

行政院所屬各機關因公出國人員出國報告書
(出國類別：出席國際會議)

「聯合國氣候變化綱要公約第15次締約國大會暨京都議定書第5次締約國會議(COP15/CMP5)」與會情形報告

服務機關：行政院環境保護署

出國人	職稱：	副署長	參事	副處長	高級環境技術師	環境技術師	環境技術師
	姓名：	邱文彥	蕭慧娟	簡慧貞	吳奕霖	邱美璇	葉惠芬

出國地點：丹麥 哥本哈根 (Copenhagen, Denmark)

出國期間：98年12月12日至20日

報告日期：99年2月22日

目 錄

壹、前 言	1
貳、我國與會代表	3
參、出國行程	6
肆、會議過程紀要	6
伍、我代表團參與公約周邊會議及展覽	9
陸、與會心得與建議	19
柒、附 件	23

「聯合國氣候變化綱要公約第 15 次締約國大會(COP15)暨京都議定書第 5 次締約國會議(CMP5)」與會情形報告

壹、前言

聯合國氣候變化公約(UNFCCC) 第 15 次締約國大會(COP15)暨京都議定書第 5 次締約國會議(CMP5)於 2009 年 12 月 7 日至 19 日在丹麥哥本哈根(Copenhagen, Danmark)召開，計有來自全球 115 個國家領袖、193 個締約國、近千個跨政府機構、聯合國秘書處、非政府組織及媒體等相關單位參與，超過 4 萬人與會。惟受到本次會場容量限制及高度維安戒護等多重因素，氣候公約締約國會議首次進行人員進出控管，並於會議第二週須持有額外通行證方可進入會場，不僅締約國代表報到進場速度緩慢，並造成為數眾多的 NGO 代表被排拒在會場外無法完成報到程序，因此引發不少質疑及抗爭事件。

聯合國氣候變化綱要公約(UNFCCC)於 2007 年 12 月在印尼峇里島召開第 13 次締約國大會(COP13)時，決議以兩年時間推動「峇里路線圖(Bali Roadmap)」，擬訂於 2009 年 COP15 協商出一項新國際共識協議，以延續京都議定書於 2012 年後之執行效力，此即是本次丹麥哥本哈根會議(COP15)之首要目標。惟氣候變遷諮商談判廣泛涉及國際減碳責任分配、援助資金分攤與分配、全球金融風暴經濟衰退、主要國家政治情勢重整等重大變局，如何在 COP15 達成廣泛政治協議或共識，已非單純環境保護課題，而變成各方勢力之角力場。

本次會議除了 UNFCCC 第 15 次締約國大會(COP15)及京都議定書第 5 次締約國會議(CMP5)外，並同時舉辦四個附屬機構會議，分別為第 31 次附屬科技諮詢機構會議(SBSTA31)、第 31 次附屬履行機構會議(SBI31)、第八次公約長期合作行動特設工作小組會議(AWG-LCA8)、及第十次京都議定書特設工作小組會議(AWG-KP 10)。此外，公約秘書處主辦之周邊會議 (Side Event) 約計 267 個場次。國際排放交易協會(IETA)亦於 2009 年 12 月 8-17 日在 Crown Plaza Copenhagen Towers Hotel，約計召開 103 個場次周邊會議。

這次為期兩週的會議中意見始終分歧。在各國代表不斷發言下，導致大會無法在原訂 12 月 18 日結束所有議程，延遲至 12 月 19 日下午 3 時 36 分閉會。COP15 共計通過 13 項決議，CMP5 則通過 10 項決議。



圖 1、COP15 會場外排隊情形

最終達成的「哥本哈根協議 (the Copenhagen Accord)」，係為美國、中國、印度、南非、巴西等五國最後磋商之共識，並未得到所有與會國支持，大會以「注意到(take note)此協議」及列出已簽署國方式納入大會結論。協議中雖未訂定 2013 年後工業化國家具體減量目標或明確指出 2020 年、2050 年全球應執行之減量目標，但已就其他主要歧見形成共識，為極重要的後續行動基礎。

貳、我國與會代表

我國代表團以觀察員身分，以工業技術研究院(ITRI)名義參加，由本署、外交部、經濟建設委員會、國家科學委員會、經濟部能源局、經濟部工業局、交通部運輸研究所、行政院農業委員會林務局、國家安全局、台灣電力股份有限公司、中國鋼鐵股份有限公司、臺灣中油股份有限公司、友達光電股份有限公司、國家災害防救科技中心、國際合作發展基金會、工業技術研究院、中華經濟研究院、台灣綜合研究院、綠基會等計 54 人代表與會，主要參與第二週會議活動；臺北市、高雄市及台北縣政府分別以「地方政府永續發展國際委員會(ICLEI)」成員之名義與會；本署委託臺灣永續能源研究基金會組成「青年環保大使團」、環境品質文教基金會、中華民國企業永續發展協會等民間團體及國內媒體均派員約計超過 60 人與會，足見產官學研各界對於此次會議之重視。

我國代表團由工業技術研究院曲副院長新生擔任團長，並由本署邱副署長文彥、蕭參事慧娟兼溫減管理室執行秘書、空保處簡副處長慧貞、外交部國際組織司黃簡任秘書學敏及條約

法律司環境永續小組江組長月琇、工研院資深顧問楊日昌博士等人負責參與官方雙邊會談；全團主要任務如下：

- (一) 關注公約與議定書最新發展情勢，以掌握各項議題進展及建構減量與調適能力。
- (二) 透過多元管道努力為臺灣發聲，尋求各界支持我 UNFCCC 推案，期盼境外減碳合作計畫為國際社會支持，爭取國際認同。
- (三) 加強與相關國家及專業機構進行會談交流，促進因應氣候變遷之制度技術經驗交流，尋求合作及技術交流機會。



圖 2、COP15 場內報到及安檢處剪影



圖 3、COP15 場內展示剪影



圖 4、COP15 場內抗議事件



圖 5、COP15 會場外抗爭情形

叁、出國行程

2009.12.12~12.13	啟程至丹麥哥本哈根
2009.12.14~12.18	參加公約會議活動
2009.12.19~12.20	返程，回到台北

肆、會議過程紀要

一、全球主要領袖或集團之聲明

- (一) 聯合國潘基文秘書長：表示歡迎各國對於未來三年每年提供 100 億美元氣候基金之共識。同時目標乃是在 2010 年時盡早推出新氣候協定。
- (二) 美國歐巴馬總統：表示無論哥本哈根大會的結果如何，美國將繼續採取這一行動方針減少排放，向清潔能源經濟的目標前進。逐步取消化石燃料補貼；對再生能源進行前所未有的投資；要求我國相關人員努力提高住宅和建築物的能效；並爭取通過綜合立法向清潔能源經濟轉化。將參與全球行動，到 2020 年籌集 1,000 億美元資金，前提是這項計劃必須納入更全面廣泛及透明的協議，共同應對，措施有別，各盡其能。
- (三) 中國溫家寶總理：強調「共同但有區別的責任」原則是國際合作應對氣候變化的核心和基石。中國政府確定減緩溫室氣體排放的目標是中國根據國情採取的自主行動，不附加任何條件，不與任何國家的減排目標掛鉤。

- (四) 瑞典環境部長(代表歐盟):表示各國不應在未達成全球協定前即離開哥本哈根。呼籲美國與中國分別採納具企圖心之減量承諾與行動。
- (五) 蘇丹助理總統(代表 G-77/中國):表示大會需要維持 AWG-KP 與 AWG-LCA 下兩條路徑
- (六) 衣索匹亞總統(代表非洲集團):提議 2012 年每年推出 100 億美元基金，其中 40% 指定撥給非洲
- (七) 小島國聯盟(AOSIS):強調各國需要限制溫度上升低於 1.5 度與全球溫室氣體濃度低於 350 ppm 之結果
- (八) 澳洲環境部長(代表 Umbrella Group):呼籲達成可在 2050 年時全球減碳 50% 之國際協定。

二、大會結論

- (一) 聯合國氣候綱要公約第 15 次締約國大會 (COP15/CMP5)，會議中意見始終分歧。在各國代表不斷發言下，導致大會無法在原訂 12 月 18 日結束所有議程，延遲至 12 月 19 日下午 3 時 36 分閉會。
- (二) 「哥本哈根協議 (the Copenhagen Accord)」:係為美國、中國、印度、南非、巴西等五國最後磋商之共識，並未得到所有與會者支持，大會以「注意到(take note)此協議」及列出已簽署國方式納入大會結論。協議中雖未訂定 2013 年後工業化國家具體減量目標或明確指出 2020 年、2050 年全球應執行之減量目標，但已就其他主要歧見形成共識，為極重要的後續行動基礎。該協定計有 12 項規範，重點略以：

1. 各締約國應於 2010 年 1 月 31 日前向公約秘書處提出具體作為，包括(1)附件一國家於 2020 年之量化減量目標 (Qualified economy-wide emissions targets for 2020)，同時基於「可量測、可報告與可查證(Measurable, Reportable and Verifiable, MRV)」精神提供開發中國家協助，以確保減量目標及財務協助是嚴格、健全及透明。(2)非附件一國家「國家適當減緩行動 (Nationally Appropriate Mitigation Actions, NAMAs)」，並無具體減量期程規範，如接受附件一國家支持者，亦應符合締約國會議所決定之 MRV 要求。
2. 認為大幅度削減全球排放量是必要的，根據科學證據與 IPCC 第四次評估報告所提出觀點，將全球氣溫控制在攝氏 2°C 以下，並在科學及公平基礎上採取行動以達成目標；同時應結合國際協助對易受氣候變遷衝擊國家建立一套全面調適計畫。
3. 減少濫伐森林及森林減少所造成的排放量非常重要，需提高森林碳匯量，並透過 REDD-plus 機制（指減少毀林及森林退化所導致之排放量(Reducing Emissions from Deforestation and Forest Degradation)，再加上森林復育 (Forest Restoration)及永續管理(Sustainable Management)概念），促進工業化國家此方面金援。
4. 應追求包括運用市場機制、加強成本有效性、倡導減量行動等各項不同策略，提供開發中國家(特別是低排放經濟體)誘因，據以發展一個低排放路徑。
5. 應擴大、新增且額外、可預期且適當之基金予開發中國

家。基金額度於 2010-2012 年為 300 億美金，2020 年目標為 1,000 億美元；並成立「哥本哈根綠色氣候基金(the Copenhagen Green Climate Fund)」，支助開發中國家之減量、REDD-plus、調適、能力建構、技術發展及轉移之相關計畫、方案、政策與相關活動。

(三) 後續幾年締約國大會主辦國及時間

1. 第 16 次締約國大會(COP16/CMP6)將由墨西哥主辦 (Mexico)，時間暫訂在 2010 年 11 月 29 日至 12 月 10 日；另，公約第 32 次附屬機構會議及特設工作組會議訂於 2010 年 5 月 31 至 6 月 11 日在德國波昂舉行；
2. 第 17 次締約國大會(COP17/CMP7)則由南非主辦，時間暫訂在 2011 年 11 月 28 日至 12 月 9 日；
3. 第 18 次締約國大會(COP18/CMP8)輪由亞洲區域國家主辦 (尚未確認，目前韓國已表達主辦意願)。

伍、我代表團參與公約周邊會議及展覽

一、國際排放交易協會(IETA)周邊會議

場址位於 Crown Plaza Hotel 舉行，距公約會場二百公尺。基於維安管制，出入公約及 IETA 會場皆需出示 UNFCCC 識別證。自 12 月 8 日至 17 日共有 105 個場次。我方爭取到三場次發表機會

- (一) Side Event (Number: 32): 「達成再生能源目標 (Achieving Renewable Energy Targets)」主題。由工研院曲副院長

新生主講 Green Energy Development in Taiwan，介紹臺灣減碳的目標的創新想法，並把臺灣的科技貢獻給全世界。臺灣由於地狹人稠，發展再生能源的挑戰比其他國家更艱鉅，因此更需要策略的思維，並須著重「系統性思考」，也就是不單談太陽能、風力等發電方式，更要以分散式的能源系統，透過智慧電網來進行有效率的輸送。強調再生能源應重視「成本」和「穩定度」，因為目前再生能源價格仍高，這需要靠科技的進步和突破來降低。



圖 6、工研院曲副院長新生報告我綠色能源發展規劃

- (二) Side Event (Number:70)：「部門減量額度 (Sectoral Crediting) 」主題。由中鋼公司 劉處長國忠主講 Promoting Carbon Credit Projects in Taiwan - An Industrial Perspective，介紹我國鋼鐵產業自願性執行節能減碳行動及推動產品碳足跡概念，爭取國際社會認同及分享成功經驗。
- (三) Side Event (Number: 76)：「亞洲區域碳市場發展 (Carbon Market Developments Across Asia)」主題。由本署空保處簡副處長慧貞主講 Plans for Carbon Offset and Trading in

Taiwan，介紹我國配合溫室氣體減量立法進程，目前推動產業溫室氣體盤查作業、排放交易平台建置設計、第三者認證等能力建構工作，並說明我國依循氣候公約設定的可量測、可報告、可查證(MRV)等三項原則，逐步規劃能與全球碳市場連結之國內管理運作體系；同時，強調臺灣為了追求環境永續發展，並落實重大環境影響評估開發案的減碳目標，訴諸市場機制，建構一個能與國際市場接軌的減量市場已不可迴避。此場周邊會議係由 IETA 韓國籍顧問 CJ Park 主持，其他主講者還包括日本國際合作銀行(Japan Bank for International Corporation, JBIC)、韓國碳金融公司(Korean Carbon Finance, KCF)、日本三井物產株式會社(Mitsui & Co.)、芝加哥交易所(Chicago Climate Exchange, CCX)等代表。



圖 7、出席國際碳行動夥伴組織(International Carbon Action Partnership, ICAP)主辦「朝向全球碳市場(Towards a Global Carbon Market)」會議情形



圖 8、環保署簡副處長慧貞報告我碳交易市場規劃

二、展覽攤位

我展覽攤位係位在 IETA 周邊會議同一場址「Crown Plaza Hotel」，展示時間為 12 月 8 日至 17 日。現場提供 300 份之 2G 隨身碟及紙本文宣。同時，台達電子文教基金會本年共襄盛舉，特別協助提供 42 吋電視銀幕，播放沈署長推動參與 UNFCCC 推案說明、我國 2009 年 8 月遭受莫拉克颱風災情報導宣傳影片(新聞局製作提供)，讓與會來賓瞭解臺灣節能減碳行動即時資訊。



圖 9、我展覽攤位現場情形

三、地方政府參與城市減碳活動

(一) 臺北市政府

本次由臺北市政府陳永仁副秘書長代表參與「市長氣候高峰會 (Climate Summit for Mayors)」，此為 ICLEI、C40 及哥本哈根城市共同舉辦，於 2009 年 12 月 14 日至 17 日進行相關會議與活動；主要係以 2012 年後之全球氣候協議為主軸，呼籲各國關注城市推動氣候變遷因應行動，全球受邀的 52 位市長中，臺北市係台灣城市唯一正式獲邀參加高峰會之「市長圓桌論壇 (Mayors-Roundtable Session)」，分享城市能源效率

經驗及技術。這是臺灣城市首次也是唯一獲邀於該會正式議程中報告及分享地方政府節能減碳執行經驗及成果。該議題報告人尚包括美國洛杉磯市長 Antonio Villaraigosa、伊斯坦堡市長 Kadir Topbas、里加市長 Nils Usakovs、羅馬市長 Gianni Alemanno 等 4 位。



臺北市與各國城市或代表會面，對象包含：日本京都、美國洛杉磯/西雅圖、德國柏林、墨西哥、挪威奧斯陸、波蘭華沙、韓國首爾、土耳其伊斯坦堡、拉脫維亞里加、瑞典馬爾摩、丹麥哥本哈根、ICLEI 主席/秘書長/大洋洲副主席等，並積極邀請渠等來訪臺北市及參與 2010 年辦理之「2010 臺北國際花卉博覽會」。

(二) 臺北縣政府

臺北縣周錫璋縣長親自參與「氣候變遷市長高峰會圓桌會議：城市行動與展現」，與會全球市長們專注聆聽周縣長介紹臺北縣推動低碳城市的作法，並說明臺北縣將在 2010 年舉辦低碳城市首長高峰論壇，歡迎各位市長參加。ICLEI 主席 David Cadman 及秘書長 Konrad Otto-Zimmermann 肯定臺北縣推動低碳城市成果，同意考慮周縣長邀請，將臺灣辦公室設於臺北縣。另，積極與各國城市或代表會面，對象包含：澳洲雪梨、日本京都、德國慕尼黑、丹麥哥本哈根、法國里昂、加拿大多倫多及紐西蘭威靈頓等。



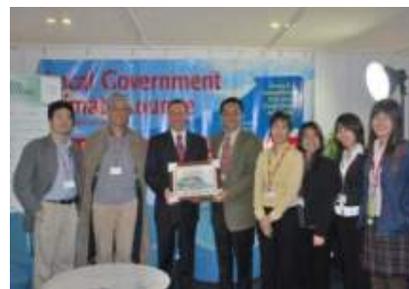
(三) 高雄市政府

高雄市政府自 2005 年起每年組團參加 COP 會議，於 2006 年 12 月加入 ICLEI 成為國內第一個成員城市。今年甄選 3 名高雄市大學生及 2 名



NGO 人員參加 COP15 會議，於會場與國際人士交流，並協助於 ICLEI 會場設攤宣傳。

12 月 10 日在 ICLEI 會客室活動現場上台報告高雄市對抗氣候變遷的努力與成果，並向各界說明莫拉克風災對南臺灣之衝擊，尋求國際城市對氣候變遷調適策略合作之可能性，並



由環保局李局長穆生親自向 ICLEI 主席 David Cadman 遞交來台設置東亞辦公室之申請書。

四、2009 青年環保大使

本署本(98)年度委託台灣永續能源研究基金會辦理「青年環保大使」培訓計畫，並遴選 10 位優秀學生出席本次 COP15/CMP5 會議；與會期間，以行動展現台灣青年對氣候變遷之重視與關心，並在與會期間建立部落格 (<http://blog.yam.com/tisecop15>)，撰寫超過 40 篇相關文章，包括：COP15 會場深入報導、採訪會場國際代表及紀錄當地生活。積極與當地互動，參加 12 月 12 日 COP15 大遊行，並與當地留學生餐敘、參加隆德大學青年論壇及 Big Hug 愛地球活動；其中 COP 15 大遊行中以 Climate Change Taiwan Care 成

功行銷臺灣，引起各國媒體注意。與會期間並透過駐丹麥代表處安排下，參訪 Danish 家族低能屋、隆德大學、哥本哈根大學 climate-friendly house、丹麥生質燃料工廠及工藝設計博物館。



五、國際交流互動情形

(一) 友邦雙邊會談

本署邱副署長與海地、多明尼加、布吉納法索等友邦環境部長進行會談，本署蕭參事慧娟、簡副處長慧貞及外交部代表陪同。另，外交部與會代表則參與加勒比海集團會議，並與馬紹爾群島代表會晤。



多明尼加環境部長



海地環境部長



布吉納法索環境部長

圖10、我與友邦代表雙邊會談情形

(二) 友邦執言

計有 10 個友邦於 COP015/CMP5 為我執言。包括：帛琉、聖露西亞、吉里巴斯、布吉納法索、史瓦濟蘭、聖多美普林西亞、聖克里斯多福、甘比亞、尼加拉瓜、海地。其中以尼加拉瓜發言最為具體，尼國表示 Taiwan 已成功參與其他 UN 專門機構會議，此皆與 2,300 萬人福祉相關，UNFCCC 亦關乎 2,300 萬人之福祉，亦當如此。另，史瓦濟蘭則表示我國應成為締約國。

(三) 會晤主要國家代表

- 美國國務院「海洋暨國際環境科技局」及國際組織局高階官員；
- 會晤歐盟環境總署代表；
- 歐洲議會議員 Mr. Graham Watson 拜會邱副署長，並引見氣候國會(Climate Parliament)秘書長 Nick Dunlop；
- 瑞士氣候變遷談判代表；
- 英國能源與氣候變遷部國際合作處及 G8 and International Networks Team 相關高階官員。



圖11、我與歐美主要國家代表會晤情形



圖12、接受國外媒體採訪情形

(四) 會見重要國際組織高階主管

- **前任聯合國副秘書長及聯合國環境規劃署執行長托巴博士Dr. Mostafa Kamel Tolba (Former Executive Director of United Nations Environmental Programs)**

本署委請工研院楊資深顧問於埃及開羅會見托巴博士，渠慨然承諾願再度擔任我國顧問，繼續為我UNFCCC推案效力，並允諾再次訪臺與國內負責推動本案之高階官員會面及提供建言。渠即電郵傳送其友人IPCC主席Dr. Rajendra K. Pachauri及世界氣象組織（WMO）秘書長Dr. Michel Jarraud，請其協助探討我入會案。

- **氣候變化政府間專家委員會(IPCC)**

會晤IPCC第一工作組、第二工作組共同主席、及對外關係負責代表。渠等皆對我國處境與立場表示同情與支持。原擬協助安排我方與IPCC主席 Dr. Pachauri會晤，但因渠過於忙碌，未能見面。

- **世界氣象組織(WMO)**

建議我國即使僅尋求成為正式觀察員，仍須先與中國溝通達成協議後，方有進入聯合國相關組織之任何可能。

- **地方政府永續發展國際委員會(ICLEI)**

應邀出席12/14「全球主要市長論壇」，正式介紹歡迎「來自臺灣環保署的邱副署長」。渠等告知 ICLEI已通過決議，同意在臺設立分部，作為推動亞太地區華人



城市永續發展的窗口，將另訂徵選規範並開放我城市爭取（目前計有臺北縣及高雄市已表達意願）。

- **德國波茨坦氣候影響研究所**

Potsdam Institute for Climate Impact Research

邀請渠來我國訪問，以提供我國氣候變遷政策與 UNFCCC相關議題的建言與支助。

- **全球環境基金The Global Environment Facility**

代表 Mrs. Monique Barbut (Chief Executive Officer and Chairperson of GEF) 表示很榮幸與沈署長於布吉納法索會面。表示願於適當時機轉達我方意見予UNFCCC、



IPCC及COP主辦國。另表示目前氣候變遷的談判中，小島嶼國家聯盟(AOSIS)為一關鍵團體，其利益考量不同於China/G77，建議我方可與AOSIS 聯繫保持交流。

陸、與會心得及建議

一、我國於 UNFCCC 之角色定位

公約仍維持「共同但有差異性的責任(common but differentiated responsibilities)」之基本原則；目前我國參與 UNFCCC 之對外說帖係以氣候變遷受害國為主要論述基礎，惟我國身為全球主要經濟體，且係以已開發國家身分參與 WTO 相關會議活動。因此，我國應儘速準備好相關論述，釐清我國介於已開發國家及開發中國家間經濟體之角色，並依協議要求於 2010 年 1 月 31 日前對外公布行政院既定之減量目標及期程。

二、我國自主減碳為國際認可之落實做法

依照協議，開發中國家雖暫無須承諾量化減排目標，但須在已開發國家堅持開發中國家的自願減碳行動，必須符合 MRV 的前提下，採取減緩行動。我國已參照已開發國家提出減量目標及期程，亦須有透明且合乎國情之減排行動方案，特別是能與我國既定減碳目標期程相匹配之具體行動（我國能源進口依賴度甚高，工業排放占比一半以上，減碳難度及成本均較他國為高）。

三、需積極運用減碳四法節能減碳功能之互補關係

（一）減碳四法為節能減碳施政之法制基礎，極為重要，其中最主要的二個法案已經在立法院通過：

1. 能源管理法（修正案）：提升家用商品、車輛及生產機具之能源效率標準(能效標準)，係最有效而且低成本的溫室氣體排放減量措施，此法已修正以增加罰則，提高執法之

有效性，與推廣節能標章產品與綠色採購可互相呼應，相輔相成。本法並於考量環境衝擊及兼顧經濟發展等原則下制訂「能源開發評估準則」。

2. 再生能源發展條例（制定案）：為改善能源結構，快速提高再生能源市場及技術創新極重要的法案，且參採最成功的德國再生能源法中躉售電價(Feed-in Tariff for Renewable Energies)的優惠定價精神與配套措施，設置基金，促進再生能源發展；再生能源使用占比提升將能實質有效地減少溫室氣體排放量，本法提供再生能源發電業者技術創新、降低成本之誘因，且在有淨利無暴利的前提下，保證其 20 年收購價格且合理地逐年降低收購費率，因此不需要藉由政府財政的資助，全部運用民間資金即可成功地達到改變能源結構、振興再生能源產業、提高就業機會而繁榮經濟的效果。

(二) 與上述二法互補之下列二法，亟需立法院及行政院積極推動：

1. 能源稅條例（草案）：提升消費者節能及購置高能源效率商品之誘因，並提高再生能源之運用機會，應於適當時機導入能源稅，運用市場機制，正確反映能源成本及減碳支出，使能源銷售價格合理化。
2. 溫室氣體減量法（草案）：該法規定的總量管制，係針對大型溫室氣體排放源，逐步提高排放減量的核配額度，並要求如期實施。該法擬訂三階段減量策略（包括第一階段的強制盤查與登錄、第二階段效能標準及排放交易，以及

第三階段總量管制及排放交易），以減緩減碳成本對產業競爭力的衝擊。逐步漸進地引導產業建立溫室氣體減量能力並負擔減碳責任；在落實排放源盤查與登錄作業下，以第三者認證機構查證減量成果；要求優先在國內進行之前提下，允許在國外執行抵換專案及碳權交易，使責任業者得以最高成本效益方式執行減碳工作。

四、積極進行節能減碳國際合作

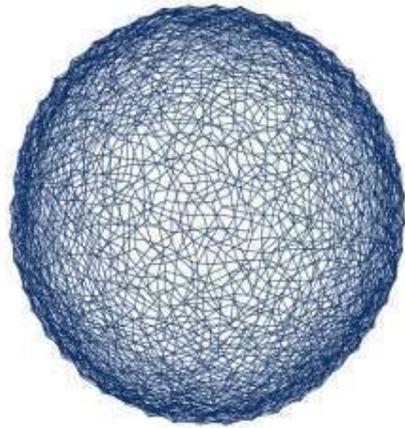
參照協議中金援或技術協助開發中國家的精神，對邦交國或非邦交國之開發中國家推動抵換專案，協助其清潔發展，並將所產生碳權，運用聯合國CDM機制，進行碳權認證後，移轉我國，用以抵減我國總排碳量。

五、持續爭取以 WHA 模式實質參與 UNFCCC 各項活動

外交部、環保署及相關單位，透過各種管道，持續積極爭取以 WHA 模式，實質參與 UNFCCC 的各項活動，以取得更多共同對抗氣候變遷、實施節能減碳之國際合作經驗，以減緩我國所受衝擊，並協助我友邦等開發中國家清潔發展。

六、培育長期參與氣候變遷事務之專業人才

涉及氣候變遷相關國際會議活動頻繁，且涉及事務廣泛，相關部會應建置專責人員，且應在專業領域、語言能力、政治敏感度上培育具有溝通能力佳且負有熱誠之專業人才，並應建置各部會人才錄，以長期與主要國家或國際組織保持互動，建立起良好關係與交流管道(或可參考WTO及APEC專案模式據以推動)。



COP15
COPENHAGEN
UN CLIMATE CHANGE CONFERENCE 2009

捌、附件

- 附件一、聯合國氣候變化綱要公約 COP15/CMP5 會議議程
Provisional agenda and annotations
- 附件二、哥本哈根協議
The Copenhagen Accord
- 附件三、COP15/CMP5 通過決議
Decisions adopted by COP 15 and CMP 5
- 附件四、聯合國氣候變化綱要公約第 15 次締約國大會報告
Draft Report of the Conference of the Parties on its fifteenth session, held in Copenhagen from 7 to 19 December 2009 and a compilation of the work undertaken by the COP at its fifteenth session on the basis of the report of the AWG-LCA
- 附件五、公約長期合作行動特設工作小組第八次會議報告
Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its eighth session, held in Copenhagen from 7 to 15 December 2009
- 附件六、京都議定書特設工作小組第十次會議報告
Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its tenth session, held in Copenhagen from 7 to 15 December 2009.
- 附件七、Earth Negotiation Bulletin:
The United Nations Climate Change Conference in Copenhagen from 7 to 19 December 2009

附 件

附件一

聯合國氣候變化綱要公約

COP15/CMP5會議議程

Provisional agenda and annotations



OVERVIEW SCHEDULE

United Nations Climate Change Conference Copenhagen, Denmark 7-18 December 2009

**Fifteenth Session of the
Conference of the Parties (COP 15)**

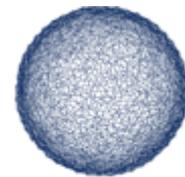
**Fifth Session of the Conference of the Parties
serving as the meeting of the Parties to
the Kyoto Protocol (CMP 5)**

**Thirty-First Session of the Subsidiary Body for
Scientific and Technological Advice
(SBSTA 31)**

**Thirty-First Session of the Subsidiary Body
for Implementation (SBI 31)**

**Tenth session of the Ad Hoc Working Group on
Further Commitments for Annex I Parties
under the Kyoto Protocol (AWG-KP 10)**

**Eighth session of the Ad Hoc Working Group on
Long-term Cooperative Action (AWG-LCA 8)**



**COP15
COPENHAGEN**

This overview schedule is intended to assist participants with their planning prior to the sessions. It will be updated as new information becomes available. Once the sessions are underway, please consult the Daily Programme.

Updated: 8 December 2009

PRE-SESSIONAL MEETINGS

- CDM Executive Board (30 November to 4 December)
- Least developed countries Preparatory Meetings (1 to 2 December)
- Joint Implementation Supervisory Committee (2 to 4 December)
- Small island developing States Preparatory Meetings (3 to 4 December)
- African Group Preparatory Meetings (3 to 4 December)
- G-77 & China Preparatory Meetings (5 to 6 December)

FIRST WEEK

Monday, 7 December	
10:00 am to 1:00 pm	
Welcoming ceremony	
COP	
Item 1	Opening of the session
Item 2 (a)-(g)	Organizational matters
CMP	
Item 1	Opening of the session
Item 2 (a)-(c)	Organizational matters
Lunch break	
3:00 pm to 6:00 pm	
AWG-LCA	
Item 1	Opening of the session
Item 2 (a - b)	Organizational matters
Item 3	Enabling the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, by addressing, inter alia:
	A shared vision for long-term cooperative action;
	Enhanced national/international action on mitigation of climate change
	Enhanced action on adaptation
	Enhanced action on technology development and transfer to support action on mitigation and adaptation
Item 4	Other matters
AWG-KP	
Item 1	Opening of the session
Item 2(a - b)	Organizational matters
Item 3	Consideration of further commitments for Annex I Parties under the Kyoto Protocol
Item 4	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol- at its fifth session
Item 5	Other matters
Evening	
<i>Welcoming reception for all delegates hosted by the City of Copenhagen – 7:00 pm</i>	

Tuesday, 8 December

10:00 am to 1:00 pm

SBI		SBSTA	
Item 1	Opening of the session	Item 1	Opening of the session
Item 2 (a - d)	Organizational matters	Item 2 (a - d)	Organizational matters
Item 5	Financial mechanism of the Convention:	Item 4	Development and transfer of technologies
	Fourth review of the financial mechanism	Item 3	Nairobi work programme on impacts, vulnerability and adaptation to climate change
	Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility	Item 5	Reducing emissions from deforestation in developing countries: approaches to stimulate action
	Assessment of the Special Climate Change Fund	Item 6	Research and systematic observation
Item 3 (a - b)	National communications and greenhouse gas inventory data from Parties included in Annex I to the Convention:	Item 9	Matters relating to Article 2, paragraph 3, of the Kyoto Protocol
	Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2007	Item 7 (a - b)	Methodological issues under the Convention:
	Status report on the review of fourth national communications and preparations for the review of fifth national communications		Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention
Item 10	Reporting and review of information submitted by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol		
Item 13	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol		Emissions from fuel used for international aviation and maritime transport
Item 4 (a - c)	National communications from Parties not included in Annex I to the Convention:	Item 8 (a - c)	Methodological issues under the Kyoto Protocol:
	Provision of financial and technical support		Implications of the establishment of new hydrochlorofluorocarbon-22 (HCFC-22) facilities seeking to obtain certified emission reductions for the destruction of hydrofluorocarbon-23 (HFC-23)
	Information contained in national communications from Parties not included in Annex I to the Convention		Carbon dioxide capture and storage in geological formations as clean development mechanism project activities
	Further implementation of Article 12, paragraph 5, of the Convention		Common metrics to calculate the CO ₂ equivalence of greenhouse gases
Item 6 (b)	Matters relating to Article 4, paragraphs 8 and 9, of the Convention:		
	Matters relating to the least developed countries	Item 10	Other matters

Tuesday, 8 December (continued)

3:00 pm to 6:00 pm

Lunch break

SBI		SBSTA
Item 8	Capacity-building under the Convention	Opening (tentative)
Item 9	Capacity-building under the Kyoto Protocol	
Item 11	Matters relating to Article 3, paragraph 14, of the Kyoto Protocol	
Item 6 (a)	Matters relating to Article 4, paragraphs 8 and 9, of the Convention:	
	Progress on the implementation of decision 1/CP.10	
Item 12	Report of the administrator of the international transaction log under the Kyoto Protocol	
Item 14 (a - c)	Administrative, financial and institutional matters	
	Budget performance for the biennium 2008–2009	
	Continuing review of the functions and operations of the secretariat	
	Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol	
Item 7	Development and transfer of technologies	

Wednesday, 9 December

10:00 am to 1:00 pm

COP		Informal groups
Sub-item 2(g)	Dates and venues of future sessions	
Item 6	Consideration of a proposal by Malta for an amendment to Annex I to the Convention	
Item 5	Consideration of proposals by Parties under Article 17 of the Convention	
CMP		
Item 7	Issues relating to joint implementation	
Item 6	Issues relating to the clean development mechanism	

Wednesday, 9 December (continued)	
Lunch break	
3:00 pm to 6:00 pm	
CMP	
Item 5	Consideration of proposals by Parties for amendments to the Kyoto Protocol
Item 8	Report of the Compliance Committee
Item 9 (a - b)	Adaptation Fund:
	Report of the Adaptation Fund Board
	Review of the Adaptation Fund
Item 10	Amendment of the Kyoto Protocol in respect of procedures and mechanisms relating to compliance
Item 12	Proposal from Kazakhstan to amend Annex B to the Kyoto Protocol
Informal groups	

Thursday, 10 December	
10:00 am to 1:00 pm	
Informal groups	
Lunch break	
3:00 pm to 6:00 pm	
Informal groups	

Friday, 11 December	
10:00 am to 1:00 pm	
Informal groups	
Lunch break	
3:00 pm to 6:00 pm	
Informal groups	

Saturday, 12 December	
10:00 am to 1:00 pm	
COP	Informal groups
Plenary (tentative)	
CMP	
Plenary (tentative)	
Lunch break	
3:00 pm to 6:00 pm	
SBI	SBSTA
Closing	Closing

No meetings are scheduled for Sunday, 13 December

SECOND WEEK

Monday, 14 December	
10:00 am to 1:00 pm	
Informal groups	
Lunch break	
3:00 pm to 6:00 pm	
Informal groups	

Tuesday, 15 December	
10:00 am to 1:00 pm	
Informal groups	
Lunch break	
3:00 pm to 6:00 pm	
AWG-LCA	AWG-KP
closing	closing

Host country event to welcome Ministers and other Heads of Delegation - 5:30 pm

Wednesday, 16 December	
10:00 am to 1:00 pm	
COP	
Item 4	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention
CMP	
Item 4	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol
COP	CMP
Joint High-level segment of COP and CMP	
National statements	
Informal groups	
Lunch break	
3:00 pm to 6:00 pm	
COP	CMP
Joint High-level segment of COP and CMP	
National statements	
Informal groups	
Evening	
COP	CMP
Joint High-level segment of COP and CMP	
National statements	

Thursday, 17 December	
10:00 am to 1:00 pm	
COP	CMP
Joint High-level segment of COP and CMP	
National statements	
Lunch break	
<i>Formal luncheon for Ministers and Heads of Delegations hosted by the UNFCCC Executive Secretary</i>	
3:00 pm to 6:00 pm	
Joint High-level segment of COP and CMP	
National statements	

Thursday, 17 December (continued)	
Evening	
COP	CMP
Joint High-level segment of COP and CMP	
National statements	
<i>Her Majesty the Queen of Denmark and the Prince Consort's Gala Dinner for Heads of State and Government - 7:00 pm</i>	

Friday, 18 December*	
10:00 am to 13:00 pm	
COP	CMP
Joint High-level segment of COP and CMP	
Lunch break	
3:00 pm to 6:00 pm	
COP	
Closing plenary	
CMP	
Closing plenary	

*Further details to be made available in due course, including timing of statements from intergovernmental and non-governmental organizations on behalf of constituencies.



**UNITED
NATIONS**



**Framework Convention
on Climate Change**

Distr.
GENERAL

FCCC/CP/2009/1
16 September 2009

Original: ENGLISH

CONFERENCE OF THE PARTIES
Fifteenth session
Copenhagen, 7–18 December 2009

Item 2 (c) of the provisional agenda
Organizational matters
Adoption of the agenda

Provisional agenda and annotations

Note by the Executive Secretary

I. Provisional Agenda

1. Opening of the session.
2. Organizational matters:
 - (a) Election of the President of the Conference of the Parties at its fifteenth session;
 - (b) Adoption of the rules of procedure;
 - (c) Adoption of the agenda;
 - (d) Election of officers other than the President;
 - (e) Admission of organizations as observers;
 - (f) Organization of work, including the sessions of the subsidiary bodies;
 - (g) Dates and venues of future sessions;
 - (h) Adoption of the report on credentials.
3. Reports of the subsidiary bodies and decisions and conclusions arising therefrom:
 - (a) Report of the Subsidiary Body for Scientific and Technological Advice;
 - (b) Report of the Subsidiary Body for Implementation.
4. Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.

5. Consideration of proposals by Parties under Article 17 the Convention.
6. Consideration of a proposal by Malta for an amendment to Annex I to the Convention.
7. Review of implementation of commitments and of other provisions of the Convention:
 - (a) Financial mechanism of the Convention:
 - (i) Fourth review of the financial mechanism;
 - (ii) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility;
 - (iii) Assessment of the Special Climate Change Fund;
 - (b) National communications:
 - (i) National communications from Parties included in Annex I to the Convention;
 - (ii) National communications from Parties not included in Annex I to the Convention;
 - (c) Development and transfer of technologies;
 - (d) Capacity-building under the Convention;
 - (e) Reducing emissions from deforestation in developing countries: approaches to stimulate action;
 - (f) Implementation of Article 4, paragraphs 8 and 9, of the Convention:
 - (i) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10);
 - (ii) Matters relating to the least developed countries;
 - (g) Other matters referred to the Conference of the Parties by the subsidiary bodies.
8. Administrative, financial and institutional matters:
 - (a) Budget performance in the biennium 2008–2009;
 - (b) Proposed budget for the biennium 2010–2011.
9. High-level segment.
10. Statements by observer organizations.
11. Other matters.
12. Conclusion of the session:
 - (a) Adoption of the report of the Conference of the Parties on its fifteenth session;
 - (b) Closure of the session.

II. Proposed organization of the sessions: overview¹

1. A welcoming ceremony will be held on the morning of Monday, 7 December 2009 to mark the opening of the United Nations Climate Change Conference in Copenhagen.
2. The President of the Conference of the Parties (COP) at its fourteenth session will open COP 15. The COP will take up item 1 of the provisional agenda, as well as some procedural matters under item 2, including the election of the President of COP 15, the adoption of the agenda and the organization of work. Statements are not envisaged, except those on behalf of groups. The COP will refer items of its agenda to the subsidiary bodies as appropriate. The opening meeting will then be adjourned.
3. The fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) will then be opened. The CMP will take up item 1 of its provisional agenda, as well as some procedural matters under item 2, including the adoption of the agenda and the organization of work. Statements are not envisaged, except those on behalf of groups. The CMP will refer items of its agenda to the subsidiary bodies as appropriate. The opening meeting will then be adjourned.
4. The following sessions of the subsidiary bodies have been scheduled in conjunction with the fifteenth session of the COP and the fifth session of the CMP:
 - (a) Thirty-first session of the Subsidiary Body for Implementation (SBI);
 - (b) Thirty-first session of the Subsidiary Body for Scientific and Technological Advice (SBSTA);
 - (c) Tenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP);
 - (d) Eighth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA).
5. Given that six bodies will be meeting during the sessional period, meeting time will be very limited, especially for contact groups. To maximize the time available for negotiations, the presiding officers, in consultation with the Parties, may propose time-saving measures and approaches to expedite work. Such proposals will be based on these consultations, and on relevant submissions and statements made during plenary meetings, and taking into account any previous negotiations and/or conclusions.
6. Further information regarding the arrangements for the SBI, the SBSTA, the AWG-KP, and the AWG-LCA will be provided in an addendum to this document after consultation with the Bureau.
7. The COP and CMP will convene in plenary meetings during the first week to take up the items on their agendas that are not to be referred to the SBSTA and the SBI.
8. The high-level segment will take place from 16 to 18 December 2009. The joint COP and CMP meetings will be attended by ministers and other heads of delegation, who will deliver national statements. Based on experience at previous sessions, a joint COP and CMP meeting is envisaged for statements from observer organizations. Separate meetings of the COP and the CMP will be held on Friday, 18 December to adopt decisions and conclusions emerging from the current sessions.

¹ As the fifteenth session of the Conference of the Parties and the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) will be held during the same sessional period, this overview addresses both meetings. For ease of reference for Parties and observers, the text of this overview is also contained in the annotations to the provisional agenda for CMP 5 (FCCC/KP/CMP/2009/1). Further details may be made available via the UNFCCC website.

9. In keeping with the conclusions adopted by the SBI at its thirtieth session,² all meetings are scheduled to end at 6 p.m., particularly to give Parties and regional groups sufficient time to prepare for daily meetings, but may, in exceptional circumstances, and on a case by case basis, continue for two to three hours.

III. Annotations to the provisional agenda

1. Opening of the session

10. COP 15 will be opened by the President of the COP at its fourteenth session, Mr. Maciej Nowicki, Minister of the Environment of Poland.

2. Organizational matters

(a) Election of the President of the Conference of the Parties at its fifteenth session

11. *Background:* The President of COP 14 will call for the election of Ms. Connie Hedegaard, Minister for Climate and Energy of Denmark, as the President of COP 15. Ms. Hedegaard was nominated by the Western European and other States Group, in accordance with the rotation of the Presidency among regional groups. She will also serve as President of CMP 5.

(b) Adoption of the rules of procedure

12. *Background:* At COP 14, Parties decided that, as at previous sessions, the draft rules of procedure should continue to be applied, with the exception of draft rule 42.

13. *Action:* The COP may wish to decide to continue applying the draft rules of procedure and invite the President of COP 15 to undertake consultations to try to achieve adoption of the rules.

FCCC/CP/1996/2	<i>Organizational matters: Adoption of the rules of procedure. Note by the secretariat</i>
----------------	--

(c) Adoption of the agenda

14. *Background:* The secretariat, in agreement with the President of COP 14, has drafted the provisional agenda for COP 15, taking into account views expressed by the Parties during SBI 30 and after consulting the Bureau.

15. *Action:* The COP will be invited to adopt the provisional agenda.

FCCC/CP/2009/1	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
----------------	--

(d) Election of officers other than the President

16. *Background:* At the request of the President of COP 14, consultations on nominations to the Bureau of COP 15 were initiated at SBI 30 with regional group coordinators. There will be an oral report on these consultations. If necessary, further consultations will be held during the session. Parties are invited to recall decision 36/CP. 7 and to give active consideration to the nomination of women for elective posts in any body established under the Convention.

17. *Action:* The COP will be invited to elect the members of the Bureau of COP 15 at the earliest opportunity following completion of consultations.

² FCCC/SBI/2009/8, paragraph 115.

(e) Admission of organizations as observers

18. *Background:* The COP will have before it document FCCC/CP/2009/8 containing the list of organizations seeking admission as observers, following review and consideration by the Bureau.³

19. *Action:* The COP will be invited to consider the list and admit the organizations as observers.

FCCC/CP/2009/8	<i>Admission of observers: organizations applying for admission as observers. Note by the secretariat</i>
----------------	---

(f) Organization of work, including the sessions of the subsidiary bodies

20. *Action:* The COP will be invited to agree upon the organization of the work of the session, including the proposed schedule of meetings (see paras. 1–9 above).

FCCC/CP/2009/1 and Add.1	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
FCCC/SBSTA/2009/4	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
FCCC/SBI/2009/9	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
FCCC/AWGLCA/2009/X	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>

(g) Dates and venues of future sessions

21. *Background:* At COP 15, a decision will be required on the date and venue of COP 16, which will be held in conjunction with CMP 6 (8–19 November 2010). The SBI, at its thirtieth session, invited Parties to come forward with offers to host COP 16 and CMP 6. In keeping with the rotation among regional groups, the President of COP 16 would come from the Latin American and Caribbean Group. Mexico made a formal offer to host COP 16 and CMP 6 in a communication to the secretariat dated 20 February 2009. Subsequently, the delegation of Guatemala, in its capacity of coordinator of the Group of Latin American and Caribbean States, endorsed the candidature of Mexico to host COP 16 and CMP 6.

