



联合国

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联合国
环境规划署

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旨在制定一项具有法律约束力的
塑料污染（包括海洋环境中的塑料污染）
国际文书的政府间谈判委员会
第五届会议
2024年11月25日至12月1日，韩国釜山
临时议程*项目4

编制一项具有法律约束力的塑料污染（包括海洋环境中的塑料污染）国际文书。

闭会期间不限成员名额特设专家组负责为执行文书目标对潜在来源和可调动手段进行分析，包括建立财务机制、协调资金流和催化融资的备选方案，供委员会第五届会议审议¹

联合主席的报告

1. 导言

a. 任务

- 旨在制定一项具有法律约束力的塑料污染（包括海洋环境中的塑料污染）国际文书的政府间谈判委员会（以下简称“委员会”）在其第四届会议（INC-4）上设立了两个闭会期间不限成员名额特设专家组。
- 第1专家组（EG1）的任务是为执行文书目标分析潜在来源和可调动手段，包括建立财务机制、协调资金流和催化融资的备选方案，供委员会第五届会议（INC-5）（以下简称“第1专家组”）审议。第1专家组由澳大利亚代表凯特·林奇女士（Kate Lynch）和加纳代表奥利弗·博奇先生（Oliver

* UNEP/PP/INC.5/1。

¹本文件未经正式编辑。

Boachie) 共同主持工作。²委员会还商定, 该专家组的工作成果将不影响各国立场及委员会的谈判结果。

3. 委员会授权第1专家组以第四届会议3第二联络小组联合主席的报告及汇编文件中关于执行手段的案文草案(第三部分第1节)作为其工作的基础。⁴专家组向委员会所有成员开放, 并由委员会秘书处与委员会流程主席协商选定的技术专家为其工作提供资料。
4. 第1专家组遵循委员会的指令, 分别于2024年7月16日、8月1日及8月15日召开了三次线上会议, 利用电子通信手段启动了其工作。⁵在此基础上, ⁶专家组于2024年8月24日至28日在曼谷举行了一次线下会议。⁷联合主席在曼谷线下会议召开之前发布了由其编写的综述文件。

b. 报告的宗旨、范围与结构

5. 本报告由专家组联合主席编写, 供委员会审议, 反映了专家组在履行职责过程中所取得的工作成果。专家组借鉴了其三次线上会议与曼谷线下会议的成果。
6. 本报告旨在促进对任务中概述的事项达成共同理解, 并汇总专家组会议期间讨论的一些关键信息、问题与机会。

c. 塑料污染问题的范围与严重程度

7. 塑料污染问题的范围与严重程度虽然不属于专家组的正式任务, 但为专家组的工作提供了重要背景。一系列关于塑料污染挑战的报告⁸强调指出了塑料废弃物的产生及其管理不善造成的宏观经济成本。若一切照旧, 由于塑料生产的快速增长和废弃物管理成本的上升, 到2040年, 管理不善的塑料废弃物数量可能会增加50%或更多。一份报告指出, 减少塑料需求最终将降低管理废弃物的成本, 并减少对环境的塑料泄漏。减少废弃物政策(包括过渡到替代品)以及对废弃物进行分类和循环利用的额外投资可有助于到2040年结束塑料泄漏, 其成本比常规成本高出约2%(500亿美元)。修复传统塑料污染的成本预计每年高达130亿美元, 且未计入上述成本。
8. 专家们讨论了报告中列举的假设, 一些专家表示需要来自更广泛和不同来源的更全面和分类的数据, 以帮助量化挑战的范围与严重程度。此外, 还需要有关健康和公正转型等社会成本的资料, 以及减少塑料污染所带来的宏观经济效益。

2. 为执行文书目标对潜在来源和可调动手段的分析

²

见两个专家组的概念说明, 查阅网址: https://wedocs.unep.org/bitstream/handle/20.500.11822/45639/ISW_concept_note.pdf。

³ <https://www.unep.org/inc-plastic-pollution/session-4>。

⁴ UNEP/PP/INC.5/4。

⁵

见工作方案, 查阅网址: <https://wedocs.unep.org/bitstream/handle/20.500.11822/45901/WorkProgrammeEG1.pdf>。

⁶

见联合主席的综述文件, 查阅网址: https://wedocs.unep.org/bitstream/handle/20.500.11822/46049/EG1_Synthesis_Paper.pdf。

⁷ 见会议报告(即将分发)。

⁸

经济合作与发展组织(经合组织)《全球塑料展望》; 北欧部长理事会关于《到2040年消除塑料污染》的报告; 以及环境署《全球化学品展望》(2019年)。

- a. 为执行文书目标的潜在资金来源矩阵⁹
9. 可通过多种方式在不同层面调动与消除塑料污染相关的广泛资金来源。来源需要符合目的，并与未来文书的最终范围和义务相一致。金融工具需要灵活应对塑料污染发生的变化，并随着时间的推移提供解决方案。下表概述了第1专家组讨论的来源。

表1. 为执行文书目标的潜在资金来源矩阵

类别	潜在来源	金融工具与机制	详细信息/示例
公共财政	国家、次国家和地方政府拨款	政府预算	改善基础设施、循环利用设施、垃圾分类计划和垃圾焚烧发电厂的预算拨款；市政参与至关重要。 政府拨款也可与联合国可持续发展目标（SDG）等国际任务相一致，为减少塑料废弃物创造更强有力的激励措施。
	公共机构和基金	补助金、补贴、转让	通过具体补助金或补贴支持可持续塑料替代品等，为消除塑料污染文书的义务以及相关计划和项目提供资金。
	发展融资机构、援助机构（国家级、双边、多边）	债务工具、投资担保	发展融资机构（DFI）和双边/多边援助机构可利用优惠贷款和投资担保资助旨在减少塑料污染的项目。 混合融资模式将公募和私募基金相结合，可为有影响力的项目释放更多资源。发展融资机构可为低收入国家的废弃物管理基础设施等项目提供支持，促进政府和私营实体之间开展合作。
	多边环境基金	共同融资、项目融资	全球环境基金（GEF）和绿色气候基金（GCF）等多边基金为大型环境项目以及不同多边环境协定的执行提供支持（另见附件二）。
私人融资	企业社会责任（CSR）	企业社会责任计划，其中部分利润拨给可持续发展项目	该资金可用于直接支持循环利用技术的创新、开发和应用，并投资基于社区的废弃物管理项目。 企业可以与政府和非政府组织开展合作，共同资助减少塑料污染的举措。这些伙伴关系可纳入补助金或配比基金机制，以进一步扩大工作规模。
	机构投资者和商业银行	股权/债务融资、影响力投资	机构投资者和商业银行可以提供财务激励措施，通过股权和债务融资工具减少塑料生产。 金融机构正在采用绿色债券和塑料信用等创新工具。此类创新金融产品可激励公司转向可持续做法（另见下文表2）。

