated to reduce carbon emissions by 1.8 Mt CO<sub>2</sub> eq over 20 years.

*Turkey: Sustainable Land Management and Climate-Friendly Agriculture (GEF ID: 4583, FAO, GEFTF: \$6.3 million in total, \$2.0 million from CC, \$2.9 million from LD, \$0.9 million from BD; Total Cost \$27.6 million)*

This multi-focal area project focuses on the Konya Closed Basin, encompassing a semi-arid to arid production landscape of agricultural lands, pastures, forests, sand dunes, as well as wetlands and water bodies. The project will use a cross-cutting approach to improve sustainability of agriculture and forest land use management through the diffusion and adoption of low-carbon technologies to produce multiple global environmental benefits and increase farm profitability and forest productivity. Approximately 180,000 ha of range, agriculture, forest, and habitat will be improved. Estimated climate mitigation benefits are 1.8 Mt CO<sub>2</sub> eq.



*Uganda: Addressing Barriers to the Adoption of Improved Charcoal Production Technologies and Sustainable Land Management Practices through an Integrated Approach (GEF ID:4644, UNDP, GEFTF: \$3.9 million in total; \$1.8 million from CC, \$0.9 million from LD; Total Cost \$11.5 million)*

This multi-focal area project aims to generate climate change mitigation benefits through an integrated approach to land and forest management. Two types of new charcoal kilns will be introduced while simultaneously establishing community woodlots and increasing vegetation through improved management on 100,000 ha of woodlands. In addition to reduced CO<sub>2</sub> emissions compared to traditional kilns, methane emissions will be reduced. Other benefits in carbon will be obtained with the reduction in land degradation by at least 20 per cent in demonstration sites. Through the pilot demonstration activities on the ground, the project will also address key concerns such as land tenure, land rights, and land uses. Carbon benefits for the kilns and land management are estimated at 2.0 Mt CO<sub>2</sub> eq for the 20-year default period.

*Ukraine: Conserving, Enhancing and Managing Carbon Stocks and Biodiversity while Promoting Sustainable Development in the Chernobyl Exclusion Zone through the Establishment of a Research and Environmental Protection Centre and Protected Area (GEF ID:4634, UNEP, GEFTF: \$5.5 million in total: \$3.1 million from CC, \$1.0 million from LD, \$0.9 million from BD; Total Cost \$20.5 million)*

This multi-focal area project will support the establishment of the Research and Environmental Protection Centre and associated protected areas within and around the current Chernobyl Exclusion Zone, which will provide information, networking, surveys, and equipment for enhanced management of forest and non-forest lands, including wetlands, to provide carbon benefits and biodiversity benefits. Other outputs include: (i) an assessment of the status and pattern of rehabilitation processes of forest and wetland habitats, evaluating the latter's role in climate change mitigation and meeting LULUCF targets in line with EU policy and relevant global conventions; and (ii) the development of a fire monitoring system. Long-term environmental monitoring and transparency about the impact of the nuclear accident will be an important basis for the international community to better understand the potential for ecosystem rehabilitation.

*Uzbekistan: Sustainable Agriculture and Climate Change Mitigation Project (GEF ID:4642, WB, GEFTF: \$14.0 million in total: \$11.6 million from CC, \$1.1 million from LD; Total Cost \$89.0 million)*

The objective of this multi focal area project is to promote the use of renewable energy for the provision of rural energy services and improve flows of agro-ecosystem services to sustain livelihoods of local communities in Uzbekistan. This project will promote technology transfer, renewable energy and land degradation applications, through the creation of an innovative financial mechanism in collaboration with the WB to further scale up technology investments. The project is expected to significantly increase renewable energy and sustainable irrigation investments in the agro-business sector in Uzbekistan – a priority that the government has endorsed strongly and sees as a key intervention for sustainable development. Initial estimates of GHG emissions reductions from the project are 310 kt CO<sub>2</sub> eq.

*Vietnam: Implementation of Eco-Industrial Park Initiative for Sustainable Industrial Zones in Vietnam (GEF ID: 4766, UNIDO, GEFTF: \$3.9 million in total: \$1.7 million from POPs, \$0.9 million from CC, \$0.7 million from IW; Total Cost: \$18.0 million)*

This multi-focal area project seeks to address multiple environmental issues related to the operation of Industrial Parks/Zones in Vietnam. The project will develop and implement plans to transform three industrial zones into Eco-Industrial Parks. The project will improve the environmental performance of these zones by: reducing emissions of persistent organic pollutants (POPs) through the implementation of best available techniques and best environmental practices (BAT/BEP); improving energy efficiency and reducing GHG emissions through investments in clean and low-carbon technology in the parks; and improving water usage and reducing pollutants into surrounding water bodies.

*Zambia: Strengthening Management Effectiveness and Generating Multiple Environmental Benefits Within and Around Protected Areas in Zambia (GEF ID:4639, UNDP, GEFTF: \$14.6 million in total: \$3.4 million from CC, \$3.9 million from BD, \$2.7 from LD; \$3.3 million from SFM/REDD+; Total Cost \$59.4 million)*

This multi-focal area project proposes to use land use planning, biodiversity and forest management, and increased investments in renewable energy to deliver multiple high-value benefits on a large scale – protecting globally significant biodiversity, forest carbon stocks, and critical ecosystem services such as watershed protection. Zambia's vast Protected Area estate covers 40 per cent of the country's surface area and thus has the greatest potential to provide multiple environmental benefits. The project is based on three components: (i) increasing the sustainability of Zambia's Protected Area system and the effectiveness of its core areas; (ii) promoting sustainable land and forest management in targeted Game Management Areas; and (iii) establishing financial incentives and disseminating appropriate

technologies for sustainable charcoal production and sustainable forest management in selected charcoal-producing Game Management Areas. Climate mitigation benefits are estimated to be 2.9 Mt CO<sub>2</sub> eq.

*Zimbabwe: Hwange-Sanyati Biological Corridor (HSBC) Environment Management and Conservation Project (GEF ID: 4645, WB, GEFTF: \$6.4 million in total: \$0.8 million from CC, \$1.8 million from LD, \$1.9 million from BD; \$1.3 million from SFM/REDD+; Total Cost \$29.6 million)*

This multi-focal area project will catalyze many different partners to develop and implement an integrated landscape/ecosystem approach in a key biodiversity hotspot. The HSBC includes three national parks, three safari areas, and five gazetted forest areas, all of which will be strengthened through integrated management alongside production systems. A carbon stock monitoring system will be developed. The global environmental benefits include improvement in vegetation cover (including forests), carbon sequestration through avoided deforestation, and reduced land degradation through recovery of indigenous plant species. The project is estimated to produce climate mitigation benefits of 400 kt CO<sub>2</sub> eq.

### 3. Summaries of FY 2012 Climate Change Mitigation Programs

*Regional (Algeria, Egypt, Jordan, Morocco): MENA-Desert Ecosystems and Livelihoods Program (MENA-DELP) (GEF ID: 4620, WB, GEF Trust: \$19.9 million in total: \$2.4 million from CC, \$7.1 million from LD, \$7.5 million from BD; SCCF: 3.0 million; Total Cost \$249.1 million)*

This multi-focal area multi-trust fund program has the goal of contributing to the enhancement of livelihoods in desert ecosystems by harnessing the landscape's value in an environmentally and socially sustainable manner so that the flow of desert goods and services can be optimized. The program is responsive to GEF strategies and priorities under climate change mitigation (piloting of renewable energy alternatives to traditional approaches at the household level), land degradation (adaptive management practices and ecosystem rehabilitation through knowledge enhancement and enabling activities within key pockets of degradation), and biodiversity (conservation and sustainable use of biodiversity in targeted oases, rangelands, and agricultural systems). The SCCF grant builds on Algeria's Five-Year Agricultural Plan 2010-2014 with targeted measures to promote climate-resilient agricultural water management and livelihood diversification in the vulnerable southern governorates of Adrar and Ghardaia. The adaptation measures financed by the SCCF in Algeria hold significant potential for replication in similar areas across the program countries and beyond.

*Regional (Central African Republic, Cameroon, Niger, Nigeria, Chad): LCB-NREE Lake Chad Basin Regional Program for the Conservation and Sustainable Use of Natural Resources and Energy Efficiency (PROGRAM) (GEF ID: 4680, AfDB, GEFTF: \$22.1 million in total: \$4.2 million from CC, \$6.3 million from IW, \$4.9 million from LD; \$1.9 million from BD; \$3.2 from SFM/REDD+; Total Cost \$194.7 million)*

This multi-focal area program has the goal of maintaining the ecosystem services in the Lake Chad Basin by conserving the aquatic and agro-sylvan ecosystems and ensuring the sustainable use of resources in a context of energy efficiency and food security. Climate change mitigation objectives are focused on promoting the demonstration, deployment, and transfer of innovative low-carbon technologies through the use of renewable energies, particularly in the fishing and agriculture sectors.

*Regional (Africa): AfDB-PPP Public-Private Partnership Program (GEF ID: 4929, AfDB, GEFTF: \$21.6 million; Total Cost: \$261.6 million)*

This programmatic initiative is a Public Private Partnership (PPP) Program under the GEF-5 Revised Strategy for Engagement with the Private Sector. This program will promote scaling up of renewable energy technologies on the African continent and contribute to the delivery of universal power supply in the region. Through the support for renewable energy projects, the program will contribute to reducing GHG emissions from the energy supply. A pipeline of renewable energy investments in West, Central, and East Africa has been identified. Each of these projects has attracted significant private sector investment interest, but has not closed due to gaps in financing. The GEF funding will be used as concessional financing to help projects get to closing and begin implementation. GEF funding will be offered at the minimum concessionality needed for each project to ensure no crowding out of private sector investment. Renewable energy projects will deliver an expected expansion of 65 MW of capacity and enable the reduction of 220 kt CO<sub>2</sub> eq annually. Additional benefits will include more reliable electricity supply and reduced pressure on biomass resources.

Regional (China, Cambodia, Lao PDR, Myanmar, Thailand, Vietnam): GMS-FBP Greater Mekong Sub-Region Forests and Biodiversity Program (GEF ID:4649, ADB/WB: GEFTF: \$21.4 million total: \$3.2 million from CC, \$2.1 million from LD, \$9.5 million from BD, \$4.9 from SFM/REDD+; SCCF Trust Fund: \$0.5 million; Total Cost: \$153.8 million) This multi-focal area multi-trust fund program has the goal of increasing investments and improving both the management and climate-resilience of high-priority forest biodiversity conservation landscapes, including protected area systems of the Greater Mekong Sub-Region (GMS), with child projects for Lao PDR, Thailand, and Vietnam. The program includes LULUCF climate change mitigation objectives, and SFM/REDD+ incentive funding to introduce REDD+ pilots creating multiple global environmental benefits. The SCCF grant, through the regional support project that encompasses all participating countries, contributes to integrating strategies for climate resilience into regional strategies and planning processes, and piloting measures to increase the resilience of communities and biodiversity in conservation landscapes.

*Regional (Bangladesh, China, Mongolia): ASTUD Asian Sustainable Transport and Urban Development Program (GEF ID:4638, ADB, GEFTF: \$14.7 million; Total Cost: \$1001.6 million)*

The objective of this program is to support Asian cities in realizing GHG reductions and local co-benefits through the integration of low-carbon transit infrastructure. The program starts with three countries (Bangladesh, China, and Mongolia) as the first tranche, and is expected to include other countries in future tranches. The program has the following four components: (i) AVOID: reducing the need to travel by motorized modes; (ii) SHIFT: shifting travelers to more environmentally friendly modes; (iii) IMPROVE: increasing the energy efficiency of the urban transport systems; and (iv) KNOWLEDGE SHARING: regional program on integrated approaches to transport and urban system development.

*Regional (Latin America and Caribbean): IDB-PPP MIF Public-Private Partnership Program (GEF ID: 4959, IDB, GEFTF: \$16.2 million in total: 10.0 million from CC, 5.0 million from BD; Total Cost: \$282.5 million)*

This programmatic initiative is a Public Private Partnership (PPP) Program under the GEF-5 Revised Strategy for Engagement with the Private Sector. This program will make targeted equity investments in funds to promote energy efficiency, renewable energy, and biodiversity in Latin America. Three leading funds have been selected for negotiation. Each has identified a pipeline of investments and has already attracted significant private sector investment interest, but has not closed due to gaps in financing. The GEF funding will be used to help projects get to closing and begin implementation. The GEF principal and any investment returns will flow back to the GEF Trust Fund, contributing to sustainable use of the private sector set-aside. Among the benefits from the investments over the project lifetime will be at least 7 Mt CO<sub>2</sub> eq abated. The program employs a unique partnership with the Multilateral Investment Fund (MIF) of the IDB, which will provide funding for all necessary technical assistance and project preparation.

*Russian Federation: ARCTIC GEF-Russian Federation Partnership on Sustainable Environmental Management in the Arctic Under a Rapidly Changing Climate (Arctic Agenda 2020) (GEF ID:4664, UNEP/EBRD, UNDP, WB, GEFTF: \$27.7 million in total: \$11.9 million from CC, \$6.4 million from BD, \$3.3 million from IW; Total Cost: \$338.0 million)*

This multi-focal area program aims to adopt and implement governance reforms for sustainable development of the Arctic in the Russian Federation. The foundation for this program was set by the Strategic Action Programme (SAP) for the Protection of the Russian Arctic Environment, developed through GEF support. The program will facilitate and support multiple reforms, accompanied by a series of demonstration projects. It will, for instance, establish firmer institutional arrangements for shared resources and the environment associated with transboundary Large Marine Ecosystems, energy efficiency improvement, and renewable energy development, developing a network of protected areas and introducing integrated river basin management for water management and biodiversity conservation. The program will catalyze further dialogue with the other Arctic countries on transboundary issues and will help to develop a mechanism that prompts needed investments.