22. The COP, by its decision 9/CP.14, accepted with appreciation the offer by the Government of South Africa to host COP 17 and CMP 7.⁴ Further information on confirmation of this offer will be communicated to all Parties by the secretariat.

23. Regarding other future sessional periods, in keeping with the rotation among regional groups, the President of COP 18 would come from the Asian Group.

24. *Action:* The COP, at its fifteenth session, will need to decide on the host country for its sixteenth session. The COP will be invited to adopt a decision on the venue of COP 16 and CMP 6. The COP may also wish to invite interested Parties to present offers to host COP 18 and CMP 8, to consider any offers made to host COP 18 and CMP 8, and to take action as appropriate.

³ Under decision 36/CMP.1, a single process will be used for the admission of observer organizations to sessions of the COP and the CMP, with decisions on admission of observer organizations being taken by the COP.

⁴ Subject to confirmation by the Bureau that all logistical, technical and financial elements for hosting the sessions are available, in conformity with General Assembly resolution 40/243.

(h) Adoption of the report on credentials

25. *Background:* According to rule 19 of the draft rules of procedure being applied, the credentials of representatives of Parties, as well as the names of alternate representatives and advisers, shall be submitted to the secretariat not later than twenty-four hours after the opening of the session. Any later change in the composition of the delegation shall also be submitted to the secretariat. The credentials shall be issued either by the Head of State or Government or by the Minister of Foreign Affairs or, in the case of a regional economic integration organization, by the competent authority of that organization. The Bureau of COP 15 will examine the credentials and submit its report on credentials for adoption by the COP (see rule 20 of the draft rules of procedure). Representatives shall be entitled to participate provisionally in the session, pending a decision by the COP to accept their credentials (see rule 21 of the draft rules of procedure). Only Parties with valid credentials would be able to participate in the adoption of a protocol or another legal instrument, which may be followed by an initialling of the text or signature of a final act. The COP will have before it for adoption the report on credentials to be submitted by the Bureau.

26. *Action:* The COP will be invited to adopt the report on credentials of the representatives of Parties attending COP 15. Representatives may participate provisionally, pending this action.

3. Reports of the subsidiary bodies and decisions and conclusions arising therefrom

(a) Report of the Subsidiary Body for Scientific and Technological Advice(b) Report of the Subsidiary Body for Implementation

27. The COP will be invited to take note of the reports of the SBSTA and the SBI on their thirtieth sessions, and the oral reports by the Chairs of the SBSTA and the SBI on the thirty-first sessions.

<i>FCCC/SBSTA/2009/3 and Add.1</i>	<i>Report of the Subsidiary Body for Scientific and Technological Advice on its thirtieth session, held in Bonn from 1 to 10 June 2009</i>
<i>FCCC/SBI/2009/8 and Add.1</i>	<i>Report of the Subsidiary Body for Implementation on its thirtieth session, held in Bonn from 1 to 10 June 2009</i>

4. Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention

28. *Background:* The COP, at its thirteenth session, established the AWG-LCA to conduct a comprehensive process to enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012, in order to reach an agreed outcome and adopt a decision at its fifteenth session. It requested the AWG-LCA to complete its work in 2009 and to present the outcome of its work to the COP for adoption at its fifteenth session.⁵

29. At its fourteenth session the COP welcomed the progress achieved by the AWG-LCA in addressing all the elements contained in paragraph 1 of decision 1/CP.13 (the Bali Action Plan), and the group's resolve to enable the COP to reach an agreed outcome and adopt a decision at its fifteenth session on the full, effective and sustained implementation of the Convention.⁶

⁵ Decision 1/CP.13, paragraphs 1 and 2.

⁶ Decision 1/CP.14, paragraph 1.

30. The AWG-LCA has met in five sessions in 2009, and in one informal meeting. The AWG-LCA will present the outcome of its work to the COP for adoption.⁷

31. *Action:* The COP will be invited to consider the outcome of the work by the AWG-LCA referred to in paragraph 30 above for adoption.

<i>FCCC/AWGLCA/2008/17</i>	<i>Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its fourth session, held in Poznan from 1 to 10 December 2008</i>
<i>FCCC/AWGLCA/2009/3</i>	<i>Summary of views expressed during the fourth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. Note by the Chair</i>
<i>FCCC/AWGLCA/2009/5</i>	<i>Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its fifth session, held in Bonn from 29 March to 8 April 2009</i>
<i>FCCC/AWGLCA/2009/9</i>	<i>Summary of views expressed during the fifth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. Note by the Chair</i>
<i>FCCC/AWGLCA/2009/10</i>	<i>Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its sixth session, held in Bonn from 1 to 12 June 2009</i>
<i>FCCC/AWGLCA/2009/X</i>	<i>Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its seventh session, held in Bangkok from 28 September to 9 October 2009, and Barcelona from 2 to 6 November 2009</i>

5. Consideration of proposals by Parties under Article 17 of the Convention

32. *Background:* Article 17 of the Convention contains procedures for adoption of protocols to the Convention. Article 17, paragraph 1, of the Convention states that the COP “may, at any ordinary session, adopt protocols to the Convention.” Article 17, paragraph 2, stipulates that “the text of any proposed protocol shall be communicated to the Parties by the secretariat at least six months before such a session.”

33. In accordance with the provisions quoted above, Parties had submitted five proposals to the secretariat by 5 June 2009. The text of each of the proposals was communicated to Parties to the Convention and signatories to the Convention through notes verbales sent to the National Focal Points for climate change and the Permanent Missions to the United Nations by 6 June 2009. The texts were also sent, for information, to the Depositary on 25 June 2009.

34. *Action:* The COP will be invited to consider the proposals listed below and to take any action it deems necessary.

<i>FCCC/CP/2009/3</i>	<i>Draft protocol to the Convention prepared by the Government of Japan for adoption at the fifteenth session of the Conference of the Parties. Note by the secretariat</i>
<i>FCCC/CP/2009/4</i>	<i>Draft protocol to the Convention presented by the Government of Tuvalu under Article 17 of the Convention. Note by the secretariat</i>

⁷ Further information on the work of the AWG-LCA and its implications for the fifteenth session of the COP will be provided, as appropriate, in an addendum to this document.

FCCC/CP/2009/5	<i>Draft protocol to the Convention prepared by the Government of Australia for adoption at the fifteenth session of the Conference of the Parties. Note by the secretariat</i>
FCCC/CP/2009/6	<i>Draft protocol to the Convention prepared by the Government of Costa Rica to be adopted at the fifteenth session of the Conference of the Parties. Note by the secretariat</i>
FCCC/CP/2009/7	<i>Draft implementing agreement under the Convention prepared by the Government of the United States of America for adoption at the fifteenth session of the Conference of the Parties. Note by the secretariat</i>

6. Consideration of a proposal by Malta for an amendment to Annex I to the Convention

35. *Background:* The procedures for amending the Convention and its annexes are contained in its Articles 15 and 16. Article 15, paragraph 1, states that “Any Party may propose amendments to the Convention.” Article 15, paragraph 2, states that “Amendments to the Convention shall be adopted at an ordinary session of the Conference of the Parties. The text of any proposed amendment to the Convention shall be communicated to the Parties by the secretariat at least six months before the meeting at which it is proposed for adoption. The secretariat shall also communicate proposed amendments to the signatories to the Convention and, for information, to the Depositary.”

36. Article 16, paragraph 2, of the Convention states that “Annexes to the Convention shall be proposed and adopted in accordance with the procedures set forth in Article 15, paragraphs 2, 3 and 4.” Article 16, paragraph 4, states that “The proposal, adoption and entry into force of amendments to annexes to the Convention shall be subject to the same procedure as that for the proposal, adoption and entry into force of annexes to the Convention in accordance with paragraphs 2 and 3 above.”

37. In accordance with these provisions, Malta, by a letter dated 16 April 2009, submitted a proposal to amend Annex I to the Convention by adding the name of Malta to the list of countries contained in that annex. Consequently, the secretariat transmitted this proposal to Parties and signatories to the Convention by a note verbale dated 29 April 2009 sent to the National Focal Points for climate change and the Permanent Missions to the United Nations, and to the Depositary by a letter dated 29 April 2009.

38. *Action:* The COP will be invited to consider the proposed amendment at its fifteenth session with a view to its adoption.

FCCC/CP/2009/2	<i>Proposal from Malta to amend Annex I to the Convention. Note by the secretariat</i>
----------------	--

7. Review of implementation of commitments and of other provisions of the Convention

(a) Financial mechanism of the Convention

(i) Fourth review of the financial mechanism

39. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

40. *Action:* The COP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

(ii) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility

41. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

42. *Action:* The COP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

FCCC/CP/2009/9

Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat

(iii) Assessment of the Special Climate Change Fund

43. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

44. *Action:* The COP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

(b) National communications:

(i) National communications from Parties included in Annex I to the Convention

45. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

46. *Action:* The COP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

(ii) National communications from Parties not included in Annex I to the Convention

47. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

48. *Action:* The COP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

(c) Development and transfer of technologies

49. *Background:* See the SBSTA 31 provisional agenda and annotations (FCCC/SBSTA/2009/4) and the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

50. *Action:* The COP will be invited to refer this sub-item to the SBSTA and the SBI for their consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

(d) Capacity-building under the Convention

51. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

52. *Action:* The COP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of a draft decisions for adoption by the COP at its fifteenth session.

(e) Reducing emissions from deforestation in developing countries: approaches to stimulate action

53. *Background:* The item has been included in the provisional agenda at the request of a Party.⁸ See the SBSTA 31 provisional agenda and annotations (FCCC/SBSTA/2009/4).

54. *Action:* The COP will be invited to refer this sub-item to the SBSTA for its consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

⁸ Formal request by Switzerland in a letter to the secretariat dated 9 June 2009.

(f) Implementation of Article 4, paragraphs 8 and 9, of the Convention:

(i) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10)

55. *Background:* See the SBSTA 31 provisional agenda and annotations (FCCC/SBSTA/2009/4) and the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

56. *Action:* The COP will be invited to refer this sub-item to the SBSTA and the SBI for their consideration. The SBSTA, pursuant to decision 1/CP.10, paragraph 23, will address issues relating to the Nairobi work programme on impacts, vulnerability and adaptation to climate change. The SBI will address other aspects of the implementation of decision 1/CP.10 relating to adverse impacts of climate change and to the impacts of response measures.

(ii) Matters relating to the least developed countries

57. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

58. *Action:* The COP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

(g) Other matters referred to the Conference of the Parties by the subsidiary bodies

59. *Background:* Any matters concerning the Convention referred by the SBSTA and the SBI to the COP may be taken up under this item, including draft decisions and conclusions completed at the thirtieth and thirty-first sessions of the SBSTA and the SBI.

60. *Action:* The COP will be invited to adopt draft decisions or conclusions pertaining to the Convention forwarded by the SBSTA or the SBI at their thirtieth and thirty-first sessions, including possible draft decisions on systematic climate observations, work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, and an updated training programme for greenhouse gas inventory review experts for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention.

8. Administrative, financial and institutional matters

(a) Budget performance in the biennium 2008–2009

61. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

62. *Action:* The COP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the COP at its fifteenth session.

(b) Programme budget for the biennium 2010–2011

63. *Background:* The SBI, at its thirtieth session, recommended a draft decision on this issue for adoption by the COP at its fifteenth session (FCCC/SBI/2009/8/Add.1).

64. *Action:* The COP will be invited to adopt the recommended draft decision mentioned in paragraph 63 above.

9. High-level segment

65. The high-level segment will be held from 16 to 18 December 2009. National statements by ministers and other heads of delegation will be heard in joint meetings of the COP and the CMP on

16 and 17 December. Full texts of the official statements will be circulated if sufficient numbers of copies are provided to the secretariat in the course of the session.

66. Given the number of Parties and the limited amount of time available for statements, it will be necessary to limit the duration of each statement. The recommended time limit is three minutes. Statements on behalf of groups, where the other members of the group do not speak, are strongly encouraged and additional time will be provided for these.

67. The list of speakers will be open from 23 October to 20 November 2009.⁹ Information about the speakers' list, including a registration form, will be sent to Parties in the notification for the sessions.

68. Further information on the high-level segment will be made available in an addendum to this document after consideration by the Bureau and the host Government of COP 15.

10. Statements by observer organizations

69. Representatives of intergovernmental organizations and non-governmental organizations will be invited to address the COP. Further information will be made available.

11. Other matters

70. Any other matters for the attention of the COP will be taken up under this item.

12. Conclusion of the session

(a) Adoption of the report of the Conference of the Parties on its fifteenth session

71. *Background:* A draft report on the work of the session will be prepared for adoption by the COP at the end of the session.

72. *Action:* The COP will be invited to adopt the draft report and authorize the Rapporteur to complete the report after the session under the guidance of the President and with the assistance of the secretariat.

(b) Closure of the session

73. The President will declare the session closed.

⁹ Enquiries regarding this list may be directed to the Office of External Relations at the UNFCCC secretariat by telephone (+49 228 815 1520 or 1506), fax (+49 228 815 1999) or e-mail <secretariat@unfccc.int>.

Annex**Documents before the Conference of the Parties at its fifteenth session****Documents prepared for the session**

FCCC/CP/2009/1 and Add.1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/CP/2009/2	Proposal from Malta to amend Annex I to the Convention. Note by the secretariat.
FCCC/CP/2009/3	Draft protocol to the Convention prepared by the Government of Japan for adoption at the fifteenth session of the Conference of the Parties. Note by the secretariat.
FCCC/CP/2009/4	Draft protocol to the Convention presented by the Government of Tuvalu under Article 17 of the Convention. Note by the secretariat.
FCCC/CP/2009/5	Draft protocol to the Convention prepared by the Government of Australia for adoption at the fifteenth session of the Conference of the Parties. Note by the secretariat.
FCCC/CP/2009/6	Draft protocol to the Convention prepared by the Government of Costa Rica to be adopted at the fifteenth session of the Conference of the Parties. Note by the secretariat.
FCCC/CP/2009/7	Draft implementing agreement under the Convention prepared by the Government of the United States of America for adoption at the fifteenth session of the Conference of the Parties. Note by the secretariat.
FCCC/CP/2009/8	Admission of observers: organizations applying for admission as observers. Note by the secretariat
FCCC/CP/2009/9	Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat

Other documents before the session

FCCC/CP/1996/2	Organizational matters: Adoption of the rules of procedure. Note by the secretariat
FCCC/SBSTA/2009/3 and Add.1	Report of the Subsidiary Body for Scientific and Technological Advice on its thirtieth session, held in Bonn from 1 to 10 June 2009

FCCC/SBSTA/2009/4	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2009/8 and Add.1	Report of the Subsidiary Body for Implementation on its thirtieth session, held in Bonn from 1 to 10 June 2009
FCCC/SBI/2009/9	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/AWGLCA/2008/17	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its fourth session, held in Poznan from 1 to 10 December 2008
FCCC/AWGLCA/2009/3	Summary of views expressed during the fourth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. Note by the Chair
FCCC/AWGLCA/2009/5	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its fifth session, held in Bonn from 29 March to 8 April 2009
FCCC/AWGLCA/2009/9	Summary of views expressed during the fifth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. Note by the Chair
FCCC/AWGLCA/2009/10	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its sixth session, held in Bonn from 1 to 12 June 2009
FCCC/AWGLCA/2009/X	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/AWGLCA/2009/X	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its seventh session, held in Bangkok from 28 September to 9 October 2009, and Barcelona from 2 to 6 November 2009



**UNITED
NATIONS**



**Framework Convention
on Climate Change**

Distr.
GENERAL

FCCC/KP/CMP/2009/1
16 September 2009

Original: ENGLISH

**CONFERENCE OF THE PARTIES SERVING AS THE
MEETING OF THE PARTIES TO THE KYOTO PROTOCOL**
Fifth session
Copenhagen, 7–18 December 2009

Item 2 (a) of the provisional agenda
Organizational matters
Adoption of the agenda

Provisional agenda and annotations

Note by the Executive Secretary

I. Provisional agenda

1. Opening of the session.
2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Election of replacement officers;
 - (c) Organization of work, including the sessions of the subsidiary bodies;
 - (d) Approval of the report on credentials.
3. Reports of the subsidiary bodies and decisions and conclusions arising therefrom:
 - (a) Report of the Subsidiary Body for Scientific and Technological Advice;
 - (b) Report of the Subsidiary Body for Implementation.
4. Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol.
5. Consideration of proposals by Parties for amendments to the Kyoto Protocol.
6. Issues relating to the clean development mechanism.
7. Issues relating to joint implementation.
8. Report of the Compliance Committee.
9. Adaptation Fund:
 - (a) Report of the Adaptation Fund Board;
 - (b) Review of the Adaptation Fund.

10. Amendment of the Kyoto Protocol in respect of procedures and mechanisms relating to compliance.
11. Review of implementation of commitments and of other provisions of the Kyoto Protocol:
 - (a) Report of the administrator of the international transaction log under the Kyoto Protocol;
 - (b) National communications from Parties included in Annex I to the Convention: reporting and review;
 - (c) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol;
 - (d) Capacity-building under the Kyoto Protocol;
 - (e) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol;
 - (f) Matters relating to Article 2, paragraph 3, of the Kyoto Protocol.
12. Administrative, financial and institutional matters:
 - (a) Budget performance in the biennium 2008–2009;
 - (b) Proposed budget for the biennium 2010–2011.
13. Other matters referred to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol by the subsidiary bodies.
14. High-level segment.
15. Statements by observer organizations.
16. Other matters.
17. Conclusion of the session:
 - (a) Adoption of the report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its fifth session;
 - (b) Closure of the session.

II. Proposed organization of the sessions: overview¹

1. A welcoming ceremony will be held on the morning of Monday, 7 December 2009 to mark the opening of the United Nations Climate Change Conference in Copenhagen.
2. The President of the Conference of the Parties (COP) at its fourteenth session will open COP 15. The COP will take up item 1 of the provisional agenda, as well as some procedural matters under item 2, including the election of the President of COP 15, the adoption of the agenda and the organization of work. Statements are not envisaged, except those on behalf of groups. The COP will refer items of its agenda to the subsidiary bodies as appropriate. The opening meeting will then be adjourned.
3. The fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) will then be opened. The CMP will take up item 1 of its provisional agenda, as well as some procedural matters under item 2, including the adoption of the agenda and the organization of work. Statements are not envisaged, except those on behalf of groups. The CMP will refer items of its agenda to the subsidiary bodies as appropriate. The opening meeting will then be adjourned.
4. The following sessions of the subsidiary bodies have been scheduled in conjunction with the fifteenth session of the COP and the fifth session of the CMP:
 - (a) Thirty-first session of the Subsidiary Body for Implementation (SBI);
 - (b) Thirty-first session of the Subsidiary Body for Scientific and Technological Advice (SBSTA);
 - (c) Tenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP);
 - (d) Eighth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA).
5. Given that six bodies will be meeting during the sessional period, meeting time will be very limited, especially for contact groups. To maximize the time available for negotiations, the presiding officers, in consultation with the Parties, may propose time-saving measures and approaches to expedite work. Such proposals will be based on these consultations, and on relevant submissions and statements made during plenary meetings, and taking into account any previous negotiations and/or conclusions.
6. Further information regarding the arrangements for the SBI, the SBSTA, the AWG-KP and the AWG-LCA will be provided in an addendum to this document after consultation with the Bureau.
7. The COP and CMP will convene in plenary meetings during the first week to take up the items on their agendas that are not to be referred to the SBSTA and the SBI.
8. The high-level segment will take place from 16 to 18 December 2009. The joint COP and CMP meetings will be attended by ministers and other heads of delegation, who will deliver national statements. Based on experience at previous sessions, a joint COP and CMP meeting is envisaged for

¹ As the fifteenth session of the Conference of the Parties (COP) and the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol will be held during the same sessional period, this overview addresses both meetings. For ease of reference for Parties and observers, the text of this overview is also contained in the annotations to the provisional agenda for COP 14 (FCCC/CP/2009/1). Further details may be made available via the UNFCCC website.

statements from observer organizations. Separate meetings of the COP and the CMP will be held on Friday, 18 December to adopt decisions and conclusions emerging from the current sessions.

9. In keeping with the conclusions adopted by the SBI at its thirtieth session,² all meetings are scheduled to end at 6 p.m., particularly to give Parties and regional groups sufficient time to prepare for daily meetings, but may, in exceptional circumstances, and on a case by case basis, continue for two to three hours.

III. Annotations to the provisional agenda

1. Opening of the session

10. CMP 5 will be opened by the President of COP 15, Ms. Connie Hedegaard, Minister for Climate and Energy of Denmark, who will also serve as President of CMP 5. Ms. Hedegaard was nominated by the Western European and other States Group, in accordance with the rotation of the Presidency among regional groups.

2. Organizational matters

(a) Adoption of the agenda

11. *Background:* The secretariat, in agreement with the President of CMP 4, has drafted the provisional agenda for CMP 5, taking into account the views expressed by Parties during SBI 30 and after consulting the Bureau.

12. *Action:* The CMP will be invited to adopt the provisional agenda.

FCCC/KP/CMP/2009/1 Provisional agenda and annotations. Note by the Executive Secretary
--

(b) Election of replacement officers

13. *Background:* The Kyoto Protocol states: “When the Conference of the Parties serves as the meeting of the Parties to this Protocol, any member of the Bureau of the Conference of the Parties representing a Party to the Convention but, at that time, not a Party to this Protocol, shall be replaced by an additional member to be elected by and from amongst the Parties to this Protocol” (Article 13, para. 3).

14. If any member of the Bureau represents a State that is not a Party to the Kyoto Protocol, consultations will be required to identify a nominee representing a Party to the Protocol to replace such a member. Parties are invited to recall decision 36/CP.7 and to give active consideration to the nomination of women for elective posts in any body established under the Convention or its Kyoto Protocol.

15. *Action:* The CMP will be invited, as necessary, to elect additional members of the Bureau to replace any members representing States that are not Parties to the Kyoto Protocol.

(c) Organization of work, including the sessions of the subsidiary bodies

16. The CMP will be invited to agree upon the organization of the work of the session, including the proposed schedule of meetings (see paras. 1–9 above).

² FCCC/SBI/2009/8, paragraph 115.

<i>FCCC/KP/CMP/2009/1 and Add.1</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/SBSTA/2009/4</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/SBI/2009/9</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/KP/AWG/2009/X</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>

(d) Approval of the report on credentials

17. *Background:* The Bureau will examine the credentials submitted by Parties to the Convention and submit its report on credentials for adoption by the CMP.³ With regard to the adoption of any amendment to the Protocol, only Parties with valid credentials would be able to participate in its adoption. Parties should further note that in accordance with Article 21, paragraph 7, of the Protocol any amendment to Annex B to the Protocol shall be adopted only with the written consent of the Party concerned. Parties wishing to be included in Annex B are reminded to deposit with the secretariat, prior to the adoption of any amendment to Annex B, a document providing evidence of such written consent issued and signed by the Head of State or Government or Minister of Foreign Affairs or signed by another official with Full Powers to that effect issued by one of the afore-mentioned qualified authorities. The CMP will receive from the secretariat information on written consents submitted by Parties pursuant to Article 21, paragraph 7, of the Protocol before the adoption of any amendment to Annex B.

18. *Action:* The CMP will be invited to approve the report on credentials of the representatives of Parties attending CMP 5. Representatives may participate provisionally, pending this action.

3. Reports of the subsidiary bodies and decisions and conclusions arising therefrom

(a) Report of the Subsidiary Body for Scientific and Technological Advice

(b) Report of the Subsidiary Body for Implementation

19. The CMP will be invited to take note of the reports of the SBSTA and the SBI on their thirtieth sessions and the oral reports by the Chairs of the SBSTA and the SBI on the thirty-first sessions.

<i>FCCC/SBSTA/2009/3 and Add.1</i>	<i>Report of the Subsidiary Body for Scientific and Technological Advice on its thirtieth session, held in Bonn from 1 to 10 June 2009</i>
<i>FCCC/SBI/2009/8 and Add.1</i>	<i>Report of the Subsidiary Body for Implementation on its thirtieth session, held in Bonn from 1 to 10 June 2009</i>

4. Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol

20. *Background:* At its resumed sixth session, the AWG-KP recalled⁴ that one of its tasks for 2009 will be to forward to the CMP for consideration at its fifth session the results of the work of the AWG-KP on the consideration of commitments for subsequent periods for Parties included in Annex I to the Convention (Annex I Parties) under Article 3, paragraph 9, of the Kyoto Protocol, with a view to their adoption.

³ Decision 36/CMP.1 states that credentials from Parties to the Kyoto Protocol would apply for the participation of their representatives in sessions of the COP and the CMP, and that a single report on credentials would be submitted for approval, following established procedures, by the Bureau of the COP to the COP and to the CMP.

⁴ FCCC/KP/AWG/2008/8, paragraph 45.

21. The AWG-KP has met five times in 2009, and in one informal meeting. The AWG-KP will present the outcome of its work to the CMP for adoption.⁵
22. *Action:* The CMP will be invited to consider the outcome of the work by the AWG-KP referred to in paragraph 21 above for adoption.

<i>FCCC/KP/AWG/2009/5</i>	<i>Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its seventh session, held in Bonn from 29 March to 8 April 2009</i>
<i>FCCC/KP/AWG/2009/9</i>	<i>Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its eighth session, held in Bonn from 1 to 12 June 2009</i>
<i>FCCC/KP/AWG/2009/X</i>	<i>Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its ninth session, held in Bangkok from 28 September to 9 October 2009, and Barcelona from 2 to 6 November 2009</i>

5. Consideration of proposals by Parties for amendments to the Kyoto Protocol

23. *Background:* Article 20, paragraph 1, of the Kyoto Protocol states that “Any Party may propose amendments to this Protocol.” Article 20, paragraph 2, stipulates that “Amendments to this Protocol shall be adopted at an ordinary session of the Conference of the Parties serving as the meeting of the Parties to this Protocol. The text of any proposed amendment to this Protocol shall be communicated to the Parties by the secretariat at least six months before the meeting at which it is proposed for adoption. The secretariat shall also communicate the text of any proposed amendments to the Parties and signatories to the Convention and, for information, to the Depositary.”

24. Article 21, paragraph 2, of the Kyoto Protocol states that “Any Party may make proposals for an annex to this Protocol and may propose amendments to annexes to this Protocol.” Article 21, paragraph 3, provides that “Annexes to this Protocol and amendments to annexes to this Protocol shall be adopted at an ordinary session of the Conference of the Parties serving as the meeting of the Parties to this Protocol. The text of any proposed annex or amendment to an annex shall be communicated to the Parties by the secretariat at least six months before the meeting at which it is proposed for adoption. The secretariat shall also communicate the text of any proposed annex or amendment to an annex to the Parties and signatories to the Convention and, for information, to the Depositary.”

25. In accordance with the provisions quoted above, by 17 June 2009, Parties had submitted to the secretariat 12 proposals to amend the Kyoto Protocol. The text of each of the proposed amendments was communicated to Parties to the Kyoto Protocol and to Parties and signatories to the Convention through notes verbales sent to the National Focal Points for climate change and the Permanent Missions to the United Nations by 17 June 2009. The texts were also sent, for information, to the Depositary on 25 June 2009.

26. *Action:* The CMP will be invited to consider the proposals listed below and to take any action it deems necessary.

<i>FCCC/KP/CMP/2009/2</i>	<i>Proposal from the Czech Republic and the European Commission on behalf of the European Community and its member States for an amendment to the Kyoto Protocol. Note by the secretariat</i>
---------------------------	---

⁵ Further information on the work of the AWG-KP and its implications for the fifth session of the CMP will be provided, as appropriate, in an addendum to this document.

<i>FCCC/KP/CMP/2009/3</i>	<i>Proposal from Tuvalu for an amendment to the Kyoto Protocol with respect to immunities for individuals serving on constituted bodies established under the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/4</i>	<i>Proposal from Tuvalu for amendments to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/5</i>	<i>Proposal from the Philippines for amendments to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/6</i>	<i>Proposal from New Zealand for an amendment to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/7</i>	<i>Proposal from Algeria, Benin, Brazil, Burkina Faso, Cameroon, Cape Verde, China, Congo, Democratic Republic of the Congo, El Salvador, Gambia, Ghana, India, Indonesia, Kenya, Liberia, Malawi, Malaysia, Mali, Mauritius, Mongolia, Morocco, Mozambique, Nigeria, Pakistan, Rwanda, Senegal, Seychelles, Sierra Leone, South Africa, Sri Lanka, Swaziland, Togo, Uganda, United Republic of Tanzania, Zambia and Zimbabwe for an amendment to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/8</i>	<i>Proposal from Colombia for amendments to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/9</i>	<i>Proposal from Belarus for amendments to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/10</i>	<i>Proposal from Australia for amendments to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/11</i>	<i>Proposal from Japan for an amendment to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/12</i>	<i>Proposal from the Plurinational State of Bolivia on behalf of Malaysia, Paraguay and the Bolivarian Republic of Venezuela for an amendment to the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/13</i>	<i>Proposal from Papua New Guinea for amendments to the Kyoto Protocol. Note by the secretariat</i>

6. Issues relating to the clean development mechanism

27. *Background:* In accordance with the provisions of the modalities and procedures of the clean development mechanism (CDM),⁶ the Executive Board of the CDM shall report on its activities to each session of the CMP. In exercising its authority over the CDM, the CMP shall review annual reports, provide guidance and take decisions, as appropriate.

28. The fifth report of the Executive Board to the CMP provides information on progress made in the implementation of the CDM arising from action taken by the Executive Board during its eighth year of

⁶ Decision 3/CMP.1, annex, paragraphs 2–5.

operation (from 25 October 2008 to 16 October 2009).⁷ In addition, the report contains a number of recommendations for decisions to be taken by the CMP at its fifth session, including recommendations prepared in response to requests made by the CMP at its fourth session.

29. The Chair of the Executive Board will also provide an oral report, highlighting the challenges and achievements in the eighth year of operation of the CDM and the period not covered by the Executive Board's report to the CMP, and the challenges ahead.

30. *Action:* The CMP will be invited to take note of the report of the Executive Board below and the oral report of the Chair of the Executive Board. The CMP will also be invited to establish a contact group to consider this item and to recommend a draft decision for adoption by the CMP at its fifth session.

31. The CMP may also wish to invite the President to undertake consultations on the nominations of members and alternate members of the Executive Board, as necessary, and to elect these members and alternate members.

FCCC/KP/CMP/2009/16	<i>Annual report of the Executive Board of the clean development mechanism to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol</i>
---------------------	---

7. Issues relating to joint implementation

32. *Background:* The CMP, by its decision 10/CMP.1, established the Joint Implementation Supervisory Committee (JISC). In accordance with the annex to decision 9/CMP.1 (hereinafter referred to as the JI guidelines), paragraph 3, the JISC shall supervise, inter alia, the verification of emission reduction units generated by joint implementation (JI) projects implemented under the procedure defined in paragraphs 30–45 of the JI guidelines (hereinafter referred to as the JI Track 2 procedure).

33. In accordance with paragraph 3 of the JI guidelines, the JISC shall report on its activities to each session of the CMP. In exercising its authority over the JI Track 2 procedure, the CMP may review these annual reports, provide guidance and take decisions, as appropriate.

34. The fourth annual report of the JISC to the CMP provides information on the progress made in the implementation of the JI Track 2 procedure arising from actions taken by the JISC during its fourth year of operation (13 September 2008 to 30 October 2009).⁸ The report addresses governance issues, notably measures undertaken to ensure the efficient, cost-effective and transparent functioning of the JISC, and includes the resource requirements and actual resources available for the work of the JISC during the next biennium, 2010–2011. The report also contains recommendations for decisions to be taken by the CMP at its fifth session.

35. The Chair of the JISC will provide an oral report, highlighting the tasks and achievements of the JISC over the last year and the challenges ahead.

⁷ Following the requests by the CMP at its second and third sessions, the report of the Executive Board to the CMP covers the period from the previous session of the CMP to the Executive Board meeting that takes place just prior to the one held in conjunction with the session of the CMP (decision 1/CMP.2, para. 11, and decision 2/CMP.3, para. 7).

⁸ Although not explicitly requested to do so by the CMP, the JISC has decided to follow a reporting arrangement similar to that of the CDM Executive Board; the report of the JISC to the CMP now covers the period from the previous session of the CMP to the JISC meeting that takes place just prior to the one held in conjunction with the session of the CMP.

36. *Action:* The CMP will be invited to take note of the work on JI, including the annual report of the JISC and the oral report of the Chair of the JISC. The CMP will be invited to establish a contact group to consider this item and to recommend draft decisions or conclusions for adoption by the CMP at its fifth session.

37. The CMP may also wish to invite the President to undertake consultations on the nominations of members and alternate members of the JISC, as necessary, and to elect these members and alternate members.

<i>FCCC/KP/CMP/2009/18</i>	<i>Annual report of the Joint Implementation Supervisory Committee to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol. Note by the secretariat</i>
----------------------------	--

8. Report of the Compliance Committee

38. *Background:* In accordance with decision 27/CMP.1, annex, section III, paragraph 2 (a), the plenary of the Compliance Committee is to report to each ordinary session of the CMP. The fourth annual report of the Compliance Committee to the CMP provides information on the activities of the Compliance Committee during its fourth year of operation, from 11 October 2008 to [14 October] 2009.

39. *Action:* The CMP will be invited to consider the report of the Compliance Committee below. The CMP may wish to invite Parties to make contributions to the Trust Fund for Supplementary Activities for the biennium 2010–2011 to support the work of the Compliance Committee.

40. The CMP may wish to invite the President to undertake consultations on the nominations of members and alternate members of the Compliance Committee, as necessary, and to elect these members and alternate members.

<i>FCCC/KP/CMP/2009/17</i>	<i>Annual report of the Compliance Committee to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol</i>
----------------------------	---

9. Adaptation Fund

(a) Report of the Adaptation Fund Board

41. *Background:* The CMP decided at its third session⁹ that the Adaptation Fund Board report on its activities at each session of the CMP. At its fourth session,¹⁰ the CMP requested the Adaptation Fund Board to start processing proposals for funding projects, activities or programmes, as applicable, and to report back on progress made to the CMP at its fifth session. The CMP also requested the Adaptation Fund Board to report, at the same session, on the acceleration of the development, adoption and implementation, as a matter of priority, of the criteria referred to in decision 1/CMP.3, paragraph 30.

42. *Action:* The CMP will be invited to consider the report of the Adaptation Fund Board below and to adopt or take note of the recommendations by the Adaptation Fund Board.

43. The CMP may also wish to invite the President to undertake consultations on the nominations of members and alternate members of the Adaptation Fund Board, as necessary, and to elect these members and alternate members.

<i>FCCC/KP/CMP/2009/14</i>	<i>Report of the Adaptation Fund Board. Note by the Chair of the Adaptation Fund Board</i>
----------------------------	--

⁹ Decision 1/CMP.3.

¹⁰ Decision 1/CMP.4.

(b) Review of the Adaptation Fund

44. *Background:* The CMP decided at its third session to undertake, at its sixth session, a review of all matters relating to the Adaptation Fund in the context of paragraphs 32–34 of decision 1/CMP.3, including the institutional arrangements as referred to in paragraphs 19 and 23 of that decision, with a view to ensuring the effectiveness and adequacy thereof, and to adopt an appropriate decision on the outcome of such a review.

45. The SBI, at its thirtieth session, recommended a draft decision concerning initiating the review of the Adaptation Fund at SBI 31 for adoption by the CMP at its fifteenth session (FCCC/SBI/2009/8/Add.1).

46. *Action:* The CMP will be invited to adopt the recommended draft decision mentioned in paragraph 45 above.

10. Amendment of the Kyoto Protocol in respect of procedures and mechanisms relating to compliance

47. *Background:* The SBI, at its thirtieth session,¹¹ agreed to continue the discussions of this matter at SBI 32, and to include the item on the provisional agenda for that session. This item has been on the agenda of the CMP since CMP 1. The item is included on the provisional agenda for the CMP at its fifth session in accordance with rule 10 (c) and rule 16 of the draft rules of procedure being applied.

48. *Action:* The CMP may wish to defer consideration of this item to its sixth session.

11. Review of implementation of commitments and of other provisions of the Kyoto Protocol

(a) Report of the administrator of the international transaction log under the Kyoto Protocol

49. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

50. *Action:* The CMP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the CMP at its fifth session.

FCCC/KP/CMP/2009/19 *Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat*

(b) National communications from Parties included in Annex I to the Convention: reporting and review

51. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

52. *Action:* The CMP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the CMP at its fifth session.

(c) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol

53. *Background:* The CMP, by its decision 13/CMP.1, requested the secretariat to publish the annual compilation and accounting report after the completion of the initial review under Article 8 of the Kyoto Protocol and resolution of any question of implementation relating to adjustments under Article 5, paragraph 2, of the Kyoto Protocol. The report is to be forwarded to the CMP, the Compliance Committee and each Party concerned.

¹¹ FCCC/SBI/2009/8, paragraph 98.

54. As at 31 August 2009, the initial review had been completed for 37 Annex I Parties included in Annex B to the Kyoto Protocol (Annex B Parties). The report below contains final values for some of the initial accounting parameters recorded for 37 Annex B Parties in the compilation and accounting database. It also contains provisional information on:

- (a) Total greenhouse gas (GHG) emissions from the sources listed in Annex A to the Kyoto Protocol reported for 2007;
- (b) Total net anthropogenic emissions and removals of GHGs pursuant to decision 16/CMP.1 reported voluntarily for 2007;
- (c) Transactions and holdings of Kyoto Protocol units for the first year of the commitment period (2008).

55. *Action:* The CMP will be invited to refer this sub-item to the SBI for its consideration.

<i>FCCC/KP/CMP/2009/15</i>	<i>Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol</i>
<i>FCCC/KP/CMP/2009/15/Add.1</i>	<i>Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol. Addendum. Compilation and accounting information by Party</i>

(d) Capacity-building under the Kyoto Protocol

56. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

57. *Action:* The CMP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of a draft decision for adoption by the CMP at its fifth session.

(e) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol:

58. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

59. *Action:* The CMP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the CMP at its fifth session.

(f) Matters relating to Article 2, paragraph 3, of the Kyoto Protocol

60. *Background:* See the SBSTA 31 provisional agenda and annotations (FCCC/SBSTA/2009/4).

61. *Action:* The CMP will be invited to refer this sub-item to the SBSTA for its consideration and for recommendation of draft decisions or conclusions for adoption by the CMP at its fifth session.

12. Administrative, financial and institutional matters

(a) Budget performance in the biennium 2008–2009

62. *Background:* See the SBI 31 provisional agenda and annotations (FCCC/SBI/2009/9).

63. *Action:* The CMP will be invited to refer this sub-item to the SBI for its consideration and for recommendation of draft decisions or conclusions for adoption by the CMP at its fifth session.

(b) Programme budget for the biennium 2010–2011

64. *Background:* The SBI, at its thirtieth session, recommended a draft decision on this issue for adoption by the CMP at its fifth session (FCCC/SBI/2009/8/Add.1).

65. *Action:* The CMP will be invited to adopt the recommended draft decision mentioned in paragraph 64 above.

13. Other matters referred to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol by the subsidiary bodies

66. *Background:* Any matters concerning the Kyoto Protocol referred by the subsidiary bodies for the attention of the CMP may be taken up under this item, including draft decisions and conclusions completed at the thirtieth and thirty-first sessions of the subsidiary bodies.

67. *Action:* The CMP will be invited to adopt draft decisions or conclusions pertaining to the Kyoto Protocol forwarded by the SBSTA or the SBI at their thirtieth and thirty-first sessions, including a possible draft decision on an updated training programme for members of expert review teams participating in annual reviews under Article 8 of the Kyoto Protocol.

14. High-level segment

68. The high-level segment will be held from 16 to 18 December 2009. National statements by ministers and other heads of delegation will be heard in joint meetings of the COP and the CMP on 16 and 17 December. Full texts of the official statements will be circulated if sufficient numbers of copies are provided to the secretariat in the course of the session.

69. Given the number of Parties and the limited amount of time available for statements, it will be necessary to limit the duration of each statement. The recommended time limit is three minutes. Statements on behalf of groups, where the other members of the group do not speak, are strongly encouraged and additional time will be provided for these.

70. The list of speakers will be open from 23 October to 20 November 2009.¹² Information about the speakers' list, including a registration form, will be sent to Parties in the notification for the sessions.

71. Further information on the high-level segment will be made available in an addendum to this document after consideration by the Bureau and the host Government of COP 15.

15. Statements by observer organizations

72. Representatives of intergovernmental organizations and non-governmental organizations will be invited to address the CMP. Further information will be made available.

16. Other matters

73. Any other matters for the attention of the CMP will be taken up under this item.

¹² Enquiries regarding this list may be directed to the Office of External Relations at the UNFCCC secretariat by telephone (+49 228 815 1520 or 1506), fax (+49 228 815 1999) or e-mail <secretariat@unfccc.int>.

17. Conclusion of the session

(a) Adoption of the report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its fifth session

74. *Background:* A draft report on the work of the session will be prepared for adoption by the CMP at the end of the session.

75. *Action:* The CMP will be invited to adopt the draft report and authorize the Rapporteur to complete the report after the session under the guidance of the President and with the assistance of the secretariat.

(b) Closure of the session

76. The President will declare the session closed.

Annex

Documents before the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifth session

Documents prepared for the session

FCCC/KP/CMP/2009/1 and Add.1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/CMP/2009/2	Proposal from the Czech Republic and the European Commission on behalf of the European Community and its member States for an amendment to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/3	Proposal from Tuvalu for an amendment to the Kyoto Protocol with respect to immunities for individuals serving on constituted bodies established under the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/4	Proposal from Tuvalu for amendments to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/5	Proposal from the Philippines for amendments to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/6	Proposal from New Zealand for an amendment to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/7	Proposal from Algeria, Benin, Brazil, Burkina Faso, Cameroon, Cape Verde, China, Congo, Democratic Republic of the Congo, El Salvador, Gambia, Ghana, India, Indonesia, Kenya, Liberia, Malawi, Malaysia, Mali, Mauritius, Mongolia, Morocco, Mozambique, Nigeria, Pakistan, Rwanda, Senegal, Seychelles, Sierra Leone, South Africa, Sri Lanka, Swaziland, Togo, Uganda, United Republic of Tanzania, Zambia and Zimbabwe for an amendment to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/8	Proposal from Colombia for amendments to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/9	Proposal from Belarus for amendments to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/10	Proposal from Australia for amendments to the Kyoto Protocol. Note by the secretariat

FCCC/KP/CMP/2009/11	Proposal from Japan for an amendment to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/12	Proposal from the Plurinational State of Bolivia on behalf of Malaysia, Paraguay and the Bolivarian Republic of Venezuela for an amendment to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/13	Proposal from Papua New Guinea for amendments to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/14	Report of the Adaptation Fund Board. Note by the Chair of the Adaptation Fund Board
FCCC/KP/CMP/2009/15	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/15/Add.1	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol. Note by the secretariat. Addendum. Completion and accounting information by Party
FCCC/KP/CMP/2009/16	Annual report of the Executive Board of the clean development mechanism to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol
FCCC/KP/CMP/2009/17	Annual report of the Compliance Committee to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol
FCCC/KP/CMP/2009/18	Annual report of the Joint Implementation Supervisory Committee to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol
FCCC/KP/CMP/2009/19	Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat

Other documents before the session

FCCC/CP/1996/2	Organizational matters: Adoption of the rules of procedure. Note by the secretariat
FCCC/SBSTA/2009/3 and Add.1	Report of the Subsidiary Body for Scientific and Technological Advice on its thirtieth session, held in Bonn from 1 to 10 June 2009
FCCC/SBSTA/2009/4	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2009/8 and Add. 1	Report of the Subsidiary Body for Implementation on its thirtieth session, held in Bonn from 1 to 10 June 2009

FCCC/SBI/2009/9	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/AWG/2009/5	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its seventh session, held in Bonn from 29 March to 8 April 2009
FCCC/KP/AWG/2009/9	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its eighth session, held in Bonn from 1 to 12 June 2009
FCCC/KP/AWG/2009/X	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/AWG/2009/X	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its ninth session, held in Bangkok from 28 September to 9 October 2009, and Barcelona from 2 to 6 November 2009



**UNITED
NATIONS**



**Framework Convention
on Climate Change**

Distr.
GENERAL

FCCC/SBI/2009/9
2 September 2009

Original: ENGLISH

SUBSIDIARY BODY FOR IMPLEMENTATION

Thirty-first session

Copenhagen, 7–18 December 2009*

Item 2 (a) of the provisional agenda

Organizational matters

Adoption of the agenda

Provisional agenda and annotations

Note by the Executive Secretary

I. Provisional agenda

1. Opening of the session.
2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session;
 - (c) Election of officers other than the Chair;
 - (d) Election of replacement officers.
3. National communications and greenhouse gas inventory data from Parties included in Annex I to the Convention:
 - (a) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2007;
 - (b) Status report on the review of fourth national communications and preparations for the review of fifth national communications.
4. National communications from Parties not included in Annex I to the Convention:
 - (a) Provision of financial and technical support;

* Exact dates within the sessional period are subject to confirmation.