⁹ 根据第1专家组的讨论，以及技术顾问彼得·博奇（Peter Borkey）和佩姬·勒福尔Peggy Lefort（2024年8月）就“挑战有多大”提供的信息，查阅网站：<https://www.unep.org/inc-plastic-pollution/ioeeg>。

	慈善基金会与企业基金会	慈善捐款；包括赠款、影响力投资、共同融资	慈善基金会与企业捐款可支持基于社区的减少塑料污染等举措。
公私伙伴关系 (PPP) 和其他创新融资来源 (另见表 2)。	混合融资	优惠公募基金，结合私营部门投资	将公共和私人资源相结合，以最大限度地发挥影响力举措，例如废弃物管理方面的举措。 公私伙伴关系可以利用私营部门的技术创新，同时利用监管框架和公共部门的资金。其他环保举措中成功的混合融资模式也可用于减少塑料污染。
	社会影响力债券	绩效债券	将环境成果与经济回报挂钩，重点关注废弃物管理和收集。此类债券可为投资者提供资助减少废弃物项目的机会，同时根据成功指标获得回报。

b. 公共和私营部门的作用

10. 公共和私营部门在应对塑料污染方面均发挥着重要作用。
11. 国家、次国家和市政各级的公共部门可通过政策和立法框架，以及履行未来文书规定的基本义务，为私营部门投资创造有利环境。为帮助弥补能力差距，支持各国履行其义务，并降低投资风险，可能需要资助。
12. 包括官方发展援助在内的公共融资只能部分解决资金缺口，因此需要更广泛的资金来源。与会专家强调，公共部门在扩大全球资金、指导监管以及混合各类来源的资金方面的作用，是各级应对塑料污染的关键。
13. 私营部门虽不是具有法律约束力的文书规定承担直接义务的缔约方，但其参与对实现文书的核心目标至关重要。可通过国家政策框架激励其发挥作用，鼓励生态友好型产品设计、推广和设计替代品、激励创新、行为改变和可持续投资。私营部门可基于“污染者付费”原则，通过生产者延伸责任和企业社会责任倡议，在促进私营部门问责和参与方面发挥作用。
14. 公共和私营部门之间的合作，包括通过投资伙伴关系、能力建设和技术转让，对于实现消除塑料污染的全球目标至关重要。

c. 创新融资来源概述

15. 下表概述了创新融资来源，并提供了简要说明与使用实例。专家们指出，发展中国家由于往往缺乏吸引此类私人投资所需的机构能力、金融市场和投资者信心，不易获得创新融资来源。因此，需要考虑具体国情。

表2. 创新融资来源概述

创新融资来源	说明/评论意见	示例
塑料信用	可转让单位，代表收集和管理、循环利用或避免使用、收集和管理或循环利用的塑料制品的具体数量。 ¹⁰ 一种基于结果的金融工具，可将公共和私	菲律宾PCX Solutions、BVRio CCM计划 印度尼西亚Verra PPRS、BVRio

¹⁰世界银行，2024. Unlocking Financing to Combat the Plastics Crisis - Opportunities, Risks, and Recommendations for Plastic Credits. © Washington, DC: World Bank. <http://hdl.handle.net/10986/41866>
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	营部门融资与应对塑料污染的具体活动联系起来。	CCM信贷计划11 目前，已有四国将塑料信贷纳入其生产者延伸责任计划。这些国家分别是印度、菲律宾、波兰和英国。
塑料债券	一种绿色或可持续发展债券，专门用于资助旨在 减少塑料污染 或支持 开发可持续的塑料替代品 的项目。	两个项目 ：加纳ASASE基金会。扩大塑料收集和回收站点，以处理能力 印度尼西亚SEArcular安装食品级聚对苯二甲酸乙二醇酯（PET）循环利用生产线
蓝色债券 绿色债券	蓝色债券是由政府、开发银行或其他机构发行的债务工具，用于向影响力投资者筹集资金，为具有积极环境、经济和气候效益的海洋项目提供资金。 ¹² 绿色债券是任意类型的债券工具，其收益或同等金额将专门用于部分或全部为新的和/或现有符合条件的绿色项目融资或再融资，并与绿色债券原则的四个核心组成部分保持一致。 ¹³ 绿色债券是一种债务证券，发行该证券旨在 筹集资金 ，专门用于支持气候相关或环境项目。 ¹⁴	塞舌尔蓝色债券—— 世界首个主权蓝色债券 斐济绿色债券—— 世界首个新兴市场主权绿色债券
主权可持续发展目标（SDG）债券	以可持续发展目标为基础的专题债券的一个子集，可 帮助政府 为其可持续发展优先事项提供资金。	墨西哥的七年期可持续发展目标债券，总价值为8.9亿美元。
生产者延伸责任（EPR）	生产者延伸责任制度要求塑料生产商和进口商对其产品从生产到处置和回收的整个生命周期承担责任。 尽管生产者有时可单独执行生产者延伸责任，但通常集体执行，他们支付费用为收集、分类和再处理提供资金支持，包括由非正规废弃物部门进行的收集、分类和再处理。生产者延伸责任费用也可用于启动对循环利用设施的投资，以及资助对先进再循环和材料回收方法的研究。 通过生态调节费用，生产者延伸责任可用于激励改进塑料设计，减少废弃物和提高可循环利用性。 使生产者延伸责任适应每个国家的具体情况需要 灵活性 ，但若各国存在一些一致的共同点，则效率会更高。	生产者延伸责任的一个例子是法国CITEO系统，该系统管理包括塑料包装在内的家用包装的生产者延伸责任框架。该系统将收集、分类和回收包装废弃物的经济责任交给生产和向市场投放此类产品的公司。该系统拥有一个生态调节费用系统，用于鼓励生产者设计更可持续的包装。 ¹⁵