#### **4. Summaries of FY 2012 Enabling Activity Projects**

*Global: Umbrella Programme for National Communications to the UNFCCC (GEF ID: 4498, UNEP, GEFTF: \$12.5 million; Total Cost: \$14.5 million)*

National Communications are a requirement for all developing countries that have signed and ratified the UNFCCC. This project will provide the financial and technical support to 22 developing countries (Afghanistan, Angola, Burundi, Cambodia, Central African Republic, Chad, Congo, Djibouti, Guinea, Guinea-Bissau, Guyana, Haiti, Lesotho, Liberia, Malawi, Mozambique, Nepal, Palau, Sierra Leone, Saint Lucia, Swaziland, and Zambia) to prepare and complete their



national communications. The project will also strengthen the information base and institutional capacity of the national institutions involved in the development of national communications in order to integrate climate change priorities into development strategies and relevant sector programmes.

*Global: Umbrella Programme for National Communications to the UNFCCC (GEF ID:4794, UNEP, GEFTF: \$7.9 million; Total Cost: \$9.2 million)*

The project will allow 14 least developed countries and small island developing states (Antigua and Barbuda, Burkina Faso, Dominica, Fiji, Grenada, Myanmar, Niue, Rwanda, St. Kitts and Nevis, Solomon Islands, Somalia, St. Vincent and the Grenadines, Suriname and Tuvalu) to prepare their National Communications and submit the completed reports to the UNFCCC. The project will provide the countries with the resources to complete GHG inventories, complete mitigation analysis, and identify possible adaptation options. The project will also ensure continuity in the strengthening of national capacities and institutional mechanisms for the preparation of National Communications by building on previous achievements and addressing gaps.

*Colombia: Third National Communication to the UNFCCC (GEF ID:4619, UNDP, GEFTF: \$2.2 million; Total Cost: \$3.9 million)*

The project will assist the Government of Colombia to prepare its Third National Communication to the UNFCCC and allow Colombia to fulfill its commitments under Articles 4.1 and 12.1 of the Convention. The project will also assist the Government of Colombia to strengthen its capacity to design and implement policies on mitigation and adaptation to climate change. Elements of the National Communication include: (i) national circumstances; (ii) national GHG inventory; (iii) mitigation measures; (iv) vulnerability assessment and adaptation measures; and (v) constraints and gaps and related financial, technical, and capacity needs.

*India: Preparation of Third National Communication (3NC) to the UNFCCC and Strengthening Institutional and Analytical Capacities on Climate Change (GEF ID:4673, UNDP, GEFTF: \$9.9 million; Total Cost: \$36.2 million)*

The project will allow India to fulfill its obligations under the UNFCCC through preparing a GHG inventory and developing improved climate change projections. The project will also allow India to prepare the biennial update report (BUR) in line with new guidance which has come from COP 17. As for the BUR, the expected outputs include: (i) national circumstances and institutional arrangements; (ii) national GHG inventory; (iii) mitigation actions and their effects; (iv) constraints and gaps, and related financial, technical, and capacity needs; (v) level of support received to enable the preparation and submission of BURs; and (vi) other information relevant to the achievement of the objectives of the Convention. This is an innovative project aimed at realizing in one common framework India's national communication, BUR, and technology needs assessment.

*Indonesia: Third National Communication to the United Nations Framework Convention on Climate Change (GEF ID:4933, UNDP, GEFTF: \$5.0 million; Total Cost: \$26.0 million)*

The project will allow Indonesia to prepare its Third National Communication and biennial update report (BUR) for submission to the UNFCCC. The National Communication and BUR have the following components: (i) national GHG inventory 2000-2010; (ii) assessment of the impacts, vulnerability, and adaptation policies and measures to address climate change, climate variability, and extreme events; (iii) GHG mitigation policies and measures to address climate change; and (iv) description of national circumstances and other relevant information. The project will also include publication and dissemination of the third National Communication and BUR.

*Serbia: Second National Communication to the UNFCCC (GEF ID: 4713, UNDP, GEFTF: \$0.6 million; Total Cost: \$0.6 million)*

The objective of the project is to assist Serbia in the preparation of its Second National Communication in fulfillment of its obligations under the UNFCCC. The project will complete a GHG inventory for Serbia for the year 2000, as well as complete emissions scenarios for the year 2020. The project will also complete vulnerability assessments of the water resources, agriculture, and forestry sectors.

## Annex 4: Summaries of Projects Approved under the LDCF and the SCCF

*Note:*

- 1) Annex 4 summarizes projects and programs on climate change adaptation approved under the LDCF and SCCF during the reporting period (July 1, 2011 to June 30, 2012).
- 2) Multi-focal area projects include one or more objectives of other focal areas: climate change mitigation (CCM); biodiversity (BD); international waters (IW); and land degradation (LD).
- 3) Implementing Agencies of the listed projects and programs are: the Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development (EBRD), the Food and Agriculture Organization of the United Nations (FAO), the Inter-American Development Bank (IDB), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO), and the World Bank (WB).
- 4) GEF funding includes Project Preparation Grant (PPG) and Agency Fee. Total cost is the sum of GEF funding and co-financing.

### 1. LDCF Projects Approved in FY 2012

*Regional (Benin, Burkina Faso, Ethiopia, Malawi, Sao Tome and Principe, Sierra Leone, Tanzania, Uganda, and Zambia): Strengthening climate information and early warning systems to support climate resilient development (GEF IDs: 4991, 4992, 4993, 4994, 4995, 5002, 5003, 5004, and 5006; UNDP; LDCF: \$40.6 million; Total Cost: \$224.3 million)*

These nine FSPs in sub-Saharan Africa seek to support climate-resilient development and adaptation by strengthening weather and climate monitoring and early-warning systems. The projects are closely aligned with the countries' NAPA priorities, as well as with their Poverty Reduction Strategy Papers (PRSP), providing essential information and decision-support services to enable sustainable and resilient development in key sectors of the economy, notably agriculture, fisheries, transportation, and energy. While tailored in accordance with country needs and circumstances, the projects are all structured around two broad components: (i) investments in weather and climate monitoring infrastructure, including hydrological and meteorological monitoring stations, radar for monitoring severe weather, upper-air monitoring stations for regional forecasts, and satellite monitoring equipment; and (ii) measures to integrate climate information into development plans and early warning systems. The projects will assess and promote legal arrangements to ensure long-term public commitment to hydro-meteorological monitoring and early-warning systems, as well as the provision of paid-for services for the private sector.

*Bangladesh: Integrating Community-Based Adaptation into Afforestation and Reforestation Programmes in Bangladesh (GEF ID:4700, UNDP, LDCF: \$6.3 million; Total Cost: \$47.9 million)*

The project is aimed at reducing the vulnerability of communities to the adverse impacts of climate change through participative design, community-based management, and diversification of afforestation and reforestation programmes. The main component will invest in effective early warning communications for extreme climate events that can be regularly disseminated to communities in all afforestation and reforestation sites; and in protecting communal livelihood assets in new afforestation and reforestation sites from extreme climate events through dedicated disaster preparedness and risk-reduction measures.

*Bhutan: Addressing the Risk of Climate-Induced Disasters Through Enhanced National and Local Capacity for Effective Actions (GEF ID: 4976; UNDP; LDCF: \$12.8 million; Total Cost: \$58.5 million)*

The project seeks to increase national, local, and community capacity to prepare for and respond to climate-induced multi-hazards while reducing both the potential loss of human lives and potential damages to national economic infrastructure, livelihoods, and livelihood assets. Specifically, the project will: (i) reduce risks from floods and landslides in the Pasakha industrial area, Bhutan's economic and industrial hub; (ii) strengthen community-level resilience in the face of climate change-induced hazards; and (iii) provide information for climate-resilient planning at the national level.

*Cambodia: Strengthening the Adaptive Capacity and Resilience of Rural Communities Using Micro Watershed Approaches to Climate Change and Variability to Attain Sustainable Food Security (GEF ID:4434, FAO, LDCF: \$5.6 million)*

million; Total Cost: \$24.4 million)

The objective of this project is to build the adaptive capacity of rural communities and to reduce their vulnerability to climate change and climate variability through integrated micro watershed management and climate-resilient agricultural practices to ensure food security in Cambodia. The project will demonstrate the role of various watershed techniques to reduce climate risks. It will also demonstrate climate-resilient agricultural practices for increased productivity and livelihoods diversification through alternative income-generating activities. Focused support will be provided to women in order to strengthen their resilience and improve their livelihoods.

*Gambia: Enhancing Resilience of Vulnerable Coastal Areas and Communities to Climate Change in the Republic of Gambia (GEF ID:4724, UNDP, LDCF: \$10.0 million; Total Costs: \$51.3 million)*

The project will reduce the vulnerability of Gambia to sea-level rise and associated impacts of climate change by improving coastal defenses and by enhancing adaptive capacities of coastal communities. The project promotes investments in: hard coastal protection infrastructure; mangrove forests in 2500 ha of the Tambi Wetlands, the North Bank, Western, and lower river regions; rice-growing and horticulture salinity-resilient technologies; and climate-resilient wetland and fisheries management and planning methods.

*Guinea: Strengthening Farmers Communities Livelihoods Resilience Against Climate Changes in the Guinean Prefectures of Gaouai, Koundara and Mali (GEF ID:4692, UNDP, LDCF: \$4.2 million; Total Cost: \$54.8 million)*

The project aims to strengthen adaptive capacities of vulnerable populations in the prefectures of Gaouai, Koundara, and Mali (GKM) to the additional risks posed by the increased frequency of drought. It focuses on four components: (i) local authorities technically strengthened to promote climate resilient local development; (ii) climate change information systems are established to guide climate-resilient agroforestry practices; (iii) climate resilient agroforestry is promoted in the prefectures of Gaouai, Koundara, and Mali to increase community livelihood resilience.

*Lao PDR: Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate (GEF ID:4554, UNDP, LDCF: \$5.3 million; Total Cost: \$31.2 million)*

The objective of the project is to improve local administrative systems affecting the provision and maintenance of small-scale rural infrastructure (including water and disaster preparedness) through participatory decision making that reflects the genuine needs of communities and natural systems vulnerable to climate risk. The main components will invest in small-scale rural infrastructure to protect and diversify it against climate change-induced risks (droughts, floods, erosion, and landslides) and in management of natural assets (such as wetlands, forests, and other ecosystems in sub-catchments) over at least 60,000 ha, to ensure maintenance of ecosystem services, especially water provisioning, flood control, and protection under increasing climate change-induced stresses.

*Lesotho: Adaptation of Small-Scale Agriculture Productions (ASAP) (GEF ID:4453, IFAD, LDCF: \$4.9 million; Total Cost: \$17.9 million)*

The project objective is to increase adaptability of small-scale agriculture to climate change impacts by promoting climate-proofed investments for agriculture-based development, as well as by enhancing the resilience of agricultural productivity under increased climate variability. The two major project outcomes are: (i) agricultural market opportunities in the programme area increased; and (ii) productivity and quality of smallholder farming activities in the programme area increased.

*Malawi: Shire Natural Ecosystems Management Project (GEF ID:4625, WB, LDCF: \$1.7 million, GEFTF:\$5.6 million in total: \$2.7 million from BD; \$1 million from LD; \$1.2 million from SFM/REDD+, Total Cost: \$77.0 million)*

The objective of this multi-trust fund project is to develop the Shire River Basin planning framework to improve land and water management for ecosystem and livelihood benefits in target areas. The project draws from resources of the above-mentioned GEF focal areas to mainstream natural habitat and biodiversity management within the Shire River Basin Management project. LDCF funds will be used to study the dynamics of the Marshes and establish co-management planning and pilot activities that will allow local people to use the wetlands in a more sustainable fashion. This will reduce their own vulnerability as well as safeguard the role that the Marshes play in protecting the wider population of the Lower Shire from floods.

*Malawi: Climate Proofing Local Development Gains in Rural and Urban Areas of Machinga and Mangochi Districts (GEF ID: 4797, UNDP, LDCF: \$6.0 million, Total Cost: \$42 million)*

The project seeks to apply ecological, physical and policy measures to reduce the vulnerability of rural and urban

communities in Malawi's Machinga and Mangochi districts to the effects of climate change -induced droughts, floods and post-harvest grain losses. The project will carry out (i) ecological and physical demonstration works in climate-resilient land, water and post-harvest management; as well as (ii) scaling up and demonstration activities through baseline programs and local development processes. Specifically, the project will seek to integrate adaptation technologies and strategies across Malawi's Agricultural Input Subsidy Programme.

*Nepal: Community-Based Flood and Glacial Lake Outburst Risk Reduction (GEF ID:4551, UNDP, LDCF: \$7.0 million; Total Cost: \$ 25.9 million)*

The objective of the project is to reduce human and material losses from Glacial Lake Outburst Flooding (GLOF) in Solukhumbu district and catastrophic flooding events in the Terai and Churia Range. Through alignment with the key disaster management projects and programs currently under definition and implementation in Nepal, this project will use LDCF resources to finance additional costs of achieving sustainable development imposed by the impacts of climate change. The project places emphasis on: (i) development of early warning systems against climate-related extreme events; (ii) monitoring of conditions for, and development of, programs to respond to flooding and glacial lake outburst flooding (GLOF); and (iii) raised awareness and understanding of local communities about the necessity and benefits of preparedness for climate hazards.

*Niger: Scaling Up Community-Based Adaptation (CBA) in Niger (GEF ID:4701, UNDP, LDCF: \$4.2 million; Total Cost: \$17.4 million)*

The project objective is to strengthen the responsiveness and adaptive capacity of administrative/technical support services at the commune-level to enable generation of a critical mass of climate-resilient communities and achieve more climate-resilient economies in Maradi region, Republic of Niger. The main component will invest in implementation of locally designed climate-resilient livelihoods options to build the socio-economic resilience of target communities.

*Rwanda: Landscape Approach to Forest Restoration and Conservation (LAFREC) (GEF ID:4952, WB, LDCF:\$4.4 million; GEFTF: \$6.0 million: \$1.3 million from BD; \$ 2.7 million from LD; \$1.3 million from SFM/REDD+, Total Cost: \$64.0 million)*

This multi-trust fund project seeks to restore and maintain critical landscapes in Rwanda that provide global environmental benefits and contribute to climate-resilient economic development and livelihoods. Through the component financed under LDCF, the project undertakes vulnerability assessments, capacity building, and targeted investments to enhance resilience to climate change-induced floods, landslides, and drought.