- (b) Information contained in national communications from Parties not included in Annex I to the Convention;¹
 - (c) Further implementation of Article 12, paragraph 5, of the Convention.
5. Financial mechanism of the Convention:
 - (a) Fourth review of the financial mechanism;
 - (b) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility;
 - (c) Assessment of the Special Climate Change Fund.
 6. Matters relating to Article 4, paragraphs 8 and 9, of the Convention:
 - (a) Progress on the implementation of decision 1/CP.10;
 - (b) Matters relating to the least developed countries.
 7. Development and transfer of technologies.
 8. Capacity-building under the Convention.
 9. Capacity-building under the Kyoto Protocol.
 10. Reporting and review of information submitted by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol.
 11. Matters relating to Article 3, paragraph 14, of the Kyoto Protocol.
 12. Report of the administrator of the international transaction log under the Kyoto Protocol.
 13. Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol.
 14. Administrative, financial and institutional matters:
 - (a) Budget performance for the biennium 2008–2009;
 - (b) Continuing review of the functions and operations of the secretariat;
 - (c) Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol.
 15. Other matters.
 16. Report on the session.

¹ At the thirtieth session of the Subsidiary Body for Implementation (SBI), there was no consensus to include this item on the agenda. It was therefore held in abeyance. On a proposal by the Chair, the SBI decided to include this item on the provisional agenda of its thirty-first session.

II. Annotations to the provisional agenda

1. Opening of the session

1. The thirty-first session of the Subsidiary Body for Implementation (SBI) is scheduled to be opened by the Chair. The exact date is subject to confirmation.

2. Organizational matters

(a) Adoption of the agenda

2. The provisional agenda for the session will be presented for adoption.

FCCC/SBI/2009/9	Provisional agenda and annotations. Note by the Executive Secretary
-----------------	---

(b) Organization of the work of the session

3. *Background:* The thirty-first session of the SBI will be held in conjunction with the fifteenth session of the Conference of the Parties (COP) and the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP). A detailed schedule of the session will be posted on the UNFCCC website.

4. Given that several bodies will be meeting during the sessional period, the time available for contact groups and informal consultations will be very limited. To maximize the use of meeting time, the Chairs of the subsidiary bodies may propose that the co-chairs of negotiating groups facilitate agreement by tabling initial draft conclusions at the first meeting of the negotiating groups, based on relevant submissions and statements made during plenary meetings, and taking into account any previous negotiations and/or conclusions. In addition, the Chairs may, in consultation with Parties, propose additional time-saving measures and identify items that could be referred to future sessions without in-depth consideration or the need to establish negotiating groups. The Chairs may also seek to identify items that may result in procedural conclusions without establishing negotiating groups.

5. The SBI, at its thirtieth session,² agreed that all meetings end by 6 p.m., particularly to give Parties and regional groups sufficient time to prepare for daily meetings, but may, in exceptional circumstances, and on a case by case basis, continue for two to three hours. The session will be organized taking this into account. In order to enable delegations to participate fully in other meetings taking place in parallel, the SBI will be invited to conduct its deliberations as efficiently as possible, including to optimize time used for plenary and for informal negotiations, and to finish its work within the time foreseen. Priority will be given to issues requiring a decision or action at SBI 31, the fifteenth session of the COP or the fifth session of the CMP. Items that are not concluded at this session will be forwarded to the SBI for consideration at its thirty-second or thirty-third session.

6. In accordance with the conclusions adopted by the SBI at its twenty-fourth session,³ representatives of Parties and international organizations are requested to keep their oral statements as brief as possible. Those representatives wishing to make available a written statement should bring copies for distribution.

7. Parties are invited to refer to the overview of the session posted on the UNFCCC website and to consult the Daily Programme, published during the session, for a detailed and up-to-date schedule of the work of the SBI.

² FCCC/SBI/2009/8, paragraph 115.

³ FCCC/SBI/2006/11, paragraph 102.

8. When considering relevant agenda items, Parties are also invited to take into account information contained in document FCCC/SB/2007/INF.2, on the relationship of various provisions of the Mauritius Strategy for the Further Implementation of the Programme of Action for the Sustainable Development of Small Island Developing States to the work of the Convention and its Kyoto Protocol.

9. *Action:* The SBI will be invited to agree on the organization of the work of the session.

FCCC/SBI/2009/9	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
-----------------	--

(c) Election of officers other than the Chair

10. *Background:* Pursuant to rule 27 of the draft rules of procedure⁴ being applied, the SBI shall elect its Vice Chair and Rapporteur. At the request of the President of the COP at its fourteenth session, consultations with the coordinators of the regional groups were initiated at SBI 30, together with the consultations on the election of members of other Convention and Kyoto Protocol bodies. If necessary, further consultations will be held during the session. Parties are invited to recall decision 36/CP.7 and to give active consideration to the nomination of women for elective posts in any body established under the Convention or its Kyoto Protocol. The current officers of the SBI will remain in office until their successors are elected.

11. *Action:* The SBI will be invited to elect its Vice Chair and Rapporteur at the earliest opportunity following completion of consultations.

(d) Election of replacement officers

12. *Background:* Pursuant to Article 15, paragraph 3, of the Kyoto Protocol, when the SBI exercises its functions with regard to matters concerning the Kyoto Protocol, any member of its Bureau representing a State that is a Party to the Convention but, at that time, not a Party to the Kyoto Protocol, shall be replaced by an additional member to be elected by and from among the Parties to the Protocol. If necessary, further consultations with the coordinators of the regional groups will be undertaken.

13. *Action:* If necessary, the SBI will be invited to elect additional officers to replace the Vice-Chair and/or Rapporteur representing a State that is a Party to the Convention but not a Party to the Kyoto Protocol.

3. National communications and greenhouse gas inventory data from Parties included in Annex I to the Convention

(a) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2007

14. *Background:* The COP, by its decision 19/CP.8, requested the secretariat to provide information relating to greenhouse gas (GHG) inventory data submitted by Parties included in Annex I to the Convention (Annex I Parties) taken from the latest available inventory submissions for consideration by the COP and the subsidiary bodies. The secretariat has prepared such a document annually since 2003, containing statistics on inventory submissions from Annex I Parties, summaries of GHG emissions/removals data for individual Annex I Parties, and some indicative trends for all Annex I Parties taken together, for Annex I Parties with economies in transition and for remaining Annex I Parties. This year's document covers the period from 1990 to 2007.

⁴ FCCC/CP/1996/2.

15. *Action:* The SBI will be invited to take note of the document mentioned below.

FCCC/SBI/2009/12	<i>National greenhouse gas inventory data for the period 1990–2007. Note by the secretariat</i>
------------------	---

- (b) Status report on the review of fourth national communications and preparations for the review of fifth national communications

16. *Background:* The COP, by its decision 7/CP.11, requested the secretariat to organize centralized reviews of fourth national communications, submitted in accordance with decision 4/CP.8, and to conduct an in-country, in-depth review of the communications for those Parties that request one. In May 2009, the secretariat coordinated centralized reviews of 11 national communications, which concludes the review of all submitted fourth national communications. The report on the status of submission and review of fourth national communications is contained in document FCCC/SBI/2009/INF.9.

17. The COP, by its decision 10/CP.13, requested Annex I Parties to submit to the secretariat a fifth national communication by 1 January 2010 in accordance with Article 12, paragraphs 1 and 2, of the Convention, with a view to submitting the sixth national communication four years after this date. Each fifth national communication will be subject to an in-depth review in accordance with decisions 2/CP.1, 6/CP.3 and 11/CP.4. This includes in-depth reviews of each fifth national communication submitted by Annex I Parties and compilation and synthesis by the secretariat of information contained in the fifth national communications for consideration by the COP, and of supplementary information under Article 7, paragraph 2, of the Kyoto Protocol for consideration by the CMP.

18. The COP, by the same decision, agreed to consider the date of submission of sixth national communications of Annex I Parties at its fifteenth session, at the latest.

19. *Action:* The SBI will be invited to take note of the report on the status of submission and review of fourth national communications mentioned below. The SBI will also be invited to prepare a draft decision on the compilation and synthesis of fifth national communications and the date of submission of sixth national communications by Annex I Parties for adoption by the COP at its fifteenth session. The SBI will be further invited to prepare a draft decision on the compilation and synthesis of supplementary information under Article 7, paragraph 2, of the Kyoto Protocol, contained in fifth national communications, for adoption by the CMP at its fifth session.

FCCC/SBI/2009/INF.9	<i>Status of submission and review of fourth national communications and of reports demonstrating progress. Note by the secretariat</i>
---------------------	---

4. National communications from Parties not included in Annex I to the Convention

- (a) Provision of financial and technical support

20. *Background:* In accordance with decision 10/CP.2, paragraph 1 (b), the secretariat is requested to make available to the SBI, at each of its sessions, details of the financial support made available to Parties not included in Annex I of the Convention (non-Annex I Parties) by the Global Environment Facility (GEF) for the preparation of their national communications. The SBI, at its thirtieth session, invited the GEF to continue to provide information on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approval of funding and disbursement of funds.⁵ This information will be presented to the SBI at its thirty-first session. The SBI also reiterated the request to the GEF made by the COP in its decisions 7/CP.13 and 4/CP.14 to assist, as

⁵ FCCC/SBI/2009/8, paragraph 16.

appropriate, non-Annex I Parties in formulating and developing project proposals identified in their national communications.⁶ The SBI invited the GEF to report on such project proposals to the COP at its fifteenth session.

21. *Action:* The SBI will be invited to consider the information provided by the GEF, contained in the documents below, and to make recommendations thereon.

FCCC/SBI/2009/INF.11	<i>Information on financial support provided by the Global Environment Facility for the preparation of national communications from Parties not included in Annex I to the Convention. Note by the secretariat</i>
FCCC/CP/2009/9	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>

(b) Information contained in national communications from Parties not included in Annex I to the Convention⁷

22. *Background:* At SBI 24, Australia, on behalf of the Umbrella Group, the European Community and its member States, and Bosnia and Herzegovina, Romania, Serbia and Montenegro, and Switzerland, proposed that, in accordance with the requirements of Article 10, paragraph 2, of the Convention, the SBI should consider the information communicated by non-Annex I Parties in all of their national communications, including their second and, where appropriate, subsequent national communications.⁸

23. *Action:* The SBI will be invited to provide guidance on how to further develop the process for considering information contained in national communications from non-Annex I Parties, in accordance with the requirements of Article 10, paragraph 2, of the Convention.

(c) Further implementation of Article 12, paragraph 5, of the Convention

24. *Background:* The COP, by its decision 8/CP.11, decided to discuss the further implementation of Article 12, paragraph 5, of the Convention at its fifteenth session.

25. *Action:* The SBI will be invited to undertake deliberations on the further implementation of Article 12, paragraph 5, of the Convention.

5. Financial mechanism of the Convention

(a) Fourth review of the financial mechanism

26. *Background:* The COP, by its decision 3/CP.14, decided that the fourth review of the financial mechanism shall be conducted on the basis of the guidelines contained in the annex to decision 3/CP.4 and in the annex to decision 6/CP.13. It requested the SBI to recommend, in accordance with decision 2/CP.12, a draft decision on the review for adoption by the COP at its fifteenth session. The SBI considered this request at its thirtieth session but was unable to finalize its deliberations. It decided to continue its consideration of this matter at its thirty-first session on the basis of draft text contained in annex I to the report of the SBI at its thirtieth session.⁹ At the same session, the SBI invited Parties to submit to the secretariat their views on the operation of funds under the GEF as an operating entity of the financial mechanism, as well as the Special Climate Change Fund (SCCF) and the Least Developed

⁶ FCCC/SBI/2009/8, paragraph 19.

⁷ At the thirtieth session of the SBI, there was no consensus to include this item on the agenda. It was therefore held in abeyance. On a proposal by the Chair, the SBI decided to include this item on the provisional agenda of its thirty-first session.

⁸ FCCC/SBI/2006/11, paragraph 32.

⁹ FCCC/SBI/2009/8.

Countries Fund, for compilation into a miscellaneous document to inform the fourth review of the financial mechanism. These submissions are compiled in document FCCC/SBI/2009/MISC.10.

27. *Action:* The SBI will be invited to continue its deliberations on this matter with a view to recommending a draft decision for adoption by the COP at its fifteenth session.

<i>FCCC/SBI/2009/MISC.10</i>	<i>The operation of funds under the Global Environment Facility as an operating entity of the financial mechanism, as well as the Special Climate Change Fund and the Least Developed Countries Fund. Submissions from Parties</i>
------------------------------	--

(b) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility

28. *Background:* The COP, by its decision 4/CP.14, requested the GEF to make available in its regular reports to the COP information in response to the guidance the COP had provided to the GEF. In particular, it requested the GEF to provide information relating to the co-financing of projects and funding for projects identified in the national communications of non-Annex I Parties. By the same decision, the COP requested the GEF to address issues relating to allocation of, and access to, GEF resources and to ensure that adequate resources are made available to support the preparation of national communications from non-Annex I Parties and the implementation of capacity-building. It further requested the GEF to work with its implementing agencies to continue to simplify their procedures and improve effectiveness and efficiency in processing project funding.

29. *Action:* The SBI will be invited to consider the annual report of the GEF below with a view to recommending a draft decision for adoption by the COP at its fifteenth session.

<i>FCCC/CP/2009/9</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
-----------------------	--

(c) Assessment of the Special Climate Change Fund

30. *Background:* The COP, by its decision 1/CP.12, decided to assess, at its fifteenth session, the status of implementation of paragraph 2 (a–e) of that decision, with a view to considering further guidance on how the SCCF shall support concrete implementation projects relating to response measures, in accordance with paragraphs 22–29 of decision 5/CP.7. In this context, the SBI, at its thirtieth session, invited Parties to submit to the secretariat their views and recommendations on the aforementioned assessment. These views and recommendations are compiled in document FCCC/SBI/2009/MISC.9.

31. *Action:* The SBI will be invited to prepare a draft decision on this sub-item for adoption by the COP at its fifteenth session.

<i>FCCC/SBI/2009/MISC.9</i>	<i>The assessment of the implementation of paragraph 2 (a–e) of decision 1/CP.12 (guidance for the operation of the Special Climate Change Fund). Submissions from Parties</i>
-----------------------------	--

6. Matters relating to Article 4, paragraphs 8 and 9, of the Convention

(a) Progress on the implementation of decision 1/CP.10

32. *Background:* The SBI, at its thirtieth session, noted the views of Parties on the status of implementation of Article 4, paragraph 8, of the Convention and decisions 5/CP.7 and 1/CP.10 and acknowledged that further work is needed on this matter.

33. At the same session, the SBI requested its Chair to prepare a draft decision on further actions, based on the draft text prepared by the chair of the contact group on this matter at SBI 29,¹⁰ the Chair's

¹⁰ FCCC/SBI/2009/8, annex II.

summary of the round table held at SBI 29,¹¹ submissions from Parties and relevant organizations,¹² documents referred to in annex III to the report of the SBI on its twenty-eight session,¹³ and further submissions as mentioned in paragraph 34 below.

34. The SBI invited Parties and relevant organizations to submit to the secretariat, by 28 September 2009, their views on possible further actions on this matter.¹⁴ These submissions are compiled in document FCCC/SBI/2009/MISC.11.

35. *Action:* The SBI will be invited to consider the draft decision text prepared by its Chair mentioned in paragraph 33 above, with a view to recommending a draft decision for adoption by the COP at its sixteenth session.

FCCC/SBI/2009/MISC.11 Possible further action on the implementation of Article 4, paragraph 8, of the Convention and decisions 5/CP.7 and 1/CP.10. Submissions from Parties and relevant organizations

(b) Matters relating to the least developed countries

36. *Background:* The COP, by its decision 8/CP.13, extended the mandate of the Least Developed Countries Expert Group (LEG) under the terms of reference adopted by decision 29/CP.7.

37. In accordance with its mandate, the LEG is scheduled to conduct its sixteenth meeting in Bangkok, Thailand, from 24 to 26 September 2009. At this meeting, the LEG will take stock of its work programme for 2008–2010 and plan specific activities for the rest of 2009 and 2010, taking into account further guidance provided on the work programme of the LEG at SBI 29¹⁵ and SBI 30,¹⁶ as well as the decision 5/CP.14 and the conclusions of the SBI at its twenty-ninth session on the Least Developed Countries Fund.¹⁷

38. *Action:* The SBI will be invited to consider the report of the LEG below and provide guidance thereon.

FCCC/SBI/2009/13 Report on the sixteenth meeting of the Least Developed Countries Expert Group. Note by the secretariat

7. Development and transfer of technologies

39. *Background:* The COP, by its decision 3/CP.13, agreed to reconstitute the Expert Group on Technology Transfer (EGTT) for a further five years with the terms of reference contained in annex II to that decision.¹⁸ The SBI and the Subsidiary Body for Scientific and Technological Advice (SBSTA), at their twenty-eighth sessions, endorsed a two-year rolling programme of work of the EGTT (2008–2009) as specified in its terms of reference. The EGTT will propose its next two-year rolling programme of work for endorsement by the SBI and the SBSTA at their thirty-first sessions, in line with the terms of reference contained in annex II to decision 3/CP.13. The programme of work of the EGTT for 2010–2011 is contained in document FCCC/SB/2009/INF.6.

¹¹ FCCC/SBI/2009/8, annex III.

¹² FCCC/SBI/2008/MISC.4, FCCC/SBI/2008/MISC.9 and Add.1 and FCCC/SBI/2008/MISC.10.

¹³ FCCC/SBI/2008/8.

¹⁴ The SBI at its thirtieth session also invited Parties and relevant organizations to make further submissions by 22 March 2010 for consideration at its thirty-second session.

¹⁵ FCCC/SBI/2008/19, paragraphs 52–61.

¹⁶ FCCC/SBI/2009/8, paragraphs 52–60.

¹⁷ FCCC/SBI/2008/19, paragraphs 41–43.

¹⁸ Decision 3/CP.13, paragraph 3.

40. At the same session, the COP requested the EGTT to make available a draft report with a set of performance indicators to the SBI and the SBSTA for consideration at their thirtieth sessions, in order to make its final report available to the COP at its fifteenth session.¹⁹ The SBI and the SBSTA, at their thirtieth sessions, noted that the final report of the EGTT on performance indicators would be made available for their consideration at their thirty-first sessions, and that the report will contain a set of indicators that could be used by the SBI as one of the tools to conduct the review and assessment of the effectiveness of the implementation of Article 4, paragraphs 1(c) and 5, of the Convention, and to regularly monitor and evaluate the effectiveness of the implementation of the technology transfer framework, as requested by decision 4/CP.13.²⁰ The final report of the EGTT on performance indicators is contained in document FCCC/SB/2009/4 and Summary.

41. The COP, by its decision 2/CP.14, welcomed the Poznan strategic programme on technology transfer proposed by the GEF.²¹ It requested the GEF to provide interim reports to the SBI at its thirtieth and thirty-first sessions on the progress made in carrying out the strategic programme, with a view to assessing its progress and future direction in order to help inform Parties in their consideration of long-term needs for implementation of the programme. At its thirtieth session, the SBI requested the GEF to expedite its work in carrying out the Poznan strategic programme on technology transfer, particularly in providing financial support for developing country Parties in conducting and updating their technology needs assessments and in acting on the results. The second interim report of the GEF is contained in document FCCC/SBI/2009/14.

42. *Action:* The SBI will be invited to:

- (a) Endorse the two-year rolling programme of work of the EGTT for 2010–2011 and to provide further guidance to the EGTT on its future work;
- (b) Consider the final report on performance indicators of the EGTT and determine any appropriate action arising from it;
- (c) Consider the interim report of the GEF and determine any further actions arising from it.

<i>FCCC/SB/2009/INF.6</i>	<i>Report of the Expert Group on Technology Transfer for 2009. Note by the Chair of the Expert Group on Technology Transfer</i>
<i>FCCC/SB/2009/4</i>	<i>Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. Final report by the Chair of the Expert Group on Technology Transfer</i>
<i>FCCC/SB/2009/4/Summary</i>	<i>Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. Final report by the Chair of the Expert Group on Technology Transfer. Summary</i>
<i>FCCC/SBI/2009/14</i>	<i>Second interim report of the Global Environment Facility on the progress made in carrying out the Poznan strategic programme on technology transfer. Note by the secretariat</i>

8. Capacity-building under the Convention

43. *Background:* The COP, by its decision 2/CP.10, decided to initiate a second comprehensive review of the implementation of the framework for capacity-building in developing countries adopted under decision 2/CP.7 at the twenty-eighth session of the SBI with a view to completing it at the fifteenth session of the COP.

¹⁹ Decision 3/CP.13, annex II, paragraph 3 (c).

²⁰ FCCC/SBI/2009/8, paragraph 68.

²¹ FCCC/SBI/2008/16.

44. The COP, by its decision 6/CP.14, requested the SBI to prepare, at its thirtieth session, in accordance with the terms of reference for the second comprehensive review of the implementation of the capacity-building framework,²² a draft decision on the outcome of this review for adoption by the COP at its fifteenth session. By the same decision, the COP decided to take into account, in the second comprehensive review, recommendations made by the SBI at its thirtieth session on further steps to regularly monitor and evaluate capacity-building activities undertaken pursuant to decisions 2/CP.7 and 4/CP.12.

45. The SBI, at its thirtieth session, considered this item on the basis of reports prepared by the secretariat in response to requests from the SBI at its twenty-eighth²³ and twenty-ninth sessions²⁴ and other documents containing information and views submitted by Parties, intergovernmental organizations (IGOs) and non-governmental organizations (NGOs). The SBI was unable to finalize its deliberations and decided to continue consideration of matters under this item at its thirty-first session.

46. The COP, by its decision 4/CP.12:

- (a) Invited Parties to submit annually information on activities undertaken to implement decisions 2/CP.7 and 2/CP.10, including elements such as needs and gaps, experiences and lessons learned;
- (b) Requested the secretariat to produce an annual synthesis report in accordance with decision 2/CP.7, paragraph 9, drawing upon submissions from Parties and information contained in national adaptation programmes of action, technology needs assessments and national capacity self-assessments;
- (c) Requested the GEF to provide an annual report on its progress in support of the implementation of the capacity-building framework in its reports to the COP.

47. *Action:* The SBI will be invited to continue its deliberations on this matter, taking into account the documents referred to in paragraph 46 above and listed below, with a view to recommending a draft decision on the outcome of the second comprehensive review of the capacity-building framework for adoption by the COP at its fifteenth session.

<i>FCCC/SBI/2009/4</i>	<i>Analysis of progress made in, and the effectiveness of, the implementation of the framework for capacity-building in developing countries in support of the second comprehensive review of the capacity-building framework. Note by the secretariat</i>
<i>FCCC/SBI/2009/5</i>	<i>Synthesis of experiences and lessons learned in the use of performance indicators for monitoring and evaluating capacity-building at the national and global levels. Note by the secretariat</i>
<i>FCCC/SBI/2009/MISC.1</i>	<i>Information on experiences and lessons learned in the use of performance indicators for monitoring and evaluating capacity-building at the national and global levels. Submissions from Parties and intergovernmental organizations</i>
<i>FCCC/SBI/2009/MISC.2</i>	<i>Additional or updated information and views relevant to the completion of the second comprehensive review of the capacity-building framework. Submissions from Parties</i>

²² FCCC/SBI/2008/8, annex IV.

²³ FCCC/SBI/2008/8, paragraph 73.

²⁴ FCCC/SBI/2008/19, paragraph 90.

<i>FCCC/CP/2009/9</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>FCCC/SBI/2009/10</i>	<i>Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat</i>
<i>FCCC/SBI/2009/MISC.8</i>	<i>Activities to implement the framework for capacity-building in developing countries under decision 2/CP.7. Submissions from Parties and relevant organizations</i>

9. Capacity-building under the Kyoto Protocol

48. *Background:* The COP, by its decision 2/CP.10, decided to initiate a second comprehensive review of the implementation of the capacity-building framework at the twenty-eighth session of the SBI with a view to completing it at the fifteenth session of the COP.

49. The CMP, by its decision 6/CMP.4:

- (a) Acknowledged that the comprehensive review of the implementation of the capacity-building framework under the Convention is also applicable for capacity-building relating to the implementation of the Kyoto Protocol;
- (b) Requested the SBI to prepare, at its thirtieth session, in accordance with the terms of reference for the second comprehensive review of the implementation of the capacity-building framework,²⁵ a draft decision on the outcome of this review for adoption by the CMP at its fifth session;
- (c) Decided to take into account, in the second comprehensive review, recommendations made by the SBI at its thirtieth session on further steps to regularly monitor and evaluate capacity-building activities undertaken pursuant to decisions 2/CP.7, 29/CMP.1 and 6/CMP.2.

50. The SBI, at its thirtieth session, considered this item on the basis of reports prepared by the secretariat in response to requests from the SBI at its twenty-eighth²⁶ and twenty-ninth sessions²⁷ and other documents containing information and views submitted by Parties, IGOs and NGOs. The SBI was unable to finalize its deliberations and decided to continue consideration of matters under this item at its thirty-first session.

51. The CMP, by its decision 6/CMP.2:

- (a) Invited Parties to submit annually information on activities undertaken to implement decision 29/CMP.1;
- (b) Invited relevant multilateral and bilateral agencies and the private sector to provide annual reports on their support of the implementation of capacity-building activities undertaken pursuant to decision 29/CMP.1, in accordance with national priorities and with the knowledge of relevant national authorities;
- (c) Requested the secretariat to produce a synthesis report based on the annual submission of information, as well as information on activities of the Executive Board of the clean

²⁵ As footnote 23 above.

²⁶ As footnote 24 above.

²⁷ As footnote 25 above.

development mechanism (CDM) relating to regional distribution of CDM project activities and related capacity-building.

52. *Action:* The SBI will be invited to continue its deliberations on this issue, taking into account the documents referred to in paragraph 51 above and listed below, with a view to recommending a draft decision on the outcome of the second comprehensive review of the capacity-building framework for adoption by the CMP at its fifth session.

<i>FCCC/SBI/2009/4</i>	<i>Analysis of progress made in, and the effectiveness of, the implementation of the framework for capacity-building in developing countries in support of the second comprehensive review of the capacity-building framework. Note by the secretariat</i>
<i>FCCC/SBI/2009/5</i>	<i>Synthesis of experiences and lessons learned in the use of performance indicators for monitoring and evaluating capacity-building at the national and global levels. Note by the secretariat</i>
<i>FCCC/SBI/2009/MISC.1</i>	<i>Information on experiences and lessons learned in the use of performance indicators for monitoring and evaluating capacity-building at the national and global levels. Submissions from Parties and intergovernmental organizations</i>
<i>FCCC/SBI/2009/MISC.2</i>	<i>Additional or updated information and views relevant to the completion of the second comprehensive review of the capacity-building framework. Submissions from Parties</i>
<i>FCCC/SBI/2009/10</i>	<i>Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat</i>
<i>FCCC/SBI/2009/MISC.8</i>	<i>Activities to implement the framework for capacity-building in developing countries under decision 2/CP.7. Submissions from Parties and relevant organizations</i>

10. Reporting and review of information submitted by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol

53. *Background:* The CMP, by its decision 22/CMP.1, decided that each review prior to the first commitment period (known as the initial review)²⁸ shall be initiated upon receipt of the report under the Kyoto Protocol submitted by Annex I Parties in accordance with decision 13/CMP.1 (known as the initial report). The CMP also decided that this review shall be completed within 12 months of its initiation and that a report shall be forwarded expeditiously to the CMP and the Compliance Committee.

54. As at 31 August 2009, 39 Annex I Parties had submitted their initial reports. Expert review teams coordinated by the secretariat have conducted 38 initial reviews. The report on the status of submission of the initial reports and the review thereof, including publication dates of the reports and the dates of their submission to the CMP and the Compliance Committee, is contained in document FCCC/SBI/2009/INF.8.

55. The CMP, by its decision 15/CMP.1, decided that each Annex I Party, bearing in mind Article 7, paragraph 3, of the Kyoto Protocol and the needs of the review under Article 8 of the Kyoto Protocol, shall start reporting the information under Article 7, paragraph 1, of the Kyoto Protocol with the inventory submission due under the Convention for the first year of the commitment period after the

²⁸ According to Article 8 of the Kyoto Protocol, information submitted by Annex I Parties under Article 7 shall be subject to review.

Protocol has entered into force for that Party, but may start reporting this information from the year following the submission of the initial report on a voluntary basis.

56. The CMP also decided, by its decision 22/CMP.1, to start the annual review in the year following the submission of the initial report for those Annex I Parties that started reporting information under Article 7, paragraph 1, on a voluntary basis earlier than required under Article 7, paragraph 3.

57. Document FCCC/SBI/2009/INF.8 contains information on the status of submission, on a voluntary basis, of the annual information required under Article 7, paragraph 1, and its review, including information on GHG inventories of Annex I Parties that are also Parties to the Kyoto Protocol.

58. *Action:* The SBI will be invited to take note of the information contained in document FCCC/SBI/2009/INF.8.

<i>FCCC/SBI/2009/INF.8</i>	<i>Status of submission and review of the initial reports submitted in accordance with decision 13/CMP.1 and the annual information required under Article 7 of the Kyoto Protocol. Note by the secretariat</i>
----------------------------	---

11. Matters relating to Article 3, paragraph 14, of the Kyoto Protocol

59. *Background:* The SBI, at its thirtieth session,²⁹ considered this agenda item with the SBSTA agenda item “Matters relating to Article 2, paragraph 3, of the Kyoto Protocol” in a joint contact group. At the same session, the SBI and the SBSTA agreed to continue discussing these matters in a joint contact group at their thirty-first sessions, based on the draft text annexed to their respective reports.³⁰

60. *Action:* The SBI will be invited to consider these matters with a view to agreeing on further action.

12. Report of the administrator of the international transaction log under the Kyoto Protocol

61. *Background:* The COP, by its decision 16/CP.10, requested the administrator of the international transaction log (ITL) to report annually to the CMP on organizational arrangements, activities and resource requirements and to make any necessary recommendations to enhance the operation of registry systems.

62. The CMP, by its decision 12/CMP.1, requested the SBI to consider, at its future sessions, annual reports of the administrator of the ITL, with a view to requesting the CMP to provide guidance, as necessary, in relation to the operation of registry systems.

63. The CMP, at its fourth session, requested the administrator of the ITL to compile sufficient information on transactions in the ITL and provide it in its annual reports for 2009 and 2010.³¹ The CMP also requested the ITL administrator to report on the activities planned for the future and the related resource requirements with a view to ensuring that adequate means are available to perform these activities.³²

64. *Action:* The SBI will be invited to take note of the information contained in the report of the administrator of the ITL for 2009 mentioned below.

<i>FCCC/KP/CMP/2009/19</i>	<i>Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat</i>
----------------------------	--

²⁹ FCCC/SBI/2009/8, paragraphs 92–96.

³⁰ FCCC/SBI/2009/8, annex IV and FCCC/SBSTA/2009/3, annex III.

³¹ FCCC/KP/CMP/2008/11, paragraph 67.

³² FCCC/KP/CMP/2008/11, paragraph 72.

13. Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol

65. *Background:* The CMP, by its decision 13/CMP.1, requested the secretariat to publish the annual compilation and accounting reports after completion of the initial review under Article 8 of the Kyoto Protocol and resolution of any question of implementation relating to adjustments under Article 5, paragraph 2, of the Kyoto Protocol, and to forward such reports to the CMP, the Compliance Committee and each Party concerned.

66. As at 31 August 2009, the initial review had been completed for 37 Annex I Parties included in Annex B to the Kyoto Protocol (Annex B Parties). At the time when this document was prepared, the initial review by the expert review team for Croatia was completed and forwarded to the Compliance Committee with questions of implementation. Belarus has submitted its initial report but the review of the report has not been initiated, because the amendment to include Belarus in Annex B to the Kyoto Protocol with a quantified emission reduction commitment of 92 per cent has not yet entered into force. The annual compilation and accounting report for Annex B Parties under the Kyoto Protocol therefore contains information for only 37 Annex B Parties.

67. The documents below contain final values for some of the initial accounting parameters recorded in the compilation and accounting database after completion of the initial review under the Kyoto Protocol. They also contain provisional information on: (1) total GHG emissions from the sources listed in Annex A to the Kyoto Protocol reported voluntarily for 2007; (2) total net anthropogenic emissions and removals of GHGs pursuant to decision 16/CMP.1 reported voluntarily for 2007; and (3) transactions and holdings of Kyoto Protocol units for the first year of the commitment period (2008).

68. *Action:* The SBI will be invited to take note of the information contained in the documents below.

<i>FCCC/KP/CMP/2009/15</i>	<i>Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol. Note by the secretariat</i>
<i>FCCC/KP/CMP/2009/15/Add.1</i>	<i>Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol. Addendum. Compilation and accounting information by Party. Note by the secretariat</i>

14. Administrative, financial and institutional matters

(a) Budget performance for the biennium 2008–2009

69. *Background:* A performance report on income and expenditure for the first three quarters of the biennium has been prepared to inform Parties of income received, expenditure incurred and results achieved as at 30 June 2009. This report is contained in document FCCC/SBI/2009/11. Information on the latest status of contributions by Parties, as at 15 November 2009, is contained in document FCCC/SBI/2009/INF.10.

70. *Action:* The SBI will be invited to take note of the information presented in the documents and any additional relevant oral information provided by the Executive Secretary, and decide on actions that may need to be included in draft decisions on administrative and financial matters to be recommended for adoption by the COP at its fifteenth session and by the CMP at its fifth session.

<i>FCCC/SBI/2009/11</i>	<i>Budget performance for the biennium 2008–2009 as at 30 June 2009. Note by the Executive Secretary</i>
<i>FCCC/SBI/2009/INF.10</i>	<i>Status of contributions as at 15 November 2009. Note by the secretariat</i>

(b) Continuing review of the functions and operations of the secretariat

71. *Background:* The SBI, at its twenty-first session,³³ decided to review the functions and operations of the secretariat under this sub-item annually.

72. *Action:* The SBI will be invited to take note of some relevant points covered in document FCCC/SBI/2009/11 on the budget performance of the secretariat, including programme delivery and other administrative issues prepared under agenda item 14 (a) and to provide guidance accordingly.

FCCC/SBI/2009/11

Budget performance for the biennium 2008–2009 as at 30 June 2009. Note by the Executive Secretary

(c) Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol

73. *Background:* The SBI, at its thirtieth session,³⁴ took note of the submissions from Parties made on privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol.³⁵ The SBI also took note of the draft treaty arrangements developed by the contact group, as contained in annex V to the report of the SBI on its thirtieth session. The SBI decided to continue the consideration of this sub-item at its thirty-first session, in accordance with rule 16 of the draft rules of procedure being applied.

74. *Action:* The SBI will be invited to continue its consideration of this sub-item.

15. Other matters

75. Any other matters arising during the session will be taken up under this item.

16. Report on the session

76. *Background:* A draft report on the work of the session will be prepared for adoption by the SBI at the end of the session.

77. *Action:* The SBI will be invited to adopt the draft report and authorize the Rapporteur to complete the report after the session, under the guidance of the Chair and with the assistance of the secretariat.

³³ FCCC/SBI/2004/19, paragraph 105.

³⁴ FCCC/SBI/2009/8, paragraph 148.

³⁵ FCCC/SBI/2009/MISC.5 and Add.1–3.

Annex**Documents before the Subsidiary Body for Implementation
at its thirty-first session****Documents prepared for the session**

FCCC/SBI/2009/9	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2009/10	Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat
FCCC/SBI/2009/11	Budget performance for the biennium 2008–2009 as at 30 June 2009. Note by the Executive Secretary
FCCC/SBI/2009/12	National greenhouse gas inventory data for the period 1990–2007. Note by the secretariat
FCCC/SBI/2009/13	Report on the sixteenth meeting of the Least Developed Countries Expert Group. Note by the secretariat
FCCC/SBI/2009/14	Second interim report of the Global Environment Facility on the progress made in carrying out the Poznan strategic programme on technology transfer. Note by the secretariat
FCCC/SBI/2009/INF.8	Status of submission and review of the initial reports submitted in accordance with decision 13/CMP.1 and the annual information required under Article 7 of the Kyoto Protocol. Note by the secretariat
FCCC/SBI/2009/INF.9	Status of submission and review of fourth national communications and of reports demonstrating progress. Note by the secretariat
FCCC/SBI/2009/INF.10	Status of contributions as at 15 November 2009. Note by the secretariat
FCCC/SBI/2009/INF.11	Information on financial support provided by the Global Environment Facility for the preparation of national communications from Parties not included in Annex I to the Convention. Note by the secretariat
FCCC/SBI/2009/MISC.8	Activities to implement the framework for capacity-building in developing countries under decision 2/CP.7. Submissions from Parties and relevant organizations
FCCC/SBI/2009/MISC.9	The assessment of the implementation of paragraph 2 (a–e) of decision 1/CP.12 (guidance for the operation of the Special Climate Change Fund). Submissions from Parties
FCCC/SBI/2009/MISC.10	The operation of funds under the Global Environment Facility as an operating entity of the financial mechanism, as well as the Special Climate Change Fund and the Least Developed Countries Fund. Submissions from Parties
FCCC/SBI/2009/MISC.11	Possible further action on the implementation of Article 4, paragraph 8, of the Convention and decisions 5/CP.7 and 1/CP.10. Submissions from Parties and relevant organizations

FCCC/SB/2009/4	Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. Final report by the Chair of the Expert Group on Technology Transfer
FCCC/SB/2009/4/Summary	Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. Final report by the Chair of the Expert Group on Technology Transfer. Summary
FCCC/SB/2009/INF.6	Report of the Expert Group on Technology Transfer for 2009. Note by the Chair of the Expert Group on Technology Transfer

Other documents before the session

FCCC/CP/2009/9	Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat
FCCC/KP/CMP/2009/15	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2009/15/Add.1	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol. Addendum. Compilation and accounting information by Party. Note by the secretariat
FCCC/KP/CMP/2009/19	Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat
FCCC/SBI/2009/4	Analysis of progress made in, and the effectiveness of, the implementation of the framework for capacity-building in developing countries in support of the second comprehensive review of the capacity-building framework. Note by the secretariat
FCCC/SBI/2009/5	Synthesis of experiences and lessons learned in the use of performance indicators for monitoring and evaluating capacity-building at the national and global levels. Note by the secretariat
FCCC/SBI/2009/MISC.1	Information on experiences and lessons learned in the use of performance indicators for monitoring and evaluating capacity-building at the national and global levels. Submissions from Parties and intergovernmental organizations
FCCC/SBI/2009/MISC.2	Additional or updated information and views relevant to the completion of the second comprehensive review of the capacity-building framework. Submissions from Parties
FCCC/SBI/2009/8	Report of the Subsidiary Body for Implementation on its thirtieth session, held in Bonn from 1 to 10 June 2009
FCCC/SBI/2008/19	Report of the Subsidiary Body for Implementation on its twenty-ninth session, held in Poznan, from 1 to 10 December 2008
FCCC/SB/2007/INF.2	Relationship of various provisions of the Mauritius Strategy to the work of the Convention and its Kyoto Protocol. Note by the secretariat



SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE
Thirty-first session
Copenhagen, 7–18 December 2009*

Item 2 (a) of the provisional agenda
Organizational matters
Adoption of the agenda

Provisional agenda and annotations

Note by the Executive Secretary

I. Provisional agenda

1. Opening of the session.
2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session;
 - (c) Election of officers other than the Chair;
 - (d) Election of replacement officers.
3. Nairobi work programme on impacts, vulnerability and adaptation to climate change.
4. Development and transfer of technologies.
5. Reducing emissions from deforestation in developing countries: approaches to stimulate action.
6. Research and systematic observation.
7. Methodological issues under the Convention:
 - (a) Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention;
 - (b) Emissions from fuel used for international aviation and maritime transport.

* Exact dates within the sessional period are subject to confirmation.

8. Methodological issues under the Kyoto Protocol:
 - (a) Implications of the establishment of new hydrochlorofluorocarbon-22 (HCFC-22) facilities seeking to obtain certified emission reductions for the destruction of hydrofluorocarbon-23 (HFC-23);
 - (b) Carbon dioxide capture and storage in geological formations as clean development mechanism project activities;
 - (c) Common metrics to calculate the CO₂ equivalence of greenhouse gases.
9. Matters relating to Article 2, paragraph 3, of the Kyoto Protocol.
10. Other matters.
11. Report on the session.

II. Annotations to the provisional agenda

1. Opening of the session

1. The thirty-first session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) is scheduled to be opened by the Chair. The exact date is subject to confirmation.

2. Organizational matters

- (a) Adoption of the agenda

2. The provisional agenda for the session will be presented for adoption.

FCCC/SBSTA/2009/4	Provisional agenda and annotations. Note by the Executive Secretary
-------------------	---

- (b) Organization of the work of the session

3. *Background:* The thirty-first session of the SBSTA will be held in conjunction with the fifteenth session of the Conference of the Parties (COP) and the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP). A detailed schedule of the session will be posted on the UNFCCC website.

4. Given that several bodies will be meeting during the sessional period, the time available for contact groups and informal consultations will be very limited. To maximize the use of meeting time, the Chairs of the subsidiary bodies may propose that the co-chairs of negotiating groups facilitate agreement by tabling initial draft conclusions at the first meeting of the negotiating groups, based on relevant submissions and statements made during plenary meetings, and taking into account any previous negotiations and/or conclusions. In addition, the Chairs may, in consultation with Parties, propose additional time-saving measures and identify items that could be referred to future sessions without in-depth consideration or the need for contact groups. The Chairs may also seek to identify items that may result in procedural conclusions without establishing negotiating groups.

5. The Subsidiary Body for Implementation (SBI), at its thirtieth session,¹ agreed that all meetings should end by 6 p.m., particularly to give Parties and regional groups sufficient time to prepare for daily

¹ FCCC/SBI/2009/8, paragraph 115.

meetings, but may, in exceptional circumstances, and on a case by case basis, continue for two to three hours. The session will be organized taking this into account. In order to enable delegations to participate fully in other meetings taking place in parallel, the SBSTA will be invited to conduct its deliberations as efficiently as possible, including to optimize time used for plenary and for informal negotiations, and to finish its work within the time foreseen. Items that are not concluded at this session will be forwarded to the SBSTA for consideration at its thirty-second or thirty-third session.

6. In accordance with the conclusions adopted by the SBI at its twenty-fourth session,² representatives of Parties and international organizations are requested to keep their oral statements as brief as possible. Those representatives wishing to make available a written statement should bring copies for distribution.

7. Parties are invited to refer to the overview of the session posted on the UNFCCC website and to consult the Daily Programme, published during the session, for a detailed and up-to-date schedule of the work of the SBSTA.

8. *Action:* The SBSTA will be invited to agree on the organization of the work of the session.

FCCC/SBSTA/2009/4	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
-------------------	--

(c) Election of officers other than the Chair

9. *Background:* Pursuant to rule 27 of the draft rules of procedure³ being applied, the SBSTA shall elect its Vice-Chair and Rapporteur. At the request of the President of the COP, at its fourteenth session, consultations with the coordinators of the regional groups were initiated at SBSTA 30, together with the consultations on the election of members of the other Convention and Kyoto Protocol bodies. If necessary, further consultations will be held during the session. Parties are invited to recall decision 36/CP.7 and to give active consideration to the nomination of women for elective posts in any body established under the Convention or its Kyoto Protocol. The current officers of the SBSTA will remain in office until their successors are elected.

10. *Action:* The SBSTA will be invited to elect its Vice-Chair and Rapporteur at the earliest opportunity following completion of consultations.

(d) Election of replacement officers

11. *Background:* Pursuant to Article 15, paragraph 3, of the Kyoto Protocol, when the SBSTA exercises its functions with regard to matters concerning the Kyoto Protocol, any member of its Bureau representing a State that is a Party to the Convention but, at that time, not a Party to the Kyoto Protocol, shall be replaced by an additional member to be elected by and from among the Parties to the Protocol. If necessary, further consultations with the coordinators of the regional groups will be undertaken.

12. *Action:* If necessary, the SBSTA will be invited to elect additional officers to replace the Vice-Chair and/or Rapporteur representing a State that is a Party to the Convention but not a Party to the Kyoto Protocol.

² FCCC/SBI/2006/11, paragraph 102.

³ FCCC/CP/1996/2.

3. Nairobi work programme on impacts, vulnerability and adaptation to climate change

13. *Background:* At its twenty-eighth session, in accordance with decision 2/CP.11, paragraph 6 (d), the SBSTA agreed to implement the second phase of the Nairobi work programme on impacts, vulnerability and adaptation to climate change, covering the period up to SBSTA 33, through the activities referred to in document FCCC/SBSTA/2008/6, paragraphs 10–74.