¹¹世界银行，2024. Unlocking Financing to Combat the Plastics Crisis - Opportunities, Risks, and Recommendations for Plastic Credits. © Washington, DC: World Bank. <http://hdl.handle.net/10986/41866>
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¹² Sovereign Blue Bond Issuance: Frequently Asked Questions (worldbank.org) 2018

¹³ Bonds to Finance the Sustainable Blue Economy: A Practitioner's Guide (icmagroup.org)

¹⁴ 世界银行：What are green bonds 2015

¹⁵ 见：<https://www.citeo.com/>。

	需要强有力的监管框架来执行生产者延伸责任计划，并使各国的具体情况得到考虑。	
优惠融资	通常由开发银行、政府或国际组织以比市场条件更优惠的条件提供金融资源。与标准商业贷款相比，这种贷款或赠款利率更低、还款期更长或条件更优惠。	绿色气候基金提供优惠融资，以支持《巴黎协定》的执行。它提供优惠贷款、赠款和股权，以资助发展中国家的气候变化适应和减缓项目，尤其是建设复原力和向低碳经济转型。此类项目可能侧重于可再生能源、气候智慧型农业或重新造林。
混合融资	混合融资是一种财务战略，它将公共和私营部门的资源相结合，为提供财务回报和积极的社会、环境或发展成果的项目提供资金。混合融资背后的核心理念是，在私营部门的参与因被认为风险高或回报低而受到限制的领域，利用公共或慈善资本来降低风险或利用私人投资。	可通过降低贷款利率或提供担保以覆盖各种风险来实现这一目标。 例如，Acumen使用混合融资来执行高风险或低回报项目，以支持发展中国家难以触及的社区。财政支持的提供者包括非洲开发银行和绿色气候基金。该公司已在农业、水利和能源领域成功执行项目，并有可能为专注于塑料行业中小企业的项目提供支持。
塑料污染费和环境税	可对相关企业征收塑料污染费，所得款项用于支持减少塑料污染的行动。 一项提议是对塑料聚合物的生产征收税费。在其管辖范围内进行塑料聚合物生产的国家将被要求根据其生产的聚合物数量对相关企业征税。根据该国的特殊情况，部分费用可以保留在国内用于行政和其他目的。所收取的其余费用将捐赠给一个全球基金，用于应对遗留污染和该文书的其他目标。	国际油污赔偿基金（IOPC基金）为成员国因油轮持久性石油泄漏而发生的石油污染损害提供经济赔偿。IOPC基金的资金的资金来源于通过海运接收某些种类石油的实体所缴纳的摊款。 ¹⁶
补贴重新分配	将政府补贴从对环境有害的活动（例如化石燃料、不可持续的农业或工业实践）转向支持文书目标的活动，如减少塑料污染。	根据《生物多样性公约》制定的全球生物多样性框架旨在减少推动集中、不可持续的农业实践（例如过度使用农药或化肥）的补贴，而将其转向支持有机农业、农林业和其他提升生物多样性的实践。

d. 其他执行手段

16. 在专家组会议期间，与会专家表示强烈支持其他非财政执行手段。这包括能力建设、技术转让和其他支持机制。能力建设和技术援助应根据发展中国家的具体需求量身定制，重点是分享最佳做法，弥补现有差距，确保包容性，尤其是针对妇女、青年和原住民等边缘化群体的包容性。区域合作、南南合作和三角合作也可用于分享经验和最佳做法。附件一还提供了关于“其他多边环境协定执行手段的规定”的例子。

3. 建立财务机制的备选方案

a. 多边环境协定财务机制的概述和特征

17. 与会代表一致认为，财务机制需要与该文书的优先事项和目标保持一致，即形式应遵循职能。

¹⁶见：<https://iopcfunds.org/>。

18. 财务机制支持的活动可包括缔约方的具体义务，如报告要求，以及旨在减少塑料污染的更广泛行动，如改善废弃物处理设施、清理遗留塑料污染和公正过渡。一些专家强调了为技术转让和核心研究提供专门资源的财务机制的重要性。
19. 附件二“多边环境协定财务机制的概述和特征”说明了其他多边环境协定进程如何成功地将其财务机制与其支持的文书的总体目标相结合。

b. 潜在财务机制的利弊

20. 财务机制的体制安排的选择应以文书的目标、基金的愿景、尤其是其范围（就预期活动、供资和金融工具而言）、规模（就预期财政资源而言）和架构（秘书处和附属机构或独立机构的人员配置，以及执行实体的数量和类型）为指导。
21. 与会专家普遍认为，有必要根据文书的目标提供新的专项资金，并普遍承认发达国家应为资金提供捐助。然而，专家们也认识到，公共捐款不足以提供所有资金，必须探索最大限度地利用现有资源的一切途径，以有效应对塑料污染问题。如果基金可以接受其他来源（例如私人或慈善机构）的捐款，则可能大有裨益。
22. 与会专家对基金运作的体制结构提出了不同意见，每种方案都有明确的利弊，同时也出现了几个主题。这些包括：
 - a. 基金的活动应遵循缔约方大会（COP）的指导；
 - b. 优先选择方案型而非单纯基于项目的供资，因为这将允许采取更长期的战略行动来应对塑料污染问题；
 - c. 能力建设专用资源的益处，类似于《蒙特利尔议定书》规定的多边基金带来的益处；
 - d. 希望基金在管理上高效，最大限度地增加可用于拨款的资金；以及
 - e. 希望在治理安排中实现均衡代表。
23. 成员讨论了可用方案的利弊，并强调需要参考数据以形成明智观点。附件三：“潜在财务机制的利弊”概述了这一信息，以供参考。

4. 协调资金流和催化融资

a. 概念综述

24. 在第1专家组讨论中，使用了“金融环境”、“协调资金流”和“催化融资”等术语。本节旨在根据闭会期间进行的讨论，促进此类术语在使用上的统一。其目的是支持委员会在其第五届会议期间的谈判，但并不影响这些术语在其他情况中的使用。