*Samoa: Enhancing the Resilience of Tourism-reliant Communities to Climate Change Risks (GEF ID: 4585; UNDP; LDCF; \$2.2 million; Total Cost: \$9.3 million)*

The project seeks to increase the resilience of the tourism sector in Samoa through mainstreaming climate risks into tourism-related policy processes and adaptation actions in coastal communities and tourism operators. Specifically, the project will: (i) mainstream climate change adaptation across tourism-related policy instruments and public-private partnerships; and (ii) increase the adaptive capacity of tourism-reliant communities.

*Sierra Leone: Building Adaptive Capacity to Catalyze Active Public and Private Sector Participation to Manage the Exposure and Sensitivity of Water Supply Services to Climate Change in Sierra Leone (GEF ID:4599, UNDP, LDCF: \$3.3 million; Total Cost: \$28.9 million)*

The project objective is to enhance the adaptive capacity of decision-makers in the public and private sector involved in water provision to plan for and respond to climate change risks to water resources. The project will invest in making resilient existing water supply storage and distribution infrastructure against climate change-induced risks in Freetown and at least three rural districts, with the support of the private sector.

*Solomon Islands: Solomon Islands Water Sector Adaptation Project (SIWSAP) (GEF IF: 4725; UNDP; LDCF: \$7.7 million; Total Cost: \$48.0 million)*

The project seeks to improve the resilience of water resources to the impacts of climate change in order to improve health, sanitation and the quality of life, and to sustain livelihoods in targeted vulnerable areas. Specifically, the project will: (i) support climate-resilient planning in the water sector; (ii) enhance the reliability and quality of water supplies in targeted areas; and (iii) improve governance and knowledge management in the water sector.

*Timor Leste: Strengthening the Resilience of Small-Scale Rural Infrastructure and Local Government Systems to*

*Climatic Variability and Risk (GEF ID:4696, UNDP, LDCF: \$5.2 million; Total Cost: \$29.7 million)*

The project aims to design and implement critical small-scale rural infrastructure through participatory approaches and strengthened local governance systems, reflecting the needs of communities vulnerable to increasing climate risks. The three components include: (i) a systematic management and use of climate risk information; (ii) inclusive planning and budgeting for reducing climate- and natural disaster-related risks; and (iii) investments in making resilient small-scale rural infrastructure against droughts, floods, erosion, and landslides.

*Togo: Adapting Agriculture Production in Togo (ADAPT) (GEF ID:4570, IFAD, LDCF: \$6.0 million; Total Cost: \$19 million).*

This is the first project that addresses Togo's urgent and immediate adaptation needs in agriculture as identified in the NAPA. The project is well aligned with the country's development policies and plans, related donor-funded initiatives, as well as IFAD's comparative advantage in agriculture and rural development. The project builds on an IFAD baseline investment of \$10 million in value chain development and agricultural productivity. The LDCF grant will support measures to enhance the resilience of the baseline investment through three distinct and complementary components: (i) mainstreaming climate change adaptation tools in agricultural production systems; (ii) adapting vulnerable agricultural production systems and diversifying rural livelihoods; and (iii) strengthening knowledge resources, communication and capacity building associated with climate change adaptation.

*Tuvalu: Effective and Responsive Island-Level Governance to Secure and Diversify Climate Resilient Marine-Based Coastal Livelihoods and Enhance Climate Hazard Response Capacity (GEF ID:4714, UNDP, LDCF: 4.8 million; Total Cost: \$24.4 million)*

The project will achieve the resilience of island communities to climate change variability and risks through participatory island-level planning, budgeting and execution and community-led investments. The three main outcomes are: (i) marine-based coastal livelihoods of Tuvaluan outer islands made resilient to declining productivity induced by climate variability and change; (ii) enhance the capacity of outer islands to respond to increasing climate induced hydro-meteorological risks; (iii) a nationally owned mechanism established that leverages external financing for community-based climate change adaptation through participatory development processes.

## **2. SCCF Projects and Programs Approved for FY 2012**

### **a. SCCF-A Projects Approved in FY 2012**

*Colombia: Adaptation to Climate Impacts in Water Regulation and Supply for Bogota's Metropolitan Area (GEF ID:4610, IDB, SCCF: \$4.6 million; Total Cost: \$27.9 million)*

The project seeks to strengthen the hydrological buffering and regulation capacity of the upper watershed of Chingaza-Sumapaz-Guerrero that supplies drinking water to the Bogota metropolitan area and the adjoining rural municipalities. The SCCF grant builds on baseline projects by the Bogota Water Utility Company and IDB, ensuring that ongoing and future measures to enhance the availability of and access to water address the effects of climate change on strategic areas for water regulation, recharge, and supply in the upper watershed. While contributing to the water security of the Bogota metropolitan area and the adjoining rural municipalities, the SCCF project also enhances the climate resilience of upstream rural communities and their livelihoods.

*El Salvador: Climate Change Adaptation to Reduce Land Degradation in Fragile Micro Watersheds Located in the Municipalities of Texistepeque and Candelaria de la Frontera (GEF ID:4616, FAO, SCCF:\$1.1 million; GEFTF: \$0.6 million (LD); Total Cost: \$7.0 million)*

This multi-trust fund project seeks to mainstream climate change adaptation and disaster risk reduction into Fragile Micro-Watershed Management Plans, and to reduce land degradation and the unsustainable management of land and water. The SCCF and GEFTF grants build on the Family Agriculture Plan 2010-2014, supporting targeted measures to integrate climate change considerations into micro-watershed planning, enhance soil quality, improve the availability and quality of water, as well as to map biophysical risks and to plan for extreme weather events.

*Honduras: Competitiveness and Sustainable Rural Development Project in the Northern Zone (GEF ID:4657, IFAD, SCCF: \$3.4 million; Total Cost: \$24.4 million)*

The project seeks to increase the climate resilience of agricultural production chains in three departments of Northern Honduras, protecting smallholder farmers and their livelihoods from the impacts of climate change. Building on an



IFAD value chain development investment, the SCCF grant will introduce concrete measures for improved natural resource management, climate-resilient agricultural production and processing, as well as climate-proofing rural infrastructure.

*India: Climate Resilient Coastal Protection and Management (GEF ID:4536, ADB, SCCF: \$2.0 million; Total Cost: \$56.7 million)*

The project seeks to strengthen the resilience of coastal communities and ecosystems to the adverse effects of climate change by mainstreaming climate change considerations into coastal protection and shoreline management. The SCCF grant will build on investments in soft and hard coastal protection infrastructure in the states of Maharashtra and Karnataka and strengthen the capacity of national, state-level, and local stakeholders in climate-resilient shoreline management and planning.

*India: Sustainable Livelihoods and Adaptation to Climate Change (SLACC) (GEF ID:4901, WB, SCCF: \$8.8 million; Total Cost: \$242.8 million)*

The proposed project seeks to reduce vulnerability to the adverse affects of climate change, including variability, through community-based interventions in select agro-ecological zones in six states. The project builds on the National Rural Livelihoods Project (NRLP), introducing climate-resilient agricultural practices and infrastructure solutions, off-farm livelihood opportunities, weather and climate information services, as well as associated capacity building.

*Moldova: Climate Resilience Through Conservation Agriculture (GEF ID:4366, IFAD; SCCF: \$4.8 million; Total Cost: \$18.6 million)*

The project seeks to enhance the climate-resilience of smallholder farmers through conservation agriculture. Building on an IFAD baseline project in rural financial services and agri-business development, the proposed SCCF grant will pilot and build the capacity of farmers to adopt agricultural production techniques that enhance water-use efficiency while reducing runoff and soil erosion.

*Philippines: Scaling Up Risk Transfer Mechanisms for Climate Vulnerable Farming Communities in Southern Philippines (GEF ID:4967, UNDP, SCCF: \$1.2 million; Total Cost: \$10.5 million)*

The proposed project seeks to reduce poverty through enhancing the resilience of vulnerable farming communities to climate change risks in northern Mindanao, including measures to promote greater productivity, sustainability, and reduced uncertainty. The project develops and provides innovative financial services to at least 500 farming households, including credit and loans, and weather-index based insurance. In addition, the project undertakes community-based training and demonstration in climate-resilient agriculture and early-warning systems.

*Sri Lanka: Strengthening the Resilience of Post-Conflict Reconstruction to Climate Risks in Coastal Communities in North and East Sri Lanka. (GEF ID:4609, UNDP, SCCF: \$3.5 million; Total Cost: \$60.8 million)*

The project seeks to increase the resilience of communities to climate change-induced hazards through the integration of climate-smart policies and actions into development planning and budgeting, including in the reconstruction and rehabilitation programs of the Northern Province and Eastern Province. The SCCF grant contributes to and enhances the resilience of a range of reconstruction and development initiatives in these vulnerable regions through information and capacity building in climate change risks and adaptation, as well as through the development and implementation of a concrete, community-based investment program.

*Zimbabwe: Scaling Up Adaptation in Zimbabwe, with a Focus on Rural Livelihoods, by Strengthening Integrated Planning Systems (GEF ID:4960, UNDP, SCCF: \$4.4 million; Total Cost: \$62.9 million)*

The proposed project seeks to reduce the vulnerability of rural communities to the adverse impacts of climate variability and change in Zimbabwe. The project carries out integrated adaptation planning in districts and provinces along with urgent measures to enhance the resilience of crop and livestock systems in vulnerable areas. To scale up and to ensure the sustainability of proven climate-resilient practices, the project would also introduce inclusive financial services, capacity building, and measures to integrate climate change adaptation into national budgets and planning.

## **b. SCCF-A Programs Approved in FY 2012**

*Regional (Algeria, Egypt, Jordan, Morocco): MENA – Desert Ecosystems and Livelihoods Program (MENA-DELP) (GEF ID:4620, WB, SCCF: \$3.0 million; GEFTF: \$19.9 million in total: \$7.1 million from LD, \$7.5 million from BD,*

*\$2.4 million from CC; Total Cost: \$249.1 million)*

This is a multi-trust fund program. Please see the summary on page 74.

*Regional (China, Cambodia, Lao PDR, Myanmar, Thailand, Vietnam): Greater Mekong Sub-Region Forests and Biodiversity Program (GMS- FBP) (GEF ID:4649, WB/ADB, SCCF:\$0.5 million; GEFTF: \$21.4 million: \$9.5 million from BD, \$3.2 million from CC; \$4.9 million from SFM/REDD+; \$2.1 million from LD; Total Cost: \$153.8 million)*

This is a multi-trust fund program. Please see the summary on page 74.

### **c. SCCF-B Projects Approved in FY 2012**

*Global: Enhancing Capacity, Knowledge and Technology Support to Build Climate Resilience of Vulnerable Developing Countries (GEF ID:4934, UNEP, SCCF-B: \$5.5 million; Total Cost: \$28.5 million)*

The proposed project seeks to build climate resilience using an ecosystem management approach in LDCs and SIDS by increasing institutional capacity, including through a task force of adaption experts and involvement of private and public institutions; mobilizing knowledge through an interactive web-based platform; and identifying and transferring appropriate adaptation technologies following the newly developed UNEP Adaptation Decision Support Framework. The proposed project will be executed by the China National Development and Reform Commission (NDRC) and is built on existing avenues of support, including China's South-South Cooperation Programme on Climate Change in West Africa, South Asia, and SIDS.

*Regional (AFR): Pilot African Climate Technology Finance Center and Network (GEF ID:4904, AfDB, SCCF-B \$5.8 million; GEFTF: \$10.0 million (CC); Total Cost: \$110.8 million)*

This is a multi-trust fund project. Please see the summary on page 60.

*Regional (ECA): Regional Climate Technology Transfer Center (GEF ID:4956, EBRD, SCCF-B: \$2.0 million; GEFTF: \$10.0 million (CC); Total Cost: \$89.0 million)*

This is a multi-trust fund project. Please see the summary on page 60.

*Regional (LAC): Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean (GEF ID:4880, IDB, SCCF-B: \$2.0 million; GEFTF: \$10.0 million (CC); Total Cost: \$75.4 million)*

This is a multi-trust fund project. Please see the summary on page 60.



## Annex 5: Implementation of the Poznan Strategic Program on Technology Transfer

1. This annex summarizes the status of preparations and implementation under the Technology Transfer Pilot Projects supported within the framework of the Poznan Strategic Program on Technology Transfer. The annex presents the progress made by the GEF Implementing Agencies in the delivery of pilot projects and summarizes experiences gained and lessons learned so far, as requested in the SBI 36 agenda item 12 conclusions (see paragraphs 158 to 176 in this document for overall reporting on the progress of the Poznan Strategic Program on Technology Transfer).
2. As indicated in paragraphs 164 to 167 in this document, the call for proposals for technology transfer pilot projects under window two of the Poznan Strategic Program issued in March 2009 by the GEF CEO led to the selection of fourteen proposals of pilot projects for funding, including 13 FSPs and one MSP. Only one proposal for adaptation was received for a project in Jordan; this proposal was funded, along with three other proposals that included adaptation elements. The total funding from the GEF Trust Fund and SCCF-B for the 14 pilot projects amounted to \$58 million, and total co-financing for these projects comes to more than \$195 million.
3. As of June 2012, GEF Agencies charged with implementing these 14 pilot projects have reported progress in project preparation and implementation (see Table A5) :
  - (f) Eight projects have been endorsed by the GEF CEO and are progressing in project implementation. These projects take place in Cambodia, Chile, China, Jordan, Mexico, Russia, Sri Lanka and Thailand. The funding from the GEF Trust Fund and SCCF-B for these project amounts respectively to \$41 million and \$2.4 million, and the total co-financing amounts respectively to \$173 million and \$5.5 million.
  - (g) Two projects have been undergoing preparations for CEO endorsement by respective GEF Agencies and countries. These projects take place in Senegal and Cote d'Ivoire.
  - (h) One project was re-submitted by another Agency, and was approved by the GEF Council in November 2011. This project takes place in Colombia, Kenya, and Swaziland. It is currently undergoing preparations for GEF CEO endorsement.
  - (i) Three projects were cancelled upon request from the GEF Agencies and/or the concerned national government, one in July 2011, one in February 2012 and one in June 2012.
4. The eight CEO-endorsed projects are in early phases of implementation. Information on their implementation status and experience, provided by the GEF Agencies concerned, is summarized below:
  - **Cambodia: Climate Change related Technology Transfer for Cambodia: Using Agricultural Residue Biomass for Sustainable Energy Solutions (UNIDO).** The project was in its initiation phase by June 2012, having identified the agro residue biomass energy potential in Cambodia. The inception workshop was planned for July 2012 along with a stakeholders workshop on climate change related technology transfer and an intensive training on agriculture residue biomass. At this early project stage, the following observations regarding project challenges have been made: lack of competent local suppliers of technologies after-sales services; lack of understanding among industry decision-makers with available surplus biomass of their economic and environmental potential for clean and green energy; insufficient technical capacity within enterprises and in the market to identify, develop and implement renewable energy projects and measures; and financing and credit constraints for the associated private enterprises.
  - **Chile: Promotion and Development of Local Solar Technologies in Chile (IDB).** The project was endorsed by the GEF CEO in June 2012. The project approval by the IDB is expected in July 2012. The IDB and the Chilean Ministry of Energy are organizing a kick-off ceremony in September 2012 with the engagement of

Chilean authorities for the sector. The ceremony has been planned to coincide with the Chilean International Renewable Energy Congress, and, therefore, is expected to receive high exposure and press coverage.