14. At the same session, the SBSTA requested the secretariat to provide a report, for consideration at its thirty-first session, on progress made in implementing these activities, including calls for action.⁴ This report is contained in document FCCC/SBSTA/2009/INF.5.⁵ The report also highlights efforts on further enhancement of the outreach of the Nairobi work programme to relevant stakeholders as well as on development and dissemination of user-friendly information products.⁶

15. The SBSTA also requested the secretariat to prepare the following documents before its thirty-first session:

- (a) The reports of the two technical workshops that took place in the period between SBSTA 29 and SBSTA 30 under the areas of work on adaptation planning and practices, and economic diversification.⁷ These reports are contained in documents FCCC/SBSTA/2009/5 and FCCC/SBSTA/2009/7, respectively;
- (b) A technical paper reviewing the existing literature on the potential costs and benefits of adaptation options.⁸ The technical paper is contained in document FCCC/TP/2009/2;
- (c) A synthesis report based on the submissions contained in document FCCC/SBSTA/2009/MISC.4 as well as on other relevant sources.⁹ This report is contained in document FCCC/SBSTA/2009/6.

16. The SBSTA further requested the secretariat to organize, under the guidance of the Chair of the SBSTA and before SBSTA 31, a technical workshop on advancing the integration of approaches to adaptation planning.¹⁰ The workshop is to be held from 12 to 14 October 2009, in Bangkok, Thailand. In accordance with the conclusions of SBSTA 28, the corresponding report will be made available by SBSTA 32. Information on the workshop, including the Chair's summary, will be made available on the Nairobi work programme web pages.¹¹ Some of the outcomes of this workshop and the documents mentioned in paragraphs 14 and 15 above may inform the ongoing discussions of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) on issues relating to decision 1/CP.13, paragraph 1 (c).

17. The SBSTA invited Parties and relevant organizations to submit to the secretariat information and views under two areas of work of the Nairobi work programme: socio-economic information; and adaptation planning and practices.¹² These submissions are contained in documents FCCC/SBSTA/2009/MISC.9 and FCCC/SBSTA/2009/MISC.10, respectively.

⁴ FCCC/SBSTA/2008/6, paragraph 18.

⁵ The call for action attached to this report was produced based on the report of the technical workshop contained in document FCCC/SBSTA/2009/7.

⁶ FCCC/SBSTA/2008/6, paragraphs 26 and 34.

⁷ FCCC/SBSTA/2008/6, paragraphs 58 and 74.

⁸ FCCC/SBSTA/2008/6, paragraph 50.

⁹ FCCC/SBSTA/2008/6, paragraph 60.

¹⁰ FCCC/SBSTA/2008/6, paragraph 61.

¹¹ <<http://unfccc.int/nwp>>.

¹² FCCC/SBSTA/2008/6, paragraphs 51 and 63.

18. *Action:* The SBSTA will be invited to take note of the progress made in implementing the Nairobi work programme and the documents prepared for this session, and take any action, as appropriate.

<i>FCCC/SBSTA/2009/5</i>	<i>Report on the technical workshop on integrating practices, tools and systems for climate risk assessment and management and disaster risk reduction strategies into national policies and programmes. Note by the secretariat</i>
<i>FCCC/SBSTA/2009/6</i>	<i>Synthesis report on approaches to and experiences in integrating and expanding adaptation planning and action, and lessons learned, good practices, gaps, needs, and barriers and constraints to adaptation. Note by the secretariat</i>
<i>FCCC/SBSTA/2009/7</i>	<i>Report on the technical workshop on increasing economic resilience to climate change and reducing reliance on vulnerable economic sectors, including through economic diversification. Note by the secretariat</i>
<i>FCCC/SBSTA/2009/INF.5</i>	<i>Progress made in implementing activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change. Note by the secretariat</i>
<i>FCCC/SBSTA/2009/MISC.9</i>	<i>Efforts undertaken to assess the costs and benefits of adaptation options, and views on lessons learned, good practices, gaps and needs. Submissions from Parties and relevant organizations</i>
<i>FCCC/SBSTA/2009/MISC.10</i>	<i>Efforts undertaken to monitor and evaluate the implementation of adaptation projects, policies and programmes and the costs and effectiveness of completed projects, policies and programmes, and views on lessons learned, good practices, gaps and needs. Submissions from Parties and relevant organizations</i>
<i>FCCC/TP/2009/2</i>	<i>Potential costs and benefits of adaptation action. Technical paper</i>

4. Development and transfer of technologies

19. *Background:* The COP, by its decision 3/CP.13, agreed to reconstitute the Expert Group on Technology Transfer (EGTT) for a further five years with the terms of reference contained in annex II to that decision.¹³ The SBSTA and the SBI, at their twenty-eighth sessions, endorsed a two-year rolling programme of work of the EGTT (2008–2009) as specified in its terms of reference. The EGTT will propose its next two-year rolling programme of work for endorsement by the SBSTA and the SBI at their thirty-first sessions, in line with the terms of reference annexed to decision 3/CP.13. The programme of work of the EGTT for 2010–2011 is contained in document FCCC/SB/2009/INF.6.

20. At the same session, the COP requested the EGTT to make available a draft report with a set of performance indicators to the SBSTA and the SBI for consideration at their thirtieth sessions, in order to make its final report available to the COP at its fifteenth session.¹⁴ The SBSTA and the SBI, at their thirtieth sessions, noted that the final report of the EGTT on performance indicators would be made available for their consideration at their thirty-first sessions, and that the report will contain a set of indicators that could be used by the SBI as one of the tools to conduct the review and assessment of the effectiveness of the implementation of Article 4, paragraphs 1(c) and 5, of the Convention, and to regularly monitor and evaluate the effectiveness of the implementation of the technology transfer

¹³ Decision 3/CP.13, paragraph 3.

¹⁴ Decision 3/CP.13, annex II, paragraph 3 (c).

framework, as requested by decision 4/CP.13.¹⁵ The final report of the EGTT on performance indicators is contained in FCCC/SB/2009/4 and Summary.

Action: The SBSTA will be invited to:

- (a) Endorse the two-year rolling programme of work of the EGTT for 2010–2011 and to provide further guidance to the EGTT on its future work;
- (b) Consider the final report on performance indicators of the EGTT and determine any appropriate action arising from it.

<i>FCCC/SB/2009/4</i>	<i>Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. Final report by the Chair of the Expert Group on Technology Transfer</i>
<i>FCCC/SB/2009/4/Summary</i>	<i>Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. Final report by the Chair of the Expert Group on Technology Transfer. Summary</i>
<i>FCCC/SB/2009/INF.6</i>	<i>Report of the Expert Group on Technology Transfer for 2009. Note by the Chair of the Expert Group on Technology Transfer</i>

5. Reducing emissions from deforestation in developing countries: approaches to stimulate action

21. *Background:* The SBSTA, at its thirtieth session, continued its programme of work on methodological issues, as outlined in decision 2/CP.13, paragraphs 7 (a) and 11, and considered a draft decision¹⁶ on methodological guidance for the implementation of activities relating to decision 2/CP.13. The SBSTA will continue its work on this matter at its thirty-first session on the basis of this draft decision text.

22. The SBSTA requested its Chair to continue exploring ways of facilitating the coordination of activities relating to decision 2/CP.13 and to report back at its thirty-first session.¹⁷

23. The SBSTA further reminded and encouraged Parties, relevant organizations and stakeholders to share information relating to ongoing activities to support decision 2/CP.13 via the Web Platform on the UNFCCC website.¹⁸

24. The outcomes of the work of the SBSTA under this agenda item is expected to inform and complement the ongoing AWG-LCA discussions on issues relating to paragraph 1 b (iii) of decision 1/CP.13.

25. *Action:* The SBSTA will be invited to continue in its programme of work on methodological issues on the basis of the draft decision text referred to in paragraph 21 above, with the aim of completing this work at its thirty-first session and to recommending a draft decision for adoption by the COP at its fifteenth session.

¹⁵ FCCC/SBSTA/2009/4, paragraph 24.

¹⁶ This draft decision text is contained in annex I to the report of the SBSTA at its thirtieth session (FCCC/SBSTA/2009/3, paragraph 36 and annex I).

¹⁷ FCCC/SBSTA/2009/3, paragraph 40.

¹⁸ <<http://unfccc.int/4531.php>>.

6. Research and systematic observation

26. *Background:* At its thirtieth session, the SBSTA considered the report on progress with the *Implementation Plan for the Global Observing System for Climate in Support of the UNFCCC*¹⁹ (hereinafter referred to as the Global Climate Observing System (GCOS) implementation plan). The SBSTA noted that an updated GCOS implementation plan that takes into account emerging priorities may assist in continuing progress with GCOS implementation, and therefore invited the GCOS secretariat to prepare, before the thirty-third session of the SBSTA, an update of the GCOS implementation plan including a breakdown of costs involved.²⁰

27. At the same session, the SBSTA invited the GCOS secretariat to provide, before COP 15, a provisional updated implementation plan in conjunction with a provisional estimation of costs.²¹ This information will be included in document FCCC/SBSTA/2009/MISC.12.

28. Also at its thirtieth session, the SBSTA invited the participants of the World Climate Conference-3 (Geneva, Switzerland, 31 August to 4 September 2009) to take note of the needs of the Convention, in particular with respect to research and systematic observation. It invited the World Meteorological Organization to provide information on the outcome of the conference to inform the work under the Convention.²²

29. *Action:* The SBSTA will be invited to take note of the provisional information provided by the GCOS secretariat. Consideration of this issue as well as any other matters related to systematic observation would take place at SBSTA 33, when the GCOS secretariat is expected to provide an update of the GCOS implementation plan in line with the conclusions of the SBSTA at its thirtieth session.

FCCC/SBSTA/2009/MISC.12	<i>The Global Climate Observing System implementation plan: a provisional update including provisional cost estimates. Submission from the secretariat of the Global Climate Observing System</i>
-------------------------	---

7. Methodological issues under the Convention

(a) Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention

30. *Background:* The COP, by its decision 12/CP.9, requested the secretariat to prepare an annual report on inventory review activities, including any recommendation resulting from lead reviewers' meetings, for consideration by the SBSTA. The SBSTA, at its twenty-fourth session,²³ requested the secretariat to continue to prepare annual reports on inventory review activities, for consideration by the SBSTA, and to include in these reports information on the progress made in updating the roster of experts. The latest report is contained in document FCCC/SBSTA/2009/INF.4 and provides information on the review activities in 2009, recommendations from the lead reviewers' meeting, training activities for inventory review experts and an update on the roster of experts.

31. *Action:* The SBSTA will be invited to take note of the annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention.

FCCC/SBSTA/2009/INF.4	<i>Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention. Note by the secretariat</i>
-----------------------	--

¹⁹ FCCC/SBSTA/2009/MISC.7.

²⁰ FCCC/SBSTA/2009/3, paragraphs 57 and 58.

²¹ FCCC/SBSTA/2009/3, paragraph 58.

²² FCCC/SBSTA/2009/3, paragraph 64.

²³ FCCC/SBSTA/2006/5, paragraph 95.

(b) Emissions from fuel used for international aviation and maritime transport

32. *Background:* The SBSTA, at its twenty-eighth session, agreed to receive relevant information from the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO) in order to enable Parties to exchange views on this matter during the twenty-ninth, thirtieth and thirty-first sessions of the SBSTA and to continue to consider this item at SBSTA 32.²⁴ The SBSTA, at its thirtieth session, invited the secretariats of ICAO and IMO to report, at future sessions of the SBSTA, on relevant work on this issue.

33. *Action:* The SBSTA may invite Parties to exchange views on the information provided by ICAO and IMO on their work on this issue.

8. Methodological issues under the Kyoto Protocol

(a) Implications of the establishment of new hydrochlorofluorocarbon-22 (HCFC-22) facilities seeking to obtain certified emission reductions for the destruction of hydrofluorocarbon-23 (HFC-23)

34. *Background:* The SBSTA, at its twenty-eighth session, recalled that the CMP recognized, in its decision 8/CMP.1, that issuing certified emission reductions for the destruction of hydrofluorocarbon-23 (HFC-23) at new hydrochlorofluorocarbon-22 (HCFC-22) facilities could lead to higher global production of HCFC-22 and/or HFC-23 than would otherwise occur and that the clean development mechanism (CDM) should not lead to such increases.²⁵

35. The SBSTA did not complete its consideration of the issue under this agenda sub-item at its twenty-eighth, twenty-ninth and thirtieth sessions and agreed to continue its consideration of this issue at its thirty-first session.²⁶

36. *Action:* The SBSTA will be invited to continue its consideration of the issue.

(b) Carbon dioxide capture and storage in geological formations as clean development mechanism project activities

37. *Background:* The SBSTA, at its twenty-ninth session,²⁷ took note of the synthesis of views on issues relevant to the consideration of carbon dioxide capture and storage (CCS) in geological formations as CDM project activities;²⁸ the views of Parties and accredited non-governmental organizations on, and including, but not limited to, technological, methodological, legal, policy, financial and other issues;²⁹ and the synthesis report based on these submissions.³⁰ The SBSTA did not agree to the conclusions and the draft decision proposed by the Chair and therefore could not conclude its consideration of this issue.

38. The SBSTA, at its thirtieth session, took note of decision 2/CMP.4, which requested the Executive Board of the CDM to assess the implications of the possible inclusion of CCS in geological formations as CDM project activities, taking into account technical, methodological and legal issues, and

²⁴ FCCC/SBSTA/2008/6, paragraphs 118–119.

²⁵ FCCC/SBSTA/2008/6, paragraph 123.

²⁶ Decision XIX/6 of the Nineteenth Meeting of the Parties to the Montreal Protocol on Substances that Deplete the Ozone Layer was taken into account.

²⁷ FCCC/SBSTA/2008/13, paragraph 78.

²⁸ FCCC/SBSTA/2008/INF.1.

²⁹ FCCC/SBSTA/2008/MISC.10 and Add.1. Submissions from non-governmental organizations are available at <<http://unfccc.int/3689.php>>.

³⁰ FCCC/SBSTA/2008/INF.3.

to report back on this issue to the CMP at its fifth session. The SBSTA agreed to continue its consideration of this matter at its thirty-first session.

39. At the same session, the SBSTA invited Parties that may wish to do so to submit to the secretariat, by 28 September 2009, further views on issues relevant to the consideration of CCS in geological formations as CDM project activities. These submissions are contained in document FCCC/SBSTA/2009/MISC.11.

40. *Action:* The SBSTA will be invited to continue its consideration of the matter, taking into consideration the document referred to in paragraph 39 above.

FCCC/SBSTA/2009MISC.11 Further views on issues relevant to the consideration of carbon capture and storage in geological formations as project activities under the clean development mechanism. Submissions from Parties

(c) Common metrics to calculate the CO₂ equivalence of greenhouse gases

41. *Background:* The SBSTA, at its thirtieth session, initiated its consideration of this agenda item but was not able to conclude it. The SBSTA agreed to continue its consideration of this matter at its thirty-first session. Parties may wish to note that the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol is considering the same issue in the context of methodological issues.

42. *Action:* The SBSTA will be invited to consider this matter with a view to agreeing on further action, as appropriate.

9. Matters relating to Article 2, paragraph 3, of the Kyoto Protocol

43. *Background:* The SBSTA, at its thirtieth session,³¹ considered this agenda item with the SBI agenda item “Matters relating to Article 3, paragraph 14, of the Kyoto Protocol” in a joint contact group. At the same session, the SBSTA and the SBI agreed to continue discussing these matters in a joint contact group at their thirty-first sessions, based on the draft text annexed to their respective reports.³²

44. *Action:* The SBSTA will be invited to consider this matter with a view to agreeing on further action.

10. Other matters

45. Any other matters arising during the session will be taken up under this item.

11. Report on the session

46. *Background:* A draft report on the work of the session will be prepared for adoption by the SBSTA at the end of the session.

47. *Action:* The SBSTA will be invited to adopt the draft report and authorize the Rapporteur to complete the report after the session, under the guidance of the Chair and with the assistance of the secretariat.

³¹ FCCC/SBSTA/2009/3, paragraphs 118–122.

³² FCCC/SBSTA/2009/3, annex III, FCCC/SBI/2009/8, annex IV.

Annex**Documents before the Subsidiary Body for Scientific and Technical Advice
at its thirty-first session****Documents prepared for the session**

FCCC/SBSTA/2009/4	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBSTA/2009/5	Report on the technical workshop on integrating practices, tools and systems for climate risk assessment and management and disaster risk reduction strategies into national policies and programmes. Note by the secretariat
FCCC/SBSTA/2009/6	Synthesis report on approaches to and experiences in integrating and expanding adaptation planning and action, and lessons learned, good practices, gaps, needs, and barriers and constraints to adaptation. Note by the secretariat
FCCC/SBSTA/2009/7	Report on the technical workshop on increasing economic resilience to climate change and reducing reliance on vulnerable economic sectors, including through economic diversification. Note by the secretariat
FCCC/SBSTA/2009/INF.4	Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention. Note by the secretariat
FCCC/SBSTA/2009/INF.5	Progress made in implementing activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change. Note by the secretariat
FCCC/SBSTA/2009/MISC.9	Efforts undertaken to assess the costs and benefits of adaptation options, and views on lessons learned, good practices, gaps and needs. Submissions from Parties and relevant organizations
FCCC/SBSTA/2009/MISC.10	Efforts undertaken to monitor and evaluate the implementation of adaptation projects, policies and programmes and the costs and effectiveness of completed projects, policies and programmes, and views on lessons learned, good practices, gaps and needs. Submissions from Parties and relevant organizations
FCCC/SBSTA/2009/MISC.11	Further views on issues relevant to the consideration of carbon capture and storage in geological formations as project activities under the clean development mechanism. Submissions from Parties
FCCC/SBSTA/2009/MISC.12	The Global Climate Observing System implementation plan: a provisional update including provisional cost estimates. Submission from the secretariat of the Global Climate Observing System

FCCC/SB/2009/4	Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. Final report by the Chair of the Expert Group on Technology Transfer
FCCC/SB/2009/4/Summary	Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. Final report by the Chair of the Expert Group on Technology Transfer. Summary
FCCC/SB/2009/INF.6	Report of the Expert Group on Technology Transfer for 2009. Note by the Chair of the Expert Group on Technology Transfer
FCCC/TP/2009/2	Potential costs and benefits of adaptation action. Technical paper

Other documents before the session

FCCC/SBSTA/2009/3 and Add.1	Report of the Subsidiary Body for Scientific and Technological Advice on its thirtieth session, held in Bonn from 1 to 10 June 2009
FCCC/SBSTA/2008/6	Report of the Subsidiary Body for Scientific and Technological Advice on its twenty-eighth session, held in Bonn from 4 to 13 June 2008
FCCC/SBSTA/2006/5	Report of the Subsidiary Body for Scientific and Technological Advice on its twenty-fourth session, held at Bonn from 18 to 26 May 2006
FCCC/SBSTA/2008/INF.1	Synthesis of views on issues relevant to the consideration of carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat
FCCC/SBSTA/2008/INF.3	Synthesis of views on technological, methodological, legal, policy and financial issues relevant to the consideration of carbon dioxide capture and storage in geological formations as project activities under the clean development mechanism. Note by the secretariat
FCCC/SBSTA/2009/MISC.4	Approaches to and experiences in integrating and expanding adaptation planning and action at national, subnational, community and local levels, and lessons learned, good practices, gaps, needs, and barriers and constraints to adaptation. Submissions from Parties and relevant organizations
FCCC/SBSTA/2009/MISC.7	Report on progress with the Global Climate Observing System implementation plan. Submission from the secretariat of the Global Climate Observing System
FCCC/SBSTA/2008/MISC.10 and Add.1	Technological, methodological, legal, policy and financial issues relevant to the consideration of carbon dioxide capture and storage in geological formations as project activities under the clean development mechanism. Submissions from Parties

- | | |
|------------------|--|
| FCCC/CP/1996/2 | Organizational matters: Adoption of the rules of procedure. Note by the secretariat |
| FCCC/SBI/2009/8 | Report of the Subsidiary Body for Implementation on its thirtieth session, held at Bonn from 1 to 10 June 2009 |
| FCCC/SBI/2006/11 | Report of the Subsidiary Body for Implementation on its twenty-fourth session, held at Bonn from 18 to 25 May 2006 |



**UNITED
NATIONS**



**Framework Convention
on Climate Change**

Distr.
GENERAL

FCCC/KP/AWG/2009/15
20 November 2009

Original: ENGLISH

**AD HOC WORKING GROUP ON FURTHER COMMITMENTS
FOR ANNEX I PARTIES UNDER THE KYOTO PROTOCOL**

Tenth session

Copenhagen, 7–15 December 2009

Item 2 (a) of the provisional agenda

Organizational matters

Adoption of the agenda

Provisional agenda and annotations

Note by the Executive Secretary*

I. Provisional agenda

1. Opening of the session.
2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session.
3. Consideration of further commitments for Annex I Parties under the Kyoto Protocol.
4. Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifth session.
5. Other matters.
6. Report on the session.

* This document was submitted after the due date owing to the short interval between the resumed ninth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol and the tenth session.

II. Annotations to the agenda

1. Opening of the session

1. The tenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP) will be opened by the Chair on Monday, 7 December 2009, at the Bella Center, Copenhagen, Denmark.

2. Organizational matters

- (a) Adoption of the agenda
2. The provisional agenda for the session will be presented for adoption. Parties will be invited to make any general statements after the adoption of the agenda.

FCCC/KP/AWG/2009/15	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
---------------------	--

- (b) Organization of the work of the session
3. *Background:* At its resumed sixth session,¹ the AWG-KP decided to hold its tenth session from 7 to 18 December 2009, in conjunction with the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) in Copenhagen, Denmark.
4. The Chair of the AWG-KP has made available a scenario note to Parties, containing proposals for the organization of the work of the tenth session (FCCC/KP/AWG/2009/16).
5. Parties are invited to refer to the overview of the session posted on the UNFCCC website and to consult the Daily Programme, published during the session, for a detailed and up-to-date schedule of the work of the AWG-KP.
6. The Subsidiary Body for Implementation, at its twenty-fourth session,² recommended that meetings should normally end by 6 p.m. but may, in exceptional circumstances, continue no later than 9 p.m. The session will be organized accordingly.
7. Representatives of Parties and international organizations are requested to keep their oral statements as brief as possible. Those wishing to make a written statement available should bring copies for distribution.
8. *Action:* The AWG-KP will be invited to agree on the approach to the organization of work for the session. The Chair of the AWG-KP will make proposals for furthering work in contact and informal groups with a view to advancing consideration of the documentation prepared for the session, and, in accordance with decision 1/CMP.1, agreeing on the results of the work of the AWG-KP, to be forwarded to the CMP for further action.³

FCCC/KP/AWG/2008/8	<i>Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its resumed sixth session, held in Poznan from 1 to 10 December 2008</i>
--------------------	---

FCCC/KP/AWG/2009/15	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
---------------------	--

FCCC/KP/AWG/2009/16	<i>Scenario note on the tenth session. Note by the Chair</i>
---------------------	--

¹ FCCC/KP/AWG/2008/8, paragraph 46 (d).

² FCCC/SBI/2006/11, paragraph 102.

³ FCCC/KP/AWG/2007/5, paragraph 22 (c).

3. Consideration of further commitments for Annex I Parties under the Kyoto Protocol

9. *Background:* At its resumed sixth session⁴, the AWG-KP agreed that at its tenth session it will seek to consider issues relating to rules and modalities of possible improvements relating to items 3, 4 and 5 of its agenda for the sixth session, as well as further consideration of a draft text on agenda item 7 and any draft decisions or draft amendments. These agenda items read as follows:
- (a) Item 3: Analysis of means to reach emission reduction targets and identification of ways to enhance their effectiveness and contribution to sustainable development;
 - (b) Item 4: Consideration of relevant methodological issues;
 - (c) Item 5: Consideration of information on potential environmental, economic and social consequences, including spillover effects, of tools, policies, measures and methodologies available to Annex I Parties;
 - (d) Item 7: Consideration of further commitments by Annex I Parties.
10. The work programme of the AWG-KP for 2009 also provided for the adoption of conclusions on the scale of emission reductions to be achieved by Annex I Parties in aggregate as well as on the contribution of Annex I Parties, individually or jointly, to this scale at the seventh and eighth sessions of the AWG-KP. As these matters are still under consideration, and given their importance to completing the work of the AWG-KP on further commitments for Annex I Parties, further discussions will be a priority at the tenth session.
11. *Action:* The AWG-KP will be invited to prepare the relevant draft decisions or draft amendments on the subjects under consideration.

<i>FCCC/KP/AWG/2009/10/Rev.3</i>	<i>Documentation to facilitate negotiations among Parties. Note by the Chair</i>
<i>FCCC/KP/AWG/2009/10/Add.1/Rev.2</i>	<i>Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. Proposed amendments to the Kyoto Protocol pursuant to its Article 3, paragraph 9</i>
<i>FCCC/KP/AWG/2009/10/Add.2</i>	<i>Documentation to facilitate negotiations among Parties. Note by the Chair. Addendum. Other proposed amendments to the Kyoto Protocol</i>
<i>FCCC/KP/AWG/2009/10/Add.3/Rev.3</i>	<i>Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. Draft decisions on other issues identified in paragraph 49 (c) of document FCCC/KP/AWG/2008/8</i>
<i>FCCC/KP/AWG/2009/10/Add.4/Rev.2</i>	<i>Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. A compilation of proposals by Parties for aggregate and individual figures for Annex I Parties</i>
<i>FCCC/KP/AWG/2009/12/Rev.2</i>	<i>Consideration of information on potential environmental, economic and social consequences, including spillover effects, of tools, policies, measures and methodologies available to Annex I Parties. Revised note by the Chair</i>

4. Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifth session

⁴ FCCC/KP/AWG/2008/8, paragraph 60 (d).

12. *Background:* At its resumed fourth session, the AWG-KP agreed that one of its tasks for 2009 will be to forward to the CMP for consideration at its fifth session the results of the work of the AWG-KP on the consideration of commitments for subsequent periods for Annex I Parties under Article 3, paragraph 9, of the Kyoto Protocol, with a view to their adoption.⁵
13. *Action:* The AWG-KP will be invited to consider the results of its work, based on inputs from the contact groups established under agenda item 3. The AWG-KP will also be invited to agree on forwarding these results to the CMP at its fifth session.

5. Other matters

14. Any other matters arising during the session will be taken up under this item.

6. Report on the session

15. *Background:* A draft report on the work of the tenth session will be prepared for adoption by the AWG-KP at the end of the session.
16. *Action:* The AWG-KP will be invited to adopt the draft report and authorize the Rapporteur to complete the report, under the guidance of the Chair and with the assistance of the secretariat.

⁵ FCCC/KP/AWG/2007/5, paragraph 22 (c).

Annex
**Documents prepared for the
 Ad Hoc Working Group on Further Commitments for
 Annex I Parties under the Kyoto Protocol at the tenth session**

Documents prepared for the session

FCCC/KP/AWG/2009/10/Rev.3	Documentation to facilitate negotiations among Parties. Note by the Chair
FCCC/KP/AWG/2009/10/Add.1/Rev.2	Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. Proposed amendments to the Kyoto Protocol pursuant to its Article 3, paragraph 9
FCCC/KP/AWG/2009/10/Add.2	Documentation to facilitate negotiations among Parties. Note by the Chair. Addendum. Other proposed amendments to the Kyoto Protocol
FCCC/KP/AWG/2009/10/Add.3/Rev.3	Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. Draft decisions on other issues identified in paragraph 49 (c) of document FCCC/KP/AWG/2008/8
FCCC/KP/AWG/2009/10/Add.4/Rev.2	Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. A compilation of proposals by Parties for aggregate and individual figures for Annex I Parties
FCCC/KP/AWG/2009/12/Rev.2	Consideration of information on potential environmental, economic and social consequences, including spillover effects, of tools, policies, measures and methodologies available to Annex I Parties. Revised note by the Chair
FCCC/KP/AWG/2009/15	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/AWG/2009/16	Scenario note on the tenth session. Note by the Chair

Other documents before the session

FCCC/KP/AWG/2009/14	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its ninth session, held in Bangkok, from 28 September to 9 October 2009, and Barcelona, from 2 to 6 November 2009
FCCC/KP/AWG/2008/8	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its resumed sixth session, held in Poznan from 1 to 10 December 2008
FCCC/KP/AWG/2009/MISC.16	Organizational matters. Submissions from Parties



**UNITED
NATIONS**



**Framework Convention
on Climate Change**

Distr.
GENERAL

FCCC/AWGLCA/2009/15
23 November 2009

Original: ENGLISH

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION
UNDER THE CONVENTION**

Eighth session

Copenhagen, 7–15 December 2009

Item 2 (a) of the provisional agenda

Organizational matters

Adoption of the agenda

Provisional agenda and annotations

Note by the Executive Secretary*

I. Provisional agenda

1. Opening of the session.
2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session.
3. Enabling the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, by addressing, inter alia:
 - (a) A shared vision for long-term cooperative action;
 - (b) Enhanced national/international action on mitigation of climate change;
 - (c) Enhanced action on adaptation;
 - (d) Enhanced action on technology development and transfer to support action on mitigation and adaptation;
 - (e) Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation.
4. Other matters.
5. Report on the session.

* This document was submitted after the due date owing to the short interval between the seventh session and the eighth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.

II. Background

1. By its decision 1/CP.13 (the Bali Action Plan), the Conference of the Parties (COP) launched a comprehensive process to enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012, in order to reach an agreed outcome and adopt a decision at its fifteenth session. It decided that the process shall be conducted under a subsidiary body under the Convention, the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA), that shall complete its work in 2009.

III. Annotations to the provisional agenda

1. Opening of the session

2. The eighth session of the AWG-LCA will be opened by the Chair on Monday, 7 December 2009, at the Bella Center, Copenhagen, Denmark.

2. Organizational matters

(a) Adoption of the agenda

3. The provisional agenda for the session will be presented for adoption.

<i>FCCC/AWGLCA/2009/15 Provisional agenda and annotations. Note by the Executive Secretary</i>
--

(b) Organization of the work of the session

4. *Background:* The AWG-LCA, at its first session, agreed that its sessions shall be organized in such a manner for there to be sufficient time available for the negotiations of the AWG-LCA in order to enable the COP to reach an agreed outcome and adopt a decision at its fifteenth session.¹

5. The eighth session of the AWG-LCA will be held in Copenhagen from 7 to 15 December 2009, in conjunction with the fifteenth session of the COP, the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, the thirty-first sessions of the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI), and the tenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP).

6. The Chair of the AWG-LCA has prepared a note (FCCC/AWGLCA/2009/16) on the scenario for the eighth session taking into account the conclusions on organization of work adopted by the AWG-LCA at its seventh session.² Delegates are invited to consult this scenario note for further information and proposals on the organization of work.

7. The AWG-LCA will meet in an opening plenary on Monday, 7 December 2009. The Chair will invite statements on behalf of groups of Parties. Delegations are requested to keep their oral statements as brief as possible and to give a hard copy to the conference officers in advance to facilitate the work of the interpreters. Those wishing to make a written statement available to all delegates should bring copies for distribution.

8. Parties are invited to refer to the overview of the session posted on the UNFCCC website and to consult the Daily Programme, published during the session, for a detailed and up-to-date schedule of the work of the AWG-LCA.

¹ FCCC/AWGLCA/2008/3, paragraph 24.

² FCCC/AWGLCA/2009/14, paragraphs 39–41.

9. The SBI, at its twenty-fourth session,³ recommended that meetings should normally end by 6 p.m. but may, in exceptional circumstances, continue no later than 9 p.m. This session of the AWG-LCA will be organized accordingly.

10. *Action:* The AWG-LCA will be invited to agree on the organization of work for the session.

FCCC/AWGLCA/2009/15	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
---------------------	--

FCCC/AWGLCA/2009/16	<i>Scenario note on the eighth session. Note by the Chair</i>
---------------------	---

3. Enabling the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, by addressing, inter alia:

- (a) A shared vision for long-term cooperative action
- (b) Enhanced national/international action on mitigation of climate change
- (c) Enhanced action on adaptation
- (d) Enhanced action on technology development and transfer to support action on mitigation and adaptation
- (e) Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation

11. *Background:* The COP, at its thirteenth session, established the AWG-LCA to conduct a comprehensive process to enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012, in order to reach an agreed outcome and adopt a decision at its fifteenth session. It requested the AWG-LCA to complete its work in 2009 and to present the outcome of its work to the COP for adoption at its fifteenth session.⁴

12. At its fourteenth session the COP welcomed the progress achieved by the AWG-LCA in addressing all the elements contained in paragraph 1 of the Bali Action Plan, and the group's resolve to enable the COP to reach an agreed outcome and adopt a decision at its fifteenth session on the full, effective and sustained implementation of the Convention.⁵

13. The AWG-LCA, at its sixth session, had before it a negotiating text (FCCC/AWGLCA/2009/8) prepared by its Chair as requested by the AWG-LCA at its fourth session.⁶ During the sixth session, Parties provided general comments on structure and content, stated reservations and objections to elements of the text, and proposed additions and modifications. This resulted in a revised negotiating text, which is contained in document FCCC/AWGLCA/2009/INF.1. Further input on the negotiating text received from Parties during the subsequent informal meeting of the AWG-LCA held in Bonn, Germany, on 10-14 August 2009 is contained in document FCCC/AWGLCA/2009/INF.1/Add.1.

14. During the informal meeting mentioned in paragraph 13 above, the AWG-LCA undertook work on the revised negotiating text. The results of this work, and work by the facilitators after the meeting, are reflected in document FCCC/AWGLCA/2009/INF.2 and Add.1 and 2.

15. The AWG-LCA, at its seventh session, continued its work towards an agreed outcome and requested the secretariat to compile the texts contained in the latest available non-papers produced by the chairs, co-chairs and facilitators of the contact groups and sub-groups during the seventh session of the

³ FCCC/SBI/2006/11, paragraph 102.

⁴ Decision 1/CP.13, paragraphs 1 and 2.

⁵ Decision 1/CP.14, paragraph 1.

⁶ FCCC/AWGLCA/2008/17, paragraph 26 (b).

AWG-LCA into an annex to the report on its seventh session for facilitating negotiations of the AWG-LCA at its eighth session in order to enable the Conference of the Parties to reach an agreed outcome at its fifteenth session. The compiled texts are contained in the annex to document FCCC/AWGLCA/2009/14. The report notes the observation by the Chair that not all the non-papers have the same degree of maturity nor of acceptance. The AWG-LCA also reiterated its understanding that all texts and submissions from Parties, including those contained in documents FCCC/AWGLCA/2009/INF.1 and FCCC/AWGLCA/2009/INF.2 remain before the AWG-LCA and that the documentary form does not prejudice the form and legal nature of the agreed outcome envisaged under the Bali Action Plan.⁷

16. *Action:* The AWG-LCA will be invited to conclude its negotiations on the agreed outcome and to present the outcome of its work to the COP for adoption.

<i>FCCC/AWGLCA/2009/14</i>	<i>Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its seventh session, held in Bangkok from 28 September to 9 October 2009, and Barcelona from 2 to 6 November 2009</i>
<i>FCCC/AWGLCA/2009/16</i>	<i>Scenario note on the eighth session. Note by the Chair</i>
<i>FCCC/AWGLCA/2009/INF.1 and Add.1</i>	<i>Revised negotiating text. Note by the secretariat</i>
<i>FCCC/AWGLCA/2009/INF.2 and Add.1 and 2</i>	<i>Reordering and consolidation of text in the revised negotiating text. Note by the secretariat</i>

4. Other matters

17. Any other matters arising during the session will be taken up under this item.

5. Report on the session

18. *Background:* A draft report on the work of the session will be prepared for adoption by the AWG-LCA.

19. *Action:* The AWG-LCA will be invited to adopt the draft report and authorize the Rapporteur to complete the report, under the guidance of the Chair and with the assistance of the secretariat.

⁷ FCCC/AWGLCA/2009/14, paragraphs 38–40.

Annex

**Documents prepared for the
Ad Hoc Working Group on Long-term Cooperative Action
under the Convention at its eighth session**

Documents prepared for the session

FCCC/AWGLCA/2009/14	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its seventh session, held in Bangkok from 28 September to 9 October 2009, and Barcelona from 2 to 6 November 2009
FCCC/AWGLCA/2009/15	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/AWGLCA/2009/16	Scenario note on the eighth session. Note by the Chair
FCCC/AWGLCA/2009/MISC.8	Ideas and proposals on the elements contained in paragraph 1 of the Bali Action Plan. Submissions from Parties
FCCC/AWGLCA/2009/MISC.9	Ideas and proposals on the elements contained in paragraph 1 of the Bali Action Plan. Submissions from intergovernmental organizations

Other documents before the session

FCCC/AWGLCA/2009/4 (Parts I and II)	Fulfilment of the Bali Action Plan and components of the agreed outcome. Note by the Chair
FCCC/AWGLCA/2009/8	Negotiating text. Note by the Chair
FCCC/AWGLCA/2009/INF.1 and Add.1	Revised negotiating text. Note by the secretariat
FCCC/AWGLCA/2009/INF.2 and Add.1 and 2	Reordering and consolidation of text in the revised negotiating text. Note by the secretariat
FCCC/AWGLCA/2008/16/Rev.1	Ideas and proposals on paragraph 1 of the Bali Action Plan. Revised note by the Chair

附件二

哥本哈根協議

The Copenhagen Accord

Advance unedited version

Decision -/CP.15

The Conference of the Parties,

Takes note of the Copenhagen Accord of 18 December 2009.

Copenhagen Accord

The Heads of State, Heads of Government, Ministers, and other heads of the following delegations present at the United Nations Climate Change Conference 2009 in Copenhagen: [List of Parties]

In pursuit of the ultimate objective of the Convention as stated in its Article 2,

Being guided by the principles and provisions of the Convention,

Noting the results of work done by the two Ad hoc Working Groups,

Endorsing decision x/CP.15 on the Ad hoc Working Group on Long-term Cooperative Action and decision x/CMP.5 that requests the Ad hoc Working Group on Further Commitments of Annex I Parties under the Kyoto Protocol to continue its work,

Have agreed on this Copenhagen Accord which is operational immediately.

1. We underline that climate change is one of the greatest challenges of our time. We emphasise our strong political will to urgently combat climate change in accordance with the principle of common but differentiated responsibilities and respective capabilities. To achieve the ultimate objective of the Convention to stabilize greenhouse gas concentration in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system, we shall, recognizing the scientific view that the increase in global temperature should be below 2 degrees Celsius, on the basis of equity and in the context of sustainable development, enhance our long-term cooperative action to combat climate change. We recognize the critical impacts of climate change and the potential impacts of response measures on countries particularly vulnerable to its adverse effects and stress the need to establish a comprehensive adaptation programme including international support.

2. We agree that deep cuts in global emissions are required according to science, and as documented by the IPCC Fourth Assessment Report with a view to reduce global emissions so as to hold the increase in global temperature below 2 degrees Celsius, and take action to meet this objective consistent with science and on the basis of equity. We should cooperate in achieving the peaking of global and national emissions as soon as possible, recognizing that the time frame for peaking will be longer in developing countries and bearing in mind that social and economic development and poverty eradication are the first and overriding priorities of developing countries and that a low-emission development strategy is indispensable to sustainable development.

3. Adaptation to the adverse effects of climate change and the potential impacts of response measures is a challenge faced by all countries. Enhanced action and international cooperation on adaptation is urgently required to ensure the implementation of the Convention by enabling and supporting the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing countries, especially in those that are particularly vulnerable, especially least developed countries, small island developing States and Africa. We agree that developed countries shall provide adequate, predictable and sustainable financial resources, technology and capacity-building to support the implementation of adaptation action in developing countries.

4. Annex I Parties commit to implement individually or jointly the quantified economy-wide emissions targets for 2020, to be submitted in the format given in Appendix I by Annex I Parties to the secretariat by 31 January 2010 for compilation in an INF document. Annex I Parties that are Party to the Kyoto Protocol will thereby further strengthen the emissions reductions initiated by the Kyoto Protocol. Delivery of reductions and financing by

developed countries will be measured, reported and verified in accordance with existing and any further guidelines adopted by the Conference of the Parties, and will ensure that accounting of such targets and finance is rigorous, robust and transparent.

5. Non-Annex I Parties to the Convention will implement mitigation actions, including those to be submitted to the secretariat by non-Annex I Parties in the format given in Appendix II by 31 January 2010, for compilation in an INF document, consistent with Article 4.1 and Article 4.7 and in the context of sustainable development. Least developed countries and small island developing States may undertake actions voluntarily and on the basis of support. Mitigation actions subsequently taken and envisaged by Non-Annex I Parties, including national inventory reports, shall be communicated through national communications consistent with Article 12.1(b) every two years on the basis of guidelines to be adopted by the Conference of the Parties. Those mitigation actions in national communications or otherwise communicated to the Secretariat will be added to the list in appendix II. Mitigation actions taken by Non-Annex I Parties will be subject to their domestic measurement, reporting and verification the result of which will be reported through their national communications every two years. Non-Annex I Parties will communicate information on the implementation of their actions through National Communications, with provisions for international consultations and analysis under clearly defined guidelines that will ensure that national sovereignty is respected. Nationally appropriate mitigation actions seeking international support will be recorded in a registry along with relevant technology, finance and capacity building support. Those actions supported will be added to the list in appendix II. These supported nationally appropriate mitigation actions will be subject to international measurement, reporting and verification in accordance with guidelines adopted by the Conference of the Parties.

6. We recognize the crucial role of reducing emission from deforestation and forest degradation and the need to enhance removals of greenhouse gas emission by forests and agree on the need to provide positive incentives to such actions through the immediate establishment of a mechanism including REDD-plus, to enable the mobilization of financial resources from developed countries.

7. We decide to pursue various approaches, including opportunities to use markets, to enhance the cost-effectiveness of, and to promote mitigation actions. Developing countries, especially those with low emitting economies should be provided incentives to continue to develop on a low emission pathway.

8. Scaled up, new and additional, predictable and adequate funding as well as improved access shall be provided to developing countries, in accordance with the relevant provisions of the Convention, to enable and support enhanced action on mitigation, including substantial finance to reduce emissions from deforestation and forest degradation (REDD-plus), adaptation, technology development and transfer and capacity-building, for enhanced implementation of the Convention. The collective commitment by developed countries is to provide new and additional resources, including forestry and investments through international institutions, approaching USD 30 billion for the period 2010 – 2012 with balanced allocation between adaptation and mitigation. Funding for adaptation will be prioritized for the most vulnerable developing countries, such as the least developed countries, small island developing States and Africa. In the context of meaningful mitigation actions and transparency on implementation, developed countries commit to a goal of mobilizing jointly USD 100 billion dollars a year by 2020 to address the needs of developing countries. This funding will come from a wide variety of sources, public and private, bilateral and multilateral, including alternative sources of finance. New multilateral funding for adaptation will be delivered through effective and efficient fund arrangements, with a governance structure providing for equal representation of developed and developing countries. A significant portion of such funding should flow through the Copenhagen Green Climate Fund.

9. To this end, a High Level Panel will be established under the guidance of and accountable to the Conference of the Parties to study the contribution of the potential sources of revenue, including alternative sources of finance, towards meeting this goal.

10. We decide that the Copenhagen Green Climate Fund shall be established as an operating entity of the financial mechanism of the Convention to support projects, programme, policies and other activities in developing countries related to mitigation including REDD-plus, adaptation, capacity-building, technology development and transfer.

11. In order to enhance action on development and transfer of technology we decide to establish a Technology Mechanism to accelerate technology development and transfer in support of action on adaptation and mitigation that will be guided by a country-driven approach and be based on national circumstances and priorities.

12. We call for an assessment of the implementation of this Accord to be completed by 2015, including in light of the Convention's ultimate objective. This would include consideration of strengthening the long-term goal referencing various matters presented by the science, including in relation to temperature rises of 1.5 degrees Celsius.



FRAMEWORK CONVENTION ON CLIMATE CHANGE - Secretariat
CONVENTION - CADRE SUR LES CHANGEMENTS CLIMATIQUES - Secrétariat

Executive Secretary
Secrétaire exécutif

Bonn, 18 January 2010
Ref: YDB/DBO/drl
Page 1 of 1

NOTIFICATION TO PARTIES
Communication of information relating to the Copenhagen Accord

In order to finalize the technical processing of the report of the fifteenth session of the Conference of the Parties and in light of the many enquiries by Parties, the secretariat is pleased to provide Parties with technical information concerning association with the Copenhagen Accord.

The Conference of the Parties at its fifteenth session adopted a decision that took note of the Copenhagen Accord of 18 December 2009. The decision was adopted with the explicit understanding that the Accord would be attached to the decision and that the chapeau of the Accord would list Parties that wish to associate themselves with it. In order to enable the secretariat to finalize the decisions adopted at the Conference as well as the report of the Conference, I would invite those Parties that wish to be associated with the Copenhagen Accord to transmit this information to the secretariat by 31 January 2010. In the light of the legal character of the Accord, such an official communication may take the form of a simple letter to the Executive Secretary from a relevant officer of the Government or a note verbale indicating that your country wishes to associate itself with the Accord and that its name should be included in the chapeau of the Accord. Additionally, the secretariat will maintain and update on its website a list of Parties that have communicated their intention to associate themselves with the Accord, including any such statements of association that come after the finalization of the COP report.

Further, the secretariat has received numerous enquiries from Parties seeking clarification on how they may provide the information contemplated in paragraphs 4 and 5 of the Accord. Pursuant to paragraph 4, Annex I Parties may submit to the secretariat by 31 January 2010 information on quantified economy-wide emissions targets for 2020 in the format given in Appendix I of the Accord. Similarly, pursuant to paragraph 5, non-Annex I Parties may submit to the secretariat by 31 January 2010 information on their mitigation actions in the format given in Appendix II. The decision to submit such information is for individual Parties to make and they are at liberty to provide any clarifications of their inputs they deem appropriate. The format for the submission of the information is already provided in the appendices referred to above. In accordance with Articles 8 and 12 of the Convention, the secretariat will compile all information provided by Parties and make it publicly available.