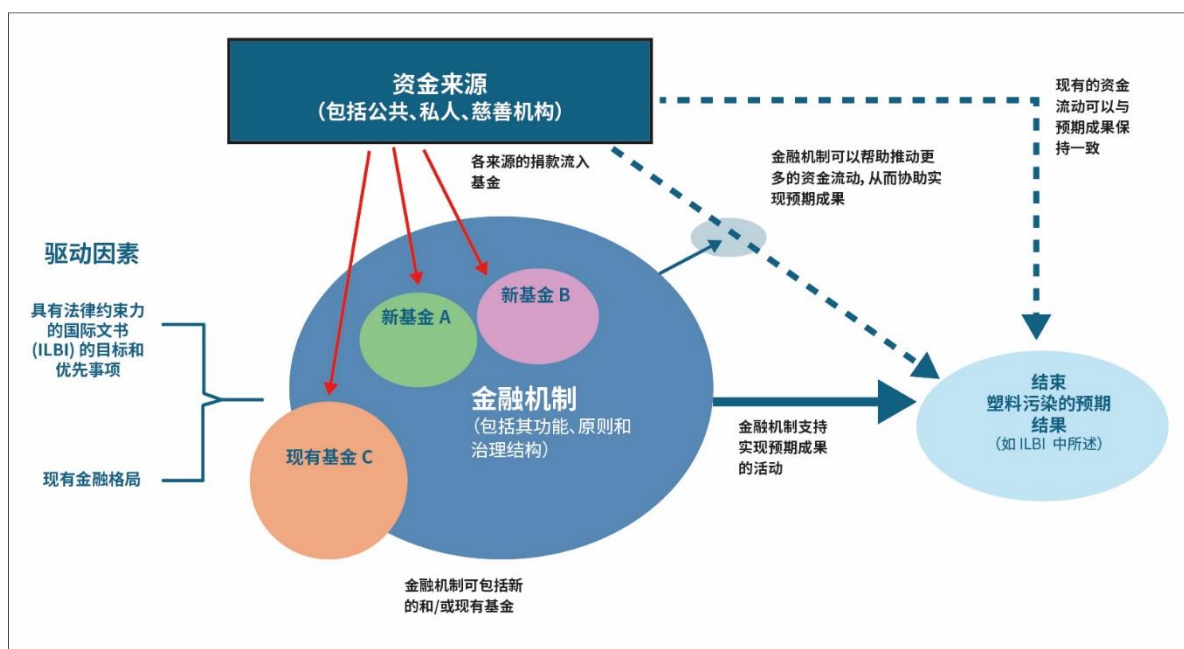


图1. 关于在整体金融环境下建立的金融机制的概念说明

25. 在这一机制中，公共资金可以提供核心的、可预期的资金支持。然而，鉴于挑战的规模，讨论强调了从一切可能来源筹集资金以支持实现文书目标的重要性。
 26. **协调资金流**是指确保公共和私人资金流的部署尽可能符合文书的目标。协调一致可包括促成私人融资和投资的转变，以及潜在的积极和消极激励措施（例如补贴和财政措施）。缔约方为实现文书的目标而协调的资金流可直接用于文书的资金机制和基金，但非一定如此。资金流也可以是通过与文书目标相一致的国内计划提供的捐款，也可以是私营部门为支持文书目标和优先事项的研究与开发提供的捐款。
 27. **催化融资**包括为执行文书的目标创造额外的财政资源。这意味着可利用广泛的私人 and 公共资金来源和产品，促进更大的资金流，应对塑料污染问题。这可以包括利用公共资金吸引私人投资，利用混合融资模式，或通过公私伙伴关系激励私营部门参与。
- b. 资金流协调战略**
28. 协调资金流以支持多边环境协定的战略侧重于将国际义务纳入国家框架，动员私营部门参与，利用创新融资工具，并确保多边基金为多边环境协定目标提供有针对性的支持。
 29. 大规模调动所有来源的财政资源将是协议成功的关键，这将需要建立一个强大而协调的有利环境，以减少不确定性并刺激透明度。环境政策文书也可以在资金协调方面发挥重要作用。
 30. 政府可通过以下方式为私营部门创造有利环境：
 - a. 提供明确和支持性的政策与监管框架；
 - b. 建立公私伙伴关系；
 - c. 提供与文书目标相一致的财政和其他激励措施；
 - d. 执行生产者延伸责任计划。
- c. 融资催化方法**
31. 通过多边环境协定，采用了多种战略利用、释放和吸引资金。这些战略确保通过公共和私营部门利益攸关方的参与、促进伙伴关系和利用创新金融机制，可实现多边环境协定的目标。

32. 催化投资的融资干预措施旨在通过减缓、转移或补偿各种投资风险（如市场不确定性、技术和监管风险或主权风险），使投资机会对投资者更具吸引力。由于各种项目的创新风险（技术落后、市场需求尚未得到证实等）以及与循环经济基础设施的传统投资相关的典型风险（例如高资本支出要求和较长投资回报期），投资风险最小化对于获得应对塑料污染的资金至关重要。
33. 目前正在采用各种战略调动资金和资源来应对塑料污染，如优惠金融；公私伙伴关系；混合融资；可持续发展目标债券、可持续分类和绿色债券；国家开发银行；以及私营部门参与（见上文表2）。

5. 结语

34. 线上与线下闭会期间会议为第1专家组成员之间富有成效的知识交流提供了良好环境。
35. 专家们的积极参与、技术顾问的有益观点以及专家组成员对问题形成客观认识的共同愿望，使专家组得以圆满完成任务。
36. 联合主席认为，在许多领域存在广泛共识，这使人们对委员会釜山谈判持乐观态度。
37. 关于执行手段，联合主席强调，借鉴现有多边环境协定下的最佳做法实例至关重要。
38. 第1专家组联合主席感谢所有专家组与会成员在整个闭会期间开展合作、不遗余力贡献专业知识并提供支持。
39. 联合主席希望，本报告所述闭会期间工作成果可为成员在釜山委员会第五届会议期间进行谈判提供指导意见，同时不影响国家立场与谈判结果。

Annex I: Provisions on Means of Implementation in other Multilateral Environmental Agreements (MEAs)*