- ***China: Green Truck Demonstration Project (WB).*** The project was launched in October 2011 with a workshop organized in conjunction with the first international Green Freight Exhibition. Over 60 policy makers, truck companies, and international experts discussed at the Guangdong Green Freight Workshop how to maximize fuel savings through the project and make maximum use of existing international experience. The selection and enrollment of eligible technologies and participating truck carriers started in March 2012. The new technologies were demonstrated to potential investors during a trade fair held in March 2012. Consultation workshops and applications from truck carriers already show that certain types of technologies demonstrated under the Guangzhou pilot are being adopted by early adopters among truck carriers in the Guangdong market. The project experiences were also shared and disseminated at the China Green Freight Seminar in June, 2012. The preparation for the logistics pilots, including the drop and hook pilots and logistics brokerage platform pilots, started in mid 2012. These logistics pilots are linked to a national green logistics demonstration program led by the Ministry of Transport to ensure a proper coordination of initiatives at the national level. Further achievements of the project are expected to be presented during the Better Air Quality conference that will be held by Clean Air Initiative-Asia in December, 2012 and during the Third China Green Freight Seminar to be organized in 2013.
- ***Jordan: DHRS Irrigation Technology Pilot Project to Face Climate Change Impact (IFAD).*** This adaptation project seeks to reduce the vulnerability of irrigated agriculture to climate change by testing innovative and efficient water-use technologies. The project was endorsed by the GEF CEO in May 2011 and has since begun implementation. Initial field trials carried out during the project's inception showed that the proposed technologies did not perform as expected under the local conditions. As a result, the Project Steering Committee has decided to adopt alternative technologies for improved water-use efficiency. The Project Preparation Grant provided by the GEF allowed the identification of challenges related to the selected technology. The pilot approach has enabled the private sector company involved in the project to address these challenges through an improved design of the irrigation pipes.
- ***Mexico: Promotion and Development of Local Wind Technologies in Mexico (IDB).*** The project was approved by IDB in the second quarter of 2012, following the GEF CEO's endorsement in December 2011. The contract between the Government of Mexico represented by the Institute of Electrical Research and the IDB is expected to be signed in July 2012. IDB and the Institute of Electrical Research are currently working together to settle the work plan for the execution of the different components of this project and are preparing the organization of the kick-off ceremony where Mexican authorities of the sector will be invited. The formal execution of this project starts during the third quarter 2012.
- ***Russian Federation: Phase out of HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation through Technology Transfer (UNIDO).*** The project has already started its implementation. The inception of the project took place on 3 March 2011. The national project team was established and a detailed work plan was developed. The procurement of equipment for the investment component, especially for the foam sector has been partially completed. The pilot demonstration entails the conversion of production facilities and foam and refrigeration and air-conditioning factories as well as the conversion of foam systems houses which provide foam formulations to users in a variety of sectors. In addition, the project contributed to the organization of the Microclimate, Energy Efficiency and Building Automation Center, which will support spreading of environmentally-friendly and energy-efficient heating, ventilation, air-conditioning and refrigeration (HVAC&R) systems within the framework of the public education system of the Russian Federation. This Center joins prominent players in the Russian HVAC&R market and such organizations as the Russian Energy Agency, Ministry of Energy and the Nonprofit Partnership "Green Standards Environmental Certification Center." The project also organized a Campaign for Promotion of HCFC Phase-Out in the Russian Federation while institutional strengthening, training of technicians and customs officers are ongoing.
- ***Sri Lanka: Bamboo Processing for Sri Lanka (UNIDO).*** The project was endorsed by the GEF CEO in April 2012. Its inaugural workshop is scheduled to take place in September 2012.

- ***Thailand: Overcoming Policy, Market and Technological Barriers to Support Technological Innovation and South-South Technology Transfer: The Pilot Case of Ethanol Production from Cassava (UNIDO).*** The project was endorsed by the GEF CEO in March 2012. As of June 2012, the project is waiting for the Royal Thai Government to give the green light for the official start up. The first Project Steering Committee meeting is planned in Bangkok in September 2012. The meeting will be organized back-to-back with the FAO/ADB Regional Workshop on Bioenergy for member countries of the Association of Southeast Asian Nations (ASEAN). During the third quarter of 2013, the project plans to launch a demonstration unit in Thailand. It is planned that the project will organize an investment forum back-to-back with this launch. The Agency expects that the event will receive a high level of interest from both the public and private sectors.
5. For the three projects that are preparing their final project documents for endorsement by the GEF CEO, the following initial elements were presented by the GEF Agencies concerned:
- ***Senegal: Typha-based Thermal Insulation Material Production in Senegal (UNDP).*** The revised CEO endorsement request document was submitted to the GEF Secretariat in December 2011. Following the GEF Secretariat's review comments, sent to the Agency in January 2012, a revised project is expected to be submitted in July 2012 with additional partners and a larger budget than initially proposed. This project illustrates the merits of project preparation, stakeholder engagement, and awareness-raising. The project preparation phase generated significant interest among various stakeholders, both from the private and public sectors. National institutions (Ministry of Environment, Ministry of Energy, Energy Efficiency Agency, Ministry of Education and Professional Training and others) began discussing the best way to work together towards the promotion of an energy efficient building sector. The project is also raising the interest of neighboring countries as well as of regional institutions such as the Economic Commission for West African States (ECOWAS). Such stakeholder engagement and dialogue during the project preparation phase has generated insight into the importance of a favorable policy environment for technology transfer. In order to maximize and accelerate such technology transfer, the appropriate national enabling conditions must be established and met. For instance, without mandatory thermal building codes, it would be a challenge to ensure a market robust enough for the private sector to invest in the manufacture of local thermal building insulation. Hence, the support for the deployment of building codes, through the setting of the institutional, financial, technical, and legal framework appears as a prerequisite to allow and enhance such technology transfer, according to UNDP.
  - ***Cote d'Ivoire: Construction of 1000 Ton per day Municipal Solid Wastes Composting Unit in Akouedo Abidjan (AfDB).*** The preparation of the project is in its final stage. The project preparation faced significant challenges, as it coincided with the period of instability in the country, with changes in the political environment as well as in government priorities. Given the national situation, milestone extension requests were approved by the GEF CEO in September 2011 and June 2012. The Implementing Agency has pledged to submit the CEO endorsement request by the end of 2012. Lessons learned during the preparation of this project provided insight on the issue of leveraging private financing. For this project, like others, while the proposed investments may be assessed as economically and financially attractive for the private sector, potential investors need sufficient facts and information to make the actual investment decision. The preparation phase is therefore an important step to get the appropriate documentation to appeal to the financiers.
  - ***Colombia, Kenya, Swaziland; SolarChill: Commercialization and Transfer (UNEP).*** The project in proposal was re-submitted by UNEP after the World Bank requested its cancellation in December 2010. The GEF Council approved the project, re-submitted by UNEP, in November 2011. The original project target of Colombia and Kenya has been expanded to include Swaziland. The GEF CEO endorsement request is under preparation and should be submitted by the Agency by May 2013.

Table A5

**Implementation Progress of Technology Transfer Pilot Projects Under the Poznan Strategic Program (as of June 30, 2012)**

<i>Country</i>	<i>Project title</i>	<i>GEF Agency</i>	<i>GEF Poznan Program Funding (\$) <sup>a</sup></i>	<i>Total GEF Funding (\$) <sup>a</sup></i>	<i>Co-financing (\$) <sup>b</sup></i>	<i>Status of Project</i>
Brazil	Renewable CO <sub>2</sub> Capture and Storage from Sugar Fermentation Industry in Sao Paulo State	UNDP	2,970,000	2,970,000	7,715,000 <sup>b</sup>	The project was cancelled in February 2012 upon request from the Agency. The project preparation identified investment costs far higher than initially expected, exceeding the available financing.
Cambodia	Climate Change Related Technology Transfer for Cambodia: Using Agricultural Residue Biomass for Sustainable Energy Solutions	UNIDO	1,947,000	1,947,000	4,565,000 <sup>c</sup>	The project was endorsed by the GEF CEO in May 2012. Project implementation is at initiation phase.
Chile	Promotion and Development of Local Solar Technologies in Chile	IDB	3,000,000	3,000,000	31,750,000 <sup>c</sup>	The project was endorsed by the GEF CEO in June 2012. IDB approval is expected for July 2012.
China	Green Truck Demonstration Project	WB	2,998,000	4,867,500	9,770,000 <sup>c</sup>	The project was endorsed by the GEF CEO in March 2011 and approved by the World Bank Board in April 2011. Project Launch took place in China in October 2011. The project is under implementation.
Colombia, Kenya, Swaziland	SolarChill: Commercialization and Transfer	UNEP	2,841,300	2,841,300	5,662,900 <sup>b</sup>	The project was re-submitted by UNEP after the World Bank requested its cancellation in December 2010. The GEF Council approved the project in November 2011. The project has expanded to include Swaziland, in addition to Colombia and Kenya. The GEF CEO endorsement request is expected to be submitted by May 2013.
Cote d'Ivoire	Construction of 1000 Ton-per-day Municipal Solid Waste Composting Unit in Akouedo Abidjan	AfDB	3,000,000	3,000,000	36,898,500 <sup>b</sup>	The project preparation exercise is in its final stage. Milestone extension requests were approved by the GEF CEO in September 2011 and June 2012. The GEF CEO endorsement request is to be submitted by the end of 2012.

<i>Country</i>	<i>Project title</i>	<i>GEF Agency</i>	<i>GEF Poznan Program Funding (\$) <sup>a</sup></i>	<i>Total GEF Funding (\$) <sup>a</sup></i>	<i>Co-financing (\$) <sup>b</sup></i>	<i>Status of Project</i>
Jamaica	Introduction of Renewable Wave Energy Technologies for the Generation of Electric Power in Small Coastal Communities	UNDP	816,000	816,000	1,420,000 <sup>b</sup>	The project was cancelled in October 2011 upon request from the Agency.
Jordan	DHRS Irrigation Technology Pilot Project to Face Climate Change Impact	IFAD	2,365,020	2,365,020	5,516,000 <sup>c</sup>	The project was endorsed by the GEF CEO in August 2011. Following unsatisfactory testing of the technology initially considered, the project is being re-designed to include a better suited technology.
Mexico	Promotion and Development of Local Wind Technologies in Mexico	IDB	3,000,000	5,500,000	33,660,000 <sup>c</sup>	Project was endorsed by the GEF CEO in December 2011. Project implementation is expected commence during the third quarter of 2012.
Russia Federation	Phase-out of HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation through Technology Transfer	UNIDO	2,970,000	19,998,000	40,000,000 <sup>c</sup>	The project was endorsed by the GEF CEO in August 2010. Project implementation has started.
Senegal	Typha-based Thermal Insulation Material Production in Senegal	UNDP	2,310,000	2,310,000	3,972,574 <sup>b</sup>	The GEF CEO endorsement request was re-submitted in December 2011. GEF review comments were sent back to the Agency in January 2012. Revised project is expected to be submitted in July 2012. The project has now more partners and a larger budget than initially planned.
Sri Lanka	Bamboo Processing for Sri Lanka	UNIDO	2,700,500	2,700,500	21,297,000 <sup>c</sup>	The project was endorsed by the GEF CEO in April 2012. Project implementation is at initiation phase.
Thailand	Overcoming Policy, Market and Technological Barriers to Support Technological Innovation and South-South Technology Transfer: The Pilot Case of Ethanol Production from Cassava	UNIDO	2,970,000	2,970,000	31,623,000 <sup>c</sup>	The project was endorsed by the GEF CEO in March 2012. Project implementation is at initiation phase .

<i>Country</i>	<i>Project title</i>	<i>GEF Agency</i>	<i>GEF Poznan Program Funding (\$)<sup>a</sup></i>	<i>Total GEF Funding (\$)<sup>a</sup></i>	<i>Co-financing (\$)</i>	<i>Status of Project</i>
Turkey, Cook Islands	Realizing Hydrogen Energy Installations on Small Island through Technology Cooperation	UNIDO	3,000,000	3,000,000	3,500,000 <sup>b</sup>	The project was cancelled in March 2012 upon request from the Agency following changes in the concerned governments' priorities.
<b>TOTAL</b>			<b>36,071,820</b>	<b>57,469,320</b>	<b>180,804,500</b>	

<sup>a</sup> Includes Agency fees and project preparation grants.

<sup>b</sup> co-financing amount at the GEF Council Approval

<sup>c</sup> co-financing amount at the GEF CEO Endorsement

## **Annex 6: Status of National Communications from Parties Not Included in Annex I to the Convention**

1. Information was compiled by the Implementing Agencies (UNDP and UNEP) as of March 2012. The table below was submitted to the GEF by the National Communications Support Program.