Should you have any questions or require further information, please contact the secretariat at secretariat@unfccc.int.

Yours sincerely,

Yvo de Boer

Distribution: To Parties through national focal points for climate change.



Executive Secretary
Secrétaire exécutif

Bonn, 25 January 2010
Ref: DBO/drl
Page 1 of 1

NOTIFICATION TO PARTIES

Clarification relating to the Notification of 18 January 2010

Reference is made to the secretariat's Notification to Parties dated 18 January 2010 regarding the communication of information relating to the Copenhagen Accord. Since the issuance of the Notification, a number of Parties have raised questions regarding the use of the phrase "In light of the legal character of the Accord..." in the second paragraph of the Notification. The secretariat wishes to bring to the attention of Parties the following clarification with respect to the phrase in question.

The phrase "In light of the legal character of the Accord..." should be read in its context. In using the phrase, the secretariat sought to convey two facts regarding the legal nature of the Accord. First, that since the Conference of the Parties neither adopted nor endorsed the Accord, but merely took note of it, its provisions do not have any legal standing within the UNFCCC process even if some Parties decide to associate themselves with it. Secondly, that since the Accord is a political agreement, rather than a treaty instrument subject to signature, a simple letter or note verbale to the secretariat from an appropriate authority in Government is sufficient to communicate the intention of a Party to associate with the Accord. This is in view of the fact that after the Copenhagen Conference the secretariat received numerous enquiries from Parties seeking information on where they could physically sign the Accord in order to signify their association and support.

Should you have any questions or require further information, please contact the secretariat at secretariat@unfccc.int.

Yours sincerely,

Yvo de Boer

Distribution: To Parties through national focal points for climate change.

Appendix I - Quantified economy-wide emissions targets for 2020

Further information

Information provided by Parties relating to [Appendix II](#) of the Copenhagen Accord

Additional information provided by Parties to the Convention relating to the Copenhagen Accord

Annex I Parties	<i>Quantified economy-wide emissions targets for 2020</i>	
	Emissions reduction in 2020	Base year
Australia (165 kB)	<p>-5% up to -15% or -25%</p> <p>Australia will reduce its greenhouse gas emissions by 25% on 2000 levels by 2020 if the world agrees to an ambitious global deal capable of stabilising levels of greenhouse gases in the atmosphere at 450 ppm CO₂-eq or lower. Australia will unconditionally reduce our emissions by 5% below 2000 levels by 2020, and by up to 15% by 2020 if there is a global agreement which falls short of securing atmospheric stabilisation at 450 ppm CO₂-eq and under which major developing economies commit to substantially restrain emissions and advanced economies take on commitments comparable to Australia's.</p>	2000
Belarus (208 kB) Letter (32 kB)	<p>-5-10% reduction, which is premised on the presence of and access of Belarus to the Kyoto flexible mechanisms, intensification of technology transfer, capacity building and experience enhancement for Belarus taking into consideration the special conditions of the Parties included in Annex I undergoing the process of transition to a market economy, clarity in the use of new LULUCF rules and modalities.</p>	1990
Canada (Eng.) (316 kB) (Fr.) (364 kB)	<p>17%, to be aligned with the final economy-wide emissions target of the United States in enacted legislation.</p> <p>17% en vue d'être aligné avec l'objectif de réduction d'émissions final des États-Unis dans la législation en vigueur.</p>	2005
Croatia (286 kB)	<p>-5%</p> <p>Temporary target for Croatia. Upon the accession of Croatia to the</p>	1990 Base year calculated

	European Union, the Croatian target shall be replaced by arrangement in line with and part of the European Union mitigation effort.	according to decision 7/CP.12
EU¹ and its Member States (Belgium, Bulgaria, Czech Republic, Denmark, Germany, Estonia, Ireland, Greece, Spain, France, Italy, Cyprus, Latvia, Lithuania, Luxembourg, Hungary, Malta, Netherlands, Austria, Poland, Portugal, Romania, Slovenia, Slovakia, Finland, Sweden, United Kingdom) acting in common (346 kB)	20%/30% As part of a global and comprehensive agreement for the period beyond 2012, the EU reiterates its conditional offer to move to a 30% reduction by 2020 compared to 1990 levels, provided that other developed countries commit themselves to comparable emission reductions and that developing countries contribute adequately according to their responsibilities and respective capabilities.	1990
Iceland (51 kB) Letter (32 kB)	30% reduction, in a joint effort with the European Union, as part of a global and comprehensive agreement for the period beyond 2012, provided that other developed countries commit themselves to comparable emissions reductions and that developing countries contribute adequately according to their responsibilities and respective capabilities.	1990
Japan (141 kB)	25% reduction, which is premised on the establishment of a fair and effective international framework in which all major economies participate and on agreement by those economies on ambitious targets.	1990
Kazakhstan² (61 kB)	15%	1992
Liechtenstein (358 kB)	Liechtenstein commits itself to reduce greenhouse gas (GHG) emissions 20% below 1990 levels by 2020. If other developed countries agree to comparable reductions and emerging economies contribute according to their respective capabilities and responsibilities within a framework of a binding agreement, Liechtenstein is prepared to raise its target up to 30%.	1990
Monaco (597 kB)	30% - Pour atteindre cet objectif de réduction la Principauté de Monaco entend utiliser des mécanismes de flexibilité comme ceux établis par le Protocole de Kyoto et plus particulièrement le Mécanisme pour un Développement Propre. - La Principauté de Monaco visera à	1990

<p>New Zealand (81 kB)</p>	<p>devenir neutre en carbone en 2050 au plus tard et se réserve à ce titre la possibilité de dépasser l'objectif de réduction qu'elle s'est fixée en 2020 à travers des mécanismes de compensation.</p> <p>New Zealand is prepared to take on a responsibility target for greenhouse gas emissions reductions of between 10 per cent and 20 per cent below 1990 levels by 2020, if there is a comprehensive global agreement. This means:</p> <ul style="list-style-type: none"> • the global agreement sets the world on a pathway to limit temperature rise to not more than 2° C; • developed countries make comparable efforts to those of New Zealand; • advanced and major emitting developing countries take action fully commensurate with their respective capabilities; • there is an effective set of rules for land use, land-use change and forestry (LULUCF); and • there is full recourse to a broad and efficient international carbon market. 	<p>1990</p>
<p>Norway (99 kB) Letter (37 kB)</p>	<p>30-40%</p> <p>As part of a global and comprehensive agreement for the period beyond 2012 where major emitting Parties agree on emissions reductions in line with the 2 degrees Celsius target, Norway will move to a level of 40% reduction for 2020.</p>	<p>1990</p>
<p>Russian Federation (Rus.) (870 kB) (Eng.) (30 kB)</p>	<p>15-25 % уровень сокращений будет зависеть от следующих условий: - надлежащий учет потенциала российских лесов в контексте вклада в выполнение обязательств по сокращению антропогенных эмиссий; и - принятие юридически значимых обязательств по сокращению антропогенных эмиссий парниковых газов всеми крупнейшими эмитентами.</p> <p>the range of the GHG emission reductions will depend on the following conditions: - Appropriate accounting of the potential of Russia's forestry in frame of contribution in meeting the obligations of the anthropogenic emissions reduction; - Undertaking by all major emitters the legally binding obligations to</p>	<p>1990</p>

<p>Switzerland (Eng.) (348 kB) (Fr.) (33 kB)</p>	<p>reduce anthropogenic GHG emissions.</p> <hr/> <p>20% / 30%</p> <p>As part of a global and comprehensive agreement for the period beyond 2012, Switzerland reiterates its conditional offer to move to a 30% reduction by 2020 compared to the 1990 levels, provided that other developed countries commit themselves to comparable emission reductions and that developing countries contribute adequately according to their responsibilities and respective capabilities.</p> <p>Dans le cadre d'un accord mondial et complet pour la période au-delà de 2012, la Suisse réitère son offre conditionnelle de réduire ses émissions de 30 % en 2020 par rapport au niveau de 1990, si d'autres Etats industrialisés s'engagent eux-mêmes à des réductions comparables de leurs émissions et que les pays en développement fournissent des efforts adéquats en accord avec leurs responsabilités et leurs capacités respectives.</p>	<p>1990</p>
<p>United States of America (79 kB)</p>	<p>In the range of 17%, in conformity with anticipated U.S. energy and climate legislation, recognizing that the final target will be reported to the Secretariat in light of enacted legislation.¹</p> <p>¹The pathway set forth in pending legislation would entail a 30% reduction in 2025 and a 42% reduction in 2030, in line with the goal to reduce emissions 83% by 2050.</p>	<p>2005</p>

¹Currently, not all EU Member States are Annex I Parties

²Kazakhstan is a Party included in Annex I for the purposes of the Kyoto Protocol in accordance with Article 1, paragraph 7, of the Protocol, but Kazakhstan is not a Party included in Annex I for the purposes of the Convention

Appendix II - Nationally appropriate mitigation actions of developing country Parties *

Non-Annex I Parties	Actions
Argentina	Carta (60 kB) Letter (translation as received) (48 kB)
Armenia	Note Verbale including nationally appropriate mitigation actions of developing country Parties (760 kB)
Benin	Note Verbale contenant des actions d'atténuation appropriées au niveau national (33 kB)
Bhutan	Letter (870 kB)
Botswana	Note including mitigation actions by non-Annex I Parties (114 kB)
Brazil	Letter including nationally appropriate mitigation actions (62 kB)
China	Letter including autonomous domestic mitigation actions (157 kB)
Congo	Actions d'atténuation des émissions des GES et d'adaptation au réchauffement climatique appropriées pour la République du Congo (373 kB)
Costa Rica	Nota de C-neutralidad (392 kB) Nota verbal (149 kB)
Côte d'Ivoire	Lettre et information concernant l'Appendice II de l'Accord de Copenhague (1101 kB)
Ethiopia	Letter including nationally appropriate mitigation actions of developing country Parties (159 kB)
Eritrea	Eritrea's supportive position on the Copenhagen Accord and submission of list of National Mitigation Actions (77 kB)
Gabon	Actions d'atténuation appropriées au niveau du Gabon sur les changements climatiques (744 kB) Letter (1057 kB)
Georgia	Letter including nationally appropriate mitigation actions of developing country Parties (266 kB)
Ghana	Submission of Appendix II of the Copenhagen Accord (143 kB) Letter (21 kB)
India	Letter including India's domestic mitigation actions (465 kB)
Indonesia	Voluntary mitigation actions (309 kB) Letter (25 kB)
Israel	Letter including nationally appropriate mitigation actions of developing country Parties (63 kB)

Further information

Information provided by Parties relating to [Appendix I](#) of the Copenhagen Accord

Additional information provided by Parties to the Convention relating to the Copenhagen Accord

Jordan	Mitigation actions (104 kB) Letter (35 kB)
Madagascar	Communication d'informations relatives à l'Accord de Copenhague (1132 kB)
Maldives	Letter including nationally appropriate mitigation actions of developing country Parties (1335 kB) Note Verbale (28 kB)
Marshall Islands	Note Verbale including nationally appropriate mitigation actions of developing country Parties (51 kB)
Mauritania	Mesures d'Atténuation Appropriées au niveau National (949 kB)
Mexico	National mitigation actions (108 kB)
Mongolia	Nationally appropriate mitigation actions of developing country Parties (181 kB) Letter (117 kB)
Morocco	Note Verbale contenant des actions d'atténuation appropriées au niveau national pour les Pays en développement (1137 kB)
Papua New Guinea	Preliminary and Conditional Inscription of Nationally Appropriate Mitigation Actions and Adaptation Investments (213 kB) Additional information (216 kB)
Republic of Korea	Note Verbale including nationally appropriate mitigation actions of developing country Parties (287 kB)
Republic of Moldova	Letter including nationally appropriate mitigation actions of developing country Parties (268 kB)
Sierra Leone	Note including mitigation actions (139 kB)
Singapore	Letter including nationally appropriate mitigation actions (135 kB)
South Africa	Letter including nationally appropriate mitigation actions (624 kB)
The former Yugoslav Republic of Macedonia	Nationally appropriate mitigation measures (11196 kB) Climate Change Mitigation (9848 kB) Letter (54 kB)
Togo	Note Verbale contenant des actions d'atténuation appropriées au niveau national (43 kB)

* Some Parties have noted the need for international support when describing their actions

附件三

COP15/CMP5 通過決議

Decisions adopted by COP 15 and CMP 5

Official website of the UN Climate Change Conference in Copenhagen COP 15/CMP 5, 7 to 18 December 2009

COP 15 closing plenary

Decisions adopted by COP 15 and CMP 5	
COP 15	CMP 5
Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (107 kB)	Outcome of the work of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (110 kB)
Copenhagen Accord (182 kB)	Further guidance relating to the clean development mechanism (196 kB)
Amendment to Annex I to the Convention (98 kB)	Guidance on the implementation of Article 6 of the Kyoto Protocol (162 kB)
Methodological guidance for activities relating to reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries (116 kB)	Report of the Adaptation Fund Board (125 kB)
Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (131 kB)	Review of the Adaptation Fund (84 kB)
Fourth review of the financial mechanism (126 kB)	Compliance Committee (100 kB)
Additional guidance to the Global Environment Facility (86 kB)	Capacity-building under the Kyoto Protocol (99 kB)
Capacity-building under the Convention (96 kB)	Updated training programme for members of expert review teams participating in annual reviews under Article 8 of the Kyoto Protocol (151 kB)

Systematic climate observations (114 kB)	Administrative, financial and institutional matters Budget performance for the biennium 2008–2009 Continuing review of the functions and operations of the secretariat (109 kB)
Updated training programme for greenhouse gas inventory review experts for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention (154 kB)	Programme budget for the biennium 2010–2011 (352 kB)
Administrative, financial and institutional matters Budget performance for the biennium 2008–2009 Continuing review of the functions and operations of the secretariat (128 kB)	
Programme budget for the biennium 2010–2011 (470 kB)	
Date and venue of future sessions of the Conference of the Parties (127 kB)	
Expression of gratitude to the Government of the Kingdom of Denmark and the people of the city of Copenhagen (91 kB)	

Closing press briefing 19 December



Briefing the press at the end of the two-week conference, Yvo de Boer said an accord has been reached that has significant elements, but that is not legally binding.

He described the accord as “politically

附件四

聯合國氣候變化綱要公約 第 15 次締約國大會報告

Draft Report of the Conference of the Parties on its fifteenth session, held in Copenhagen from 7 to 19 December 2009 and a compilation of the work undertaken by the COP at its fifteenth session on the basis of the report of the AWG-LCA



**CONFERENCE OF THE PARTIES
Fifteenth session
Copenhagen, 7–18 December 2009**

**Agenda item 12 (a)
Conclusion of the session
Adoption of the report of the Conference of the Parties on its fifteenth session**

Draft report of the Conference of the Parties on its fifteenth session

Rapporteur: Ms. Gertraud Wollansky (Austria)

Part one: Proceedings

CONTENTS

	<i>Paragraphs</i>	<i>Page</i>
I. OPENING OF THE SESSION (Agenda item 1).....		
Host Government welcoming ceremony		
II. ORGANIZATIONAL MATTERS (Agenda item 2).....		
A. Election of the President of the Conference of the Parties at its fifteenth session		
B. Adoption of the rules of procedure.....		
C. Adoption of the agenda		
D. Election of officers other than the President		
E. Admission of organizations as observers		
F. Organization of work, including the sessions of the subsidiary bodies.....		

	<i>Paragraphs</i>	<i>Page</i>
G. Dates and venues of future sessions		
H. Adoption of the report on credentials		
III. REPORTS OF THE SUBSIDIARY BODIES AND DECISIONS AND CONCLUSIONS ARISING THEREFROM (Agenda item 3)		
IV. REPORT OF THE AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION (Agenda item 4)		
V. CONSIDERATION OF PROPOSALS BY PARTIES UNDER ARTICLE 17 OF THE CONVENTION (Agenda item 5)		
VI. CONSIDERATION OF A PROPOSAL BY MALTA FOR AN AMENDMENT TO ANNEX I TO THE CONVENTION (Agenda item 6)		
VII. REVIEW OF IMPLEMENTATION OF COMMITMENTS AND OF OTHER PROVISIONS OF THE CONVENTION (Agenda item 7)		
VIII. ADMINISTRATIVE, FINANCIAL AND INSTITUTIONAL MATTERS (Agenda item 8)		
IX. HIGH-LEVEL SEGMENT (Agenda item 9)		
A. Statements by Heads of State or Government		
B. Statements by United Nations officials		
C. Statements by ministers and other heads of delegation		
X. STATEMENTS BY OBSERVER ORGANIZATIONS (Agenda item 10)		
XI. OTHER MATTERS (Agenda item 11)		
XII. CONCLUSION OF THE SESSION (Agenda item 12)		

Annexes

[to be completed]

**Part two: Action taken by the Conference of the Parties
at its fifteenth session**

[to be completed]

I. Opening of the session

(Agenda item 1)

1. The fifteenth session of the Conference of the Parties (COP), convened pursuant to Article 7, paragraph 4, of the Convention,¹ was opened at the Bella Center, Copenhagen, Denmark, on 7 December 2009, by Mr. Maciej Nowicki (Poland), President of the COP at its fourteenth session. The outgoing President, Mr. Nowicki, delivered a statement thanking all conference participants for the help extended to him during the past year.²

Host Government welcoming ceremony

2. The formal opening was preceded by a welcoming ceremony organized by the Government of Denmark to mark the opening of the fifteenth session of the COP and the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP). A statement was made by the Prime Minister of Denmark, Mr. Lars Løkke Rasmussen.³ Further statements were made by the Chair of the Intergovernmental Panel on Climate Change, Mr. Rajendra Pachauri, and the UNFCCC Executive Secretary, Mr. Yvo de Boer. The Mayor of Copenhagen, Ms. Ritt Bjerregård, delivered an address of welcome.

II. Organizational matters

(Agenda item 2)

A. Election of the President of the Conference of the Parties at its fifteenth session

(Agenda item 2 (a))

3. At its 1st meeting,⁴ on 7 December, on the proposal of the outgoing President, the COP elected by acclamation Ms. Connie Hedegaard, Minister for the United Nations Climate Change Conference in Copenhagen 2009, as its President. The outgoing President congratulated Ms. Hedegaard on her election and wished her every success in guiding the work of the COP at its fifteenth session. A statement was also made by the newly elected President.

4. General statements were made by the representatives of Sudan (on behalf of the Group of 77 and China), Algeria (on behalf of the African Group), Saudi Arabia, Lesotho (on behalf of the least developed countries), Grenada (on behalf of the Alliance of Small Island States (AOSIS)), Mexico (on behalf of the Environmental Integrity Group), Australia (on behalf of the Umbrella Group) and Sweden (on behalf of the European Union and its member States).

5. On 16 December, the Executive Secretary announced that a letter of resignation had been received that day from the President and that the resignation would take effect from the beginning of the first joint meeting of the COP and the CMP convened during the high-level segment on 16 December.

¹ The fifteenth session of the COP was held in conjunction with the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP). The proceedings of the CMP are contained in a separate report. The proceedings of the joint meetings of the COP and the CMP convened during the high-level segment of the sessions are reproduced in both reports.

² The full video records of the plenary sessions are available at <http://www2.cop15.meta-fusion.com/kongresse/cop15/temp/ovw.php?id_kongressmain=1&theme>. The transcripts of selected statements, including those made by Heads of State or Government, are also made available on the UNFCCC website at <http://unfccc.int/meetings/cop_15/statements/items/5087.php>.

³ In general, statements made during the opening of the COP applied to the work of the United Nations Climate Change Conference as a whole.

⁴ Meetings of the COP referred to in this report are plenary meetings.

The letter also stated that Mr. Rasmussen had appointed Ms. Hedegaard as his special representative to continue conducting informal consultations on the Copenhagen outcome.

6. Rule 25 of the draft rules of procedure being applied provides that “if an officer of the Bureau resigns...a representative of the same Party shall be named by the Party concerned to replace the officer for the remainder of that officer’s mandate”. In accordance with that rule, the Minister of Foreign Affairs of Denmark informed the Executive Secretary by letter that Mr. Rasmussen will replace Ms. Hedegaard as President of COP 15 and CMP 5 and that this replacement will take effect from the first joint meeting of the COP and the CMP convened during the high-level segment.

7. As requested in both letters, this information was conveyed to the Bureau and to Parties.

B. Adoption of the rules of procedure

(Agenda item 2 (b))

8. The COP considered this item at its 1st, resumed 2nd and xx meetings, on 7, 12 and xx December, respectively. Statements were made by representatives of five Parties.

9. At the 1st meeting, on 7 December, the President recalled that the President of the COP at its fourteenth session had announced that he would inform the COP in the event of any new developments regarding the adoption of the rules of procedure. At the same meeting, as there was still no consensus on this matter, and on the proposal of the President, the COP decided that, as at previous sessions, the draft rules of procedure contained in document FCCC/CP/1996/2 should continue to be applied, with the exception of draft rule 42. Papua New Guinea made a proposal on how to resolve this issue. The President announced that she would undertake consultations with Parties and report back to the COP.

10. At the resumed 2nd meeting, on 12 December, the President reported on her consultations. She informed the COP that, while Parties acknowledged that the adoption of the rules of procedure was important, delegations reiterated their positions on this fundamental issue. The President announced that she would continue to consult with Parties and would report back to the COP.

[to be completed]

C. Adoption of the agenda

(Agenda item 2 (c))

11. For its consideration of this sub-item at its 1st meeting, on 7 December, the COP had before it a note by the Executive Secretary containing the provisional agenda and annotations as well as additional information on the arrangements for the session and the high-level segment (FCCC/CP/2009/1 and Add.1). The provisional agenda was prepared in agreement with the President of the COP at its fourteenth session, taking into account views expressed by Parties during the thirtieth session of the Subsidiary Body for Implementation (SBI) and by members of the Bureau of the COP.

12. Following the proposal of the President, the COP adopted the agenda as follows:

1. Opening of the session.
2. Organizational matters:
 - (a) Election of the President of the Conference of the Parties at its fifteenth session;
 - (b) Adoption of the rules of procedure;
 - (c) Adoption of the agenda;
 - (d) Election of officers other than the President;
 - (e) Admission of organizations as observers;
 - (f) Organization of work, including the sessions of the subsidiary bodies;

- (g) Dates and venues of future sessions;
 - (h) Adoption of the report on credentials.
3. Reports of the subsidiary bodies and decisions and conclusions arising therefrom:
- (a) Report of the Subsidiary Body for Scientific and Technological Advice;
 - (b) Report of the Subsidiary Body for Implementation.
4. Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.
5. Consideration of proposals by Parties under Article 17 of the Convention.
6. Consideration of a proposal by Malta for an amendment to Annex I to the Convention.
7. Review of implementation of commitments and of other provisions of the Convention:
- (a) Financial mechanism of the Convention;
 - (i) Fourth review of the financial mechanism;
 - (ii) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility;
 - (iii) Assessment of the Special Climate Change Fund.
 - (b) National communications:
 - (i) National communications from Parties included in Annex I to the Convention;
 - (ii) National communications from Parties not included in Annex I to the Convention;
 - (c) Development and transfer of technologies;
 - (d) Capacity-building under the Convention;
 - (e) Reducing emissions from deforestation in developing countries: approaches to stimulate action;
 - (f) Implementation of Article 4, paragraphs 8 and 9, of the Convention:
 - (i) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10);
 - (ii) Matters relating to the least developed countries;
 - (g) Other matters referred to the Conference of the Parties by the subsidiary bodies.
8. Administrative, financial and institutional matters:
- (a) Budget performance in the biennium 2008–2009;
 - (b) Proposed budget for the biennium 2010–2011.
9. High-level segment.
10. Statements by observer organizations.
11. Other matters.

12. Conclusion of the session:
- (a) Adoption of the report of the Conference of the Parties on its fifteenth session;
 - (b) Closure of the session.

D. Election of officers other than the President

(Agenda item 2 (d))

13. At the 1st meeting, on 7 December, the President informed the COP that Mr. Eric Mugurusi (United Republic of Tanzania) had undertaken consultations on this matter during the thirtieth sessions of the subsidiary bodies. However, nominations had not yet been received from all regional groups. On a proposal by the President, the COP decided to postpone the election of the Bureau until all nominations were finalized. Mr. Mugurusi was invited to continue consultations during the session.

[to be completed]

E. Admission of organizations as observers

(Agenda item 2 (e))

14. At its 1st meeting, on 7 December, the COP considered a note by the secretariat on the admission of organizations as observers (FCCC/CP/2009/8/Rev.1), listing 13 intergovernmental organizations and 345 non-governmental organizations that had asked to be admitted as observers. Pursuant to Article 7, paragraph 6, of the Convention, and following a recommendation by the Bureau, which had reviewed the list of applicant organizations, the COP decided to admit those organizations as observers.

15. Emphasizing the importance of the involvement of intergovernmental and non-governmental organizations in the Convention process, the President welcomed the organizations newly admitted to the COP at its fifteenth session and invited them to play an active role.

F. Organization of work, including the sessions of the subsidiary bodies

(Agenda item 2 (f))

16. In introducing this sub-item at the 1st meeting, on 7 December, the President drew the attention of the COP to the annotations to the provisional agenda contained in document FCCC/CP/2009/1. She noted that the subsidiary bodies would be convened with the aim of developing, before their sessions ended on 12 December, draft decisions and conclusions for submission to the COP.

17. On a proposal by the President, the COP decided to refer items to the subsidiary bodies for consideration and the submission of appropriate draft decisions or conclusions, as follows:

Subsidiary Body for Implementation

- Item 7 (a) (i) Financial mechanism of the Convention. Fourth review of the financial mechanism
- Item 7 (a) (ii) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility
- Item 7 (a) (iii) Assessment of the Special Climate Change Fund
- Item 7 (b) (i) National communications from Parties included in Annex I to the Convention
- Item 7 (b) (ii) National communications from Parties not included in Annex I to the Convention
- Item 7 (c) Development and transfer of technologies
- Item 7 (d) Capacity-building under the Convention
- Item 7 (f) (i) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10)
- Item 7 (f) (ii) Matters relating to the least developed countries
- Item 8 (a) Budget performance in the biennium 2008–2009

Subsidiary Body for Scientific and Technological Advice

- Item 7 (c) Development and transfer of technologies
Item 7 (e) Reducing emissions from deforestation in developing countries: approaches to stimulate action
Item 7 (f) (i) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10)

18. Delegates were reminded that the SBI and the Subsidiary Body for Scientific and Technological Advice would consider different aspects of sub-items 7 (c) and 7 (f) (i).

19. With regard to agenda item 4, "Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention", the President recalled that the COP, by its decision 1/CP.13 (the Bali Action Plan), requested the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) to present the outcome of its work to the COP. She informed delegates that the Chair of the AWG-LCA, Mr. Michael Zammit Cutajar (Malta), would deliver the report of the working group to the COP on 16 December.

20. With regard to agenda item 9, "High-level segment", the President recalled that the dates of 16–18 December had been established for the high-level segment. The high-level segment would be convened on the understanding that there would be one speakers' list and that each Party, including Parties to the Convention that are also Parties to the Kyoto Protocol, would speak only once. No decisions would be taken in the joint meetings. The President, with the endorsement of the Bureau, proposed a time limit of three minutes for each statement at the high-level segment. A statement was made by the representative of one observer State.

21. The COP agreed to proceed on the basis of the proposals made by the President.

22. At the resumed 2nd meeting, on 12 December, the President invited the Chair of the AWG-LCA to update the COP on the work of the group. Statements were made by representatives of 35 Parties, including one speaking on behalf of the European Union and its member States, one on behalf of AOSIS, one on behalf of the African Group, one on behalf of the Group of 77 and China, one on behalf of the Environmental Integrity Group and one on behalf of the least developed countries. A statement was also made by one observer State.

G. Dates and venues of future sessions

(Agenda item 2 (g))

23. At the 2nd meeting, on 9 December, the President informed delegates that Parties would need to reach a decision at COP 15 on the date and venue of the sixteenth session of the COP, which will be held in conjunction with the sixth session of the CMP. In keeping with the rotation among regional groups, the President of COP 16 will come from the Latin American and Caribbean Group.

24. At the invitation of the President, the representative of Mexico made a statement confirming the formal offer made by the Government of Mexico to host COP 16 and CMP 6. The President informed delegates that the offer had been endorsed by the Group of Latin American and Caribbean States.

25. The President recalled that the COP, by its decision 9/CP.14, accepted the offer by the Government of South Africa to host COP 17 and CMP 7. She invited interested Parties to come forward with offers to host COP 18 and CMP 8 and noted that, in keeping with the rotation among regional groups, the President of COP 18 will come from the Asian Group. Statements were made by the representatives of three Parties.

[to be completed]

H. Adoption of the report on credentials

(Agenda item 2 (h))

[to be completed]

III. Reports of the subsidiary bodies and decisions and conclusions arising therefrom

(Agenda item 3)

[to be completed]

IV. Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention

(Agenda item 4)

26. At the 5th meeting, on 16 December, the Chair of the AWG-LCA presented the COP with text on the outcome of the work of the group.⁵

27. Statements were made by representatives of 27 Parties, including one speaking on behalf of the European Union and its member States.

28. At its resumed 5th meeting, on 17 December, on a proposal by the President, the COP established a contact group to be chaired by the President's special representative, Ms. Hedegaard, and forwarded the text on the outcome of the work of the AWG-LCA to that contact group. The contact group was mandated to complete work on any unresolved issues.

29. A statement was made by a representative of one Party speaking on behalf of the Group of 77 and China.

[to be completed]

V. Consideration of proposals by Parties under Article 17 of the Convention

(Agenda item 5)

30. At the 2nd, resumed 2nd and xx meetings, on 9, 12 and xx December, respectively, the COP had before it documents FCCC/CP/2009/3, FCCC/CP/2009/4, FCCC/CP/2009/5, FCCC/CP/2009/6 and FCCC/CP/2009/7.

31. In introducing this item, the President recalled that proposals (as contained in the documents mentioned in para. 30 above) have been received from the following five Parties: Australia, Costa Rica, Japan, Tuvalu and the United States of America.

32. In accordance with Article 17, paragraph 2, of the Convention, the secretariat communicated the text of each proposal to Parties and signatories to the Convention six months before the fifteenth session of the COP. The texts were communicated through notes verbales sent to the national focal points for climate change and the Permanent Missions to the United Nations by 6 June 2009. The texts were also sent, for information, to the Depository on 25 June 2009.

⁵ FCCC/AWGLCA/2009/L.7/Rev.1 and Add.1, Add.2/Rev.1, Add.3–7, Add.8/Rev.1 and Add.9.

33. Representatives of 47 Parties made statements, including one speaking on behalf of AOSIS. Statements were also made by representatives of non-governmental organizations from the following two constituencies: environmental non-governmental organizations and youth.

[to be completed]

VI. Consideration of a proposal by Malta for an amendment to Annex I to the Convention

(Agenda item 6)

34. At its 2nd meeting, on 9 December, the COP had before it document FCCC/CP/2009/2.

35. By a letter dated 16 April 2009, Malta submitted a proposal to amend Annex I to the Convention by adding the name of Malta to the list of countries contained in that annex, with a view to its adoption at COP 15. In accordance with Articles 15 and 16 of the Convention and six months before the fifteenth session of the COP, the secretariat communicated the proposal to Parties and signatories to the Convention by a note verbale dated 29 April 2009, and to the Depository by a letter of the same date. On 24 November 2009, the secretariat received a joint communication from Malta and the European Community,⁶ which was communicated to Parties and signatories to the Convention on 2 December 2009.

36. A statement was made by the representative of one Party speaking on behalf of AOSIS.

37. On a proposal by the President, the COP agreed to consider this item in informal consultations facilitated by Mr. Stephen de Boer (Canada).

[to be completed]

VII. Review of implementation of commitments and of other provisions of the Convention

(Agenda item 7)

[to be completed]

VIII. Administrative, financial and institutional matters

(Agenda item 8)

[to be completed]

IX. High-level segment

(Agenda item 9)

38. A welcoming ceremony, attended by the Prime Minister of Denmark, the Secretary-General of the United Nations and other dignitaries was held on Tuesday, 15 December, prior to the opening of the joint high-level segment.

39. The joint high-level segment of the COP at its fifteenth session and the CMP at its fifth session was opened by the President of the COP and the CMP at the 3rd meeting of the COP and the 6th meeting of the CMP, on 16 December.

⁶ As of 1 December 2009 the European Union replaces and succeeds the European Community.

A. Statements by Heads of State or Government

40. During the high-level segment, statements were made by the following individuals:

[to be completed]

B. Statements by United Nations officials

41. The Secretary-General of the United Nations, Mr. BAN Ki-moon, made a statement during the high-level segment. The Executive Secretary of the UNFCCC also made a statement.

C. Statements by ministers and other heads of delegation

[to be completed]

X. Statements by observer organizations

(Agenda item 10)

[to be completed]

XI. Other matters

(Agenda item 11)

[to be completed]

XII. Conclusion of the session

(Agenda item 12)

[to be completed]

Annexes

[to be completed]



**UNITED
NATIONS**

ADVANCE VERSION



**Framework Convention
on Climate Change**

Distr.
GENERAL

FCCC/CP/2010/2
11 February 2010

Original: ENGLISH

CONFERENCE OF THE PARTIES
Sixteenth session
X, 29 November to 10 December 2010

Item X of the provisional agenda

**Work undertaken by the Conference of the Parties at its fifteenth session on
the basis of the report of the Ad Hoc Working Group on Long-term
Cooperative Action under the Convention**

CONTENTS

	<i>Paragraph</i>	<i>Page</i>
INTRODUCTION.....	1–5	3
A. Mandate.....	1	3
B. Scope of the note.....	2–4	3
C. Possible action by the Ad Hoc Working Group on Long-term Cooperative Action under the Convention	5	3
<u>Annexes</u>		
I. Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention		4
A. Shared vision for long-term cooperative action (revised preamble and paragraphs 1 and 6–8 of the text contained in annex I A to document FCCC/AWGLCA/2009/17)		4
B. Enhanced action on mitigation and its associated means of implementation (revised paragraphs 12–22, 24–26 and 28–29 of the text contained in annex I A to document FCCC/AWGLCA/2009/17).....		7
C. Policy approaches and measures to limit and reduce greenhouse gas emissions from aviation and marine bunker fuels (revised paragraph 32 of the text contained in annex I A to document FCCC/AWGLCA/2009/17		11
II. Enhanced action on adaptation		13
III. Enhanced action on the provision of financial resources and investment.....		19
IV. Enhanced action on technology development and transfer		21
V. Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries		27
VI. Economic and social consequences of response measures.....		31
VII. Various approaches, including opportunities for using markets, to enhance the cost-effectiveness of, and to promote, mitigation actions		34
VIII. Cooperative sectoral approaches and sector-specific actions in agriculture		36
<u>Appendix</u>		
General elements of cooperative sectoral approaches and sector-specific actions		38

Introduction

A. Mandate

1. The Conference of the Parties (COP), at its fifteenth session, requested the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) to continue its work, drawing on the report of the AWG-LCA presented to the COP at its fifteenth session, as well as work undertaken by the COP on the basis of that report.¹

B. Scope of the note

2. The AWG-LCA presented to the COP, at its fifteenth session, a set of draft decisions² containing the outcome of its work for consideration and adoption. The draft decisions are contained in the annexes to document FCCC/AWGLCA/2009/17.³ In order to undertake further work on these decisions, the COP established a contact group on long-term cooperative action, which, in turn, established drafting groups to work on specific draft decisions or parts thereof.

3. The present document contains the texts as considered and modified by the drafting groups referred to in paragraph 2 above. Each drafting group worked independently and achieved a different level of progress. Further information on the status of the texts is provided in a text box at the beginning of each annex or appendix to this document.

4. The contact group on long-term cooperative action did not conclude its work or report back to a plenary meeting of the COP. The work of the drafting groups was of an informal nature and the texts contained in this document therefore have no formal standing. They are reproduced in this document so as to be available to Parties in the continued efforts of the AWG-LCA to reach agreement on the outstanding issues.

C. Possible action by the Ad Hoc Working Group on Long-term Cooperative Action under the Convention

5. The AWG-LCA may wish to consider the texts contained in the annexes and appendix to this document along with the texts contained in the annexes to document FCCC/AWGLCA/2009/17 as it continues its work, with a view to presenting the results of its work to the COP for adoption at its sixteenth session.

¹ Decision 1/CP.15, paragraph 2.

² The presentation of the outcome of the work of the AWG-LCA to the COP in the form of draft decisions does not prejudice the form of the final agreed outcome.

³ During the session these draft decisions were presented in document FCCC/AWGLCA/2009/L.7/Rev.1 and Add.1, Add.2/Rev.1, Add.3–7, Add.8/Rev.1 and Add.9.

Annex I

**Outcome of the work of the Ad Hoc Working Group on Long-term
Cooperative Action under the Convention¹**

**A. Shared vision on long-term cooperative action (revised preamble and paragraphs 1 and 6–8 of
the text contained in annex I A to document FCCC/AWGLCA/2009/17)**

The contact group on long-term cooperative action established a drafting group to undertake work on the preamble and paragraphs 1 and 6–8 of the text contained in annex I A to document FCCC/AWGLCA/2009/17. On the basis of comments and input provided by Parties at the meeting of the drafting group on 17 December 2009 the facilitator prepared a revision of the text, which is contained below. The revised text was made available to Parties in a meeting on 18 December. Comments provided by Parties on the revised text are not reflected here.

The Conference of the Parties,

Pursuant to the Bali Action Plan (decision 1/CP.13) which recognizes the need for long-term cooperative action to enable the full, effective and sustained implementation of the Convention now, up to and beyond 2012,

Guided by the ultimate objective of the Convention, as stated in its Article 2,

Recalling the principles, provisions and commitments set forth in the Convention, in particular the provisions of Articles 3 and 4,

Reaffirming the political commitment and renewing the global partnership to combat climate change and to address existing deficiencies in the implementation of the Convention,

Acknowledging the important and ongoing role of the Kyoto Protocol in contributing to the ultimate objective of the Convention,

Deeply concerned about the findings of the Fourth Assessment Report of the Intergovernmental Panel on Climate Change that the climate system is warming as a consequence of human activity,

Recognizing that the adverse effects of climate change are already evident and widespread, particularly in vulnerable regions of the world, and that a delay in prompt and sufficient global emission reductions will lead to significant additional cost for both mitigation and adaptation, constrain opportunities to achieve lower stabilization levels and increase the risk of large-scale, abrupt and irreversible impacts and breaches of critical climate thresholds,

Noting the important role of food production systems in mitigation and adaptation efforts,

Resolving to safeguard the survival of all nations and peoples threatened by the adverse effects of climate change,

Noting resolution 63/278 of the United Nations General Assembly on ‘International Mother Earth Day’, which acknowledges that the Earth and its ecosystems are our home and that in order to achieve a just balance among the economic, social, and environmental needs of present and future generations, it is necessary to promote harmony with nature and the Earth,

Emphasizing the need for deep cuts in global greenhouse gas emissions and early and urgent undertakings to accelerate and enhance the implementation of the Convention by all Parties, on the basis

¹ Work undertaken by the Conference of the Parties on text contained in annex I A to document FCCC/AWGLCA/2009/17.

of equity and in accordance with their common but differentiated responsibilities and respective capabilities,

Acknowledging that the largest share of historical global emissions of greenhouse gases has originated in developed countries and that, owing to this historical responsibility, developed country Parties must take the lead in combating climate change and the adverse effects thereof [by adopting ambitious, [quantified, legally-binding and economy-wide domestic] emission reduction commitments or actions, and by providing adequate financial, technological and capacity-building support to developing country Parties],

Recognizing that developing country Parties are already contributing and will continue to contribute to a global mitigation effort in accordance with the provisions of the Convention and could enhance their mitigation actions depending on the provision of means of implementation by developed country Parties,

Reaffirming that social and economic development and poverty eradication are the first and overriding priorities of developing country Parties, and also that the share of global emissions originating in developing countries will grow to meet their social and development needs,

Also reaffirming that policies and measures to respond to climate change are to be implemented in such a way as to minimize adverse effects on other Parties, especially developing country Parties,

Recalling the special national circumstances of Parties undergoing the process of transition to a market economy, as stated in Article 4, paragraph 6, of the Convention and relevant decisions by the Conference of the Parties, and of Parties whose special circumstances are recognized by decisions of the Conference of the Parties, such as decision 26/CP.7,

Realizing that addressing climate change requires a paradigm shift towards building a low-emission society that offers substantial opportunities and ensures continued high growth and sustainable development, based on innovative technologies and more sustainable production and consumption and lifestyles, while ensuring a just transition of the workforce that creates decent work and quality jobs,

Recognizing the need to engage a broad range of stakeholders at global, regional, national and local levels, be they governmental, including subnational and local government, private business or civil society, including the youth and persons with disability, and that gender equality and the effective participation of women and indigenous peoples are important for effective action on all aspects of climate change,

Noting resolution 10/4 of the United Nations Human Rights Council on ‘Human rights and climate change’, which recognizes that the adverse effects of climate change have a range of direct and indirect implications for the effective enjoyment of human rights and that the effects of climate change will be felt most acutely by those segments of the population that are already vulnerable owing to geography, gender, age, indigenous or minority status and disability,

Having considered the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention pursuant to paragraph 2 of the Bali Action Plan,

A shared vision for long-term cooperative action²

Agrees that

1. The Parties share a vision for long-term cooperative action that is to guide and enhance the full, effective and sustained implementation of the Convention in order to achieve its ultimate objective as set out in its Article 2; this vision addresses adaptation, mitigation, finance, technology development and

² Titles are included solely to assist the reader.

transfer, and capacity-building in a balanced, integrated and comprehensive manner, giving equal weight to action on adaptation and mitigation;

2. A long-term aspirational and ambitious global goal for emission reductions, as part of the shared vision for long-term cooperative action, should³ be based on the best available scientific knowledge and supported by medium-term goals for emission reductions, taking into account historical responsibilities and an equitable share in the atmospheric space;

Accordingly:

- (a) Parties shall cooperate to avoid dangerous climate change, in keeping with the ultimate objective of the Convention, recognizing [the broad scientific view] that the increase in global average temperature above pre-industrial levels [ought not to] exceed [2 oC][1.5 oC][1oC] [preceded by a paradigm for equal access to global atmospheric resources];
- (b) [Parties should collectively reduce global emissions by at least [50] [85] [95] per cent from 1990 levels by 2050 and should ensure that global emissions continue to decline thereafter;]
- (c) [Developed country Parties as a group should reduce their greenhouse gas emissions by [[75–85] [at least 80–95] [more than 95] per cent from 1990 levels by 2050] [more than 100 per cent from 1990 levels by 2040];]

3. [Parties should cooperate in achieving the peaking of global and national emissions [as soon as possible][in 2015], recognizing that the time frame for peaking will be longer in developing country Parties and bearing in mind that social and economic development and poverty eradication are the first and overriding priorities of developing country Parties and that low-emission development is indispensable to sustainable development;]

4. [*To be elaborated: a long-term goal for financing;*]

5. [*To be elaborated: provision on trade measures (reference to Art. 3, paragraph 5 of the Convention);*]

6. In accordance with the provisions of the Convention, the Conference of the Parties shall periodically assess overall progress in implementing the Convention, as well as commitments and actions on mitigation, adaptation, finance, technology development and transfer and capacity-building. The Conference of the Parties shall also periodically evaluate the long term global goal for emission reductions. These assessments should take into account, as appropriate:

- (a) The best available scientific knowledge, including the assessment reports of the Intergovernmental Panel on Climate Change, as well as relevant technical, social and economic information;
- (b) Observed impacts of climate change especially impacts on particularly vulnerable developing countries;
- (c) The need to prevent and minimize negative impacts of climate change and response measures;
- (d) An assessment of the overall aggregated effect of the steps taken by the Parties in order to achieve the ultimate objective of the Convention;

³ The choice between shall/should needs to be determined throughout this document. (*In the revised text made available on 18 December this footnote was placed next to the heading.*)

7. The Conference of the Parties shall take appropriate action based on these assessments;
8. Further modalities of these assessments shall be determined by the Conference of the Parties. The first assessment shall start no later than [2013][2014] and be concluded no later than [2015][2016]. Subsequent assessments shall be conducted every [four][five] years

B. Enhanced action on mitigation and its associated means of implementation (revised paragraphs 12–22, 24–26 and 28–29 of the text contained in annex I A to document FCCC/AWGLCA/2009/17)

The contact group on long-term cooperative action established a drafting group to undertake work on paragraphs 12–22, 24–26 and 28–29 of the text contained in annex I A to document FCCC/AWGLCA/2009/17. This text contains a revised version of those paragraphs based on the deliberations of the drafting group, reflecting input by Parties at the meetings of the group on 17 and 18 December 2009.