[English Only]

Provisions on Means of Implementation in Other MEAs	
Research and Development	UNFCCC, Article 4.1(g): "Parties shall (...) promote and cooperate in scientific, technological, technical, socio-economic, and other research systematic observation and development of data archives related to the climate system and intended to further the understanding and to reduce or eliminate the remaining uncertainties regarding the causes, effects, magnitude and timing of climate change and the economic and social consequences of various response strategies."
	<p>BBNJ Agreement, Annex II: "capacity building and transfer of marine technology initiatives may include but are not limited to:</p> <p>(a) Sharing of relevant data, information, knowledge and research (...)</p> <p>(b) Information dissemination and awareness-raising, including with regard to:</p> <ul style="list-style-type: none"> (i) Marine scientific research, marine sciences and related marine operations and services; (ii) Environmental and biological information collected through research conducted in areas beyond national jurisdiction; (...) <p>(c) The development and strengthening of relevant infrastructure, including equipment, such as: (...)</p> <ul style="list-style-type: none"> (iii) The acquisition of the equipment necessary to support and further develop research and development capabilities, including in data management, in the context of activities with respect to marine genetic resources and digital sequence information on marine genetic resources of areas beyond national jurisdiction, measures such as area-based management tools, including marine protected areas, and the conduct of environmental impact assessments; (...) <p>(e) The development and strengthening of human and financial management resource capabilities and of technical expertise through exchanges, research collaboration, technical support, education and training and the transfer of marine technology, such as:</p> <ul style="list-style-type: none"> (i) Collaboration and cooperation in marine science, including through data collection, technical exchange, scientific research projects and programmes, and the development of joint scientific research projects in cooperation with institutions in developing States;
	Montreal Protocol, Article 9: " 1. The Parties shall co-operate, consistent with their national laws, regulations and practices and taking into account in particular the needs of developing countries, in promoting, directly or through competent international bodies, research, development and exchange of information.(...)"

*受时间安排所限，本附件未经翻译。

	Provisions on Means of Implementation in Other MEAs
Capacity Building and Technical assistance	Paris Agreement, Article 11.1: "Capacity-building under this Agreement should enhance the capacity and ability of developing country Parties (...) to take effective climate change action, including (...) adaptation and mitigation, and should facilitate technology development, dissemination, and deployment, access to climate finance, relevant aspects of education, training and public awareness, and the transparent, timely and accurate communication of information."
	Minamata Convention on Mercury, Article 13: "Parties shall cooperate to provide, within their respective capabilities, timely and appropriate capacity-building and technical assistance to developing country Parties, in particular Parties that are least developed countries or small island developing States, and Parties with economies in transition, to assist them in implementing their obligations under this Convention."
	BBNJ Agreement, Part V: Article 41: Cooperation in capacity building and the transfer of marine technology (omitted) Article 42: Modalities for capacity building for the transfer of marine technology 1. Parties, within their capabilities, shall ensure capacity-building for developing States Parties and shall cooperate to achieve the transfer of marine technology, in particular to developing States Parties that need and request it, taking into account the special circumstances of small island developing States and of least developed countries, in accordance with the provisions of this Agreement. 2. Parties shall provide, within their capabilities, resources to support such capacity- building and the development and transfer of marine technology and to facilitate access to other sources of support, taking into account their national policies, priorities, plans and programmes. (...)
	Article 44: types of capacity building and of the transfer of marine technology (omitted) Article 46: Capacity building and transfer of marine technology committee (omitted)"
	Stockholm Convention, Article 12: "2. The Parties shall cooperate to provide timely and appropriate technical assistance to developing country Parties and Parties with economies in transition, to assist them, taking into account their particular needs, to develop and strengthen their capacity to implement their obligations under this Convention."
Training Programs and Knowledge Sharing	Convention on Biological Diversity, Article 12(a): " The Contracting Parties, taking into account the special needs of developing countries, shall: (a) Establish and maintain programmes for scientific and technical education and training in measures for the identification, conservation and sustainable use of biological diversity and its components and provide support for such education and training for the specific needs of developing countries."
	BBNJ Agreement, "Article 52 6. The special fund and the Global Environment Facility trust fund shall be utilized in order to:

	Provisions on Means of Implementation in Other MEAs
	<p>(a) Fund capacity-building projects under this Agreement, including effective projects on the conservation and sustainable use of marine biological diversity and activities and programmes, including training related to the transfer of marine technology (...)"</p> <p>BBNJ Agreement, Annex II: Under this Agreement, capacity-building and transfer of marine technology initiatives may include but are not limited to: (...) The development and strengthening of human and financial management resource capabilities and of technical expertise through exchanges, research collaboration, technical support, education and training and the transfer of marine technology, such as:</p> <p>(e)(i) Collaboration and cooperation in marine science, including through data collection, technical exchange, scientific research projects and programmes, and the development of joint scientific research projects in cooperation with institutions in developing States;</p> <p>(ii) Education and training in:</p> <p>a. The natural and social sciences, both basic and applied, to develop scientific and research capacity;</p> <p>b. Technology, and the application of marine science and technology, to develop scientific and research capacities;</p> <p>c. Policy and governance;</p> <p>d. The relevance and application of traditional knowledge"</p>
Policy and Regulatory Support	<p>BBNJ Agreement, Annex II: "(d) The development and strengthening of institutional capacity and national regulatory frameworks or mechanisms, including:</p> <p>(i) Governance, policy and legal frameworks and mechanisms;</p> <p>(ii) Assistance in the development, implementation and enforcement of national legislative, administrative or policy measures, including associated regulatory, scientific and technical requirements at the national, subregional or regional level"</p> <p>Minamata Convention on Mercury, Article 14: "The Parties shall cooperate to provide, within their respective capabilities, financial and technical assistance to developing country Parties, to assist them in the implementation of their obligations under this Convention, including the development and enforcement of national regulatory measures to control emissions and releases of mercury."</p>
Technology Transfer	<p>Basel Convention, Article 10: "1. The Parties shall co-operate with each other in order to improve and achieve environmentally sound management of hazardous wastes and other wastes. 2. To this end, the Parties shall: (d) Co-operate actively, subject to their national laws, regulations and policies, in the transfer of technology and management systems related to the environmentally sound management of hazardous wastes and other wastes. They shall also co-operate in developing the technical capacity among Parties, especially those which may need and request technical assistance in this field (...)"</p> <p>Minamata Convention on Mercury, Article 14: "3. Developed country Parties and other Parties within their capabilities shall promote and facilitate, supported by the private sector and other relevant stakeholders as appropriate, development, transfer and diffusion of, and access to, up-to-date environmentally sound</p>

	Provisions on Means of Implementation in Other MEAs
	alternative technologies to developing country Parties, in particular the least developed countries and small island developing States, and Parties with economies in transition, to strengthen their capacity to effectively implement this Convention.”
	Paris Agreement, Article 10: “6. Support, including financial support, shall be provided to developing country Parties for the implementation of this Article, including for strengthening cooperative action on technology development and transfer at different stages of the technology cycle, with a view to achieving a balance between support for mitigation and adaptation.(...)”