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

*Important note: Information was compiled by the Implementing Agencies (UNDP and UNEP). The table below was submitted to the GEF by the National Communications Support Programme (NCSP). We kindly request parties to inform their respective implementing agencies if there are inconsistencies in the information below.*

*(INC – Initial National Communication, SNC – Second National Communication, TNC – Third National Communication, FNC – Fourth National Communication IA-Implementing Agency, EA-Executing Agency)*

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
1. Afghanistan	UNEP	INC under preparation	12-Feb-08	420,000	16-Mar-10	December 2011	April 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information : Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed
2. Albania	UNDP	23-Nov-09 (SNC)	18-Nov-11	500,000	--	--	--	<input checked="" type="checkbox"/> Self-assessment funds for TNC allocated <input checked="" type="checkbox"/> TNC project document cleared. IA awaiting submission of signed Project Document and work plan for implementation fund disbursement
3. Algeria	UNDP	25-Nov-10 (SNC)	--	--	--	--	--	--
4. Angola	UNEP	6-Feb-12 (INC)	--	--	--	--	--	<input checked="" type="checkbox"/> Project Cooperation Agreement for the preparation of SNC sent to executing agency
5. Antigua and Barbuda	UNEP	29-Nov-11 (SNC)	--	--	--	--	--	<input type="checkbox"/> Project Cooperation Agreement for the preparation of TNC signed by both UNEP and executing agency
6. Argentina	WB	7-Mar-08 (SNC)	--	2,439,209	--	--		<input checked="" type="checkbox"/> TNC under preparation
7. Armenia	UNDP	7-Sep-10 (SNC)	27-July-11	500,000	12-Dec-11	July 2014	September 2014	<input checked="" type="checkbox"/> TNC Inception phase underway
8. Azerbaijan	UNDP	7-June-11 (SNC)	16-May-11	500,000	22-Feb-12	December 2014	December 2014	<input checked="" type="checkbox"/> TNC inception phase underway
9. Bahamas	UNDP	5-Nov-01 (INC)	22-May-06	420,000	19-Jun-06	March 2012	To be confirmed by Gov	<input checked="" type="checkbox"/> All components complete
10. Bangladesh	UNDP	12-Nov-02 (INC)	2-Aug-07	420,000	10-Nov-08	Complete	April 2012	<input checked="" type="checkbox"/> All components complete

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
11. Bahrain	UNEP	20-April-05 (INC)	31-Jan-07	420,000	04-Apr-07	October 2011	March 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed Project Cooperation Agreement (PCA) for TNC between Bahrain and UNEP sent to Country for signature
12. Barbados	UNDP	30-Oct-01 (INC)	22-Nov-06	420,000	2-Mar-07	December 2012	January 2013	<input checked="" type="checkbox"/> SNC Inception phase underway
13. Belize	UNDP	28-Oct-11 (SNC)	27-Sep-11	500,000	11-Nov-11	June 2013	July 2014	<input checked="" type="checkbox"/> National Circumstances: 25-50% completed <input checked="" type="checkbox"/> GHG inventories: 25-50% completed <input checked="" type="checkbox"/> V&A Assessment: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
14. Benin	UNDP	23-Nov-11 (SNC)	--	--	--	--	--	
15. Bhutan	UNDP	28-Nov-11	--	--	--	--	--	
16. Bolivia	UNDP	2-Dec-09 (SNC)	11-Feb-11	500,000	Sept-11	First quarter 2014	First quarter 2014	<input checked="" type="checkbox"/> TNC initiation phase underway
17. Bosnia & Herzegovina	UNDP	26-May-2010 (INC)	29-Sep-10	500,000	6-Dec-10	November 2012	July 2013	<input checked="" type="checkbox"/> National Circumstances: 25-50% Completed <input checked="" type="checkbox"/> Other information: 25-50% Completed <input checked="" type="checkbox"/> V&A Assessment: 25-50% Completed <input checked="" type="checkbox"/> GHG Inventory: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed
18. Botswana	UNDP	22-Oct-01 (INC)	23-Dec-05	420,000	3-Feb-06	March 2012	May 2012	<input checked="" type="checkbox"/> All components complete
19. Brazil	UNDP	30-Nov-10 (SNC)	6-June-10	5,720,000	14-Dec-10	December 2013	December 2014	<input checked="" type="checkbox"/> National Circumstances: <25% Completed <input checked="" type="checkbox"/> GHG Inventories: <25% Completed <input checked="" type="checkbox"/> V&A Assessment: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
20. Burkina Faso	UNDP	16-May-02 (INC)	5-Jun-06	420,000	27-Jul-06	Complete	To be confirmed by Government	<input checked="" type="checkbox"/> All components complete

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
21. Burundi	UNDP	28-Jun-10 (SNC)	--	--	--	--	--	----
22. Cambodia	UNDP	8-Oct-02 (INC)	9-May-06	420,000	24-Jun-06	July 2012	December 2012	<input checked="" type="checkbox"/> All components complete
23. Cameroon	UNEP	31-Jan-05 (INC)	03-Feb-09	420,000	17-Feb-09	June 2013	--	<input checked="" type="checkbox"/> National Circumstances: completed <input checked="" type="checkbox"/> GHG Inventories: 25-50% completed <input checked="" type="checkbox"/> V & A Analysis Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
24. Cape Verde	UNDP	21-Oct-11 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> TNC Project document currently under preparation
25. Central African Republic	UNEP	10-Jun-03 (INC)	30-Aug-06	420,000	13-Nov-06	December 2013	--	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: 25-50% completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
26. Chad	UNDP	29-Oct-01 (INC)	30-Jan-07	420,000	Jun-07	May-June 2012	Nov-Dec 2012	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: > 75% Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed
27. Chile	UNDP	24-Oct-11 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Self-assessment for TNC funds allocated <input checked="" type="checkbox"/> TNC Project document currently under review
28. China	UNDP	10-Dec-04 (INC)	18-Jan-07	5,350,000 Includes PDF funds	Dec-08	August 2011	October 2012	<input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V & A Analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> Other Information : >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed PIF request for a TNC Full-Size Project (\$5,000,000) Submitted to GEF in March 2012 for inclusion in the June 2012 WP
29. Colombia	UNDP	7-Dec-10 (SNC)	--	--	--	--	--	PIF request for TNC Full-Size Project (\$2,000,000) cleared by GEF. Project formulation ongoing

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
30. Comoros	UNEP	5-Apr-03 (INC)	30-Mar-07	420,000	14-May-07	June 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> Other Information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed
31. Congo (Republic of)	UNDP	27-Nov-09 (SNC)	--	--	--	--	--	--
32. Congo Democratic Republic	UNEP	28-Nov-09 (SNC)	30-Sep-11	500,000	2-Nov-11	June 2014	September 2014	<input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
33. Cook Islands	UNDP	30-Oct-99 (INC)	22-Dec-05	420,000	21-Apr-06	December 2011	April 2012	<input checked="" type="checkbox"/> All components complete
34. Costa Rica	UNDP	7-Oct-2009 (SNC)	21-Mar-12	500,000	--	--	--	<input checked="" type="checkbox"/> TNC project document cleared. IA awaiting submission of signed Project Document and work plan for implementation fund disbursement
35. Cuba	UNDP	28-Sep-01 (INC)	15-Mar-08	420,000	Mar-08	July 2012	2012-2013	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information : >75% completed <input checked="" type="checkbox"/> V & A Analysis: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed
36. Côte d'Ivoire	UNEP	26-Apr-2010 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Small-Scale Funding Agreement (SSFA) signed between UNEP and Côte d'Ivoire on 1/7/10 <input checked="" type="checkbox"/> Project document signed by both Executing Agency and UNEP
37. Democratic People's Republic of Korea	UNEP	7-May-04 (INC)	25-Apr-05	420,000	04-May-05	May 2012	September 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: More than 75% completed

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
38. Djibouti	UNEP	06-Jun-02 (INC)	08-Jun-06	420,000	13-Jun-06	November 2012	June 2013	<input checked="" type="checkbox"/> National Circumstances: Completed. <input checked="" type="checkbox"/> GHG Inventories: Completed. <input checked="" type="checkbox"/> V & A Analysis: Completed. <input checked="" type="checkbox"/> Mitigation Analysis: 50% completed <input checked="" type="checkbox"/> Other Information : 50% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50% completed
39. Dominica	UNDP	4-Dec-01 (INC)	16-Feb-06	420,000	4-Apr-06	Complete	June 2012	<input checked="" type="checkbox"/> All components complete
40. Dominican Republic	UNDP	17-Dec-2009 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> Pro Doc preparation underway
41. Ecuador	UNDP	15-Nov-00 (INC)	8-Feb-06	420,000	23-Mar-06	Complete	December 2011	<input checked="" type="checkbox"/> All components complete
42. Egypt	UNDP	7-Jun-2010 (SNC)	27-Apr-11	500,000	6-Jun-11	--	--	<input checked="" type="checkbox"/> TNC inception phase underway
43. El Salvador	UNDP	10-Apr-00 (INC)	30-May-07	420,000	Sep-07	October 2012	December 2012	<input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> V&A analysis: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed
44. Eritrea	UNDP	16-Sep-02 (INC)	30-Jan-07	420,000	Jun-07	Complete	April 2012	<input checked="" type="checkbox"/> All components complete
45. Equatorial Guinea	UNEP	INC under preparation	02-Mar-09	420,000	23-Apr-09	September 2013	November 2013	<input checked="" type="checkbox"/> National Circumstances: More than 75% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: More than 75% completed
46. Ethiopia	UNDP	16-Oct-01 (INC)	--	--	--	--	--	<input checked="" type="checkbox"/> SNC self-Assessment funds approved <input checked="" type="checkbox"/> SNC Project document currently under review
47. Fiji	UNEP	18-May-06 (INC)	09-Apr-09	420,000	24-Apr-09	October 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: More than 75% Completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Between 25-50% completed

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
48. Gabon	UNDP	8-Dec-11 (SNC)	--	--	--	--	--	
49. Gambia	UNEP	6-Oct-03 (INC)	05-Sep-06	420,000	02-Jan-07	June 2012	November 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information: Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed Project Cooperation Agreement signed between Gambia (The) and UNEP
50. Georgia	UNDP	2-Oct-09 (SNC)	19-May-11	500,000	31-Jan-12	September 2014	2015	<input checked="" type="checkbox"/> TNC Inception phase underway
51. Ghana	UNEP	12-Oct-11 (SNC)	25-Jan-12	500,000	09-Feb-12	November 2013	January 2014	<input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
52. Grenada	UNDP	21-Nov-00 (INC)	8-Sep-06	420,000	May-07	Not provided	Not provided	Information not provided
53. Guatemala	UNDP	1-Feb-02 (INC)	7-Nov-06	420,000	Dec-06	June 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> Other Information : 50-75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% Completed <input checked="" type="checkbox"/> V & A Analysis: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed
54. Guinea	UNEP	28-Oct-02 (INC)	24-Sept-07	420,000	01-Oct-07	October 2012	March 2013	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V & A Analysis: Between 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Between 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
55. Guinea Bissau	UNDP	29-Oct-11 (SNC)	21 March 2012	500,000	23 March 2012	July 2014	September 2014	<input checked="" type="checkbox"/> Project Cooperation Agreement signed between UNEP and Guinea Bissau on 4/7/11 <input checked="" type="checkbox"/> Inception preparation underway
56. Guyana	UNDP	16-May-02 (INC)	5-Apr-07	470,000 Includes TNA	Aug-07	Complete	September 2012	<input checked="" type="checkbox"/> All components complete



Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
57. Haiti	UNEP	3-Jan-02 (INC)	29-Sept-05	420,000	06-Oct-05	March 2012	July 2012	<input checked="" type="checkbox"/> All SNC project components completed <input checked="" type="checkbox"/> To initiate TNC under UNEP Umbrella Programme for SIDs and LDCs
58. Honduras	UNDP	15-Nov-00 (INC)	2-Dec-05	420,000	Mar-07	March 2012	June 2012	<input checked="" type="checkbox"/> All components complete
59. India	UNDP	22-Jun-04 (INC)	GEF council approved	3,849,000 Includes PDFB	Jul-07	Complete	March 2012	<input checked="" type="checkbox"/> All components complete <input checked="" type="checkbox"/> PIF request for a TNC Full-Size Project (\$9,010,604) approved for 2012 February GEF IWP
60. Indonesia	UNDP	14-Jan-11 upd. 19-Jan-12 (SNC)	--	--	--	--	--	Proposal for Full-size project (\$4,585,000) submitted to GEF in March 2012 for inclusion in the June 2012 WP
61. Iran, Islamic Republic of	UNDP	23-Nov-11 (SNC)	20-Dec-11	500,000	20-Jan-12	--	--	<input checked="" type="checkbox"/> TNC Inception phase underway
62. Iraq	UNDP	--	29-Jun-11	500,000	--	December 2012	June 2013	<input checked="" type="checkbox"/> Constraints & Gaps: 25-50% completed <input checked="" type="checkbox"/> Other Information : <25% completed <input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> INC Project Document approved <input checked="" type="checkbox"/> IA awaiting submission of workplan for implementation funds disbursement
63. Jamaica	UNDP	2-Dec-12 (SNC)	--	--	--	--	--	
64. Jordan	UNDP	08-Dec-09 (SNC)	1-Aug-11	500,000	3-Nov-11	November 2013	February 2014	<input checked="" type="checkbox"/> TNC Inception phase underway
65. Kazakhstan	UNDP	4-Jun-09 (SNC)	22-Jun-10	500,000	7-Dec-10	July 2013	December 2013	<input checked="" type="checkbox"/> National Circumstances: <25% Completed <input checked="" type="checkbox"/> GHG Inventories: 25-50% Completed <input checked="" type="checkbox"/> V & A Analysis: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 25-50% Completed <input checked="" type="checkbox"/> Other Information : <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
66. Kenya	UNEP	22-Oct-02 (INC)	26-Oct-05	420,000	18-Nov-05	October 2013	November 2013	<input checked="" type="checkbox"/> National Circumstances: Between 50-75% completed <input checked="" type="checkbox"/> GHG Inventories: Between 25-50% completed <input checked="" type="checkbox"/> V & A Analysis: Between 25-50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
67. Kiribati	UNDP (INC)	30-Oct-99 (INC)	31-Jan-07	420,000	May-07	March 2012	May 2012	<input checked="" type="checkbox"/> All components complete
68. Kuwait	UNEP	INC under preparation	09-Jun-2011	500,000	15-Jun-2011	November 2012	February 2013	<input checked="" type="checkbox"/> National Circumstances: Less than 25% completed <input checked="" type="checkbox"/> GHG Inventories: Between 50-75% completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
69. Kyrgyzstan	UNEP	1-Dec-08 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Project cooperation agreement signed between IA and the country <input checked="" type="checkbox"/> Project document in advanced stage of preparation <input checked="" type="checkbox"/> Did not request for self-assessment and stocktaking funds
70. Lao People's Democratic Republic	UNDP	2-Nov-00 (INC)	17-May-07	420,000	17-May-07	July 2012	November 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A analysis: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> Other information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed
71. Lebanon	UNDP	March 2011 (SNC)	01-Dec-11	500,000	02-Mar-12	--	--	<input checked="" type="checkbox"/> TNC Inception phase underway
72. Lesotho	UNEP	17-Apr-00 (INC)	04-Sept-06	420,000	25-Oct-06	June 2012	August 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V&A Analysis: Between 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis :Between 25-50% completed <input checked="" type="checkbox"/> Other Information : More than 75% completed <input checked="" type="checkbox"/> Constraints & Gaps; Between 25-50% completed
73. Liberia	UNEP	INC under preparation	31-Aug-05	420,000	31-Aug-05	March 2012	May 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V&A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis : Completed <input checked="" type="checkbox"/> Other Information: More than 75% completed <input checked="" type="checkbox"/> Constraints & Gaps : More than 75% completed