1. Nationally appropriate mitigation commitments or actions by developed country Parties

[Agrees that

12. [[All developed] [Developed] country Parties [Annex I Parties that are not Parties to the Kyoto Protocol] [shall][should] undertake [domestically], [individually or jointly], [internationally] legally binding nationally appropriate mitigation [commitments] [or actions], [including][expressed as] quantified economy-wide emission reduction [targets] [objectives] [commitments] [commitments or actions outlined in Appendix I] [while ensuring comparability of efforts and on the basis of cumulative historical responsibility, as part of their emission debt] [with a view to reducing] [Annex I Parties shall collectively reduce] the [collective] [aggregate] greenhouse gas emissions of [developed country] [Annex I] Parties by [at least [25–40] [in the order of 30] [40] [45] [49]] [x*][XX] per cent from [1990] [or 2005] levels by [2017][2020], [and by [at least] [XX] per cent by 2050 from the [1990] [YY] level];]

13. [All developed] [Developed] country Parties [shall][should] prepare [low-emission] [zero-emission] plans [, including norms for sustainable production and consumption in all relevant sectors] for long-term emission reductions so as to contribute to the achievement of the objective set out in paragraph 2 above⁴;

14. [The efforts of [all] [developed country] [Annex I] Parties to reduce their greenhouse gas emissions [shall][should] be comparable in [legal form, [measure,] magnitude of] effort [and provisions for measuring, reporting and verification, [compliance requirements,] and [shall][should] take into account their [national circumstances and] historical responsibilities];]

15.

Option 1 for para 15: [[All developed] [Developed] country] Parties' quantified economy-wide emission reduction objectives [listed in appendix I to this decision] [shall][should] be formulated as a percentage reduction in greenhouse gas emissions [for the period] [from 2013 to [2017][2020]] compared to 1990 or another base year [adopted under the Convention][shall be inscribed in a legally binding agreement];

Option 2 for para 15: [The quantified economy-wide emission reduction commitments of Annex I Parties that are not Parties to the Kyoto Protocol shall be formulated as a percentage reduction in greenhouse gas emissions for the period [from 2013 to XX] compared to 1990.]

* X is equal to the sum of reductions by Parties.

⁴ This reference was made in relation to the text contained in annex I A to document FCCC/AWGLCA/2009/17.

Option 3 for para 15: [Appendix I to this decision reflects the legally-binding nationally appropriate mitigation actions for developed country Parties which could include the quantified emissions reduction targets, to be achieved pursuant to the domestic laws and regulations of each Party.]

Option for paras 12-15: [Developed country Parties, including all Annex I Parties and countries that voluntarily want to take on internationally legally binding quantified emission limitation or reduction commitments, should, individually or jointly, ensure that their aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex Y do not exceed their assigned amounts for the period from 2013 until [2017] [2020], calculated pursuant to their quantified emission reduction commitments, inscribed in Annex Z and in accordance with relevant provisions of this instrument, with a view to reducing their overall emissions of such gases by at least 30 per cent below 1990 levels by 2020 [and by at least [90] [95] per cent by 2050]]

16.

Option 1 for para 16: [For those Annex I Parties that are Parties to the Kyoto Protocol, the quantified economy-wide emission reduction [objectives] [commitments] [shall][should] be those adopted for the second commitment period under the Kyoto Protocol inscribed in Annex B of the Kyoto Protocol as amended [and also listed in appendix I to this decision]; for [other] Annex I Parties [that are not Parties to the Kyoto Protocol], the [agreed] [economy wide] quantified emission reduction [objectives] [commitments] [shall][should] be XX [those listed in appendix I to this decision]]

Option 2 for para 16: [Developed country Parties agree to implement the emission reduction targets contained in Appendix I];

Agrees that

17.

Option 1 for para 17: [[All developed] [Developed] country Parties [shall][should] achieve their quantified economy-wide emission reduction objectives [primarily] through domestic efforts;]

Option 2 for para 17: [Developed country Parties may use market-based mechanisms established under the Convention and its related instruments to achieve part of their quantified economy-wide emission reduction targets.]

Option 3 for para 17: [Developed country Parties [shall] [should] achieve their quantified economy-wide emission reduction objectives primarily through domestic efforts, and may use market based mechanisms established under the Convention and related instruments in a supplementary manner.]

18.

Option 1 for para 18: [The role of land use, land-use change and forestry in meeting quantified economy-wide emission reduction objectives [shall][should] be in accordance with guidelines [to be adopted by [the Conference of the] Parties] [adopted under the Kyoto Protocol];]

Option 2 for para 18: [Land use, land-use change and forestry may be used to meet quantified economy-wide emission reduction targets.]

19.

Option 1 for para 19: [The achievement of] [Nationally appropriate mitigation commitments [or actions] by [[all] developed country Parties] [Annex I Parties that are not Parties to the Kyoto Protocol] [shall][should] be measured, reported and verified in accordance with [existing [methodologies and guidelines to be further elaborated ensuring transparency and environmental integrity] [and any further

guidelines] adopted by the Conference of Parties at its XX session (20XX)[, taking into account the relevant][based on] provisions under the Kyoto Protocol [which may be enhanced];]

Option 2 for para 19: [Developed country Parties will report on the implementation of their individual mitigation contribution reflected in Appendix I, including the methodologies and assumptions used. It will be verified by international experts and reviewed by Parties.]

20.

Option 1 for para 20: [Principles, modalities, rules and guidelines to promote compliance with commitments by developed country Parties [shall][should] be developed];

Option 2 for para 20: [The compliance system applicable to Annex I Parties that are not Parties to the Kyoto Protocol shall be those procedures and mechanisms under the Kyoto Protocol and may be enhanced.]

]

2. Nationally appropriate mitigation actions by developing country Parties

[*Option 1:*

Agrees that

21. [Developing country Parties [shall][should][may] [voluntarily] [under]take nationally appropriate mitigation actions, [enabled and supported by finance, technology and capacity-building] [and [[may][should][shall] undertake] autonomous mitigation actions in the context of sustainable development, together aimed at achieving a substantial deviation in emissions [in the order of 15–30 per cent by 2020] relative to those emissions that would occur in the absence of enhanced mitigation, and prepare low-emission development plans], [recognizing that the extent of enhanced mitigation by these countries depends on the level of available support]. Parties that are LDCs shall prepare low-emission development plans at their own discretion.

[*Takes note of*]

22. [[Information on] [enhanced][announced] mitigation actions by developing country Parties, [together with provided enablement and support by way of finance, technology and capacity-building,] as contained in appendix II to this decision][Developing country Parties agree to implement their nationally appropriate mitigation actions contained in appendix II to this decision][Enhanced mitigation actions by developing country Parties, including its projected quantified outcome, described in an appendix to this decision, shall also be recorded in a mechanism under paragraph 23] ;

Option for paras 21-22: [Developing country Parties, especially the major developing economies should undertake nationally appropriate mitigation actions, which include quantified elements, such as the greenhouse gas emission intensity target to deviate from the business as usual. Appendix II to this decision reflects the individual nationally appropriate mitigation actions for developing country Parties.]

Decides

23. To establish a mechanism pursuant to decision -/CP.15⁵ ([Mechanism to Record Mitigation Actions and Facilitate Matching of Support]):

- (a) To record nationally appropriate mitigation actions, supported and enabled by finance and technology, [and autonomous mitigation actions][in a registry][in a national schedule];

⁵ This reference was made in relation to the text contained in annex I F to document FCCC/AWGLCA/2009/17.

- (b) To facilitate the matching of support provided through the financial mechanism and from bilateral and multilateral sources with nationally appropriate mitigation actions for which support is sought;

Agrees that

24. National communications, [and] [including] [greenhouse gas inventories], shall be prepared by developing country Parties and submitted to the Conference of the Parties every [1][2][X][4][5] years, properly supported by finance and capacity-building [with flexibility for the least developed countries and small island developing States], in accordance with [revised] guidelines [to be] adopted by the Conference of the Parties [at its [X] session]. Greenhouse gas inventories shall be prepared by developing countries and submitted to the COP annually starting in 2011 in accordance with existing reporting guidelines, [to be adopted by the Conference of the Parties at its [X] session]. LDCs may submit national communications and greenhouse gas inventories at their [own] discretion;

25. Information on [planned and implemented] nationally appropriate mitigation actions of developing country Parties, [including those contained in appendix II], in the context of sustainable development, enabled and supported finance, technology and capacity-building, shall be provided [either] through national communications [or][and][to a][the] coordinating mechanism][National communications and greenhouse gas inventories] shall be [registered in a [registry][assessed at the national level][reviewed][considered in a [review][consultative] process that includes expert and SBI review,] under the Convention][subject to a review process under the Convention, [building on an existing expert review system]], in accordance with [enhanced]guidelines to be adopted by the Conference of the Parties at its [X] session][or an attached annex];

26. Nationally appropriate mitigation actions [supported by finance, technology and capacity-building] [and autonomous mitigation actions] [registered in the registry] [and relevant support by developed countries], shall be subject to measurement domestically, reporting and verification [in accordance with][internationally in accordance with the requirements of the sources and support, following internationally agreed] guidelines to be adopted by the Conference of the Parties at its [16th][X] session. Developing countries [may][should] communicate their measures to mitigate climate change supported by domestic sources in national communications, [for nationally appropriate mitigation actions covered by carbon market mechanisms, the requirements and rules governing participation in the mechanisms shall apply];

Option for para. 26: [Developing country Parties, except LDCs, should report on the implementation of the nationally appropriate mitigation actions reflected in Appendix II, including the emission outcomes. Implementation of nationally appropriate mitigation actions and related outcomes reflected in Appendix II should be verified internationally.]

26 bis. [Autonomous NAMAs shall be subject to measurement and verification domestically in accordance with guidelines to be adopted by the COP at its x session;]

26 ter. [For NAMAs covered by carbon market mechanisms the requirements and rules governing participation in the mechanism shall apply;]

27. [Developing country Parties [may][should], in accordance with the provisions contained in decision -/CP.15⁶ (REDD-plus), contribute to mitigation actions in the forest sector by undertaking the following activities:

- (a) Reducing emissions from deforestation;

⁶ This reference was made in relation to the text contained in annex I G to document FCCC/AWGLCA/2009/17.

- (b) Reducing emissions from forest degradation;
- (c) Conservation of forest carbon stocks;
- (d) Sustainable management of forest;
- (e) Enhancement of forest carbon stocks;

28. Enabling activities carried out by developing country Parties[, such as preparation and elaboration of low-emission development plans, preparation of national communications and greenhouse gas inventories, and planning and elaboration of nationally appropriate mitigation actions, and related capacity-building,] shall be supported [on the basis of the agreed full costs][on as needed basis];

29. [Developed country Parties [shall][should] provide new and additional financial resources, technology and [institutional] capacity-building support for nationally appropriate mitigation actions in the context of sustainable development on [the basis of agreed full incremental costs][as needed basis], in accordance with Article 4, paragraphs 3, 5 and 7[, and Article 11, paragraph 5, of the Convention] [, including support for developing country Parties that are low-emission economies to continue avoiding high GHG emission trajectories in their path to sustainable development];]

[Option 2:

Alternatives suggested by Parties]

C. Policy approaches and measures to limit and reduce greenhouse gas emissions from aviation and marine bunker fuels (revised paragraph 32 of the text contained in annex I A to document FCCC/AWGLCA/2009/17)

This text was prepared by the co-facilitators of the informal consultations in the context of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, and was distributed to Parties at a meeting of the contact group on long-term cooperative action on 17 December 2009.
--

[Agrees

32. That the limitation and reduction of emissions of greenhouse gases not controlled by the Montreal Protocol from aviation and marine bunker fuels should be pursued working through the International Civil Aviation Organization and the International Maritime Organization, respectively, [taking into account the principles and provisions of the Convention,][on a scale consistent with the long term global goal defined in the Shared Vision outlined in Article XX][, taking into account Appendix xx.]

To invite these Organizations to report to the Conference of the Parties, at its seventeenth session, and to its subsidiary bodies as appropriate, and at regular intervals thereafter, on relevant activities, policy approaches and measures established and under development, emission estimates and achievements in this respect.]

Proposal for an appendix referred to in paragraph 32 above:

[The Conference of the Parties...

1. *Encourages* the International Civil Aviation Organization and the International Maritime Organization to continue their activities for the development of policy approaches and technical and operational measures to address greenhouse gas emissions, and specifically:

- (a) To establish sufficiently ambitious mid-term and long-term [global goals] for the mitigation of greenhouse gas emissions from aviation and marine bunker fuels to be

achieved through the application of their policy approaches and measures, [of 10 per cent and 20 per cent, respectively, below 2005 levels by 2020;]

- (b) To take fully into consideration all the relevant principles and provisions of the Convention, in particular the principle of common but differentiated responsibility and respective capabilities and the promotion of a supportive and open international economic system, and the special economic, geographical and social conditions of developing countries, recognizing that such policy approaches and technical and operational measures should be taken on the basis of mutual consent of all Parties involved and should not constitute a means of arbitrary and unjustifiable discrimination or a disguised restriction on international trade;
- (c) To ensure that such policy approaches and measures to do not lead to competitive distortions or carbon leakage;
- (d) To ensure that revenue from the implementation of such policy approaches and measures shall be made available to support climate change adaptation and mitigation in developing countries;
- (e) To promote the cooperation in the research, development, application and diffusion, including transfer of technologies, practices, processes, and methodologies in international aviation and maritime transport.]

Annex II**Enhanced action on adaptation¹**

The contact group on long-term cooperative action established a drafting group to undertake work on the text contained in annex I B to document FCCC/AWGLCA/2009/17. This text reflects the status of negotiations on the text as at 18 December 2009.

[*The Conference of the Parties,*

1. [Agrees that adaptation to the adverse effects of climate change [and/or to the impact of the implementation of response measures] is a challenge faced by all Parties and that enhanced action and international cooperation on adaptation is urgently required to enable and support the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing country Parties, especially in those that are particularly vulnerable;]
2. Establishes the Copenhagen Adaptation Framework [for Implementation] with the objective of enhancing action on adaptation, including through international cooperation, for coherent consideration of matters relating to adaptation under the Convention;
3. Affirms that enhanced action on adaptation should be undertaken in accordance with the Convention; follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems; and be based on and guided by the best available science, and as appropriate traditional knowledge; with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;
4. Invites all Parties to enhance adaptation action under the Copenhagen Adaptation Framework [for Implementation] taking into account their common but differentiated responsibilities and respective capabilities, and specific national and regional development priorities, objectives and circumstances, [and whereby developing country Parties shall be supported by developed country Parties and in accordance with paragraph 6 below], to undertake, inter alia:
 - (a) Planning, prioritizing and implementing adaptation actions, including projects and programmes,² and actions identified in national and subnational adaptation plans and strategies, national adaptation programmes of action of least developed countries, national communications, technology needs assessments and other relevant national planning documents;
 - (b) Impact, vulnerability and adaptation assessments, including assessments of financial needs as well as economic, social and environmental evaluation of adaptation options;
 - (c) Strengthening institutional capacities and enabling environments for adaptation, including for climate-resilient development and vulnerability reduction;
 - (d) Building resilience of socio-economic and ecological systems, including through economic diversification and sustainable management of natural resources;
 - (e) Enhancing climate change related disaster risk reduction strategies, considering the Hyogo Framework for Action³ where appropriate; early warning systems; risk

¹ Work undertaken by the COP on text contained in annex I B to document FCCC/AWGLCA/2009/17.

² Including, inter alia, in the areas of water resources; health; agriculture and food security; infrastructure; socio-economic activities; terrestrial, freshwater and marine ecosystems; and coastal zones.

³ <<http://www.unisdr.org/eng/hfa/hfa.htm>>.

assessment, and management and sharing and transfer mechanisms such as insurance [, compensation and rehabilitation]; at local, national, subregional and regional levels, as appropriate, to address loss and damage associated with climate change impacts in those developing countries that are particularly vulnerable to the adverse effects of climate change [and/or to the impact of the implementation of response measures];

- (f) Measures to enhance understanding, coordination and cooperation related to national, regional and international climate change induced displacement, migration and planned relocation, where appropriate;
- (g) Research, development, demonstration, diffusion, deployment, and transfer of technologies, practices, and processes; and capacity-building for adaptation, with a view to promoting access to technologies [, in particular in developing country Parties];
- (h) Strengthening data, information and knowledge systems, education and public awareness;
- (i) Improving climate-related [and related to the impact of the implementation of response measures] research and systematic observation for climate data collection, archiving, analysis and modelling for improved climatic-related data and information to decision-makers at national and regional levels;
- (j) [Action identified in decisions 5/CP.7 and 1/CP.10;]
- (k) [Minimizing adverse social, environmental and economic impacts on developing countries;]

5. [*Decides* to establish a process for least developed country Parties to formulate and implement national adaptation plans that build upon the experience of the national adaptation programmes of action, as a means of identifying medium- and long term adaptation needs and developing strategies and programmes to address those needs;]

6. ⁴

Option 1

Decides that developed country Parties shall provide developing country Parties, especially those that are vulnerable, with long-term, scaled up, adequate, new and additional to official development assistance commitments and predictable and grant-based finance from public sources in the order of at least [x billion] [x per cent of the gross domestic product of developed country Parties] as part of the repayment of their climate debt and their historic responsibility based on greenhouse gas emissions, as well as with support for technology, insurance and capacity-building to implement urgent, short-, medium- and long-term adaptation actions, plans, programmes and projects at local, national, subregional and regional levels, in and across different economic and social sectors and ecosystems, including the activities referred to in paragraph 4 above;

Also decides that access to financial support for adaptation should be simplified, expeditious and direct, with priority given to particularly vulnerable developing country Parties [, especially the least developed countries and small island developing States, and further taking into account the needs of countries in Africa affected by drought, desertification and floods] [as well as other vulnerable developing country Parties with coastal areas, tropical and mountainous glaciers and fragile ecosystems];

⁴ Placeholder for references to outcomes of discussions on finance, technology and capacity-building.

Option 2

Urges developed country Parties and other developed Parties included in Annex II to substantially scale up financial support as well as technology and capacity-building assistance to support adaptation efforts of developing country Parties [and Parties with special circumstances as recognized by a decision by the Conference of the Parties], especially those that are particularly vulnerable to the adverse effects of climate change, based on the priorities identified in their relevant planning and policymaking processes and in undertaking the activities referred to in paragraph 4 above;
(placeholder to ensure consistency with finance discussions)

7.

Option 1

Establishes an Adaptation Committee⁵ under the Convention with equitable representation of Parties to guide, supervise, support, administer and monitor the operation of the Copenhagen Adaptation Framework [for Implementation] and, inter alia:

- (a) To provide advice and technical support to Parties, respecting the country driven approach, including developing broad guidance for undertaking vulnerability and adaptation assessments, and developing national adaptation plans and strategies;
- (b) To strengthen, consolidate and enhance the sharing of information, knowledge, experience and good practices, at local, national, regional and international levels, consistent with relevant international agreements, through creating forums where different public and private stakeholders can discuss concrete challenges;
- (c) To encourage regional and international organizations and institutions to enhance adaptation action, including through funding adaptation activities, strategies and programmes;
- (d) [To enable and support] [To encourage] the creation of partnerships between a range of stakeholders in developing and developed country Parties, with a view to enhancing the development and transfer of technologies for adaptation and the implementation of adaptation action;
- (e) To support the development and enhancement of endogenous capacities; facilitating removal of barriers and enhancing accessibility, affordability, appropriateness and adaptability of technologies for adaptation;
- (f) To receive, evaluate and approve the applications of financial support from developing country Parties for implementation of adaptation projects, programmes and actions; and providing such financial support through financial mechanism;
- (g) To plan, organize, coordinate, monitor and evaluate international actions on adaptation, including the means of implementation;
- (h) To support the assessment of adaptation needs [and adaptive capacity] of developing country Parties, including needs related to finance, technology[, compensation of loss and damage for sudden and gradual impacts of climate change] [, insurance] [, including micro-insurance,] and capacity-building;

⁵ The Adaptation Committee shall consist of 32 members nominated by Parties, with 20 members from Parties not included in Annex I of the Convention. The members of the Committee shall serve in their personal capacities.

- (i) To support and promote the implementation of the Copenhagen Adaptation Framework [for Implementation] in all countries, particularly developing country Parties, at the most appropriate level, recognizing the important roles of state and regional governments;

Decides to elaborate operational modalities for the provisions contained in the paragraph above, for adoption by the Conference of the Parties at its sixteenth session;

Option 2

Decides to strengthen, enhance and better utilize existing institutional arrangements and expertise under the Convention in order to support the implementation of the Copenhagen Adaptation Framework [for Implementation], by:

- (a) Providing guidance on the implementation of adaptation actions;
- (b) [Providing] [Facilitating the provision of] scientific advice and technical support to Parties, including for undertaking risk, vulnerability and adaptation assessments, and adaptation planning;
- (c) Enhancing the sharing of information, knowledge, including traditional knowledge, experience and good practices, at local, national, regional and international levels;
- (d) Providing advice on the integration of adaptation actions into sectoral and national planning and other ways to enable climate-resilient development;
- (e) Considering information communicated through the monitoring, review and reporting of [the provision of means of] implementation [and] [of] adaptation actions;
- (f) Strengthening the catalytic role of the Convention;

Agrees to consider the need for new institutional arrangements, including for a Subsidiary Body for Adaptation or an Advisory Body to guide and support the implementation of the Copenhagen Adaptation Framework [for Implementation];

8.

Option 1

Establishes an international mechanism to address [social, economic and environmental] loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change [and/or to the impact of the implementation of response measures], including impacts related to extreme weather events and slow onset events,⁶ through risk management, insurance, compensation and rehabilitation;

Decides to elaborate modalities and procedures for the international mechanism to address loss and damage, for adoption by the Conference of the Parties at its sixteenth session;

Option 2

Agrees on the need to strengthen international cooperation and expertise to address [social, economic and environmental] loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change [and/or to the impact of

⁶ Including sea level rise, increasing temperatures, ocean acidification, glacial retreat and related impacts, salinization, land and forest degradation, loss of biodiversity and desertification.

the implementation of response measures], including impacts related to extreme weather events and slow onset events,⁷ including through risk management and insurance, as appropriate;

Requests Parties to explore whether risk management mechanisms may need to be established or enhanced at subnational, national, regional and international levels, as appropriate;

9. *Invites* Parties to strengthen and, where necessary, establish regional centres and networks, in particular in developing countries, with support from developed country Parties and relevant organizations, as appropriate; to facilitate and enhance national and regional adaptation actions, in a manner that is country-driven, encourages cooperation and coordination between regional stakeholders, and improves the delivery of information between the Convention process and national and regional activities;

10. *Notes* that an international centre to enhance adaptation research and coordination could also be established in a developing country;

11.

Option 1

Requests developed country Parties to support developing country Parties in strengthening and, where necessary, establishing designated national-level institutional arrangements for adaptation with a view to enhancing work on the full range of adaptation actions from planning to implementation;

Option 2

Invites all Parties to strengthen and, where necessary, establish national-level institutional arrangements, with a view to enhancing work on the full range of adaptation actions from planning to implementation;

12.

Option 1

Decides that all Parties should use existing channels to report, as appropriate, on activities undertaken, and support provided and received for adaptation actions in developing countries, and to provide information on progress, experiences and lessons learned to ensure transparency, mutual accountability and robust governance;

Option 2

Decides that all Parties should report on support provided and received for adaptation action in developing countries pursuant to Article 12, paragraph 3, of the Convention, with the aim of identifying insufficiencies and discrepancies of support for consideration of the Conference of the Parties; *(placeholder to ensure consistency with finance discussions)*

Invites all Parties to provide information on experiences and lessons learned from adaptation actions, where appropriate;

13. *[Invites* relevant multilateral, international, regional and national organizations, the public and private sectors, civil society and other relevant stakeholders to undertake and support enhanced action on adaptation at all levels, as appropriate, in a coherent and integrated manner, building on synergies among

⁷ Including sea level rise, increasing temperatures, ocean acidification, glacial retreat and related impacts, salinization, land and forest degradation, loss of biodiversity and desertification.

activities and processes, and to assist in the implementation of the Copenhagen Adaptation Framework [for Implementation];]

14. [*Requests* the secretariat to support the Copenhagen Adaptation Framework [for Implementation], in accordance with its mandate and subject to the availability of resources;]]

Annex III**Enhanced action on the provision of financial resources and investment¹**

The contact group of the Conference of the Parties on long-term cooperative action established a drafting group to undertake work on the text contained in annex I C to document FCCC/AWGLCA/2009/17. Discussions conducted by the drafting group at its meeting on 17 December 2009 did not yield any specific progress and no formal report was provided by the co-facilitators to the contact group on this work owing to the inconclusive nature of this meeting. The text below reflects only some of the input and comments provided by Parties at the meeting before the co-facilitators decided to adjourn proceedings.

1. [Parties [shall] [agree to] further operationalize the financial mechanism [of][under] the Convention with the aim of full and effective implementation [of the Convention,] [in particular commitments contained in Article 4, paragraphs 3, 4, 5, 8 and 9, in the context of its Article 4, paragraph 7;]

[Finance Board]

2. [A Finance Board of the financial mechanism shall be established under the guidance of and be accountable to the Conference of the Parties;]

3. [The Finance Board shall have an equitable and balanced representation of all Parties within a transparent system of governance in accordance with Article 11, paragraph 2, of the Convention;]

4. [The Finance Board of the financial mechanism shall:

- (a) Provide [guidance][assistance] to, and ensure accountability to the Conference of the Parties of, all operating entities of the financial mechanism in accordance with Article 11 of the Convention;
- (b) Assess the needs for, and sources and flows of, international finance to support activities to address climate change;
- (c) Recommend a balanced allocation of funding across thematic areas of the operating entities of the financial mechanism based on the information provided by all operating entities;
- (d) Recommend provisions for unifying modalities to measure, report and verify the support provided to developing country Parties for enhanced action on mitigation, and to monitor, report and review the support provided to developing country Parties for enhanced action on adaptation;
- (e) Review modalities of operating entities in order to provide simplified, improved, effective and equitable access to financial resources in a timely manner, including direct access;
- (f) Upon request, provide advice and information to assist developing country Parties in matching financial support for their mitigation and adaptation needs;
- (g) Report to the Conference of the Parties on a regular basis;

¹ Work undertaken by the Conference of the Parties on the text contained in annex I C to document FCCC/AWGLCA/2009/17.

(h) Fulfil any other functions assigned to it by the Conference of the Parties;]

5. [The Finance Board shall be serviced by a secretariat;]

[Fund/Operating entity]

6. [The Parties agree to establish a Climate [Fund][Facility];]

7. [[The Climate [Fund][Facility] shall act as an operating entity of the financial mechanism of the Convention;][The Climate [Fund][Facility] shall have an operating entity that will be appointed by the sixteenth session of the Conference of the Parties;]]

8. [The Climate [Fund][Facility] shall be governed by a [YY] Board [of yy members] [nominated by the Conference of the Parties,] with [equitable and balanced representation of all Parties within a transparent system of governance][equal representation of net contributors and net recipients];]

9. [The Climate [Fund][Facility] will [on a grant or concessional basis] support projects, programmes, [policies] and other activities related to mitigation [including REDD-plus,]adaptation, [capacity-building] and technology [development and transfer] [as a complement to existing mechanisms]. Specialized funding windows may be established by the Board of the Climate [Fund][Facility] with the approval of the Conference of the Parties;]

10. [The Climate [Fund][Facility] shall be serviced by a trustee and a secretariat; the procedures for selecting the trustee and the secretariat shall be finalized by the sixteenth session of the Conference of the Parties;]

11. [The Climate [Fund][Facility] shall provide simplified, improved and effective access to financial resources in a timely manner, including direct access;]

[Existing funds/entities]

12. [The Parties agree to [reform][review] the institutional arrangement of the financial mechanism of the Convention with the Global Environment Facility to respond more effectively to needs of developing country Parties;]

[Provision of financial resources]

[The Parties agree that]

13. [Scaled up, predictable, new and additional, and adequate funding shall be provided to developing country Parties, in accordance with Article 4, paragraphs 3, 4, 5, 8 and 9, of the Convention, to enable and support enhanced action on mitigation, including REDD-plus, adaptation, capacity-building and technology development and transfer, for enhanced implementation of the Convention after 2012;]

14. [The main source of funding through the financial mechanism shall be new and additional financial resources provided by developed country Parties;]

15. [Private-sector financing and other innovative sources of funding shall supplement the provision of public financial resources.]

Annex IV**Enhanced action on technology development and transfer¹**

The contact group on long-term cooperative action established a drafting group to undertake work on the text contained in annex I D to document FCCC/AWGLCA/2009/17. The text reflects the input and comments made by Parties at the meeting of the drafting group on 17 December 2009.

The Conference of the Parties,

Recalling the commitments under the Convention, in particular Article 4, paragraphs 1, 3, 5, 7, 8 and 9,

Confirming the importance of promoting and enhancing national and international cooperative action on the development and transfer of environmentally sound technologies to developing country Parties to support action on mitigation and adaptation now, up to and beyond 2012, in order to achieve the ultimate objective of the Convention,

Recognizing that climate change represents an urgent and potentially irreversible threat to human societies and the planet, and thus requires to be urgently addressed by all Parties,

Also recognizing that early and rapid reduction in emissions, and the urgent need to adapt to the adverse impacts of climate change, requires large-scale diffusion and transfer of, or access to, environmentally sound technologies,

Stressing the need for effective mechanisms, enhanced means, appropriate enabling environments and the removal of obstacles to the scaling up of the development and transfer of technologies to developing country Parties,

Objective

1. *Decides* that the objective of enhanced action on technology development and transfer is to support action on mitigation and adaptation in order to achieve the full implementation of the Convention;
2. *Also decides* that, in pursuit of this objective, the identification of technology needs must be nationally determined, based on national circumstances and priorities;
3. *Agrees* to accelerate action consistent with international obligations, at different stages of the technology cycle, including research and development, demonstration, deployment, diffusion and transfer of technology (hereinafter in this decision referred to as ‘technology development and transfer’) in support of action on mitigation and adaptation;

Activities and/or outcomes of activities to be supported

4. *Decides* that, pursuant to paragraph 10 (c) below, activities and/or outcomes of activities eligible for technological, financial and capacity-building support, including relevant actions referred to in paragraphs 12 and 13 below, shall be determined by country-driven processes based on national circumstances and priorities, with a view to ensuring overall efficiency and effectiveness in meeting such outcomes, and may include, but not be limited to, those that achieve:

¹ Work undertaken by the Conference of the Parties on the text contained in annex I D to document FCCC/AWGLCA/2009/17.

- (a) Development and enhancement of endogenous capacities and technologies of developing country Parties, including cooperative research, development and demonstration programmes;
- (b) Deployment and diffusion of environmentally sound technologies and know-how to developing country Parties;
- (c) Increased public and private investment in technology development, deployment, diffusion and transfer;
- (d) Deployment of soft and hard technologies for implementation of adaptation and mitigation actions;
- (e) Improved climate change observation systems and related information management;
- (f) [Purchasing of licences and other intellectual property rights issues;]
- (g) Strengthening of national systems of innovation and technology innovation centres;
- (h) Development and implementation of national technology plans for mitigation and adaptation;

Technology Mechanism

5. *Decides* that a Technology Mechanism [is hereby defined as part of the legally binding agreement as referred to in decision -/CP.15] [is hereby established [under the authority and guidance of, and accountable to, the Conference of the Parties]], and will consist of the following components:

- (a) A Technology Executive Committee, as described in paragraph 7 below;
- (b) A Climate Technology Centre, as described in paragraph 10 below;

6. *Also decides* that the implementation of the Technology Mechanism and other activities as determined by the Conference of the Parties shall take into account activities and/or outcomes of activities eligible for support as described in paragraph 4 above and shall be funded by the [financial arrangement] established under decision -/CP.15² (finance), including the provision of new and additional financial resources to meet the agreed full incremental costs, in accordance with Article 4, paragraph 3, of the Convention;

Technology Executive Committee

7. *Decides* that the Technology Executive Committee is hereby defined and shall have the following functions:

- (a) Provide analysis of policy and technical issues related to the development and transfer of technology for mitigation and adaptation to the Conference of the Parties and its subsidiary bodies;
- (b) Consider and recommend, as appropriate, actions to promote technology development and transfer to accelerate action on mitigation and adaptation;
- (c) Prepare guidance for adoption by the Conference of the Parties on policies, programme priorities and eligibility criteria related to technology development and transfer[,with special consideration given to least developed Parties];

² This reference was made in relation to the text contained in annex I C to document FCCC/AWGLCA/2009/17.

- (d) Promote collaboration on the development and transfer of technology for climate mitigation and adaptation between governments, industry, non-profit organizations, and academic and research communities;
- (e) Provide periodic reports on the progress of its work to the Conference of the Parties [through the Subsidiary Body for Scientific and Technological Advice] and, upon request, advice to the subsidiary bodies established under the Convention on matters related to efforts to accelerate action on technology development and transfer;
- (f) [Recommend and support necessary actions to address and remove the barriers to technology development and transfer [identified by developing country Parties], in order to enable action on mitigation and adaptation;]
- (g) Provide guidance to the Climate Technology Centre with a view to aligning the activities of the Climate Technology Centre with country-driven actions;
- (h) [Address issues related to intellectual property rights as they arise;]
- (i) Catalyse the development and use of technology road maps or action plans at international, regional and national levels through cooperation between relevant stakeholders, particularly governments and relevant organizations or bodies, including the development of best practice and guidelines, as facilitative tools for action on mitigation and adaptation;

8. *Decides* that the mandate of the Expert Group on Technology Transfer, established by decision 4/CP.7 and reconstituted by decision 3/CP.13, will end at the conclusion of the sixteenth session of the Conference of the Parties, by which time the Expert Group on Technology Transfer will have completed its pending activities and delivered its final report to the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation for consideration at their thirty-third sessions;

Linkage with finance

9.

[*Option 1 for para 9: Further decides* that the Technology Executive Committee shall provide information in a timely manner to the financial arrangement, as described in decision -/CP.15³ (finance), for consideration, on activities and/or outcomes of activities eligible for financial support, as referred to in paragraph 4 above;

Option 2 for para 9: Further decides that the Technology Executive Committee shall provide guidance for funding to the financial arrangement, as described in decision -/CP.15 (finance)⁴, on activities and/or outcomes of activities eligible for financial support, as referred to in paragraph 4 above;]

Climate Technology Centre and Network

10. *Decides* that the Climate Technology Centre, supported by its regional units and by the climate technology network, will:

- (a) At the request of a developing country Party:

³ This reference was made in relation to the text contained in annex I C to document FCCC/AWGLCA/2009/17.

⁴ Idem.

- (i) Provide advice and support related to the identification of technology needs and the implementation of environmentally sound technologies, practices and processes;
 - (ii) Provide information, training and support for workforce development programmes to build or strengthen developing country capacity to identify technology options, make technology choices and operate, maintain and adapt technologies;
 - (iii) Facilitate prompt action on the deployment of existing technologies in developing country Parties based on the identified needs;
- (b) Stimulate and encourage, through collaboration with the private sector, public institutions, academia and research institutions, the development and transfer of existing and emerging environmentally sound technologies, as well as opportunities for North–South, South–South and triangular technology cooperation;
- (c) Develop and customize analytical tools, policies and best practices for country-driven planning to support the dissemination of environmentally sound technologies;
- (d) Establish a Climate Technology Network with a view to:
- (i) Enhancing cooperation with national, regional and international technology centres and relevant national institutions;
 - (ii) Facilitating international partnerships among public and private stakeholders to accelerate the innovation and diffusion of environmentally sound technologies to developing country Parties;
 - (iii) Providing, on request by a developing country Party, in-country technical assistance and training to support identified technology actions in developing country Parties;
 - (iv) Stimulating the establishment of twinning centre arrangements to promote North-South, South-South, and triangular partnerships with a view to encouraging cooperative research and development
 - (v) Performing other such activities as may be necessary to carry out its functions;
 - (vi) [*Option 1*: Provide periodic reports on the progress of its work to the Conference of the Parties through the [Subsidiary Body for Scientific and Technological Advice];
Option 2: Provide periodic updates on the status and progress of its work, including that of the Climate Technology Network, to the Conference of the Parties through the [Subsidiary Body for Scientific and Technological Advice][Technology Executive Committee], with a view to determining any required action resulting from the updates;]

[Intellectual Property Rights]

Option 1: No reference to Intellectual Property Rights in the text

Option 2: *Decides* that:

11. Any international agreement on intellectual property shall not be interpreted or implemented in a manner that limits or prevents any Party from taking any measures to address adaptation or mitigation of climate change, in particular the development and enhancement of endogenous capacities and technologies of developing countries and transfer of, and access to, environmentally sound technologies and know-how;

11.bis Specific and urgent measures shall be taken and mechanisms developed to remove barriers to the development and transfer of technologies arising from intellectual property rights protection, in particular:

- (a) Creation of a Global Technology Intellectual Property Rights Pool for Climate Change that promotes and ensures access to intellectual property protected technologies and the associated know-how to developing countries on non-exclusive royalty-free terms;
- (b) Take steps to ensure sharing of publicly funded technologies and related know-how, including by making the technologies and know-how available in the public domain in a manner that promotes transfer of and/or access to environmentally sound technology and know-how to developing countries on royalty-free terms;

11.ter Parties shall take all necessary steps in all relevant forums to exclude from Intellectual Property Rights protection, and revoke any such existing intellectual property right protection in developing countries and least developed countries on environmentally sound technologies to adapt to and mitigate climate change, including those developed through funding by governments or international agencies and those involving use of genetic resources that are used for adaptation and mitigation of climate change;

11.quat Developing countries have the right to make use of the full flexibilities contained in the Trade Related Aspects of Intellectual Property Rights agreement, including compulsory licensing;

11.quin The Technology Executive Committee shall recommend to the Conference of the Parties international actions to support the removal of barriers to technology development and transfer, including those arising from intellectual property rights.];

Cooperative action on technology

12. *Encourages* Parties, in the context of Article 4, paragraphs 1(c) and 5, of the Convention and consistent with their respective capabilities and national circumstances and priorities, to undertake domestic actions identified through country-driven approaches that:

- (a) Promote the establishment and/or strengthening of national systems of innovation, including, as appropriate, national technology innovation centres;
- (b) Promote public- and private-sector partnerships;
- (c) Create the enabling environments to facilitate enhanced action on technology transfer and mobilize private-sector investment;
- (d) Develop and strengthen relevant institutional, technical and human capacity, including the capacity to absorb, adapt and adopt appropriate and applicable environmentally sound technologies;
- (e) Increase private and public [energy-related] research, development and demonstration compared with current levels, working towards at least a doubling of global [energy-related] research, development and demonstration by [2012][2015] and increasing it to four times its current level [by 2020][thereafter][, with a significant shift in emphasis

towards safe and sustainable low greenhouse gas emitting technologies, especially renewable energy];

13. *Also encourages* Parties, in the context of Article 4, paragraphs 1(c) and 5, of the Convention and consistent with their respective capabilities and national circumstances and priorities, to engage in bilateral and multilateral cooperative activities on technology development and transfer in order to, inter alia:

- (a) Promote collaborative action through North–South, South–South and triangular technology partnerships, including through regional and international technology centres and networks;
- (b) Promote the establishment of cooperative partnership arrangements with relevant international organizations, the public– and private–sectors, academia and the research community;
- (c) Enhance the development and dissemination of best practices;
- (d) Support national and regional capacity-building;

Issues for further consideration

14. *Agrees* to continue to deliberate upon the full mandate, composition and modalities for the operation of the Technology Executive Committee and the Climate Technology Centre, referred to in paragraph 7 and 10 above, and conclude these deliberations with a view to the Conference of the Parties making a decision at its sixteenth session and to having the Technology Executive Committee and Climate Technology Centre commence their work [in January 2011][on adoption of the new legal agreement];

15. *Underlines* the importance of continued dialogue among Parties on the issues deliberated upon during this session [including, inter alia, ways to address specific barriers identified through country-driven processes, technologies for adaptation, modalities for technology action plans and road maps, incentives for technology development and transfer, and the research and development objective of the Technology Mechanism, with a view to concluding its consideration on these matters at its subsequent session].

Annex V

Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries¹

The contact group on long-term cooperative action established a drafting group to undertake work on the text contained in annex I G to document FCCC/AWGLCA/2009/17. The text below reflects the input and comments made by Parties at the meeting of the drafting group on 17 December 2009.

The Conference of the Parties,

Recalling decisions 1/CP.13, 2/CP.13, x/CP.15² (AWG-LCA core) and x/CP.15 (SBSTA decision),

[Affirming (... for any quantitative goal to be inserted or moved elsewhere)]

Encourages all Parties to find effective ways to reduce the pressure on forests that results in greenhouse gas emissions,

1. *Affirms* that the implementation of activities referred to in paragraph 3 below:
 - (a) Contribute to the objective set out in Article 2 of the Convention;
 - (b) [Contribute to the commitments set out in Article 4, paragraph 3, of the Convention;]
 - (c) Be country-driven and [voluntary][proposed voluntarily];
 - (d) Be undertaken in accordance with national circumstances and capabilities of the country and respect sovereignty;
 - (e) Be consistent with national sustainable development needs and goals;
 - (f) Facilitate sustainable development, reduce poverty and respond to climate change in developing country Parties;
 - (g) Promote broad country participation;
 - (h) Be consistent with the adaptation needs of the country;
 - (i) Be [integrated into nationally appropriate mitigation actions] [developed within the context of a low greenhouse gas emission strategy];
 - (j) Be subject to [equitable, adequate, predictable and sustainable] financing and technology support, including support for capacity-building;
 - (k) Be results-based;
 - (l) Promote sustainable management of forests;

¹ Work undertaken by the Conference of the Parties on the text contained in annex I G to document FCCC/AWGLCA/2009/17.

² This reference was made in relation to the text contained in annex I C to document FCCC/AWGLCA/2009/17.

2. *Further affirms* that when undertaking activities referred to in paragraph 3 below, the following safeguards should be promoted and supported:

- (a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- (d) Full and effective participation of relevant stakeholders, including, in particular, indigenous peoples and local communities in actions referred to in paragraphs 3 and 5 below;
- (e) Actions that are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 3 below are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;^[3]
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions;

3. *Decides* that developing country Parties should contribute to mitigation actions in the forest sector by undertaking the following activities:

- (a) Reducing emissions from deforestation;
- (b) Reducing emissions from forest degradation;
- (c) Conservation of forest carbon stocks;
- (d) Sustainable management of forest;
- (e) Enhancement of forest carbon stocks;

4. *Requests* the Subsidiary Body for Scientific and Technological Advice to undertake a work programme to identify land use, land-use change and forestry activities in developing countries, in particular those that are linked to the drivers of deforestation and forest degradation, to identify the associated methodological issues to estimate emissions and removals resulting from these activities, and to assess their potential contribution to the mitigation of climate change and report on the findings to the Conference of the Parties at its [xx] session;

5. *Also requests* that a developing country Party aiming to undertake activities referred to in paragraph 3 above, [provided that support is made available,] in accordance with national circumstances and respective capabilities, develop:

³ [Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples and the International Mother Earth Day.]

- (a) A national strategy or action plan [and, if appropriate, a subnational strategy][, as part of their low-carbon emission strategies and in accordance with decision x/CP.15⁴ (Mitigation)];
- (b) [A national forest reference emission level and/or forest reference level, or if appropriate, subnational forest reference emission level[s] and/or forest reference level[s], taking into account decision x/CP.15 (SBSTA decision) and any further elaboration of those provisions agreed by the Conference of the Parties;]
- (c) [A robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to in paragraph 3 above[, and the safeguards referred to in paragraph 2 above], with, as appropriate, subnational monitoring and reporting as an optional interim measure,⁵ in accordance with the provisions contained in decision x/CP.15 (SBSTA decision) and any further elaboration of those provisions agreed by the Conference of the Parties;]
6. *Further requests* the Subsidiary Body for Scientific and Technological Advice, at its [xx] session, to develop modalities relating to paragraph 5 (b) and (c) above, for adoption by the Conference of the Parties at its [xx] session.
7. *Requests* developing country Parties, when developing and implementing their national strategies or action plan, [or subnational strategies] to address, inter alia, drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 above, ensuring the full and effective participation of relevant stakeholders, inter alia, indigenous peoples and local communities;
8. *Decides* that the activities undertaken by Parties referred to in paragraph 3 above be implemented in phases, beginning with the development of national strategies or action plans, policies and measures and capacity-building, followed by the implementation of national policies and measures, and national strategies or action plans and, as appropriate, subnational strategies, that could involve further capacity-building, technology development and transfer and results-based demonstration activities, and evolving into results-based actions [that shall be fully measured, reported and verified];
9. *Recognizes* that the implementation of the activities referred to in paragraph 8 above, including the choice of a starting phase, depends on the specific national circumstances, capacities and capabilities of each developing country Party and the level of support received;
10. *Requests* the Subsidiary Body for Scientific and Technological Advice, at its [xx] session, to develop, as necessary, modalities for [measuring, reporting and verifying] anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, forest carbon stocks and forest area changes resulting from the implementation of activities referred to in paragraph 3 above[, and consistent with any guidance for measuring, reporting and verification of nationally appropriate mitigation actions by developing country Parties agreed by the Conference of the Parties], taking into account methodological guidance in accordance with decision x/CP.15 (SBSTA decision), for adoption by the Conference of the Parties at its [xx] session;
11. [*Requests* the Subsidiary Body for Scientific and Technological Advice to develop, at its [xx] session, modalities for measuring, reporting and verifying the support provided by developed country Parties to support the implementation of safeguards and actions referred to in paragraphs 2 and 3 above;]

⁴ This reference was made in relation to the text contained in annex I A to document FCCC/AWGLCA/2009/17.