Annex II: Overview and Attributes of MEA Financial Mechanism (FM)

MEA / Financial Mechanism	Objective	How the financial mechanism addressed the objective	Other activities supported by the financial mechanism
<p>Montreal Protocol on Substances that Deplete the Ozone Layer</p> <p><i>Multilateral Fund for the Implementation of the Montreal Protocol (operating under the institutional framework of the United Nations Environment Programme (UNEP)</i></p> <p><i>(Newly established fund in existing institution)</i></p>	<p>Protect the ozone layer by phasing out substances that deplete it, such as CFCs.</p>	<p>The Multilateral Fund was created as a standalone fund under the United Nations Environment Programme to support developing countries in covering the incremental costs of compliance. It provides grants and concessional loans for technology transfer, capacity building, and policy development.</p>	<ul style="list-style-type: none"> • Non-compliance, research, development, public awareness and information exchange provisions in the final text of the instrument. • Assistance to developing countries to phase out ozone-depleting substances (ODS). • Capacity building for institutions to manage the phase-out. • Technical assistance and training for alternative technologies. • Funding for pilot projects to test alternatives. • Compliance monitoring and reporting. • Public awareness campaigns. • Institutional strengthening.

MEA / Financial Mechanism	Objective	How the financial mechanism addressed the objective	Other activities supported by the financial mechanism
<p>Minamata Convention on Mercury</p> <p><i>GEF Trust Fund and Specific International Programme (SIP)</i></p> <p><i>(Hybrid: two or more funds operating separately within the financial mechanism)</i></p>	<p>Protect human health and the environment from anthropogenic emissions and releases of mercury.</p>	<p>The Global Environment Facility (GEF) and a Specific International Programme (SIP) which was established as a trust fund by the United Nations Environment Programme, support capacity building and technical assistance with the aim to assist developing countries with the implementation of their obligations under the instrument. Together, the funds make up the financial mechanism of the Minamata Convention.</p>	<ul style="list-style-type: none"> • Support for phasing out use of mercury in products and industrial processes. • Technical assistance for reducing and eliminating mercury emissions. • Capacity building for mercury waste management. • Support for the development and implementation of national action plans. • Support for national and regional implementation of trade controls. • Support for inventory development.
<p>United Nations Convention on the Law of the Sea, Biodiversity Beyond National Jurisdiction (BBNJ)</p> <p><i>(Voluntary trust fund and special fund as well as GEF)</i></p> <p><i>(Funds within an existing multi-purpose fund and existing fund)</i></p>	<p>Conservation and sustainable use of marine biodiversity beyond national jurisdiction.</p>	<p>A voluntary trust fund and a special fund were created to support the participation of developing countries in the agreement. The GEF, together with the two new funds make up the financial mechanism aimed at utilizing the financial resources for capacity-building and marine technology transfer.</p> <p>The voluntary trust fund is intended to facilitate the participation of representatives of developing States Parties relevant BBNJ meetings.</p> <p>The special fund and the Global Environment Facility trust fund are intended to fund:</p> <ul style="list-style-type: none"> • capacity-building projects under the Treaty • assist developing States Parties to implement the BBNJ Treaty • support conservation and sustainable use programme by Indigenous Peoples and local communities as holders of traditional knowledge • undertake any other activities as decided by the COP. 	<ul style="list-style-type: none"> • Support to developing States Parties, in particular the least developed countries, landlocked developing countries, geographically disadvantaged States, small island developing States, coastal African States, archipelagic States and developing middle-income countries, through capacity-building and the development and transfer of marine technology. • Simplified procedures for accessing funding through the special fund for developing state parties. • Cooperation in capacity-building and transfer of marine technology. Establishment of a committee on capacity-building and transfer of marine technology. • Clearing house mechanism established. • Technical and scientific cooperation for marine biodiversity protection. • Assistance in implementing marine protected areas and marine genetic resource conservation. • Support for research and sustainable management of marine resources.