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
74. Libyan Arab Jamahiriya *	UNEP	INC under preparation	31-Jan-02	275,000	20-Feb-02	December 2008	--	<input checked="" type="checkbox"/> GHG Inventories: More than 50% completed * Project approved before commencement of umbrella project * Information based on previous survey. IA did not receive a response to request for updated information from EA
75. Madagascar	UNEP	7-Dec-10	17-Oct-2011	500,000	02-Nov-11	July 2014	December 2014	<input checked="" type="checkbox"/> National Circumstances: Less than 25% completed <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
76. Malawi	UNDP	2-Dec-03 (INC)	8-Feb-06	420,000	Dec-06	Complete	2012	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> To initiate TNC under UNEP Umbrella Programme for SIDS and LDCs
77. Malaysia	UNDP	14-Apr-11	--	--	--	--	--	--
78. Maldives	UNEP	5-Nov-01 (INC)	1 November 2011	500,000	5 Dec 2011	May 2013	June 2013	<input checked="" type="checkbox"/> National Circumstances: 25-50 % completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
79. Mali	UNDP	13-Nov-00 (INC)	8-Sep-06	420,000	11-Sep-06	January 2012	June 2012	<input checked="" type="checkbox"/> All components complete
80. Malta	UNDP	27-July-2010 (SNC)	--	--	--	--	--	----
81. Marshall Islands	UNDP	24-Nov-00 (INC)	30-Jan-07	420,000	7-Aug-07	August 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% Completed <input checked="" type="checkbox"/> V & A Analysis: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: 50-75% Completed <input checked="" type="checkbox"/> Other Information : 25-50% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% Completed
82. Mauritania	UNEP	6-Dec-08 (SNC)	3-Mar-2011	500,000	17-Mar-11	November 2013	January 2014	<input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Between 50–75% completed <input checked="" type="checkbox"/> V & A Analysis: Between 25–50% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
83. Mauritius	UNEP	9-Nov-11 (SNC)	--	--	--	--	--	Project Cooperation Agreement processes initiated between Mauritius and UNEP for TNC

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
84. Mexico	UNDP	14-Dec-09 (FNC)	Fifth NC project document approved on 26-July-2011	2,707,536	22-Aug-11	September 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: 25-50% Completed <input checked="" type="checkbox"/> V & A Analysis: <25% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
85. Micronesia (Federated States of)	UNDP	4-Dec-97 (INC)	20-Aug-06	420,000	Aug-06	July 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Completed <input checked="" type="checkbox"/> V & A Analysis: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% Completed <input checked="" type="checkbox"/> Other Information : >75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 25-50% Completed
86. Mongolia	UNEP	10-Dec-10 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for TNC preparation signed between Mongolia and UNEP on 1/11/11 <input checked="" type="checkbox"/> Awaiting banking details from EA for funds transfer
87. Montenegro	UNDP	12-Oct-10 (INC)	27-Apr-11	500,000	12-Jul-11	December 2013	April 2014	<input checked="" type="checkbox"/> SNC inception phase underway
88. Morocco	UNDP	3-Nov-10 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC self-Assessment funds approved <input checked="" type="checkbox"/> TNC Project Document under review for approval
89. Mozambique	UNEP	6-Jun-06 (INC)	11-Oct-06	420,000	25-Oct-06	October 2011	June 2012	<input checked="" type="checkbox"/> All components complete
90. Myanmar	UNEP	INC under preparation	26-Dec-06	420,000	12-Mar-07	March 2012	April 2012	<input checked="" type="checkbox"/> All components complete Project Cooperation Agreement (PCA) for SNC between Myanmar and UNEP sent to Country for signature
91. Namibia	UNDP	4-Oct-11 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC self-Assessment funds approved <input checked="" type="checkbox"/> TNC Project Document under preparation
92. Nauru	UNDP	30-Oct-99 (INC)	25-May-07	420,000	July-07	April-May 2012	June 2012	<input checked="" type="checkbox"/> National Circumstances: >75% Completed <input checked="" type="checkbox"/> GHG Inventories: >75% Completed <input checked="" type="checkbox"/> V & A Analysis: >75% Completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% Completed <input checked="" type="checkbox"/> Other Information : 50-75% Completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% Completed

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
93. Nepal	UNEP	1-Sept-04 (INC)	8-July-09	420,000	14-July-09	November 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: Between 50-75% completed <input checked="" type="checkbox"/> V & A Analysis: Between 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Between 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
94. Nicaragua	UNDP	22-Jun-11 (SNC)	--	--	--	--	--	Draft TNC project proposal reviewed by IA. Being submitted to GEF for review and approval under expedited procedures
95. Niger	UNDP	9-Dec-09 (SNC)	19-Jan-12	500,000	--	--	--	<input checked="" type="checkbox"/> TNC Project Document cleared <input checked="" type="checkbox"/> IA awaiting work plan for implementation fund disbursement
96. Nigeria	UNDP	17-Nov-03 (INC)	30-Mar-06	420,000 Includes TNA	1-Aug-06	Not provided	Not provided	Information not provided
97. Niue	UNEP	2-Oct -01 (INC)	11-Nov-04	420,000	20-Dec-04	October 2011	June 2012	<input checked="" type="checkbox"/> National Circumstances: Completed <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V & A Analysis: Completed <input checked="" type="checkbox"/> Mitigation Analysis: Completed <input checked="" type="checkbox"/> Other Information : Completed <input checked="" type="checkbox"/> Constraints & Gaps: Completed Project Cooperation Agreement (PCA) for TNC between Niue and UNEP sent to Country for signature
98. Oman	UNDP	INC under preparation	15-May-07	300,000	7-Jul-07	December 2012	January 2013	<input checked="" type="checkbox"/> National Circumstances : <25% completed <input checked="" type="checkbox"/> GHG Inventories: Not yet initiated <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information : Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated * Project approved before commencement of umbrella project
99. Pakistan	UNEP	15-Nov-03 (INC)	Project Document under preparation	--	--	--	--	* Information based on previous survey. IA did not receive a response to request for updated information from EA after repeated request.
100. Panama	UNDP	20-Jul-01 (INC)	7-Jun-06	420,000	Sept-06	Complete	29 February 2012	<input checked="" type="checkbox"/> All components complete <input checked="" type="checkbox"/> Submitted to UNFCCC in Feb 29 <sup>th</sup> , 2012 –submission not acknowledged yet

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
101. Palau	UNEP	18-Jun-03 (INC)	9-Dec-05	420,000	13-Dec-05	July 2012	December 2012	<input checked="" type="checkbox"/> All components complete <input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for TNC between Palau and UNEP sent to country for signature.
102. Papua New Guinea	UNDP	27-Feb-02 (INC)	17-Jul-06	420,000	Feb-07	Not provided	Not provided	Information not provided
103. Paraguay	UNDP	10-Apr-02 (INC)	8-Dec-05	420,000	10-Mar-06	April 2011	December 2011	<input checked="" type="checkbox"/> All components complete
104. Peru	UNDP	28-Sep-10 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC underway
105. Philippines	UNDP	19-May-00 (INC)	18-Apr-06	420,000	2-Aug-06	April 2012	May 2012	<input checked="" type="checkbox"/> All components complete
106. Republic of Moldova	UNEP	27-Jan-10 (SNC)	6-Oct-10	500,000	12-Oct-10	September 2013	November 2013	<input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: More than 75% completed <input checked="" type="checkbox"/> V & A Analysis: Between 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: Between 50-75% completed <input checked="" type="checkbox"/> Other Information: Between 25-50% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
107. Rwanda	UNEP	6-Sep-05 (INC)	22-Sep-06	420,000	16-Oct-06	Complete	2012	<input checked="" type="checkbox"/> All components complete <input checked="" type="checkbox"/> To initiate TNC under UNEP Umbrella Programme for SIDs and LDCs
108. Saint Kitts and Nevis	UNDP	30-Nov-01 (INC)	25-Oct-06	420,000	May-07	December 2012	June 2013	<input checked="" type="checkbox"/> National Circumstances: <25% completed <input checked="" type="checkbox"/> GHG Inventories: <25% completed <input checked="" type="checkbox"/> V&A Assessment: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed
109. Saint Lucia	UNDP	30-Nov-01 (INC)	9-Jun-06	420,000	14-Jun-06	February 2012	April 2012	<input checked="" type="checkbox"/> All components complete
110. Saint Vincent and the Grenadines	UNDP	21-Nov-00 (INC)	7-Jun-06	420,000	27-Jun-06	September 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: completed <input checked="" type="checkbox"/> GHG Inventories: completed <input checked="" type="checkbox"/> V&A Assessment: completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed



Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
111. Samoa	UNDP	14-Jun-10 (SNC)	--	--	--	--	--	----
112. São Tome and Principe	UNDP	19-May-05 (INC)	24-Sept-07	420,000	Dec-07	September 2011	March 2012	<input checked="" type="checkbox"/> All components complete
113. Saudi Arabia	UNDP	25-Oct-11 (SNC)	--	--	--	--	--	
114. Senegal	UNEP	16-Sep-10 (SNC)	20-May-11	500,000	26-May-11	November 2013	March 2014	<input checked="" type="checkbox"/> National Circumstances: Between 50-75% completed <input checked="" type="checkbox"/> GHG Inventories: Between 50-75 % completed <input checked="" type="checkbox"/> V & A Analysis: Not yet initiated <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Not yet initiated <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated
115. Serbia	UNDP	29-Nov-2010 (INC)	--	--	--	--	--	SNC project proposal approved by GEF. Project Document under review.
116. Seychelles	UNDP	15-Nov-00 (INC)	9-Jun-06	420,000	16-Jun-06	Complete	March 2012	<input checked="" type="checkbox"/> All components complete
117. Sierra Leone	UNDP	8-Jan-07 (INC)	21-Apr-08	420,000	Oct-08	October 2012	November 2012	<input checked="" type="checkbox"/> National Circumstances: completed <input checked="" type="checkbox"/> GHG Inventories: completed <input checked="" type="checkbox"/> V&A Assessment: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: >75%completed
118. Solomon Islands	UNDP	29-Sep-04 (INC)	30-Jan-07	420,000	16-Aug-07	March 2012	June 2012	<input checked="" type="checkbox"/> All components complete
119. South Africa	UNEP	16-Nov-11 (SNC)						<input checked="" type="checkbox"/> Project Cooperation Agreement processes initiated between South Africa and UNEP for TNC
120. Sri Lanka	UNDP	6-Nov-00 (INC)	30-May-07	420,000	Jul-07	Complete	March 2012	<input checked="" type="checkbox"/> All components complete
121. Sudan	UNDP	7-Jun-03 (INC)	10-May-07	420,000	16-Sep-07	Complete	June 2012	<input checked="" type="checkbox"/> All components complete
122. Syrian Arab Republic	UNDP	29-Dec-2010 (INC)	--	--	--	--	--	<input checked="" type="checkbox"/> SNC self-Assessment funds approved <input checked="" type="checkbox"/> SNC Project Document under review

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
123. Swaziland	UNDP	21-May-02 (INC)	29-Mar-07	470,000 Includes TNA	May-07	Complete	May 2012	<input checked="" type="checkbox"/> All components complete
124. Suriname	UNDP	26-Mar-06 (INC)	27-Jan-09	420,000	Jan-09	November 2012	December 2012	<input checked="" type="checkbox"/> National Circumstances: 50-75% completed <input checked="" type="checkbox"/> GHG Inventories: >75% completed <input checked="" type="checkbox"/> V&A Assessment: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed
125. Tajikistan	UNDP	31-Dec-08 (SNC)	14-Apr-11	500,000	23-May-11	March 2014	November 2014	<input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> GHG Inventories: <25% completed <input checked="" type="checkbox"/> V&A Assessment: <25% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> Other information: <25% completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% completed
126. Thailand	UNDP	24-Mar-11 (SNC)	--	--	--	--	-	--
127. The Former Yugoslav Republic of Macedonia	UNDP	15-Jan-09 (SNC)	03-Nov-11	500,000	02-Dec-11	--	-	<input checked="" type="checkbox"/> TNC Inception phase
128. Timor Leste	UNDP	INC Under Preparation	14-Aug-09	420,000	1-Sept-09	September 2013	November 2013	<input checked="" type="checkbox"/> National Circumstances: 50-75% Completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% Completed <input checked="" type="checkbox"/> V & A Analysis: 25-50% Completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% Completed <input checked="" type="checkbox"/> Other Information : <25% Completed <input checked="" type="checkbox"/> Constraints & Gaps: <25% Completed
129. Tanzania United Republic of	UNEP	4-Jul-03 (INC)	21-July-06	420,000	15-Aug-06	October 2011	June 2012	<input checked="" type="checkbox"/> All components complete
130. Togo	UNDP	15-Sep-11 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> TNC self-Assessment funds approved <input checked="" type="checkbox"/> TNC project document cleared.
131. Tonga	UNDP	21-Jul-05 (INC)	17-Jan-07	405,000 Did not request self-assessment funds	Jan-07	Complete	March 2012	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> TNC Self-assessment funds allocated <input checked="" type="checkbox"/> Draft TNC Project Document prepared