⁵ Including monitoring and reporting of emissions displacement at the national level.

12. [Requests that the promotion and implementation of all activities referred to in paragraphs 3, 5, 7 and 8 above, including consideration of the safeguards referred to in paragraph 2 above, and early action, be supported in accordance with [paragraph 1 (b) above and] relevant provisions agreed by the Conference of the Parties including:

- (a) [Decision x/CP.15⁶ (finance);]
- (b) [Decision x/CP.15⁷ (1 (b) (v)),] [for result-based actions a flexible combination of funds and market-based sources subject to modalities to be agreed by the Conference of the Parties at its [xx] session];
- (c) [through existing bilateral and multilateral channels;]

13. Requests Parties, [relevant international organizations and stakeholders] to ensure coordination of the activities referred to in paragraph 12 above, including of the related support, particularly at the country level;

14. Requests the [Subsidiary Body for Scientific and Technological Advice] to develop modalities for the promotion and implementation of the development of national strategies or action plans, policies and measures and capacity-building, the implementation of national policies and measures, and national strategies or action plans and, as appropriate, subnational strategies, that could involve further capacity-building, technology transfer and results-based demonstration activities, by its [xx] session, for adoption by the Conference of the Parties at its [xx] session.

⁶ This reference was made in relation to the text contained in annex I C to document FCCC/AWGLCA/2009/17.

⁷ This reference was made in relation to the text contained in annex I I to document FCCC/AWGLCA/2009/17.

Annex VI**Economic and social consequences of response measures¹**

The contact group on long-term cooperative action established a drafting group to undertake work on the text contained in annex I H to document FCCC/AWGLCA/2009/17. This version of the text reflects the status as at 18 December 2009.

The Conference of the Parties,

Reaffirming the importance of the objective of the Convention, and the relevant principles and provisions of the Convention related to economic and social consequences of response measures, in particular its Articles 2, 3 and 4,

Recognizing that the implementation of response measures to mitigate climate change taken by a Party may result in negative economic and social consequences for other Parties, and the need to take into consideration in the implementation of the commitments of the Convention the situation of Parties, particularly developing country Parties, with economies that are vulnerable to the adverse effects of the implementation of measures to respond to climate change,

Affirming that economic development is essential for adopting measures to address climate change,

Affirming that responses to climate change should be coordinated with social and economic development in an integrated manner, with a view to avoiding adverse impacts on the latter, taking fully into account the legitimate priority needs of developing country Parties for the achievement of sustained economic growth and the eradication of poverty, and the consequences for vulnerable groups, in particular women and children,

[*Recognizing* that the efforts to avoid or minimize the negative impact of response measures should not constrain or hinder progress in addressing climate change,]

Recognizing the importance of avoiding and minimizing negative impacts of response measures on social and economic sectors, promoting a just transition of the workforce, the creation of decent work and quality jobs, and contributing to building new capacities for both production and service-related jobs in all sectors, promoting economic growth and sustainable development,

[*Emphasizing* that the issue of the impacts of response measures is related to mitigation, and is separate from adaptation to the adverse effects of climate change,]

[*Noting* the need for developed country Parties to compensate the economies of Africa, least developed countries and small island developing States for environmental, social and economic losses arising from the implementation of climate change response measures in the context of environmental justice and environmental refugees,]

1.

Alternative 1

Urges developed country Parties to strive to implement policies and measures to respond to climate change in such a way as to avoid and minimize negative social and economic consequences for developing country Parties, taking fully into account Article 3 of the Convention;

¹ Work undertaken by the Conference of the Parties on the text contained in annex I H to document FCCC/AWGLCA/2009/17.

Also urges developed country Parties, in order to assist developing country Parties in addressing negative social and economic consequences, to provide financial resources, including for access to and development and transfer of technology, at agreed full incremental costs in accordance with Article 4, paragraphs 3, 5 and 7, of the Convention, and promote and facilitate the transfer of and access to environmentally sound technologies and know-how to other Parties, particularly developing country Parties, to enable them to implement the provisions of the Convention;

Alternative 2

Urges Parties, in the implementation of measures to mitigate climate change, to take into consideration the economic and social impacts of response measures;

2.

Alternative 1

Agrees that developed country Parties shall not resort to any form of unilateral measures, including fiscal and non-fiscal border trade measures against goods and services from developing country Parties on any grounds related to climate change, including protection and stabilization of climate, emissions leakage and/or cost of environment compliance, recalling the principles and provisions of the Convention, in particular Article 3, paragraphs 1, 4 and 5, Article 4, paragraphs 3 and 7;

Alternative 2

Urges Parties to take into account the principles of the Convention including its Article 3, paragraph 5, in relation to the economic and social consequences of response measures;

Alternative 3

Agrees that Parties, in the pursuit of the objective and implementation of the Convention, shall not resort to any measures, in particular unilateral fiscal or non-fiscal measures applied at the border against goods and services imported from Parties, that constitute a means of arbitrary or unjustified discrimination or a disguised restriction on international trade, taking into account the relevant provisions of the Convention and further recognizing the principle enshrined in Article 3, paragraph 5;

3. *Agrees* that information relating to response measures should be considered in a structured manner in order to enhance the implementation of Article 4, paragraph 1(g) and (h), of the Convention, recognizing the needs of developing country Parties identified in Article 4, paragraphs 8, 9 and 10;

4.

Alternative 1

Decides to establish a forum to undertake activities including identifying and addressing negative economic and social consequences of response measures of developed country Parties, sharing information, promoting and cooperating on issues relating to response strategies and exploring ways to minimize negative consequences, in particular in developing country Parties;

Invites Parties and relevant intergovernmental organizations to submit to the secretariat, by [xx], their views on issues related to paragraph [xx] below for consideration by Parties by [xx] before the sixteenth session of the Conference of the Parties;

Requests the secretariat to compile these submissions into a miscellaneous document for consideration at [xx];

Agrees to adopt, at the sixteenth session of the Conference of the Parties, modalities for the operationalization of the forum, defining its mandate, nature, scope, composition, functions, related support, reporting and evaluation, and any other related matters;

Alternative 2

Decides that Parties should cooperate fully to enhance understanding of economic and social consequences of response measures, taking into account the need for information from those affected, and evidence of actual impacts, and of both positive and negative effects, and further decides to consider how existing channels, such as national communications, including the possible submission of supplementary information, as considered by the Subsidiary Body for Implementation, could serve as a platform for discussions on the information provided by Parties.

Annex VII

Various approaches, including opportunities for using markets, to enhance the cost-effectiveness of, and to promote, mitigation actions¹

The contact group on long-term cooperative action established a drafting group to undertake work on the text contained in annex I I to document FCCC/AWGLCA/2009/17. The text below is the version of the text as it stood at the end of the work undertaken by the drafting group. The text reflects the input and comments made by Parties at the meetings on 17 and 18 December 2009. The text was distributed to Parties at the final meeting of the drafting group on 18 December 2009.

The Conference of the Parties,

Recognizing that Parties will ensure a balance between the different types of mitigation approach that they choose to adopt,

Non-market-based approaches

1. *Invites* Parties to consider a work programme to promote non-market-based measures at the international level that enhance the cost-effectiveness of mitigation and promote the voluntary implementation of mitigation actions, including actions with near, medium and long-term mitigation effects;
2. *Requests* the Subsidiary Body for Scientific and Technological Advice to consider the work programme referred to in paragraph 1 above, taking account of proposals made by Parties under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, with a view to forwarding a draft work programme for adoption by the Conference of the Parties at its sixteenth session;
3. *Invites* Parties to submit to the secretariat, by 26 July 2010, further views on the scope and content of the work programme referred to in paragraph 1 above;
4. *Urges* Parties, without prejudice to the scope of the Convention and its related instruments, to pursue, under the Montreal Protocol on Substances that Deplete the Ozone Layer, the adoption of appropriate measures to progressively reduce the production and consumption of hydrofluorocarbons;

Alternative for para 4: Delete

Market-based approaches

Option 1: No decision on market-based approaches until developed country Parties undertake, individually or jointly, legally binding nationally appropriate mitigation commitments or actions expressed as quantified, legally binding, economy-wide emission reduction objectives. New market-based mechanisms may be explored then. Developed country Parties shall achieve their quantified legally binding emission reduction commitments primarily through domestic efforts;

Option 2 (paragraphs 5-8):

5. *Decides* to establish, as part of the legally binding agreement referred to in decision -/CP.15,² new market-based mechanisms that complement other means of support for nationally appropriate mitigation actions by developing country Parties, enhance the cost-effectiveness of mitigation and assist developed country Parties in meeting part of their mitigation commitments;

¹ Work undertaken by the Conference of the Parties on the text contained in annex I I to document FCCC/AWGLCA/2009/17.

² This reference was made in relation to the text contained in annex I A to document FCCC/AWGLCA/2009/17.

6. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend definitions, modalities and procedures for the new market-based mechanisms referred to in paragraph 5 above, with a view to forwarding a draft decision on this matter to the Conference of the Parties for adoption at its sixteenth session, guided by, *inter alia*:

- (a) Ensuring voluntary participation of Parties;
- (b) Stimulating greenhouse gas emission reductions and removals across broad segments of the economy;
- (c) Safeguarding environmental integrity by ensuring that emission reductions and removals are additional to any that would otherwise occur, reflecting contributions by developing country Parties to global mitigation efforts, providing for robust measurement, reporting and verification, and preventing double-counting;
- (d) Benefiting developing country Parties by promoting technology transfer and other co-benefits that contribute to sustainable development, including avoiding high-emission trajectories;
- (e) Promoting fair and equitable access to market-based mechanisms;
- (f) Promoting investment by the private sector;

7. *Invites* Parties and accredited UNFCCC observers to submit to the secretariat, by 22 March 2010, their views on the definitions, modalities and procedures referred to in paragraph 6 above;

8. *Decides* that Parties may use units from market-based mechanisms established in instruments under the Convention to assist them in meeting their mitigation commitments and that this use shall supplement domestic mitigation action.

Option 3: No decision on this matter;

Option 4: There is no provision for creating carbon offset mechanisms under the Convention;

Option 5: Decides to evaluate modalities, rules and procedures with a view to considering the possibility of using market-based approaches as an opportunity to enhance the cost-effectiveness of, and to promote, mitigation actions, bearing in mind different circumstances of developed and developing country Parties, without prejudice to the responsibility of developed country Parties for fulfilling their emission reduction obligations. Considering the results of this work, the Parties shall consider the establishment of such market-based approaches at its seventeenth session.

Annex VIII

Cooperative sectoral approaches and sector-specific actions in agriculture¹

Work programme on agriculture

The contact group on long-term cooperative action established a drafting group to undertake work on the text contained in annex I J to document FCCC/AWGLCA/2009/17. The text below is the version of the text as it stood at the end of the meeting of the drafting group on 17 December 2009.

[The Conference of the Parties,

Reaffirming the objective, principles and provisions of the Convention, in particular its Article 2, Article 3, paragraphs 1 and 5, and Article 4, paragraph 1(c),

Bearing in mind the need to improve the efficiency and productivity of agricultural production systems in a sustainable manner,

Recognizing the interests of small and marginal farmers, the rights of indigenous peoples and traditional knowledge and practices, in the context of applicable international obligations and taking into account national laws and national circumstances,

Recognizing that cooperative sectoral approaches and sector-specific actions in the agriculture sector should take into account the relationship between agriculture and food security, the link between adaptation and mitigation and the need to safeguard that these approaches and actions do not adversely affect food security,

[Affirming that cooperative sectoral approaches and sector-specific actions in the agriculture sector should not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade,]

1. *Decides* that all Parties, with respect to the agriculture sector and taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, [shall][should] promote and cooperate in the research, development, including transfer, of technologies, practices and processes that control, reduce or prevent anthropogenic emissions of greenhouse gases, particularly those that improve the efficiency and productivity of agricultural systems in a sustainable manner and those that could support adaptation to the adverse effects of climate change, thereby contributing to safeguarding food security and livelihoods;
2. *[[Affirms][Further decides]* that cooperative sectoral approaches and sector-specific actions in the agriculture sector should not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade[, in accordance with Article 3, paragraph 5 of the Convention];]
3. *Requests* the Subsidiary Body for Scientific and Technological Advice to establish, at its thirty-second session, a programme of work on agriculture to enhance the implementation of Article 4, paragraph 1(c), of the Convention, taking into account paragraph 1 above;

¹ Work undertaken by the Conference of the Parties on the text contained in annex I J to document FCCC/AWGLCA/2009/17.

4. *Invites* Parties to submit to the secretariat, by 22 March 2010, their views on the content and scope of the work programme;
5. *Requests* the secretariat to compile these views into a miscellaneous document for consideration by the Subsidiary Body for Scientific and Technological Advice at its thirty-second session.]

Appendix

General elements of cooperative sectoral approaches and sector-specific actions

This appendix contains a text on general aspects of sectoral approaches, prepared by a drafting group under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA), which has not been considered by the contact group on long-term cooperative action under the Conference of the Parties. It is reproduced here at the request of a Party for possible consideration in the continued work of the AWG-LCA.

[The Conference of the Parties,

[[Recognizing][Agrees] [that cooperative sectoral approaches and sector-specific actions [should be] consistent with relevant provisions and principles of the Convention[, in particular the principle of common but differentiated responsibilities,] [and that it may be useful for Parties to explore these approaches and actions further,]]]

[Recognizing that cooperative sectoral approaches under Article 4, paragraph 1(c), of the Convention should involve the provision of financial resources, including for transfer of technology, at agreed full incremental costs in accordance with Article 4, paragraph 3, of the Convention,]

[Decides that cooperative sectoral approaches and sector-specific actions shall enhance the implementation of Article 4, paragraph 1(c), of the Convention, thereby facilitating and strengthening the transfer, access, development and financing of transfer of the whole scope of technologies and know-how necessary to address climate change for both adaptation and mitigation for developing country Parties;]

1. *[[Agrees][Decides][Recognizing][Acknowledges] that [global] sectoral approaches should address emissions that cannot be attributed to any particular economy.]*

2bis *[Invites the International Maritime Organization (IMO) and the International Civil Aviation Organization (ICAO) to elaborate the practical modalities of attributing emissions from the international maritime and civil aviation sectors, respectively, and report on these to the Conference of the Parties;] (move to international bunker fuels)*

3. *[[Agrees][Decides][Recognizing][Acknowledges] that cooperative sectoral approaches and sector-specific actions should]:*

- (a) *[Be applied at the national level;]*
- (b) *[Be voluntary in nature, respecting the differentiation made in the Convention between Parties included in Annex I to the Convention (Annex I Parties) and Parties not included in Annex I to the Convention, and not modify respective commitments and obligations of Parties;]*
- (c) *[Be facilitated by considering sector-specific needs and priorities and social and economic conditions and other relevant factors [and national circumstances];]*
- (d) *[Assist in fostering private- and public-sector initiatives in research and development, capacity-building and technological cooperation;*
- (e) *[For developing countries, be supported by transfer of technologies and financial resources;]]*

4. *[[Agrees][Decides][Recognizing][Acknowledges]* that cooperative sectoral approaches [should] [may]]:

- (a) [Not replace legally binding absolute emission reduction targets and mitigation commitments for all Annex I Parties;]
- (b) [Not lead to [new commitments for developing country Parties [or transnational or national emission reduction targets;]]]
- (c) [Not be a basis for arbitrary or unjustifiable discrimination or disguised restrictions on international trade, the imposition of trade barriers, punitive trade measures, benchmarking or [the application of global, uniform and equal] standards for developing country Parties, or any action that would be contrary to Article 3, paragraph 5, of the Convention;]
- (c) bis. [Not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade;] (*compromised text from the agriculture part*)
- (d) [Be cooperative and not imposed by one or more Parties another;] [in particular, inclusion of international transport in an emissions trading scheme shall not impose constraints or incremental costs on developing countries. Developing countries should be exempted or, if included, they should be given financial and technological support to enable them to comply with these provisions without incurring any incremental costs;]

5. *[[Agrees][Decides][Recognizing][Acknowledges]* that actions by developing countries to control their greenhouse emissions in the framework of cooperative sectoral approaches or sector-specific actions represent modalities of their implementation of Article 4, paragraph 1, of the Convention and that Parties included in Annex II to the Convention must therefore meet their commitments in accordance with Article 4, paragraphs 3, 5 and 7 of the Convention;]

6. *[Decides][Agrees][Recognizing][Acknowledges]* that provision of financial resources and promotion and facilitation of access to and transfer of technology in implementation of Article 4, paragraph 1 (c), of the Convention, shall be accomplished under the guidance of the XX body established under decision -/[CP.15],¹ (technology decision) and the financial mechanism established under the authority of the Conference of the Parties.

¹ Draft decision proposed for adoption under agenda item [agenda item number] of the COP (this reference was made in relation to the text contained in annex I D to document FCCC/AWGLCA/2009/17).

附件五

公約長期合作行動特設工作小組 第八次會議報告

Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its eighth session, held in Copenhagen from 7 to 15 December 2009



AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION

Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its eighth session, held in Copenhagen from 7 to 15 December 2009

CONTENTS

	<i>Paragraphs</i>	<i>Page</i>
I. OPENING OF THE SESSION (Agenda item 1).....	1-3	3
II. ORGANIZATIONAL MATTERS (Agenda item 2).....	4-7	3
A. Adoption of the agenda	4-5	3
B. Organization of the work of the session	6-7	4
III. ENABLING THE FULL, EFFECTIVE AND SUSTAINED IMPLEMENTATION OF THE CONVENTION THROUGH LONG-TERM COOPERATIVE ACTION NOW, UP TO AND BEYOND 2012, BY ADDRESSING, INTER ALIA: (Agenda item 3)		
A shared vision for long-term cooperative action		
Enhanced national/international action on mitigation of climate change		
Enhanced action on adaptation		
Enhanced action on technology development and transfer to support action on mitigation and adaptation		
Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation	8-18	4

	<i>Paragraphs</i>	<i>Page</i>
IV. OTHER MATTERS (Agenda item 4)	19	6
V. REPORT ON THE SESSION (Agenda item 5)	20	6
VI. CLOSURE OF THE SESSION	21	6

Annexes

I. Draft decisions presented to the Conference of the Parties at its fifteenth session for consideration and adoption		7
A. Draft decision -/CP.15. Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.....		7
B. Draft decision -/CP.15. Enhanced action on adaptation		16
C. Draft decision -/CP.15. Enhanced action on the provision of financial resources and investment.....		20
D. Draft decision -/CP.15. Enhanced action on technology development and transfer.....		22
E. Draft decision -/CP.15. Enhanced action on capacity-building		29
F. Draft decision -/CP.15. Nationally appropriate mitigation actions by developing country Parties: mechanism to record nationally appropriate mitigation actions and facilitate provision and recording of support.....		33
G. Draft decision -/CP.15. Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries		34
H. Draft decision -/CP.15. Enhanced national/international action on mitigation of climate change: economic and social consequences of response measures		38
I. Draft decision -/CP.15. Various approaches, including opportunities for using markets, to enhance the cost-effectiveness of, and to promote, mitigation actions		41
J. Draft decision -/CP.15. Cooperative sectoral approaches and sector-specific actions in agriculture		43
II. Documents before the Ad Hoc Working Group on Long-term Cooperative Action under the Convention at its eighth session.....		44

I. Opening of the session

(Agenda item 1)

1. The eighth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) was held at the Bella Center in Copenhagen, Denmark, from 7 to 15 December 2009.
2. The Chair of the AWG-LCA, Mr. Michael Zammit Cutajar (Malta), opened the session and welcomed all Parties and observers. He welcomed Mr. Luiz Alberto Figueiredo Machado (Brazil) as Vice-Chair of the AWG-LCA and Ms. Lilian Portillo (Paraguay) as Rapporteur. The Chair also expressed his appreciation to the Government of Denmark for hosting the meeting.
3. The Chair reminded delegates that the AWG-LCA was mandated¹ to present the outcome of its work to the Conference of the Parties (COP) for adoption at its fifteenth session.

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda item 2 (a))

4. At its 1st meeting, on 7 December, the AWG-LCA considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/AWGLCA/2009/15).
5. At the same meeting, the agenda was adopted as follows:
 1. Opening of the session.
 2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session.
 3. Enabling the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, by addressing, inter alia:
 - (a) A shared vision for long-term cooperative action;
 - (b) Enhanced national/international action on mitigation of climate change;
 - (c) Enhanced action on adaptation;
 - (d) Enhanced action on technology development and transfer to support action on mitigation and adaptation;
 - (e) Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation.
 4. Other matters.
 5. Report on the session.

¹ Decision 1/CP.13, paragraph 2.

B. Organization of the work of the session
(Agenda item 2 (b))

6. The AWG-LCA considered this sub-item at its 1st meeting, on 7 December. It had before it document FCCC/AWGLCA/2009/16.

7. At the opening of the session, the Chair proposed that the AWG-LCA begin by taking up agenda item 2 followed by items 4, 3 and 5. The Chair further proposed that a closing plenary meeting be held on 15 December. He also proposed that additional matters regarding the organization of the work of the session be taken up under agenda item 3. The AWG-LCA agreed to the proposed organization of work.

III. Enabling the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, by addressing, inter alia:
(Agenda item 3)

A shared vision for long-term cooperative action
(Agenda item 3 (a))

Enhanced national/international action on mitigation of climate change
(Agenda item 3 (b))

Enhanced action on adaptation
(Agenda item 3 (c))

Enhanced action on technology development and transfer to support action on mitigation and adaptation
(Agenda item 3 (d))

Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation
(Agenda item 3 (e))

1. Proceedings

8. The AWG-LCA considered these sub-items together at its 1st and 2nd meetings, on 7 and 15 December, respectively. It had before it at its 1st meeting documents FCCC/AWGLCA/2009/14, FCCC/AWGLCA/2009/16, FCCC/AWGLCA/2009/INF.1 and Add.1 and FCCC/AWGLCA/2009/INF.2 and Add.1 and 2.

9. At the 1st meeting, the Chair recalled that the AWG-LCA requested the secretariat to compile the texts contained in the latest available non-papers produced by the chairs, co-chairs and facilitators of the groups during the seventh session of the AWG-LCA into an annex to the report on its seventh session for the purpose of facilitating negotiations of the AWG-LCA at its eighth session in order to enable the COP to reach an agreed outcome at its fifteenth session.² The Chair introduced the report, which had been issued as document FCCC/AWGLCA/2009/14.

10. Pursuant to the conclusions of its seventh session,³ the AWG-LCA established one contact group for its eighth session, on agenda item 3, chaired by the Chair of the AWG-LCA.

² FCCC/AWGLCA/2009/14, paragraph 39.

³ FCCC/AWGLCA/2009/14, paragraph 41.

11. The Chair invited delegates who had acted as co-chairs of contact groups and facilitators of sub-groups at previous sessions to assist him in facilitating the work on different topics.⁴ The Chair further invited the Vice-Chair and the Rapporteur to assist him in guiding the work of the contact group.
12. At the same meeting, statements were made by 34 Parties, including one speaking on behalf of the Group of 77 and China, one on behalf of the Alliance of Small Island States (AOSIS), one on behalf of the Umbrella Group, one on behalf of the least developed countries (LDCs), one on behalf of the European Union and its member States, one on behalf of the Environmental Integrity Group, one on behalf of the African Group, one speaking on behalf of eight Parties and one speaking in its capacity as the President *pro tempore* of the Central American Integration System on behalf of eight Parties.
13. In addition, statements were made by representatives of the International Maritime Organization, the International Civil Aviation Organization and the Inter-Agency Standing Committee.
14. Statements were also made on behalf of the business and industry non-governmental organizations (NGOs), the indigenous peoples NGOs, local government and municipal authorities, the women and gender NGOs, the trade union NGOs and the youth NGOs, and by two representatives of the environmental NGOs.
15. At the 2nd meeting, statements were made by 23 Parties, including one speaking on behalf of the African Group, two on behalf of the Group of 77 and China, one on behalf of the LDCs and one on behalf of AOSIS.
16. At the same meeting, the AWG-LCA considered conclusions proposed by the Chair and adopted them as orally amended in the course of the meeting.⁵

2. Conclusions

17. The AWG-LCA decided to present to the COP at its fifteenth session a draft decision on the outcome of the work of the AWG-LCA⁶ for consideration and adoption. This was without prejudice to the possible form and legal nature of the agreed outcome to be adopted by the COP under the Bali Action Plan (decision 1/CP.13).
18. The AWG-LCA also decided to present the following draft decisions⁷ for consideration and adoption by the COP at its fifteenth session:
- (a) Enhanced action on adaptation;
 - (b) Enhanced action on the provision of financial resources and investment;

⁴ The Chair was assisted by the following delegates in facilitating the work of the AWG-LCA at its eighth session: Mr. William Kojo Agyemang-Bonsu (Ghana), Mr. Georg Børsting (Norway), Ms. Johanna Gertruida Sandea De Wet (South Africa), Ms. María del Socorro Flores Liera (Mexico), Ms. Fatou Ndeye Gaye (Gambia), Mr. Farrukh Iqbal Khan (Pakistan), Mr. Thomas Kolly (Switzerland), Mr. Kishan Kumarsingh (Trinidad and Tobago), Mr. Antonio La Viña (Philippines), Ms. Margaret Mukahanana-Sangarwe (Zimbabwe), Mr. Richard S. Muyungi (United Republic of Tanzania), Ms. Magdalena Preve (Uruguay), Mr. Karsten Sach (Germany), Ms. Claudia Salerno Caldera (Bolivarian Republic of Venezuela), Mr. Carlos Sayao (Canada), Mr. Kunihiro Shimada (Japan) and Mr. Jukka Uosukainen (Finland). In addition, the following delegates had contributed to facilitating the work of the AWG-LCA in previous meetings: Mr. Thomas Becker (Denmark) and Mr. Adrian Macey (New Zealand).

⁵ Contained in document FCCC/AWGLCA/2009/L.7/Rev.1 and Add.1, Add.2/Rev.1, Add.3-7, Add.8/Rev.1 and Add.9.

⁶ Contained in annex I.

⁷ Contained in annex I.

- (c) Enhanced action on technology development and transfer;
- (d) Enhanced action on capacity-building;
- (e) Nationally appropriate mitigation actions by developing country Parties: mechanism to record nationally appropriate mitigation actions and facilitate provision and recording of support;
- (f) Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries;
- (g) Enhanced national/international action on mitigation of climate change: economic and social consequences of response measures;
- (h) Various approaches, including opportunities for using markets, to enhance the cost-effectiveness of, and to promote, mitigation actions;
- (i) Cooperative sectoral approaches and sector-specific actions in agriculture.

IV. Other matters

(Agenda item 4)

19. No other matters were raised or considered.

V. Report on the session

(Agenda item 5)

20. At its 2nd meeting, on 15 December, the AWG-LCA considered and adopted the draft report on its eighth session.⁸ At the same meeting, on a proposal by the Chair, the AWG-LCA authorized the Rapporteur to complete the report on the session, with the assistance of the secretariat and under the guidance of the Chair.

VI. Closure of the session

21. At the 2nd meeting, on 15 December, the Chair thanked the Vice-Chair, the Rapporteur and the facilitators who had assisted him throughout the year for their valuable work. The Chair also thanked delegates for their support and contributions. Statements were made by representatives of eight Parties, including one speaking on behalf of the Group of 77 and China and one on behalf of the European Union and its member States.

⁸ Adopted as document FCCC/AWGLCA/2009/L.6.

Annex I**Draft decisions presented to the Conference of the Parties at its fifteenth session for consideration and adoption****A. Draft decision -/CP.15****Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention**

[The Conference of the Parties,

Pursuant to the Bali Action Plan (decision 1/CP.13), and recognizing the need for long-term cooperative action to enable the full, effective and sustained implementation of the Convention now, up to and beyond 2012,

Guided by the ultimate objective of the Convention, as stated in Article 2,

Recalling the principles, provisions and commitments set forth in the Convention, in particular the provisions of Articles 3 and 4,

Also recalling the special national circumstances of Parties undergoing the process of transition to a market economy, as stated in Article 4, paragraph 6, of the Convention and relevant decisions by the Conference of the Parties, and of Parties whose special circumstances are recognized by decisions of the Conference of the Parties, such as decision 26/CP.7,

Acknowledging the important and ongoing role of the Kyoto Protocol in contributing to the ultimate objective of the Convention,

Having considered the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention pursuant to paragraph 2 of decision 1/CP.13,

Reaffirming the political commitment and renewing the global partnership to combat climate change and to address existing deficiencies in the implementation of the Convention,

Noting resolution 10/4 of the United Nations Human Rights Council on human rights and climate change, which recognizes that human beings are at the centre of concerns for sustainable development, and the importance of respecting Mother Earth, its ecosystems and all its natural beings,

Mindful that the adverse effects of climate change have a range of direct and indirect implications for the full enjoyment of human rights, including living well, and that the effects of climate change will be felt most acutely by those parts of the population that are already vulnerable owing to youth, gender, age or disability,

Recognizing the right of all nations to survival and that sustainable development and poverty eradication are the first and overriding priorities of developing country Parties,

Also recognizing the important role of food production systems in mitigation and adaptation efforts,

Further recognizing that a broad range of stakeholders needs to be engaged on global, regional, national and local levels, be they governmental, including subnational and local government, private business or civil society, including the youth and persons with disability, and that gender equality and the effective participation of women and indigenous peoples are important for effective action on all aspects of climate change,

Deeply concerned about the findings of the Fourth Assessment Report of the Intergovernmental Panel on Climate Change that the climate system is warming as a consequence of human activity,

Recognizing that adverse effects are already evident and widespread, particularly in vulnerable regions of the world, and that a delay in prompt and sufficient global emission reductions will lead to significant additional cost for both mitigation and adaptation, constrain opportunities to achieve lower stabilization levels and increase the risk of large-scale, abrupt and irreversible impacts and breaches of critical climate thresholds,

Affirming therefore the need for deep cuts in global greenhouse gas emissions and early and urgent undertakings to accelerate and enhance the implementation of the Convention by all Parties, on the basis of equity and in accordance with their common but differentiated responsibilities and respective capabilities,

Acknowledging that the largest share of historical and current global emissions of greenhouse gases has originated in developed countries and that owing to this historical responsibility, developed country Parties must take the lead in combating climate change and the adverse effects thereof [by adopting ambitious, quantified, legally-binding, economy-wide domestic emission reduction commitments or actions, and by providing adequate financial, technological and capacity-building support to developing country Parties],

Confirming that policies and measures to respond to climate change shall be implemented in such a way as to minimize adverse effects on other Parties, especially developing country Parties,

Acknowledging further that developing country Parties are already contributing and will continue to contribute to a global mitigation effort in accordance with the provisions of the Convention and could enhance their mitigation actions depending on the provision of means of implementation by developed country Parties,

Realizing that addressing climate change requires a paradigm shift towards building a low-emission society that offers substantial opportunities and ensures continued high growth and sustainable development, based on innovative technologies and more sustainable production and consumption, while ensuring a just transition of the workforce that creates decent work and quality jobs,

A shared vision for long-term cooperative action

¹

Agrees that

1. The shared vision for long-term cooperative action, including a long-term global goal for emission reductions, shall guide and enhance the full, effective and sustained implementation of the Convention in order to achieve its objective as set out in its Article 2. It integrates the building blocks of the Bali Action Plan and addresses mitigation, adaptation, technology development and transfer,

¹ Titles are included solely to assist the reader.

financing and capacity-building in a balanced and comprehensive manner; in particular, it gives equal weight to action on adaptation and mitigation.

2. A long-term aspirational and ambitious global goal for emission reductions, as part of the shared vision for long-term cooperative action, should be based on the best available scientific knowledge and supported by medium-term goals for emission reductions, taking into account historical responsibilities and an equitable share in the atmospheric space;

Accordingly:

- (a) Parties shall cooperate to avoid dangerous climate change, in keeping with the ultimate objective of the Convention, recognizing [the broad scientific view] that the increase in global average temperature above pre-industrial levels [ought not to] exceed [2 °C] [1.5 °C][1 °C] [preceded by a paradigm for equal access to global atmospheric resources];
- (b) [Parties should collectively reduce global emissions by at least [50] [85] [95] per cent from 1990 levels by 2050 and should ensure that global emissions continue to decline thereafter;]
- (c) [Developed country Parties as a group should reduce their greenhouse gas emissions by [[75–85] [at least 80–95] [more than 95] per cent from 1990 levels by 2050] [more than 100 per cent from 1990 levels by 2040];]

3. [Parties should cooperate in achieving the peaking of global and national emissions [as soon as possible][in 2015], recognizing that the time frame for peaking will be longer in developing country Parties and bearing in mind that social and economic development and poverty eradication are the first and overriding priorities of developing country Parties and that low-emission development is indispensable to sustainable development;]

4. [*To be elaborated: a long-term goal for financing;*]

5. [*To be elaborated: provision on trade measures (reference to Art. 3, paragraph 5, of the Convention);*]

6. [Consistent with the provisions of the Convention, the Conference of the Parties shall periodically review the overall progress towards the achievement of the ultimate objective of the Convention, and the adequacy of the long-term global goal for emission reductions and the commitments and actions on mitigation, adaptation, finance, technology development and transfer and capacity-building. The review should take into account:

- (a) The best available scientific knowledge, including the assessment reports of the Intergovernmental Panel on Climate Change, as well as relevant technical, social and economic information;
- (b) Observed impacts of climate change, especially impacts on particularly vulnerable developing countries;
- (c) The need to prevent and minimize negative impacts of climate change and response measures;
- (d) An assessment of the overall aggregated effect of the steps taken by the Parties in order to achieve the ultimate objective of the Convention and the shared vision.]

7. Based on the review, the Conference of the Parties shall take appropriate action.

8. [Further modalities of this review shall be determined by the Conference of the Parties. The first review shall start no later than 2014 and to be concluded no later than 2016. Subsequent reviews shall be conducted every four years.]

Enhanced action on adaptation and its associated means of implementation

Agrees that

9. Adaptation to the adverse effects of climate change [and/or to the impact of the implementation of response measures] is a challenge faced by all Parties, and that enhanced action and international cooperation on adaptation is urgently required to enable and support the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing country Parties, especially in those that are particularly vulnerable[, especially the least developed countries, small island developing States and countries in Africa affected by drought, desertification and floods].

Decides

10. To establish, pursuant to decision -/CP.15 (Enhanced action on adaptation):
- (a) The Copenhagen Adaptation [Framework] [Programme];
 - (b) [An] [A] [Adaptation Committee] [Subsidiary Body on Adaptation] [Advisory Body on Adaptation];
 - (c) [An International Mechanism to address loss and damage];
 - (d) [Arrangements for reporting and assessment;]
 - (e) [An international adaptation centre and regional centres;]
 - (f) [A process for least developed country Parties to formulate and implement national adaptation plans that build upon the experience of the national adaptation programmes of action as a means of identifying medium- and long-term adaptation needs and developing strategies and programmes to address those needs].

Agrees that

11. Developed country Parties shall provide adequate, predictable and sustainable financial resources, technology and capacity-building to support the implementation of adaptation action in developing country Parties.

Enhanced action on mitigation and its associated means of implementation

Nationally appropriate mitigation commitments or actions by developed country Parties

[Agrees that

12. Developed country Parties shall undertake, individually or jointly, legally binding nationally appropriate mitigation commitments or actions, [including][expressed as] quantified economy-wide emission reduction objectives with a view to reducing the collective greenhouse gas

emissions of developed country Parties by [at least [25–40] [in the order of 30] [40] [45] [49]] [x*] per cent from [1990] [or 2005] levels by [2017][2020];

13. Developed country Parties shall prepare low-emission plans for long-term emission reductions so as to contribute to the achievement of the objective set out in paragraph 2 above;

14. The efforts of developed country Parties to reduce their greenhouse gas emissions shall be comparable in [legal form, magnitude of] effort [and provisions for measuring, reporting and verification, and shall take into account their national circumstances and historical responsibilities];

15. Developed country Parties' quantified economy-wide emission reduction objectives shall be formulated as a percentage reduction in greenhouse gas emissions [for the period] [from 2013 to 2020] compared to 1990 or another base year [adopted under the Convention];

16. [For those Annex I Parties that are Parties to the Kyoto Protocol, the quantified economy-wide emission reduction objectives shall be those adopted for the second commitment period under the Kyoto Protocol inscribed in Annex B of the Kyoto Protocol as amended and also listed in appendix I to this decision; for other Annex I Parties, the agreed quantified emission reduction objectives shall be those listed in appendix I to this decision];

Agrees that

17. [Developed country Parties shall achieve their quantified economy-wide emission reduction objectives [primarily] through domestic efforts;]

18. [The role of land use, land-use change and forestry in meeting quantified economy-wide emission reduction objectives shall be in accordance with guidelines to be adopted by the Conference of the Parties;]

19. Nationally appropriate mitigation commitments or actions by developed country Parties shall be measured, reported and verified in accordance with existing and any further guidelines adopted by the Conference of the Parties[, taking into account the relevant provisions under the Kyoto Protocol];

20. [Principles, modalities, rules and guidelines to promote compliance with commitments by developed country Parties shall be developed];]

Nationally appropriate mitigation actions by developing country Parties

[Option 1:

Agrees that

21. [Developing country Parties shall [under]take nationally appropriate mitigation actions, enabled and supported by finance, technology and capacity-building and [may undertake] autonomous mitigation actions, together aimed at achieving a substantial deviation in emissions [in the order of 15–30 per cent by 2020] relative to those emissions that would occur in the absence of enhanced mitigation, and prepare low-emission development plans, recognizing that the extent of enhanced mitigation by these countries depends on the level of available support;

* X is equal to the sum of reductions by Parties.

Takes note of

22. Information on enhanced mitigation actions by developing country Parties, as contained in appendix II to this decision;

Decides

23. To establish a mechanism pursuant to decision -/CP.15 ([Mechanism to Record Mitigation Actions and Facilitate Matching of Support]):

- (a) To record nationally appropriate mitigation actions, supported and enabled by finance and technology, [and autonomous mitigation actions][in a registry][in a national schedule];
- (b) To facilitate the matching of support provided through the financial mechanism and from bilateral and multilateral sources with nationally appropriate mitigation actions for which support is sought;

Agrees that

24. National communications, including greenhouse gas inventories, shall be prepared by developing country Parties and submitted to the Conference of the Parties every [X] years, with flexibility for the least developed countries and small island developing States, in accordance with revised guidelines to be adopted by the Conference of the Parties;

25. Information on [planned and implemented] mitigation actions of developing country Parties shall be provided through national communications and shall be [assessed at the national level] [considered in a [review][consultative] process under the Convention], in accordance with guidelines to be adopted by the Conference of the Parties;]

26. Nationally appropriate mitigation actions supported by finance, technology and capacity-building shall be subject to measurement, reporting and verification in accordance with guidelines to be adopted by the Conference of the Parties;

27. Developing country Parties should, in accordance with the provisions contained in decision -/CP.15 (REDD-plus²), contribute to mitigation actions in the forest sector by undertaking the following activities:

- (a) Reducing emissions from deforestation;
- (b) Reducing emissions from forest degradation;
- (c) Conservation of forest carbon stocks;
- (d) Sustainable management of forest;
- (e) Enhancement of forest carbon stocks;

28. Enabling activities carried out by developing country Parties, such as preparation and elaboration of low-emission development plans, preparation of national communications and

² In this text, “REDD-plus” refers to “policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries”.

greenhouse gas inventories, and planning and elaboration of nationally appropriate mitigation actions, and related capacity-building, shall be supported on the basis of the agreed full costs;

29. Developed country Parties shall provide new and additional financial resources, technology and institutional capacity-building support for nationally appropriate mitigation actions on the basis of agreed full incremental costs, in accordance with Article 4, paragraphs 3, 5 and 7, and Article 11, paragraph 5, of the Convention;]

[Option 2:

Alternatives suggested by Parties]

Other aspects of mitigation

Decides

30. To [establish] [provide for] a forum to consider actions to address the impact of the implementation of response measures on Parties referred to in Article 4, paragraph 8, of the Convention, in accordance with guidance to be agreed by the Conference of the Parties, pursuant to decision -/CP.15 (Response measures);

31. To pursue various approaches, including opportunities to use markets, to enhance the cost-effectiveness of, and to promote, mitigation actions, in accordance with decision -/CP.15 (Various approaches);

Agrees that

32. *[To be elaborated: policy approaches and measures to limit and reduce greenhouse gas emissions from aviation and marine bunker fuels];*

33. Parties should undertake sectoral approaches and sector-specific actions to enhance the implementation of Article 4, paragraph 1(c), in agriculture pursuant to decision -/CP.15 (Agriculture);

Enhanced action on the provision of financial resources and investment

Agrees that

34. The financial mechanism under Article 11 of the Convention shall be further operationalized to ensure full and effective implementation of the Convention, in particular commitments contained in Article 4, paragraphs 3, 4, 5, 8 and 9, and in the context of Article 4, paragraph 7;

35. Scaled up, new and additional, predictable and adequate funding shall be provided to developing country Parties, in accordance with Article 4, paragraphs 3, 4, 5, 8 and 9, of the Convention, to enable and support enhanced action on mitigation, including REDD-plus, adaptation, technology development and transfer and capacity-building, for enhanced implementation of the Convention [after 2012];

36. The main source of funding through the financial mechanism shall be new and additional financial resources provided by developed country Parties;

37. Private-sector financing and other innovative sources of funding shall supplement the provision of public financial resources;

38. [Developed country Parties][All Parties, except least developed countries,] shall [, beginning in 2013,] provide resources based on an [assessed][indicative] scale of contributions] to be adopted by the Conference of the Parties];

38 bis. [The Conference of the Parties shall adopt provisions and arrangements for how international auctioning and cap-and-trade systems could be an international source of funding for climate change actions in developing countries;]

38 ter. [For mitigation purposes the funds shall develop different incentive mechanisms to encourage ambitious actions in all developing countries according to their own priorities and circumstances; funding should primarily be delivered through results-based mechanisms;]

Decides

39. A [Finance Board] of the financial mechanism shall be established under the guidance of and be accountable to the Conference of the Parties to undertake [overview][oversight], facilitative and verification functions, pursuant to decision -/CP.15 (Finance);

40. That a Climate [Facility][Fund] [shall be][is] established as an operating entity of the financial mechanism of the Convention to support projects, programmes, policies and other activities related to mitigation, including REDD-plus, adaptation, capacity-building, technology development and transfer;

Agrees that

41. The Conference of the Parties shall adopt provisions to measure, report and verify the support provided for enhanced action by developing country Parties;

Takes note of

42. [Individual pledges by developed country Parties to provide new and additional resources amounting to [XX] for the period 2010–2012, as contained in appendix III, to enable and support enhanced action on mitigation, including REDD-plus, adaptation, technology development and transfer, and capacity-building, in developing country Parties;]

Enhanced action on development and transfer of technology

Decides

43. To establish a Technology Mechanism pursuant to decision -/CP.15 (Technology) to accelerate technology development and transfer in support of action on adaptation and mitigation that will be guided by a country-driven approach and be based on national circumstances and priorities, consisting of:

- (a) A Technology Executive Committee in accordance with terms of reference to be adopted by the Conference of the Parties;
- (b) A Climate Technology Centre and Network to support and accelerate the diffusion of environmentally sound technologies for mitigation and adaptation to developing country Parties through the provision of technical assistance and training;

Enhanced action on capacity-building

Agrees that

44. Financial support shall be provided for capacity-building actions pursuant to decision -/CP.15 (Capacity-building);

Arrangements and timelines for further work

45. *[To be elaborated: Arrangements and timelines for further work to give effect to the provisions of this draft text.]*

[Appendices

[to be elaborated]

- I. Nationally appropriate mitigation commitments or actions by developed country Parties
- II. Nationally appropriate mitigation actions by developing country Parties
- III. Pledges by developed country Parties to provide new and additional financial resources for the period 2010–2012]]

B. Draft decision -/CP.15

Enhanced action on adaptation

The Conference of the Parties,

1. *Agrees* that adaptation to the adverse effects of climate change [and/or to the impact of the implementation of response measures] is a challenge faced by all Parties and that enhanced action and international cooperation on adaptation is urgently required to enable and support the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing country Parties, especially in those that are particularly vulnerable;

2. *Establishes* the Copenhagen Adaptation [Framework] [Programme] with a view to enhancing action and international cooperation on adaptation, thereby ensuring coherent consideration of matters relating to adaptation under the Convention;

3. *Affirms* that enhanced action on adaptation should be undertaken in accordance with the Convention and the provisions thereunder; follow a country-driven, gender-sensitive, participatory approach to adaptation; be based on and guided by the best available science, traditional knowledge, as appropriate, and good governance and mutual accountability, with the aim of integrating adaptation actions into relevant social, economic and environmental policies;

4. *Invites* all Parties, taking into account their common but differentiated responsibilities and respective capabilities, and specific national and regional development priorities, objectives and circumstances, and whereby developing country Parties shall be supported by developed country Parties in accordance with paragraph 5 below, to undertake, inter alia:

- (a) Planning, prioritizing and implementing adaptation actions, including specific projects and programmes,³ and actions identified in national adaptation plans, national adaptation programmes of action of least developed countries, national communications, technology needs assessments and other relevant national documents;
- (b) Impact, vulnerability and adaptation assessments, including assessments of financial needs as well as economic, social and environmental costs and benefits of adaptation options;
- (c) Strengthening institutional capacities and promoting enabling environments for adaptation planning and implementation, including through the integration of adaptation actions into sectoral and national planning;
- (d) Developing means to incentivize the implementation of adaptation actions and other ways to enable climate-resilient development and reduce the vulnerability of all Parties;
- (e) Building resilience of socio-economic and ecological systems, including through economic diversification and sustainable management of natural resources;

³ Including in the areas of water resources, health, agriculture and food security, infrastructure and settlements, ecosystems, oceans and coastal zones.