MEA / Financial Mechanism	Objective	How the financial mechanism addressed the objective	Other activities supported by the financial mechanism
<p>Convention on Biological Diversity</p> <p><i>GEF (existing fund)</i></p>	<p>Conservation of biological diversity, sustainable use of its components, and fair sharing of benefits.</p>	<p>Developed countries are required to provide financial resources through the GEF and other international channels. Mechanisms focus on capacity building, biodiversity-related investments, and national biodiversity strategies.</p>	<ul style="list-style-type: none"> • Access to and transfer of technology to developing countries on favourable terms. • Exchange of information, technical and scientific cooperation. • Support for national biodiversity strategies and action plans. • Capacity building for biodiversity conservation. • Support for indigenous and local community participation. • Research and technology transfer related to biodiversity. • Awareness-raising and outreach on biodiversity issues.
<p>Kunming-Montreal Global Biodiversity Framework</p> <p><i>(Global Biodiversity Framework Fund (GBFF) under GEF)</i></p> <p><i>(Newly established under the facility)</i></p>	<p>Halt and reverse biodiversity loss by 2030, protecting 30% of the world's land, sea, and inland water ecosystems. Goals include to restore degraded ecosystems, reduce harmful subsidies, and ensure sustainable use of biodiversity.</p>	<p>The GEF-managed GBFF aims to help countries achieve the Kunming-Montreal Global Biodiversity Framework goals and targets with a strategic focus on strengthening national-level biodiversity management, planning, policy, governance, and finance approaches. Eligible countries have been invited to participate in the first GBFF programming tranche, which is making \$211 million available for programming.</p>	<ul style="list-style-type: none"> • Goals included on strengthening capacity-building, technology transfer, and scientific and technical cooperation for biodiversity (target 20). • Mobilise \$200 Billion per year for biodiversity from all sources, including \$30 Billion Through International Finance (target 19). • Ensure that knowledge is available and accessible to guide biodiversity action (target 21).
<p>UNFCCC – Paris Agreement</p> <p><i>Global Environment Facility (GEF); Green Climate Fund (GCF), and others</i></p>	<p>Limit global warming to well below 2°C, preferably to 1.5°C, compared to pre-industrial levels. It seeks to strengthen the global response to climate change through adaptation, mitigation, and resilience-building efforts.</p>	<p>The financial mechanism of the Paris Agreement supports its objective by providing resources to developing countries to mitigate and adapt to climate change. The financial mechanism helps countries meet their Nationally Determined Contributions (NDCs), which are essential for achieving the overall goal of limiting global temperature rise to well below 2°C.</p> <p><u><i>Additional funds under the Paris Agreement:</i></u> The Special Climate Change Fund (SCCF) (GEF-managed) finances projects relating to: adaptation; technology transfer and capacity building; energy,</p>	<ul style="list-style-type: none"> • Capacity-building through, inter alia, enhanced support for capacity building actions in developing country Parties and appropriate institutional arrangements. • Climate change education, training as well as public awareness. • International cooperation on climate-safe technology development. • Participation and access to information. • Assistance to developing countries to implement nationally determined contributions (NDCs).

MEA / Financial Mechanism	Objective	How the financial mechanism addressed the objective	Other activities supported by the financial mechanism
		<p>transport, industry, agriculture, forestry and waste management; and economic diversification. This fund should complement other funding mechanisms for the implementation of the Convention.</p> <p>The Least Developed Countries Fund (LDCF) (GEF-managed) supports a work programme to assist Least Developed Country Parties (LDCs) to carry out, inter alia, the preparation and implementation of national adaptation programmes of action (NAPAs).</p> <p>The Adaptation Fund (AF) (stand-alone fund) was established in 2001 to finance concrete adaptation projects and programmes in developing country Parties to the Kyoto Protocol that are particularly vulnerable to the adverse effects of climate change.</p>	<ul style="list-style-type: none"> • Support for adaptation, mitigation, and resilience-building projects. • Alignment of financial flows: Making finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development.
<p>UNFCCC - Loss and Damage Fund <i>(Separate newly established fund)</i></p>	<p>Address climate change mitigation, adaptation, and support developing countries in managing loss and damage.</p>	<p>The Loss and Damage Fund was established to provide financial support to developing countries particularly vulnerable to climate change, to addressing loss and damage to assist developing countries that are particularly vulnerable to the adverse effects of climate change in responding to economic and non-economic loss and damage associated with the adverse effects of climate change, including extreme weather events and slow onset events.</p>	<ul style="list-style-type: none"> • Recognition of Common but differentiated responsibilities (CBDR). • Technical assistance for vulnerable countries facing climate-related loss and damage. • Capacity building to assess and respond to climate risks and impacts. • Support for early warning systems and disaster risk management. • Enhancing knowledge-sharing and best practices on addressing loss and damage.
<p>Stockholm Convention on Persistent Organic Pollutants (POPs) <i>(GEF)</i></p>	<p>Eliminate or restrict the production and use of persistent organic pollutants (POPs).</p>	<p>The Stockholm Convention financial mechanism (GEF) provides assistance to developing countries in managing operational measures related specifically to persistent organic pollutants and complying with the convention's provisions on POPs elimination and reduction.</p>	<ul style="list-style-type: none"> • Support for the elimination or reduction of POPs production and use. • Capacity building for POPs management and safe disposal. • Technical assistance to develop alternatives to POPs. • Support for national action plans and monitoring frameworks.

MEA / Financial Mechanism	Objective	How the financial mechanism addressed the objective	Other activities supported by the financial mechanism
<i>(Existing window within the GEF fund)</i>			<ul style="list-style-type: none"> • Research and development for alternative chemicals and safer substitutes. • Monitoring and reporting on POPs levels in the environment. • Assistance with public awareness campaigns regarding POPs and their impacts.

Annex III: Pros and Cons of Potential Financial Mechanisms

Type of Fund <i>With examples*</i>	PROs	CONs	Examples from other Funds
<i>Standalone/dedicated</i>			
<p>Sub-types:</p> <p><u>New institution</u> <i>Example: Green Climate Fund (GCF)</i></p> <p><u>Newly established in existing institution</u> <i>Example: Multilateral Fund for the Implementation of the Montreal Protocol (MLF), Fund Responding to Loss and Damage (FRLD)</i></p>	<ul style="list-style-type: none"> • Flexibility in terms of design, operational policies, access modalities, project cycle, governance arrangements, and contributing sources • Allows for focused approach with donor funding mobilised at scale to address core objectives and obligations • A standalone fund may have greater political visibility and provide a strong signal of priority • Operates under authority of the COP, designed by parties for purpose, including in relation to: <ul style="list-style-type: none"> ○ access, adequacy and predictability of funding (including replenishment process) ○ representation of various groups (e.g. local communities, municipalities, 	<ul style="list-style-type: none"> • Time required to design, establish, and launch (charter, policies, staffing, operating procedures, fiduciary and safeguards standards, etc.) • Costs for operationalization as well as for operation may be higher (use of existing institution as host can help mitigate). Requires significant upfront investment, including creating new infrastructure, governance structures, and operational rules. • May increase fragmentation and complexity of coordination • Could lead to duplication of existing efforts as it is harder to integrate with programmes led by other institutions • Risk of access becoming more difficult • Procedures may still pose barriers to access through co-financing, project preparation requirements, etc. 	<ul style="list-style-type: none"> • The timeline between the decision to establish the GCF and the establishment of the GCF Secretariat was approximately three years, with an interim secretariat in place until then. After the establishment of the GCF Secretariat in 2014, the first set of projects was approved in 2015 (4 years total). • The London Amendment in June 1990 adopted a financial mechanism for the Montreal Protocol. The Interim Multilateral Fund was established on 1 January 1991. The first projects were approved in June 1991 (1 year). The Multilateral Fund was established on a permanent basis in 1994 (4 years).