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
132. Trinidad and Tobago	UNDP	30-Nov-01 (INC)	6-Jun-06	420,000	May-07	April 2012	June 2012	<input checked="" type="checkbox"/> All components complete
133. Tunisia	UNDP	27-Oct-01 (INC)	8-Jun-05	405,000 Did not request self-assessment funds	25-Aug-05	March 2012	December 2012	<input checked="" type="checkbox"/> All SNC components complete <input checked="" type="checkbox"/> TNC self-Assessment funds approved <input checked="" type="checkbox"/> TNC Project Document under preparation
134. Turkmenistan	UNEP	29-Nov-10 (SNC)	20-Feb-12	500,000	--	--	--	<input checked="" type="checkbox"/> Project Cooperation Agreement signed between Turkmenistan and UNEP on 19/01/11 <input checked="" type="checkbox"/> Awaiting banking details from EA for funds transfer
135. Tuvalu	UNDP	30-Oct-99 (INC)	17-Jan-07	420,000	May-07	March 2012	June 2012	<input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% completed <input checked="" type="checkbox"/> V&A Assessment: >75% completed <input checked="" type="checkbox"/> Mitigation Analysis: >75% completed <input checked="" type="checkbox"/> Other information: 50-75% completed <input checked="" type="checkbox"/> Constraints & Gaps: 50-75% completed
136. Uganda	UNEP	26-Oct-02 (INC)	28-Aug-08	420,000	10-Sep-08	May 2013	August 2013	<input checked="" type="checkbox"/> National Circumstances: Less than 25% completed <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Less than 25% completed <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Less than 25% completed
137. Uruguay	UNDP	18-Nov-10 (TNC)	27-Apr-11	500,000	2-Aug-11	August 2015	November 2015	<input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: < 25% completed <input checked="" type="checkbox"/> V & A Analysis: < 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: < 25% completed <input checked="" type="checkbox"/> Other Information: < 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: < 25% completed
138. Uzbekistan	UNEP	3-Dec-08 (SNC)	30-Jan-12	500,000	01-Feb-12	--	November 2014	<input checked="" type="checkbox"/> National Circumstances: Not yet initiated <input checked="" type="checkbox"/> GHG Inventories: Less than 25% completed <input checked="" type="checkbox"/> V & A Analysis: Less than 25% completed <input checked="" type="checkbox"/> Mitigation Analysis: Not yet initiated <input checked="" type="checkbox"/> Other Information: Less than 25% completed <input checked="" type="checkbox"/> Constraints & Gaps: Not yet initiated

Party	Agency	Submission date of the last report to COP	Date of approval by Implementing Agency (IA) of most recent NC project	Total Amount Approved US\$	Date of initial disbursement of funds by IA	Approximate date of completion of Draft NC Report	Approximate date of submission to the COP	Status of project activities
139. Vanuatu	UNDP	30-Oct-99 (INC)	22-Dec-05	420,000	24-Jul-06	June 2012	June 2012	<input checked="" type="checkbox"/> National Circumstances: >75% completed <input checked="" type="checkbox"/> GHG Inventories: 50-75% completed <input checked="" type="checkbox"/> V&A Assessment: 50-75% completed <input checked="" type="checkbox"/> Mitigation Analysis: <25% completed <input checked="" type="checkbox"/> Other information: >75% completed <input checked="" type="checkbox"/> Constraints & Gaps: >75% completed
140. Venezuela (Bolivarian Republic of)	UNDP	13-Oct-05 (INC)	Draft project proposal reviewed by IA	--	--	Not provided	Not provided	Information not provided
141. Vietnam	UNEP	7-Dec-10 (SNC)	--	--	--	--	--	<input checked="" type="checkbox"/> Project Cooperation Agreement (PCA) for TNC between Vietnam and UNEP sent to Country for signature
142. Yemen	UNDP	29-Oct-01 (INC)	8-Nov-06	470,000 Includes TNA	Sep-07	Complete	June 2012	<input checked="" type="checkbox"/> All components complete
143. Zambia	UNDP	18-Aug-04 (INC)	2-Feb-07	470,000 Includes TNA	17-Aug-07	Not provided	Not provided	<input checked="" type="checkbox"/> All components complete
144. Zimbabwe	UNEP	25-May-98 (INC)	24-Apr-06	420,000	13-Jun-06	February 2012	April 2012	<input checked="" type="checkbox"/> All components complete

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## **Annex 7: Status Report on the LDCF and the SCCF**

6. The Least Developed Countries Fund for Climate Change (LDCF) was established in November 2002 to address the needs of the least developed countries whose economic and geophysical characteristics make them especially vulnerable to the impact of global warming and climate change. The Special Climate Change Fund (SCCF) was established in November 2004 to finance activities, programs and measures relating to climate change that are complementary to those funded by resources from the GEF Trust Fund and with bilateral and multilateral funding. The GEF administers both the SCCF and LDCF and the World Bank acts as trustee for both funds.

### **1. Least Developed Countries Fund (LDCF)**

#### **a. Status of Pledges and Contributions**

7. As of June 30, 2012, pledges had been received from 25 Contributing Participants: Australia, Austria, Belgium, Canada, Czech Republic, Denmark, Finland, France, Germany, Hungary, Iceland, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Portugal, Romania, Spain, Sweden, Switzerland, the United Kingdom and the United States. The total amount pledged to date is \$540.2 million. Table A7.1 shows details of the status of pledges, contributions<sup>54</sup> and payments made to the LDCF since inception.
8. During the financial year July 1, 2011 to June 30, 2012, the Trustee has received pledges for \$124 million and payments against signed contribution agreements for \$174.6 million.

#### **b. Summary of Funding Approvals, Trustee Commitments and Cash Transfers**

9. As of June 30, 2012, cumulative net funding decisions by the Council and the CEO amounted to \$332.3 million, of which \$297 million was for projects and project preparation activities, \$29.5 million was for fees, and \$5.7 million was for administrative expenses and corporate activities of the LDCF. This represents an overall increase of \$159.8 million since June 30, 2011.
10. Funding approved by the Council and the CEO is committed by the Trustee and transferred following established procedures for all financial transactions as agreed between the Trustee and the Agencies. The Trustee has committed a total amount of \$170.8 million, of which \$150.3 million relates to projects and project preparation activities, \$14.9 million to fees, and \$5.6 million to cover corporate activities and administrative expenses.
11. Cash transfers were made to Agencies on an as-needed basis to meet their projected disbursement requirements. Out of the cumulative commitments of \$170.8 million, upon request from Agencies, the Trustee has transferred \$104.7 million as of June 30, 2012. As a result, \$66.2 million remains payable to Agencies. Details of funding approvals, commitments and cash transfers can be found in Table A7.2.

#### **c. Schedule of Funds Available**

12. Funds held in trust pending transfers to Agencies total \$362.9 million, comprising of cash, investments and promissory notes. Of this amount, \$204.3 million has been set-aside to cover funding approved by the Council or endorsed by the CEO. Consequently, net funds available for approval by the Council or the CEO amounts to \$158.6 million. Details on the funds available for Council or CEO approval as of June 30, 2012 can be found in Table A7.3.

#### **d. Investment Income**

13. Pending cash transfers to Agencies, cash contributions paid to LDCF Trust Fund are held in trust by the World

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<sup>54</sup> Represents the amounts for which Contributing Participants have signed trust fund administration agreements.

Bank and maintained in a commingled investment portfolio (“Pool”) for all trust funds administered by the World Bank. The assets in the Pool are managed in accordance with the investment strategy established for all of the trust funds administered by the World Bank. The LDCF had cumulative investment returns of \$15.7 million as of June 30, 2012.

## **2. Special Climate Change Fund (SCCF)**

### **a. Status of Pledges and Contributions**

14. As of June 30, 2012, pledges had been received from 15 Contributing Participants: Belgium, Canada, Denmark, Finland, Germany, Ireland, Italy, the Netherlands, Norway, Portugal, Spain, Sweden, Switzerland, the United Kingdom and the United States. The total amount pledged to date is \$241.1 million. Table A7.4 shows details of the status of pledges, contributions<sup>55</sup> and payments made to the SCCF since its inception; Table A7.5 presents this information broken down by program.
15. During the financial year July 1, 2011 to June 30, 2012, the Trustee has received pledges for \$22.9 million and payments against signed contribution agreements for \$53.5 million.

### **b. Summary of Funding Approvals, Trustee Commitments and Cash Transfers**

16. As of June 30, 2012, cumulative net funding decisions taken by the Council and the CEO amounted to \$199.9 million, of which \$178.6 million was for projects and project preparation activities, \$16.9 million was for fees, and \$4.4 million was for administrative expenses and corporate activities of the SCCF. This represents an increase of \$61.2 million since June 30, 2011.
17. Funding approved by the Council and CEO is committed by the Trustee and transferred following established procedures for all financial transactions as agreed between the Trustee and the Agencies. Out of total funding approvals of \$199.9 million, the Trustee has committed \$129.6 million, of which \$114.6 million relates to projects and project preparation activities, \$11.1 million to fees, and \$3.9 million to cover corporate activities and administrative expenses.
18. The Trustee transfers cash to Agencies on an as-needed basis to meet the projected disbursement requirements of the Agencies. As of June 30, 2012, out of total cumulative commitments of \$129.6 million, the Agencies have requested and the Trustee has transferred \$92.6 million. As a result, \$36.9 million remains payable to Agencies, pending their request. Details of funding approvals, commitments and cash transfers can be found in Table A7.6.

### **c. Schedule of Funds Available**

19. Funds held in Trust, comprising cash and investments held in trust pending transfer to Agencies, total \$117.7 million (for both the Adaptation program and Transfer of Technology program). Of this amount, \$107.9 million has been set-aside to cover funding approved by the Council and endorsed by the CEO. Consequently, net funds available for approval by the Council or the CEO amount to \$9.8 million. Details on the funds available for Council or CEO approval as of June 30, 2012 can be found in Table A7.7, which shows the funding status by program.

### **d. Investment Income**

20. The SCCF shares the same investment management as the LDCF. Its overall investment return was \$12 million from inception.

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<sup>55</sup> Represents the amounts for which Contributing Participants have signed trust fund administration agreements.



Table A7.1

**LDCF Status of Pledges and Contributions as of June 30, 2012**

1	Total Pledges Outstanding and Contributions Finalized a/			Pledges Outstanding		Contribution Agreements Finalized				
	2	3 = 5 + 7	4 = 6 + 9 + 11	5	6	7 = 8 + 10	Paid (Receipts)		Unpaid	
							8	9	10	11
Contributing Participant	Currency	Amount	USDeq. b/	Amount	USDeq. b/	Total Contributions	Amount Paid in Currency	USDeq. a/	Amount Due in Currency	USDeq. b/
Australia	AUD	31,500,000	29,219,850	0	0	31,500,000	31,500,000	29,219,850	0	0
Austria	EUR	400,000	580,400	0	0	400,000	400,000	580,400	0	0
Belgium	EUR	20,440,000	27,426,000	0	0	20,440,000	20,440,000	27,426,000	0	0
Canada	CAD	30,000,000	27,358,972	0	0	30,000,000	30,000,000	27,358,972	0	0
Czech Republic	EUR	18,000	25,454	0	0	18,000	18,000	25,454	0	0
Denmark	DKK	170,400,000	30,230,398	0	0	170,400,000	170,400,000	30,230,398	0	0
Finland	EUR	11,849,304	16,047,465	0	0	11,849,304	10,100,000	13,846,750	1,749,304	2,200,715
	USD	5,000,000	5,000,000	5,000,000	5,000,000	0	0	0	0	0
France	EUR	10,850,000	14,617,380	0	0	10,850,000	10,850,000	14,617,380	0	0
Germany	EUR	115,000,000	153,133,954	0	0	115,000,000	80,000,000	109,102,150	35,000,000 c/	44,031,804
Hungary	EUR	1,000,000	1,344,300	0	0	1,000,000	1,000,000	1,344,300	0	0
Iceland	USD	133,500	133,500	0	0	133,500	133,500	133,500	0	0
Ireland	d/ EUR	3,884,869	5,012,144	0	0	3,884,869	3,884,869	5,012,144	0	0
	USD	8,000,000	8,000,000	0	0	8,000,000	8,000,000	8,000,000	0	0
Italy	USD	1,000,000	1,000,000	0	0	1,000,000	1,000,000	1,000,000	0	0
Japan	USD	250,000	250,000	0	0	250,000	250,000	250,000	0	0
Luxembourg	d/ USD	4,120,000	4,120,000	0	0	4,120,000	4,120,000	4,120,000	0	0
	EUR	1,000,000	1,582,900	0	0	1,000,000	1,000,000	1,582,900	0	0
Netherlands	d/ EUR	10,200,000	14,242,599	0	0	10,200,000	10,200,000	14,242,578	0	0
	USD	2,100,000	2,100,000	0	0	2,100,000	2,100,000	2,100,000	0	0
New Zealand	NZD	8,100,000	5,808,840	0	0	8,100,000	8,100,000	5,808,840	0	0
Norway	d/ USD	2,000,000	2,001,658	0	0	2,000,000	2,000,000	2,001,658	0	0
	NOK	116,000,000	19,556,044	0	0	116,000,000	116,000,000	19,556,044	0	0
Portugal	EUR	50,000	64,065	0	0	50,000	50,000	64,065	0	0
Romania	EUR	150,000	214,005	0	0	150,000	150,000	214,005	0	0
Spain	EUR	1,354,185	1,773,184	0	0	1,354,185	1,354,185	1,773,184	0	0
Sweden	SEK	287,000,000	41,224,885	0	0	287,000,000	287,000,000	41,224,885	0	0
Switzerland	CHF	7,800,000	7,387,149	0	0	7,800,000	7,800,000	7,387,149	0	0
United Kingdom	GBP	42,000,000	65,787,047	0	0	42,000,000	34,000,000	53,304,600	8,000,000 e/	12,482,447
United States	USD	55,000,000	55,000,000	25,000,000	25,000,000	30,000,000	30,000,000	30,000,000	0	0
			540,242,191		30,000,000			451,527,206		58,714,965

a/ Represents (1) the actual US dollar value of paid-in cash contributions and (2) June 30, 2012 value of amount pending FX.  
b/ Valued at the exchange rates available on - June 30, 2012  
c/ Payable in installments in the year 2012, 2013, 2014 and 2015.  
d/ Contributions made in more than one currency.  
e/ Payable in one installment in the year 2012.