	<ul style="list-style-type: none"> Indigenous Peoples, private sector, etc) <ul style="list-style-type: none"> ○ Administration, oversight and management ○ transparency and monitoring • Investment strategy unaffected by other funds • Option to allow contributions from a range of sources and to introduce innovative financing mechanisms which could potentially expand the donor base and fill financial gaps • Could deliver a country-based programmatic approach and country-driven strategy • Funds could be directed for capacity building, including prior to ratification • Can accommodate scientific, technical panel(s) to better inform the interventions 	<ul style="list-style-type: none"> • Risk of reduced resource mobilization due to lower donor confidence in a new fund or the experience of the host institution • With greater visibility there is greater risk of disillusionment if expectations are not met 	
Type of Fund <i>With examples*</i>	PROs	CONs	
<i>Fund within an existing multi-purpose multilateral fund</i>			
<p><u>Sub-types:</u></p> <p><u>Existing focal area within the Fund</u> <i>Examples: Stockholm Convention</i></p> <p><u>New fund established under the facility</u> <i>Examples: Global Biodiversity</i></p>	<ul style="list-style-type: none"> • Can draw upon existing knowledge and expertise and build upon available programming support • Funds could be directed for capacity building, including prior to ratification • Time to establish is minimal, with Fund already operational, implementing entities already in place; a new fund under the institution may be operationalised quickly (12-15 months) using existing staff resources and capacity 	<ul style="list-style-type: none"> • Instrument’s core obligations are not the focus of the existing institution • Competition for resources among the priorities in the fund • Existing funds have addressed plastic but not at scale • If funding is disbursed on project basis, this may not cover plastics whole life cycle • Access and governance perceived by some Members as inequitable • Policies, procedures, fund management, governance already in place may mean 	<ul style="list-style-type: none"> • After adoption of the Kunming-Montreal Global Biodiversity Framework in Dec 2022, the GEF Council approved establishment of the new GBF Fund in mid-2023 and it was established later that year. The first selection round for resources was held Feb-Mar 2024 (2 years). • The BBNJ agreement was adopted Jun 2023. In late June, the GEF Council authorised the use of up to \$34 million for ratification support and early action activities and requested the GEF

<p><i>Framework Fund (GBFF)</i></p> <p><u>Multiple funds within the facility</u> <i>Examples: UNFCCC: Capacity-building Initiative for Transparency (CBIT), Least Developed Country Fund (LDCF), Special Climate Change Fund (SCCF)</i></p> <p><i>Biodiversity Beyond National Jurisdiction (BBNJ): GEF Trust Fund and two future new funds</i></p>	<ul style="list-style-type: none"> • Established relationships with private sector, may make engagement and leveraging co-financing easier • Policies, procedures, fund management, governance, safeguards already in place as well as scientific and technical advisory body • Governing body balanced between donors and recipients, frequently convened to respond to flexibility needs • Flexibility to respond to COP guidance and decisions; operates under guidance of the COP, responsive to objective and goals of the instrument through MOU and guidance and can be responsive to compliance needs. • Replenishment process can address the long-term financial outcomes needed from a fund and provide the flexibility to respond to changing needs. • Avoids fragmentation. May foster integration across planetary challenges for multiple environmental benefits • Maximises reach of contributions, efficiency, and mobilization of the broader financial landscape; initial resource mobilization can be from all sources • Can accommodate capacity-building, strategic planning and programmatic approaches.¹⁷ • A new fund within the fund can simplify access and co-financing requirements 	<p>there is less scope for flexibility; major governance and fund earmarking changes may need to be negotiated for entire institution</p> <ul style="list-style-type: none"> • Where existing benchmarks exist for risk-adjusted returns, these may prevent funds from reaching regions or countries most in need • Ability to accommodate country-programmatic approaches (similar to that used under the Montreal Protocol’s MLF) may not be as clear. • May be less likely to attract voluntary contributions, including from private or philanthropic sources 	<p>Secretariat develop initial guidelines for enabling activities and ratification support projects. The first project was approved on June 14, 2024 (1 year)</p>
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¹⁷ Regarding programmatic approaches, see e.g. GEF ‘Circular Solutions to Plastic Pollution Integrated Program’, <https://www.thegef.org/projects-operations/projects/11197>.

Type of Fund <i>With examples*</i>	PROs	CONs	
<i>Hybrid of existing and newly established</i>			
<p><u>Sub-types:</u></p> <p><u>Two or more different funds operating separately within the financial mechanism</u> <i>Examples: Minamata Convention: GEF Trust Fund and Specific International Programme (SIP)</i></p> <p>An interim (typically existing) fund used, while a permanent fund is established</p>	<ul style="list-style-type: none"> • Carries some advantages of both standalone and existing • An interim arrangement may capitalise on momentum in the short term, while longer term arrangements are developed • Preserves opportunity to leverage private sector at scale and complexity levels appropriate to plastics pollution, and at all enterprise sizes. • Avoids fragmentation by coordination of funds within the financial mechanism. 	<ul style="list-style-type: none"> • Carries some disadvantages of both standalone and existing, partially mitigated by combining • Requires extended effort to establish arrangements for more than one fund type • Some governance aspects of existing funds outside direct guidance of COP • May increase fragmentation and could lead to duplication of efforts – requires strong coordination between the funds • Interim arrangement’s transition period may be difficult and potentially long; could delay the development of the long-term fund. • May lead to protracted discussions during early COPs. 	<ul style="list-style-type: none"> • The Minamata Convention adopted in 2013 agreed a financial mechanism consisting of GEF Trust Fund and a specific international programme (separate fund), with decisions on hosting institution of an existing agency, guidance, and duration decided at COP-1 in 2017. <p>The Specific Trust Fund became effective on 1 January 2018, and encourages contributions from a broad range of sources, including all parties to the Minamata Convention with the capacity to contribute, as well as other relevant stakeholders There were five projects selected for First Round funding in October 2018. (5 years total).</p>