Table A7.2

**LDCF Summary of Allocation, Commitments and Disbursements as of June 30, 2012 (in \$)**

<b>Cumulative Net Amounts</b>				
<b>Entity</b>	<b>Funding Approvals</b>	<b>Commitments</b>	<b>Cash Transfers</b>	<b>Amount Due</b>
	(1)	(2)	(3)	(4) = (2) - (3)
<b>Projects</b>				
AfDB	6,605,335	3,525,335	525,335	3,000,000
FAO	10,006,818	4,908,818	4,908,818	0
GEFSEC	700,000	0	0	0
IBRD	34,519,586	17,813,632	17,813,632	0
IFAD	21,366,686	11,682,140	6,464,800	5,217,340
UNDP	202,585,460	96,645,778	47,020,664	49,625,114
UNEP	21,259,205	15,749,355	9,729,555	6,019,800
<i>Sub-total</i>	297,043,090	150,325,058	86,462,804	63,862,254
<b>Fees</b>				
AfDB	660,534	352,534	0	352,534
FAO	1,000,682	490,882	218,182	272,700
IBRD	3,144,663	1,603,697	1,603,697	0
IFAD	2,136,668	1,168,214	646,480	521,734
UNDP	20,401,458	9,714,000	9,674,000	40,000
UNEP	2,159,166	1,608,181	1,608,181	0
<i>Sub-total</i>	29,503,171	14,937,508	13,750,540	1,186,968
<b>Corporate Budget and Workshop <sup>a/</sup></b>				
Secretariat <sup>b/</sup>	3,944,386	3,805,609	3,145,078	660,531
Evaluation	78,500	78,500	45,500	33,000
STAP	156,600	156,600	78,600	78,000
Trustee	1,532,100	1,532,100	1,177,300	354,800
<i>Sub-total</i>	5,711,586	5,572,809	4,446,478	1,126,331
<b>Total for LDCF</b>	<b>332,257,847</b>	<b>170,835,375</b>	<b>104,659,822</b>	<b>66,175,553</b>

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

b/ USD 700,000 loan from the LDCF Trust Fund to the Adaptation Fund Secretariat Trust Fund has been reimbursed and is included in Secretariat amounts

Table A7.3

**LDCF for Climate Change Schedule of Funds Available updated as of June 30, 2012**

		(in USDeq.)	
<b><u>1. Funds held in Trust</u></b>		<b>362,898,751</b>	<i>a/</i>
Cash and investments	362,898,751		
Promissory notes	0		
<b><u>2. Restricted Funds</u></b>		<b>0</b>	
Reserve to cover foreign exchange rate fluctuations	0		
<b>3. Funds held in Trust with no restrictions ( 3 = 1 - 2 )</b>		<b>362,898,751</b>	
<b><u>4. Approved Amounts pending disbursement</u></b>		<b>204,341,872</b>	
Amounts Trustee Committed	66,175,553		
Amounts pending Council/CEO approval and/or CEO endorsement	138,166,319		
Monthly approvals for processing			
<b>5. Funds Available for Council/CEO approval and/or CEO endorsement ( 5 = 3 - 4 )</b>		<b><u>158,556,879</u></b>	

a/ Unencashed promissory notes and amounts pending FX are valued at exchange rate as of June 30, 2012

Table A7.4

**SCCF Status of Pledges and Contributions as of June 30, 2012**

OECD Status of Pledges and Contributions as of June 30, 2012

Total Pledges Outstanding and Contributions Finalized a/				Pledges Outstanding		Contribution Agreements Finalized					
Contributions Finalized a/						Paid (Receipts)			Unpaid		
1	1	2	3 = 5 + 7	4 = 6 + 9 + 11	5	6	7 = 8 + 10	8	9	10	11
Contributing Participant	Currency	Total Contribution	USDeq. b/	Amount	USDeq. b/	Total Contribution	Amount Paid in Currency	USDeq. c/	Amount Due in Currency	USDeq. b/	
Belgium	EUR	10,000,000	12,903,000	0	0	10,000,000	10,000,000	12,903,000	0	0	
Canada	CAD	13,500,000	12,894,703	0	0	13,500,000	13,500,000	12,894,703	0	0	
Denmark	DKK	50,000,000	9,041,885	0	0	50,000,000	50,000,000	9,041,885	0	0	
Finland	e/ USD	367,592	367,592	0	0	367,592	367,592	367,592	0	0	
	EUR	6,170,000	8,459,589	0	0	6,170,000	5,270,000	7,327,343	900,000	1,132,246	
Germany	EUR	60,017,000	79,742,740	0	0	60,017,000	38,400,000	52,547,440	21,617,000 d/	27,195,300	
Ireland	USD	2,125,000	2,125,000	0	0	2,125,000	2,125,000	2,125,000	0	0	
Italy	USD	10,000,000	10,000,000	0	0	10,000,000	5,000,000	5,000,000	5,000,000	5,000,000	
Netherlands	EUR	2,400,000	3,128,880	0	0	2,400,000	2,400,000	3,128,880	0	0	
Norway	NOK	151,000,000	26,771,320	0	0	151,000,000	151,000,000	26,771,320	0	0	
Portugal	EUR	1,070,000	1,299,099	0	0	1,070,000	1,070,000	1,299,099	0	0	
Spain	EUR	9,000,000	12,349,100	0	0	9,000,000	9,000,000	12,349,100	0	0	
Sweden	SEK	40,000,000	6,120,153	0	0	40,000,000	40,000,000	6,120,153	0	0	
Switzerland	e/ USD	400,000	399,973	0	0	400,000	400,000	399,973	0	0	
	CHF	7,350,000	6,846,071	0	0	7,350,000	7,350,000	6,846,071	0	0	
United Kingdom	GBP	10,000,000	18,603,167	0	0	10,000,000	10,000,000	18,603,167	0	0	
United States	USD	30,000,000	30,000,000	10,000,000	10,000,000	20,000,000	20,000,000	20,000,000	0	0	
			241,052,273						197,724,726	33,327,546	

Table A7.5

**SCCF Status of Contributions by Program as of June 30, 2012**

<b>Contribution Agreements Finalized</b>						
<u>Contributing Participant</u>	<u>Currency</u>	<u>Total Contribution</u>	<u>Amount Paid in Currency</u>	<u>USD eq.</u> <sup>a/</sup>	<u>Amount Due in Currency</u>	<u>USD eq.</u> <sup>b/</sup>
<b>I. Program for Adaptation</b>						
Canada	CAD	11,000,000	11,000,000	10,342,172	0	0
Denmark	DKK	40,000,000	40,000,000	7,233,508	0	0
Finland	e/ EUR	5,820,000	4,920,000	6,905,978	900,000	1,132,246
	USD	367,592	367,592	367,592	0	0
Germany	EUR	60,017,000	38,400,000	52,547,440	21,617,000 <sup>c/</sup>	27,195,300
Ireland	USD	1,275,000	1,275,000	1,275,000	0	0
Italy	USD	5,000,000	0	0	5,000,000 <sup>d/</sup>	5,000,000
Netherlands	EUR	2,400,000	2,400,000	3,128,880	0	0
Norway	NOK	134,500,000	134,500,000	23,769,781	0	0
Portugal	EUR	1,070,000	1,070,000	1,299,099	0	0
Spain	EUR	8,000,000	8,000,000	11,050,100	0	0
Sweden	SEK	37,000,000	37,000,000	5,690,107	0	0
Switzerland	e/ CHF	5,000,000	5,000,000	4,695,557	0	0
	USD	400,000	400,000	399,973	0	0
United Kingdom	GBP	10,000,000	10,000,000	18,603,167	0	0
United States	USD	20,000,000	20,000,000	20,000,000	0	0
				167,308,355		33,327,546
<b>II. Program for Technology Transfer</b>						
Belgium	EUR	10,000,000	10,000,000	12,903,000	0	0
Canada	CAD	2,500,000	2,500,000	2,552,531	0	0
Denmark	DKK	10,000,000	10,000,000	1,808,377	0	0
Finland	EUR	350,000	350,000	421,365	0	0
Ireland	USD	850,000	850,000	850,000	0	0
Italy	USD	5,000,000	5,000,000	5,000,000	0	0
Norway	NOK	16,500,000	16,500,000	3,001,539	0	0
Spain	EUR	1,000,000	1,000,000	1,299,000	0	0
Sweden	SEK	3,000,000	3,000,000	430,046	0	0
Switzerland	CHF	2,350,000	2,350,000	2,150,514	0	0
				30,416,371		0
<b>Total for SCCF</b>				<b>197,724,726</b>		<b>33,327,546</b>

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

b/ Valued at exchange rates on June 30, 2012

c/ This amount is payable in installments in the year 2012, 2013, 2014 and 2015.

d/ This amount was due in February 2008.

e/ Contribution made in more than one currency.

Table A7.6

**SCCF Summary of Allocations, Commitments and Disbursements as of June 30, 2012 (in \$)**

Entity	Cumulative Net Amounts			
	Approved Allocations	Commitments	Disbursements	Amount Due
	(1)	(2)	(3)	(4) = (2) - (3)
<b>Projects</b>				
ADB	6,075,280	3,618,182	50,000	3,568,182
AFDB	5,250,000	0	0	
EBRD	4,745,249	2,927,067	0	2,927,067
FAO	1,031,818	31,818	31,818	0
IADB	6,032,250	0	0	0
IBRD	63,905,861	48,168,084	48,168,084	0
IFAD	16,574,521	6,587,521	3,875,020	2,712,501
UNDP	60,530,654	43,694,036	20,169,503	23,524,533
UNEP	14,456,818	9,556,818	7,025,000	2,531,818
<i>Sub-total</i>	178,602,451	114,583,526	79,319,425	35,264,101
<b>Fees</b>				
ADB	602,940	361,818	5,000	356,818
AFDB	525,000	0	0	
EBRD	474,525	292,707	0	292,707
FAO	103,182	3,182	3,182	0
IADB	603,225	0	0	0
IBRD	6,071,638	4,543,015	4,543,015	0
IFAD	1,657,450	658,750	387,500	271,250
UNDP	5,385,203	4,261,542	4,261,542	0
UNEP	1,443,182	953,182	928,182	25,000
<i>Sub-total</i>	16,866,345	11,074,196	10,128,421	945,775
<b>Corporate Budget <sup>a/</sup></b>				
Secretariat	2,564,695	2,070,869	1,649,750	421,119
Evaluation	278,500	278,500	248,500	30,000
STAP	156,600	156,600	78,600	78,000
Trustee	1,396,556	1,396,556	1,188,556	208,000
<i>Sub-total</i>	4,396,351	3,902,525	3,165,406	737,119
<b>Total for SCCF</b>	<b>199,865,147</b>	<b>129,560,247</b>	<b>92,613,252</b>	<b>36,946,995</b>

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

Table A7.7

## SCCF Schedule of Funds Available updated as of June 30, 2012

(in \$)		
<b>Program for Adaptation</b>		
<b><u>1. Funds held in Trust</u></b>		<b>94,595,795</b>
Cash and investments	94,595,795	
Promissory notes	0	
<b><u>2. Restricted Funds</u></b>		<b>0</b>
Reserve to cover foreign exchange rate fluctuations	0	
<b>3. Funds held in Trust with no restrictions ( 3 = 1 - 2 )</b>		<b>94,595,795</b>
<b><u>4. Approved Amounts pending disbursement</u></b>		<b>86,678,801</b>
Amounts Trustee Committed	34,588,777	
Amounts pending Council/CEO approval and/or CEO endorsement	52,090,024	
Monthly approvals for processing	0	
<b>5. Funds Available for Council/CEO approval and/or CEO endorsement ( 5 = 3 - 4 )</b>		<b>7,916,994</b>
<b>Program for Transfer of Technology</b>		
<b><u>6. Funds held in Trust</u></b>		<b>23,119,423</b>
Cash and investments	23,119,423	
Promissory notes	0	
<b><u>7. Restricted Funds</u></b>		<b>0</b>
Reserve to cover foreign exchange rate fluctuations	0	
<b>8. Funds held in Trust with no restrictions ( 8 = 6 - 7 )</b>		<b>23,119,423</b>
<b><u>9. Approved Amounts pending disbursement</u></b>		<b>21,222,868</b>
Amounts Trustee Committed	2,358,218	
Amounts pending Council/CEO approval and/or CEO endorsement	18,864,650	
Monthly approvals for processing	0	
<b>10. Funds Available for Council/CEO approval and/or CEO endorsement ( 10 = 8 - 9 )</b>		<b>1,896,555</b>
<b>Total SCCF Funds Available for Council/CEO approval and/or CEO endorsement ( 5 + 10 )</b>		<b>9,813,549</b>