- (f) Enhancing disaster risk reduction, including through building on the Hyogo Framework for Action,⁴ where appropriate; early warning systems; risk assessment and management; and the establishment of risk sharing and transfer mechanisms and insurance schemes at local, national, subregional and regional levels to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change;
- (g) Measures to enhance understanding and cooperation related to national, regional and international climate change induced displacement, migration and planned relocation, where appropriate;
- (h) Research, development, deployment, transfer, diffusion and access to technologies and capacity-building for adaptation, in particular in developing country Parties;
- (i) Strengthening data, information and knowledge systems, education and public awareness;
- (j) Improving research and systematic observation for climate data collection, archiving, analysis and modelling for realistic climatic-related outputs at national and regional levels;

5.⁵

Option 1

Decides that developing country Parties should be provided with long-term, scaled up, adequate, new and additional to official development assistance commitments and predictable grant-based finance in the order of at least [x billion] [x per cent of the gross domestic product of developed country Parties] as part of the repayment of their climate debt as well as with support for technology, insurance and capacity-building to implement urgent, short-, medium- and long-term adaptation actions, programmes and projects at local, national, subregional and regional levels, in and across different economic and social sectors and ecosystems, including the activities referred to in paragraph 4 above;

Also decides that access to financial support for adaptation should be simplified, expeditious and direct, with priority given to particularly vulnerable developing country Parties;

Option 2

Requests developed country Parties to provide means of implementation, including finance, technology and capacity-building, to support the efforts of developing country Parties, taking into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change, especially the least developed countries and small island developing States, and further taking into account the needs of countries in Africa affected by drought, desertification and floods, in undertaking the activities referred to in paragraph 4 above;

Option 3

Decides to substantially scale up financial support as well as technology and capacity-building

⁴ <<http://www.unisdr.org/eng/hfa/hfa.htm>>.

⁵ Placeholder for references to outcomes of discussions on finance, technology and capacity-building.

assistance for developing country Parties that are particularly vulnerable to the adverse effects of climate change, based on the priorities identified in their relevant planning and policymaking processes and financial needs assessments, including through the integration of adaptation actions into sectoral and national planning, and through other ways to enable climate-resilient development;

6.

Option 1

Establishes [a] [an] [Adaptation Committee⁶] [Subsidiary Body on Adaptation] [Advisory Body on Adaptation] under the Convention with equitable representation of Parties to guide, supervise, support, administer and monitor the operation of the Copenhagen Adaptation [Framework] [Programme] by:

- (a) Providing guidance on the implementation of adaptation actions;
- (b) [Providing scientific advice and technical support to Parties, including for undertaking risk, vulnerability and adaptation assessments, and adaptation planning;]
- (c) [Enhancing the sharing of information, knowledge, including traditional knowledge, experience and good practices, at local, national, regional and international levels;]
- (d) Providing advice on the integration of adaptation actions into sectoral and national planning and other ways to enable climate-resilient development;
- (e) Considering information communicated through the monitoring, review and reporting of the provision of means of implementation and adaptation actions;
- (f) Strengthening the catalytic role of the Convention;

Option 2

Decides to strengthen, enhance and better utilize existing institutional arrangements and expertise under the Convention in order to support the implementation of the Copenhagen Adaptation [Framework] [Programme];

7. *Decides* to elaborate modalities for the provisions contained in paragraph 6 above, for adoption by the Conference of the Parties at its [x] session;

8. [*Establishes* an international mechanism to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change, including impacts related to extreme weather events and slow onset events,⁷ through risk management, insurance, compensation and rehabilitation;]

9. [*Decides* to elaborate modalities and procedures for the international mechanism to address loss and damage, for adoption by the Conference of the Parties at its [x] session;]

⁶ The Adaptation Committee shall consist of 32 members nominated by Parties, with 20 members from Parties not included in Annex I of the Convention. The members of the Committee shall serve in their personal capacities.

⁷ Including sea level rise, increasing temperatures, ocean acidification, glacial retreat and related impacts, salinization, land and forest degradation, loss of biodiversity and desertification.

10.

Option 1

Agrees that regional adaptation centres will be strengthened and, where necessary, established in developing country regions with support provided by developed country Parties. Such centres shall be designated, guided and controlled by the countries they are to serve, and shall facilitate and enhance action on adaptation, building upon and complementing national adaptation action, especially between countries with shared natural resources, where appropriate;

Decides to consider the designation of an international centre to enhance research coordination and to elaborate modalities and procedures for strengthening and, where necessary, establishing regional adaptation centres, for adoption by the Conference of the Parties at its [x] session;

Option 2

Decides to define regional adaptation platforms to facilitate cooperation between regional stakeholders in exchanging information on adaptation with the aim of facilitating enhanced and coordinated action at the national and regional levels, nurturing South–South cooperation and enhancing the delivery of information between the Convention process and national and regional activities;

11. *Requests* developed country Parties to support developing country Parties in strengthening and, where necessary, establishing or designating national-level institutional arrangements for adaptation with a view to enhancing work on the full range of adaptation actions from planning to implementation;

12.

Option 1

Decides that all Parties should report on support provided and received for adaptation action in developing country Parties, through existing reporting channels, to the extent possible, to ensure transparency;

Also decides to assess the delivery of the means of implementation by developed country Parties, in accordance with Article 12, paragraph 3, of the Convention, with the aim of identifying insufficiencies and discrepancies between support provided and received and to recommend further action, when required;

Option 2

Decides that all Parties should provide information on progress, experiences and lessons learned from adaptation actions to ensure transparency, mutual accountability and robust governance;

13. *Invites* relevant multilateral, international, regional and national organizations, the public and private sectors, civil society and other relevant stakeholders to undertake and support enhanced action on adaptation at all levels, as appropriate, in a coherent and integrated manner, building on synergies among activities and processes, and to assist in the implementation of the Copenhagen Adaptation [Framework] [Programme].

C. Draft decision -/CP.15

Enhanced action on the provision of financial resources and investment

[1. Parties [shall] [agree to] further operationalize the financial mechanism [of][under] the Convention with the aim of full and effective implementation [of the Convention,] [in particular commitments contained in Article 4, paragraphs 3, 4, 5, 8 and 9, in the context of its Article 4, paragraph 7;]

[Finance Board]

[2. A Finance Board of the financial mechanism shall be established under the guidance of and be accountable to the Conference of the Parties;]

[3. The Finance Board shall have an equitable and balanced representation of all Parties within a transparent system of governance in accordance with Article 11, paragraph 2, of the Convention;]

[4. The Finance Board of the financial mechanism shall:

- (a) Provide [guidance][assistance] to, and ensure accountability to the Conference of the Parties of, all operating entities of the financial mechanism in accordance with Article 11 of the Convention;
- (b) Assess the needs for, and sources and flows of, international finance to support activities to address climate change;
- (c) Recommend a balanced allocation of funding across thematic areas of the operating entities of the financial mechanism based on the information provided by all operating entities;
- (d) Recommend provisions for unifying modalities to measure, report and verify the support provided to developing country Parties for enhanced action on mitigation, and to monitor, report and review the support provided to developing country Parties for enhanced action on adaptation;
- (e) Review modalities of operating entities in order to provide simplified, improved, effective and equitable access to financial resources in a timely manner, including direct access;
- (f) Upon request, provide advice and information to assist developing country Parties in matching financial support for their mitigation and adaptation needs;
- (g) Report to the Conference of the Parties on a regular basis;
- (h) Fulfil any other functions assigned to it by the Conference of the Parties;]

[5. The Finance Board shall be serviced by a secretariat;]

[Fund/Operating entity]

[6. The Parties agree to establish a Climate [Fund][Facility];]

[7. [The Climate [Fund]][Facility] shall act as an operating entity of the financial mechanism of the Convention;][The Climate [Fund]][Facility] shall have an operating entity that will be appointed by the sixteenth session of the Conference of the Parties;]

[8. The Climate [Fund]][Facility] shall be governed by a [YY] Board of [yy] members [nominated by the Conference of the Parties,] with equitable and balanced representation of developed country Parties and developing country Parties;]

[9. The Climate [Fund]][Facility] will support projects, programmes, policies and other activities related to mitigation, including REDD-plus,⁸ adaptation, capacity-building and technology development and transfer. Specialized funding windows may be established by the Board of the Climate [Fund]][Facility] with the approval of the Conference of the Parties;]

[10. The Climate [Fund]][Facility] shall be serviced by a trustee and a secretariat; the procedures for selecting the trustee and the secretariat shall be finalized by the sixteenth session of the Conference of the Parties;]

[11. The Climate [Fund]][Facility] shall provide simplified, improved and effective access to financial resources in a timely manner, including direct access;]

[Existing funds/entities]

[12. The Parties agree to [reform][review] the institutional arrangement of the financial mechanism of the Convention with the Global Environment Facility to respond more effectively to needs of developing country Parties;]

[Provision of financial resources]

[The Parties agree that]

[13. Scaled up, predictable, new and additional, and adequate funding shall be provided to developing country Parties, in accordance with Article 4, paragraphs 3, 4, 5, 8 and 9, of the Convention, to enable and support enhanced action on mitigation, including REDD-plus, adaptation, capacity-building and technology development and transfer, for enhanced implementation of the Convention after 2012;]

[14. The main source of funding through the financial mechanism shall be new and additional financial resources provided by developed country Parties;]

[15. Private-sector financing and other innovative sources of funding shall supplement the provision of public financial resources.]

⁸ Reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation; sustainable management of forests and enhancement of forest carbon stocks in developing countries.

D. Draft decision -/CP.15

Enhanced action on technology development and transfer

The Conference of the Parties,

Recalling the commitments under the Convention, in particular Article 4, paragraphs 1, 3, 5, 7, 8 and 9,

Confirming the importance of promoting and enhancing national and international cooperative action on the development and transfer of environmentally sound technologies to developing country Parties to support action on mitigation and adaptation now, up to and beyond 2012, in order to achieve the ultimate objective of the Convention,

Recognizing that climate change represents an urgent and potentially irreversible threat to human societies and the planet, and thus requires to be urgently addressed by all Parties,

Also recognizing that early and rapid reduction in emissions, and the urgent need to adapt to the adverse impacts of climate change, requires large-scale diffusion and transfer of, or access to, environmentally sound technologies,

Stressing the need for effective mechanisms, enhanced means, appropriate enabling environments and the removal of obstacles to the scaling up of the development and transfer of technologies to developing country Parties,

Objective

1. *Decides* that the objective of enhanced action on technology development and transfer is to support action on mitigation and adaptation in order to achieve the full implementation of the Convention;

2. *Also decides* that, in pursuit of this objective, the identification of technology needs must be nationally determined, based on national circumstances and priorities;

3. *Agrees* on the need to accelerate action consistent with international obligations, at different stages of the technology cycle, including research and development, demonstration, deployment, diffusion and transfer of technology (hereinafter in this decision referred to as 'technology development and transfer') in support of action on mitigation and adaptation;

Cooperative action on technology

4. *Encourages* Parties, in the context of Article 4, paragraphs 5 and 1(c), of the Convention and consistent with their respective capabilities and national circumstances and priorities, to undertake domestic actions identified through country-driven approaches that:

- (a) Promote the establishment and/or strengthening of national systems of innovation, including, as appropriate, national technology innovation centres;
- (b) Promote public- and private-sector partnerships;
- (c) Create the enabling environments to facilitate enhanced action on technology transfer and mobilize private-sector investment;
- (d) Develop and strengthen relevant institutional, technical and human capacity, including

the capacity to absorb, adapt, and adopt appropriate and applicable environmentally sound technologies;

- (e) Increase private and public energy-related research, development and demonstration compared with current levels, working towards at least a doubling of global energy-related research, development and demonstration by 2012 and increasing it to four times its current level by 2020, with a significant shift in emphasis towards safe and sustainable low greenhouse gas emitting technologies, especially renewable energy;

5. *Also* encourages Parties, in the context of Article 4, paragraphs 5 and 1(c), of the Convention and consistent with their respective capabilities and national circumstances and priorities, to engage in bilateral and multilateral cooperative activities on technology development and transfer in order to, inter alia:

- (a) Promote collaborative action through North–South, South–South and triangular technology partnerships, including through regional and international technology centres and networks;
- (b) Promote the establishment of cooperative partnership arrangements with relevant international organizations, the public- and private-sector, academia and the research community;
- (c) Enhance the development and dissemination of best practices;
- (d) Support national and regional capacity-building;

Activities and/or outcomes of activities to be supported

6. *Decides* that, pursuant to paragraph 10 (b) below, activities and/or outcomes of activities eligible for technological, financial and capacity-building support, including relevant actions referred to in paragraphs 4 and 5 above, shall be determined by country-driven processes based on national circumstances and priorities, with a view to ensuring overall efficiency and effectiveness in meeting such outcomes, and may include, but not be limited to, those that achieve:

- (a) Development and enhancement of endogenous capacities and technologies of developing country Parties, including cooperative research, development and demonstration programmes;
- (b) Deployment and diffusion of environmentally sound technologies and know-how to developing country Parties;
- (c) Increased public and private investment in technology development, deployment, diffusion and transfer;
- (d) Deployment of soft and hard technologies for implementation of adaptation and mitigation actions;
- (e) Improved climate change observation systems and related information management;
- (f) [Purchasing of licenses and other intellectual property rights issues;]
- (g) Strengthening of national systems of innovation and technology innovation centres;

- (h) Development and implementation of national technology plans for mitigation and adaptation;

Technology Mechanism

7. *Decides* that a Technology Mechanism [is hereby defined as part of the legally binding agreement as referred to in decision -/CP.15] [is hereby established [under the authority and guidance of, and accountable to, the Conference of the Parties]], and will consist of the following components:

- (a) A Technology Executive Committee, as described in paragraph 10 below;
- (b) A Climate Technology Centre, as described in paragraph 15 below;

8. [*Also decides* that the implementation of the Technology Mechanism and other activities as determined by the Conference of the Parties shall take into account activities and/or outcomes of activities eligible for support as described in paragraph 6 above and shall be funded by the [financial arrangement] established under decision -/CP.15 (Finance), including the provision of new and additional financial resources to meet the agreed full incremental costs, in accordance with Article 4, paragraph 3, of the Convention;]

9. *Further decides* that the Technology Mechanism should support, including by financing, the following actions:

- (a) Facilitate access to affordable and appropriate technologies required by developing countries for enhanced action on adaptation and mitigation;
- (b) Assessing the adequacy and predictability of funds for development and transfer of, or access to, environmentally sound technologies and know-how;
- (c) [Removal of barriers to technology development and transfer and enhancing means to promote technology transfer;]
- (d) Development and enhancement of endogenous capacities of and technologies in developing country Parties;
- (e) Capacity-building to enhance the capability of developing country Parties for the development and transfer of environmentally sound technologies and know-how;

Institutional arrangements

10. [*Decides* that the Technology Executive Committee is hereby defined and shall have the following functions:

- (a) Provide, upon request, analysis on policy and technical issues related to the development and transfer of technology for mitigation and adaptation, and consider and recommend, as appropriate, actions that may be necessary to promote technology development and transfer in order to enable action on mitigation and adaptation;
- (b) Prepare criteria on activities and/or outcomes of activities eligible for technological, financial and capacity-building support;
- (c) Seek cooperation with relevant international technology initiatives, relevant stakeholders and organizations, promote coherence and cooperation across technology activities including activities inside and outside of the Convention, liaise with other bodies under the Convention and facilitate networking;

- (d) Catalyse the development and use of technology road maps or action plans at international, regional and national levels through cooperation by relevant stakeholders, particularly governments and relevant organizations or bodies, including the development of best practice and guidelines, as facilitative tools for action on mitigation and adaptation;
- (e) Consider and recommend actions that may be necessary to address or remove the barriers to technology development and transfer identified by developing country Parties in order to enable action on mitigation and adaptation;
- (f) Promote collaboration on the development and transfer of technology for climate mitigation and adaptation between governments, industry and research communities;
- (g) Monitor and assess technology-related action and support for both mitigation and adaptation in line with modalities for measurement, reporting and verification in accordance with decision -/CP.15;
- (h) Provide support and assistance to conduct country-driven planning to support the development and transfer of environmentally sound technologies and to enable developing country Parties to overcome barriers at all stages of the technology cycle;
- (i) Support necessary actions to address the barriers to technology development and transfer identified by developing country Parties, in order to enable action on mitigation and adaptation;
- (j) [Address issues related to intellectual property rights as they arise;]
- (k) Develop and implement, through a country-driven process mediated through recipient governments, practical and concrete actions that address specific needs of developing country Parties relevant to the development and transfer of technologies for mitigation and adaptation;
- (l) Develop technical considerations for funding nationally identified activities;
- (m) Support the establishment, or strengthening, as appropriate, of nationally or regionally identified technology innovation centres and networks, in order to accelerate the development and transfer of environmentally sound technologies to support action on mitigation and adaptation by developing country Parties;
- (n) Support the implementation of a country-driven capacity-building programme to build and/or strengthen domestic capacity in developing countries to identify technology options, make technology choices, and operate, maintain and adapt technologies, including through twinning, fellowships, training of trainers and on-the-job technical and vocational training, and, in addition, promote coherence and cooperation between relevant international and national organizations and initiatives, including centres and networks, on capacity-building for enhanced technology development and transfer;
- (o) Promote collaboration on technology development and transfer for climate mitigation and adaptation between governments, industries and research communities of developed and developing countries, through networking between relevant international technology initiatives, organizations and national and regional centres and liaising with other bodies under the Convention, as appropriate;

- (p) Monitor and assess the financial support and performance of the development and transfer of environmentally sound technologies in terms of speed, range and size of the technological flow;
- (q) Provide policy advice and recommendations to the Conference of the Parties, in order to achieve the objective of enhanced action on technology development and transfer;
- (r) Establish technical panels, which are deemed necessary;]

11. *Further decides* that the Technology Executive Committee [established by this decision] will replace the Expert Group on Technology Transfer established by decision 4/CP.7 and which was reconstituted by decision 3/CP.13;

12. *Further decides* that the Expert Group on Technology Transfer shall have its mandate terminated at the sixteenth session of the Conference of the Parties, by which time the Expert Group on Technology Transfer shall complete its pending activities and deliver its final report to the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation for consideration at their thirty-third sessions;

13. [*Further decides* that the Technology Executive Committee shall provide annual reports on the progress of its work [through the Subsidiary Body for Scientific and Technological Advice] for consideration by the Conference of the Parties and, upon request, assist or provide recommendations to the subsidiary bodies and other relevant constituted bodies under the Convention on matters relating to enhanced actions on technology development and transfer, as appropriate;]

Linkage with finance

14. [Option 1: *Further decides* that the Technology Executive Committee shall provide information in a timely manner to the financial arrangement, as described in decision -/CP.15 (Finance), for consideration, on activities and/or outcomes of activities eligible for financial support, as referred to in paragraph 6 above;

Option 2: *Further decides* that the Technology Executive Committee shall refer with recommendations for funding to the financial arrangement, as described in decision -/CP.15 (Finance), on activities and/or outcomes of activities eligible for financial support, as referred to in paragraph 6 above;]

Technology Centres and Network

15. *Decides* that a Climate Technology Centre [and Climate Technology Network] is hereby defined with the following functions to support and accelerate the diffusion of environmentally sound technologies for mitigation and adaptation to developing country Parties through the provision, upon request, of technical assistance and training:

- (a) Provide advice and support to developing country Parties and their stakeholders for the identification of technology needs and the implementation of environmentally sound technologies, practices and processes;
- (b) Improve and provide access to publicly available information on existing and emerging technologies for mitigation and adaptation, and act as a clearing house to promote the broad exchange and diffusion of such information;
- (c) Provide training, information and workforce development programmes to build and/or strengthen the regional and/or national capacity of developing country Parties to identify technology options, make technology choices and operate, maintain and adapt

technologies, including through training of trainers and on-the-job technical and vocational training;

- (d) Facilitate prompt action on the deployment of existing technologies in developing country Parties based on the identified needs;
- (e) Stimulate and encourage, through collaboration with the private sector, public institutions, academia and research institutions, the development and transfer of existing and emerging environmentally sound technologies, as well as opportunities for technology cooperation;
- (f) Develop and customize analytical tools, policies and best practices for country-driven planning to support the dissemination of environmentally sound technologies;
- (g) Establish national technology innovation centres and [X] regional technology centres based within existing institutions, to support the effective implementation of the functions of the Climate Technology Centre, including to support action on mitigation and adaptation by developing country Parties;
- (h) Establish a Climate Technology Network with a view to:
 - (i) Harnessing the expertise of other national, regional and international technology centres that can be affiliated with the Network;
 - (ii) Facilitating international partnerships among public and private stakeholders to accelerate the innovation and diffusion of environmentally sound technologies to developing country Parties;
 - (iii) Providing in-country technical assistance and training to support identified technology actions in developing country Parties, upon request;
 - (iv) Performing other activities as determined by the Climate Technology Centre as appropriate;
- (i) [Compile a roster of][Identify] experts drawn from the Climate Technology Network, who will be available to provide technical advice to the Technology Executive Committee;

16. *Further decides* that the Climate Technology Centre, referred to in paragraph 15 above, shall provide periodic updates on the status and progress of its work, including that of the Climate Technology Network, to the Conference of the Parties through the [Subsidiary Body for Scientific and Technological Advice][Technology Executive Committee], with a view to determining any required action resulting from the updates;

[Intellectual Property Rights]

Option 1: *No Reference to Intellectual Property Rights in the text*

Option 2: *Decides that:*

17. Any international agreement on intellectual property shall not be interpreted or implemented in a manner that limits or prevents any Party from taking any measures to address adaptation or mitigation of climate change, in particular the development and enhancement of endogenous capacities and technologies of developing countries and transfer of, and access to, environmentally sound technologies and know-how;

17 bis. Specific and urgent measures shall be taken and mechanisms developed to remove barriers to the development and transfer of technologies arising from intellectual property rights protection, in particular:

- (a) Creation of a Global Technology Intellectual Property Rights Pool for Climate Change that promotes and ensures access to intellectual property protected technologies and the associated know-how to developing countries on non-exclusive royalty-free terms;
- (b) Take steps to ensure sharing of publicly funded technologies and related know-how, including by making the technologies and know-how available in the public domain in a manner that promotes transfer of and/or access to environmentally sound technology and know-how to developing countries on royalty-free terms;

17 ter. Parties shall take all necessary steps in all relevant forums to exclude from Intellectual Property Rights protection, and revoke any such existing intellectual property right protection in developing countries and least developed countries on environmentally sound technologies to adapt to and mitigate climate change, including those developed through funding by governments or international agencies and those involving use of genetic resources that are used for adaptation and mitigation of climate change;

17 quater. Developing countries have the right to make use of the full flexibilities contained in the Trade Related Aspects of Intellectual Property Rights agreement, including compulsory licensing;

17 quinquies. The Technology Executive Committee shall recommend to the Conference of the Parties international actions to support the removal of barriers to technology development and transfer, including those arising from intellectual property rights.];

Capacity-building

18. [Placeholder for capacity building]

Issues for further consideration

19. *Agrees* to continue to deliberate upon the full mandate and composition of the Technology Executive Committee and modalities for the operation of the Technology Executive Committee and the Climate Technology Centre, referred to in paragraph 7 (a) and (b) above, and conclude these deliberations with a view to the Conference of the Parties making a decision at its sixteenth session and to having the Technology Executive Committee and Climate Technology Centre commence their work [in January 2011][on adoption of the new legal agreement];

20. *Underlines* the importance of continued dialogue among Parties on the issues deliberated upon during this session [including, inter alia, ways to address specific barriers identified through country-driven processes, technologies for adaptation, modalities for technology action plans and road maps, incentives for technology development and transfer, and the research and development objective of the Technology Mechanism, with a view to concluding its consideration on these matters at its subsequent session].

[Placeholder for MRV and Compliance]

E. Draft decision -/CP.15**Enhanced action on capacity-building^{9,10}**

The Conference of the Parties,

[Reaffirming that capacity-building for developing countries is essential to enable developing country Parties to participate fully in, and to implement effectively their commitments under, the Convention,

Recognizing that capacity-building activities are related to all aspects of the Convention, including research and systematic observation and education, training and public awareness,

Being especially guided by Article 4, paragraphs 1, 3, 4, 5, 7 and 8 of the Convention, in the context of its Articles 3, 5 and 6,

Recalling the provisions related to capacity-building for developing countries contained in relevant decisions adopted by the Conference of the Parties,

Also recalling the specific relevance of decision 2/CP.7, which contains in its annex the framework for capacity-building in developing countries,

[Taking into account that while the scope of capacity-building and correlated needs, as contained in the annex to decision 2/CP.7, and the key factors identified in decision 2/CP.10 remain valid, there are emerging capacity needs arising from an agreed outcome at Copenhagen,]

Further recalling the paragraphs on capacity-building of Agenda 21 and the Programme for the Further Implementation of Agenda 21,

Being deeply concerned about the substantial gap between the capacity-building required for developing country Parties to fully contribute to the implementation of the Convention and the resources currently available to meet that need,

Recalling the Bali Action Plan (decision 1/CP.13),

Acknowledging that capacity-building is cross-cutting in nature and is fundamental to enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012,

Recognizing that an agreed outcome resulting from the process launched by the Bali Action Plan will require enhanced action on capacity-building,

Emphasizing the need for a stand-alone section on enhanced action on capacity-building,

Reaffirming that capacity-building should be a continuous, progressive and iterative process that is participatory, country-driven and consistent with national priorities and circumstances, and is an integral part of enhanced action on mitigation, adaptation, technology development and transfer and access to financial resources,]

⁹ The submission of Turkey related to decision 26/CP.7 has not been incorporated in this draft text. Further consultations by the President of the Conference of the Parties are being conducted.

¹⁰ The proposal by the Russian Federation regarding reference to decisions 3/CP.7 and 3/CP.10 has not been incorporated in this draft text. Further consultations by the President of the Conference of the Parties are being conducted.

1. *Agrees* that the objective of enhanced action on capacity-building is to build, develop, strengthen, improve and enhance the capacities and capabilities of developing country Parties to contribute to the achievement of the full, effective and sustained implementation of the Convention;
2. *Agrees* that enhanced action on capacity-building [shall] [should] be guided by the provisions of the Convention and relevant decisions of the Conference of the Parties;
3. *Decides* that capacity-building actions [shall] [should] be enhanced:
 - (a) To enable the full implementation of all aspects of the Convention, in particular decision 2/CP.7;
 - (b) To develop and/or strengthen the capacity of developing country Parties in areas identified [in the agreed outcome of the building blocks of the Bali Action Plan (decision 1/CP.13)] [under the agreed outcome for the enhanced implementation of the Convention], including strengthening subnational, national or regional capacities, skills, capabilities and institutions [as appropriate] to address emerging capacity-building needs;

Option 1

4. *Also decides* that international cooperation [and financial support from developed country Parties] should be enhanced to strengthen the capacity of developing country Parties through, inter alia:

Option 2

4. [*Also decides* that action on capacity-building should be enhanced in order to strengthen, as appropriate, subnational, national or regional capacities, skills, capabilities and institutions as appropriate, in order to address emerging capacity-building needs in the areas of adaptation, mitigation and technology development and transfer, as outlined [under the agreed outcome of the building blocks of the Bali Action Plan] [under the agreed outcome for the enhanced implementation of the Convention] through, inter alia:]
 - (a) Empowering and strengthening relevant institutions at various levels, including focal points and national coordinating bodies and organizations;
 - (b) Strengthening endogenous capacities, skills and capabilities;
 - (c) Developing and/or strengthening national and/or regional networks for the generation, sharing and management of information and knowledge, including local and indigenous knowledge, experiences and best practices of developing countries, through, inter alia, South–South and triangular cooperation;
 - (d) Enhancing capacity for climate change related research; systematic observation; data collection and utilization; knowledge management and decision-making, including for vulnerability and adaptation assessments; early warning systems; risk management; and modelling, including socio-economic modelling for adaptation and mitigation, and downscaling;
 - (e) Strengthening climate change communication, education, training and public awareness at all levels, including at the local and community levels, taking into account gender issues;
 - (f) Encouraging and strengthening participatory and integrated approaches, including the participation of various stakeholders, including [women and]

- youth, taking climate change considerations into account, to the extent feasible, in relevant social, economic and environmental policies and actions;
- (g) Enhancing the capacity to plan, prepare and implement climate change action;
 - (h) Enhancing the capacity to monitor and report on climate change action, including for the process of, and the preparation of, national communications;
 - (i) Developing and/or strengthening institutional capacity for economic diversification;
 - (j) Supporting the capacity-building needs identified in decisions [-/CP.XX] [-/CP.15¹¹] (mitigation, adaptation and technology development and transfer) [under the agreed outcome of the building blocks of the Bali Action Plan] [under the agreed outcome for the enhanced implementation of the Convention;]
 - (k) Supporting any other capacity-building needs in the course of the full, effective, and sustained implementation of the Convention;

Option 1

5. [Further decides to establish a technical panel on capacity-building with the following objectives:

- (a) To organize, coordinate, monitor, evaluate and retrofit the implementation of capacity-building activities in support of adaptation and mitigation and the corresponding financing and technology development and transfer in developing countries;
- (b) To propose and implement mechanisms for sharing lessons learned, promoting South–South and triangular cooperation and disseminating information on successful capacity-building activities in developing countries;
- (c) To provide information on and make assessments of the fulfilment by developed country Parties of commitments to provide capacity-building support;]

Option 2

5. [Agrees that relevant institutional arrangements that are existing or established [under the agreed outcome of the building blocks of the Bali Action Plan] [under the agreed outcome for the enhanced implementation of the Convention], including any expert groups, technical panels or bodies, should consider integrating capacity-building in their mandates as appropriate;]

Option 1

6. [Decides that financial resources for enhanced action on capacity-building in developing country Parties and for the operation of the technical panel on capacity-building shall be provided through [a multilateral fund for capacity-building] [a new financial mechanism to support

¹¹ Draft decisions proposed for adoption under agenda item 3 of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.

mitigation, adaptation, technology development and transfer and capacity-building action] established by decision [-/CP.XX] [-/CP.15¹²];]

Option 2

6. [Decides that [financial and other support provided by Parties included in Annex II to the Convention] [support] [support including provision of financial resources [provided by Parties included in Annex II to the Convention]] for enhanced action on capacity-building in developing countries, including those capacity-building activities identified in relevant decisions [under the agreed outcome of the building blocks of the Bali Action Plan] [under the agreed outcome for the enhanced implementation of the Convention] should be [delivered through various multilateral and bilateral channels including] [[made available] through the operating entity(ies) of the financial mechanism of the Convention and through various multilateral and bilateral channels, in accordance with decision [-/CP.XX] [-/CP.15¹³] (Finance)][in accordance with relevant decisions];]

Option 1

7. [Decides that support for capacity-building activities shall be measured through the use of agreed and effective performance indicators [and in units to be established as part of the review of the implementation of the framework for capacity-building in developing countries], in order to ensure that the resources provided by developed country Parties are benefiting developing countries within the context of the agreed activities identified and undertaken through a bottom-up, country-driven process;]

Option 2

7. [Invites Parties to report through national communications on progress made in enhancing capacity to address climate change and on the support provided or received, in order to facilitate the monitoring and review of commitments under an agreed outcome at Copenhagen;]

Option 3

7. [Invites Parties to regularly report on enhanced capacity-building using existing mechanisms, including national communications and submissions to the secretariat and others as agreed, in order to facilitate the monitoring and reporting of progress on capacity-building under an agreed outcome at Copenhagen;]

8. [Decides that provision of capacity-building support to developing country Parties, along with the delivery of financial support and technology development and transfer, shall be a legally binding obligation of developed country Parties included in Annex II to the Convention, with consequences for non-compliance.]

¹² Draft decision proposed for adoption under agenda item 3 of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.

¹³ Draft decision proposed for adoption under agenda item 3 of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.

F. Draft decision -/CP.15**Nationally appropriate mitigation actions by developing country Parties:
mechanism to record nationally appropriate mitigation actions
and facilitate provision and recording of support**

1. [A registry as a part of the financial mechanism] [A mechanism] shall be established to record nationally appropriate mitigation actions¹⁴ for which developing country Parties are seeking support and to facilitate matching and recording of support¹⁵ by developed country Parties for each of those actions.
2. Pursuant to Article 12, paragraph 4, of the Convention, developing country Parties [may] [shall] submit to the mechanism [, on a voluntary basis,] proposals for nationally appropriate mitigation actions for which they are seeking support, along with an estimate of all related incremental costs, indication of type of support, an estimate of mitigation benefits and the anticipated time frame for implementation. Support sought for specific nationally appropriate mitigation actions may include support related to enhancing capacity for the design, preparation and implementation of such actions.
3. [Proposed nationally appropriate mitigation actions [may] [shall] also be submitted to the mechanism for technical analysis of the methodologies used to estimate the incremental costs and the expected emissions reductions in accordance with guidelines to be adopted by the Conference of the Parties].
4. The mechanism shall facilitate and record the [matching of] [application of] support for proposed nationally appropriate mitigation actions by developing countries [only] through the [financial and technology mechanisms] and bilateral, regional and other multilateral sources of funding and with capacity-building through the [framework for capacity-building].
5. Once the matching has been agreed and confirmed, the mechanism shall record and regularly update information on the following:
 - (a) Nationally appropriate mitigation actions supported and enabled by developed country Parties;
 - (b) Support provided for implementing each of the actions referred to in paragraph 5 (a) above.
6. The Conference of the Parties shall develop and adopt guidelines for the operation of this mechanism.

¹⁴ This text may have to be redrafted based on the outcome of the consultation of the President of the Conference of the Parties on autonomous actions undertaken in the context of aspects of developing country mitigation actions.

¹⁵ This text may have to be redrafted based on the outcome of the consultation of the President of the Conference of the Parties on provision of financial resources and on measuring, reporting and verification of support.

G. Draft decision -/CP.15

Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries

The Conference of the Parties,

Recalling decisions 1/CP.13, 2/CP.13, x/CP.15 (AWG-LCA core) and x/CP.15 (SBSTA decision),

[*Affirming (... for any quantitative goal to be inserted or moved elsewhere)*]

Encourages all Parties to find effective ways to reduce the pressure on forests that results in greenhouse gas emissions,

1. *Affirms* that the following [principles][principles and provisions of the Convention] guide the implementation of activities referred to in paragraph 3 below:

- (a) Contribute to the objective set out in Article 2 of the Convention;
- (b) [Contribute to the commitments set out in Article 4, paragraph 3, of the Convention;]
- (c) Be country-driven and [voluntary][put forward voluntarily];
- (d) Be undertaken in accordance with national circumstances and capabilities of the country and respect sovereignty;
- (e) Be consistent with national sustainable development needs and goals;
- (f) Facilitate sustainable development, reduce poverty and respond to climate change in developing country Parties;
- (g) Promote broad country participation;
- (h) Be consistent with the adaptation needs of the country;
- (i) Be [integrated into nationally appropriate mitigation actions] [developed within the context of a low greenhouse gas emission strategy];
- (j) Be subject to [equitable, adequate, predictable and sustainable] financing and technology support, including support for capacity-building;
- (k) Be results-based;
- (l) Promote sustainable management of forests;

2. *Further affirms* that when undertaking activities referred to in paragraph 3 below, the following safeguards should be [promoted] [and] [supported]:

- (a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- (d) Full and effective participation of relevant stakeholders, including in particular indigenous peoples and local communities in actions referred to in paragraphs 3 and 5 below;
- (e) Actions that are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 3 below are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;[¹⁶]
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions;

3. *Decides* that developing country Parties should contribute to mitigation actions in the forest sector by undertaking the following activities:

- (a) Reducing emissions from deforestation;
- (b) Reducing emissions from forest degradation;
- (c) Conservation of forest carbon stocks;
- (d) Sustainable management of forest;
- (e) Enhancement of forest carbon stocks;

4. *Requests* the Subsidiary Body for Scientific and Technological Advice to undertake a work programme to identify land use, land-use change and forestry activities in developing countries, in particular those that are linked to the drivers of deforestation and forest degradation, to identify the associated methodological issues to estimate emissions and removals resulting from these activities, and to assess their potential contribution to the mitigation of climate change, and report on the findings to the Conference of the Parties at its [xx] session;

5. *Also requests* that a developing country Party aiming to undertake activities referred to in paragraph 3 above, [provided that support is made available,] in accordance with national circumstances and respective capabilities, develop:

¹⁶ [Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples and the International Mother Earth Day.]

- (a) [A national strategy or action plan and, if appropriate, a subnational strategy, [as part of their low-carbon emission strategies and in accordance with decision x/CP.15 (*Mitigation*)]];
- (b) [A national forest reference emission level and/or forest reference level, or if appropriate, subnational forest reference emission level[s] and/or forest reference level[s], taking into account decision x/CP.15 (*SBSTA decision*) and any further elaboration of those provisions agreed by the Conference of the Parties;]
- (c) [A robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to in paragraph 3 above[, and the safeguards referred to in paragraph 2 above], with, as appropriate, subnational monitoring and reporting as an optional interim measure,¹⁷ in accordance with the provisions contained in decision x/CP.15 (*SBSTA decision*) and any further elaboration of those provisions agreed by the Conference of the Parties;]

6. *Requests* developing country Parties when developing and implementing their national strategy or action plan, [or subnational strategies] to address, inter alia, drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 above, ensuring the full and effective participation of relevant stakeholders, inter alia, indigenous peoples and local communities;

7. *Decides* that the activities undertaken by Parties referred to in paragraph 3 above [should][shall] be implemented in phases, beginning with the development of national strategies or action plans, policies and measures and capacity-building, followed by the implementation of national policies and measures, and national strategies or action plans and, as appropriate, subnational strategies, that could involve further capacity-building, technology transfer and results-based demonstration activities, and evolving into results-based actions [that shall be fully measured, reported and verified];

8. *Recognizes* that the implementation of the activities referred to in paragraph 7 above, including the choice of a starting phase, depends on the specific national circumstances, capacities and capabilities of each developing country Party and the level of support received;

9. *Requests* the Subsidiary Body for Scientific and Technological Advice, at its [xx] session, to develop, as necessary, modalities for [measuring, reporting and verifying] anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, forest carbon stocks and forest area changes resulting from the implementation of activities referred to in paragraph 3 above, and for robust and transparent national forest monitoring [and reporting] systems as specified in paragraph 5 (c) above[, and consistent with any guidance for measuring, reporting and verification of nationally appropriate mitigation actions by developing country Parties agreed by the Conference of the Parties], taking into account methodological guidance in accordance with decision x/CP.15 (*SBSTA decision*), for adoption by the Conference of the Parties at its [xx] session;

10. [*Requests* the Subsidiary Body for Scientific and Technological Advice, at its [xx] session, to develop modalities for measuring, reporting and verifying the support provided by developed country Parties to support the implementation of safeguards and actions referred to in paragraphs 2 and 3 above;]

¹⁷ Including monitoring and reporting of emissions displacement at the national level.

11. *Requests* that the promotion and implementation of all activities referred to in paragraphs 3, 5, 6 and 7 above, including consideration of the safeguards referred to in paragraph 2 above, and early action, be supported in accordance with [paragraph 1 (b) above and] relevant provisions agreed by the Conference of the Parties including:

- (a) [Decision x/CP.15 (Finance);]
- (b) [Decision x/CP.15 (I (b) (v)),] [for result-based activities a flexible combination of funds and market-based sources subjected to modalities to be agreed by the Conference of the Parties at its [xx] session];
- (c) [through existing bilateral and multilateral channels;]

12. *Requests* Parties, [relevant international organizations and stakeholders] to ensure coordination of the activities referred to in paragraph 11 above, including of the related support, particularly at the country level;

13. *Requests* the [Subsidiary Body for Scientific and Technological Advice] to develop modalities for the promotion and implementation of the development of national strategies or action plans, policies and measures and capacity-building, the implementation of national policies and measures, and national strategies or action plans and, as appropriate, subnational strategies, that could involve further capacity-building, technology transfer and results-based demonstration activities, by its [xx] session, for adoption by the Conference of the Parties at its [xx] session.

H. Draft decision -/CP.15

Enhanced national/international action on mitigation of climate change: economic and social consequences of response measures

The Conference of the Parties,

[*Reaffirming* the importance of the objective, principles and provisions of the Convention [,in particular its Article 2, Article 3, paragraphs 1, 2, 3, 4 and 5, Article 4, paragraphs 3, 7, 8, 9 and 10, as well as paragraph 1 (b) (vi) of the Bali Action Plan, adopted as decision 1/CP.13 by the Conference of the Parties [in the context of sustainable development]],]

[*Recognizing* that economic and social consequences may result from response measures taken by any Party,]

[[*Recognizing* the broad nature of the impact of response measures, particularly on developing country Parties,] and that negative economic and social consequences of response measures can adversely affect all Parties [, in particular the poorest and most vulnerable developing country Parties that are the least capable of addressing these negative consequences, taking into account vulnerable groups, such as women and children],[especially developing country Parties, and in particular those whose economies are dependent on fossil fuel production, use and exportation, tourism and the exportation of agricultural and energy-intensive products, and trade dependent on international transport,]]

[*Affirming* that sustainable development is essential for adopting measures to address climate change and that there is a need to ensure that response measures do not undermine the achievement of economic and social development, taking into account the special needs of developing countries and the consequences for women and children,]

[*Recognizing* that action on the adverse effects of climate change is a priority, and that response measures in this regard may result in negative economic and social consequences for Parties, in particular developing country Parties as referred to above,]

[*Recognizing* that the efforts to avoid or minimize negative impact of response measures should not constrain or hinder progress in addressing climate change,]

[*Affirming* that responses to climate change should be coordinated with social and economic development in an integrated manner, with a view to avoiding adverse impacts on the latter, taking fully into account the legitimate priority needs of developing country Parties for the achievement of sustained economic growth and the eradication of poverty,]

[*Recognizing* the importance of avoiding and minimizing negative impacts of response measures on social and economic sectors, promoting [an effective][a gradual] and just transition in the most affected sectors, the creation of decent work and quality jobs, and contributing to building new capacities for both production- and service-related jobs,]

[*Emphasizing* that the issue of adaptation to the adverse impacts of climate change is a separate issue and one to be addressed under the adaptation building block of the Bali Action Plan, while the discrete issue of the impacts of response measures is to be addressed under enhanced action on mitigation under the mitigation building block of the Bali Action Plan,]

[*Noting* the need for developed country Parties to compensate the economies of African and

least developed countries, for environmental, social and economic losses arising from the implementation of climate change response measures in the context of environmental justice and environmental refugees,]

1.

Alternative 1

[Urges developed country Parties to strive to implement policies and measures to respond to climate change in such a way as to avoid [and minimize] negative social and economic consequences for developing country Parties, taking fully into account Article 3 of the Convention;

Also urges developed country Parties, in order to assist developing country Parties in addressing negative social and economic consequences, to provide financial resources, including for access to and development and transfer of technology, at agreed full incremental costs in accordance with Article 4, paragraphs 3, 5 and 7, of the Convention, and promote and facilitate the transfer of and access to environmentally sound technologies and know-how to other Parties, particularly developing country Parties to enable them to implement the provisions of the Convention;]

Alternative 2

[Urges Parties, in the implementation of measures to mitigate climate change, to take into consideration the economic and social impacts of response measures;]

Alternative 3

[Urges that, in the implementation of measures to mitigate climate change[, Parties, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, should take into consideration the economic and social impacts of response measures;]]

[Also urges [Parties, in particular] developed country Parties, taking into account the principles mentioned above, to strive to implement policies and measures to respond to climate change in such a way as to avoid [and minimize] negative social and economic consequences for developing country Parties, taking fully into account Article 3 of the Convention;]

2.

Alternative 1

[Recalling the principles and provisions of the Convention, in particular Articles 3, paragraphs 1, 4 and 5, Article 4, paragraphs 3 and 7, [*verb*] that the developed country Parties shall not resort to any form of unilateral measures, including fiscal and non-fiscal border trade measures, against goods and services from the developing country Parties on any grounds related to climate change, including protection and stabilization of climate, emissions leakage, and/or cost of environment compliance;]

Alternative 2

[Urges Parties to take into account the principles of the Convention including its Article 3, paragraph 5, in relation to the economic and social consequences of response measures;]

Alternative 3

[Taking into account the relevant provisions of the Convention and further recognizing the principle enshrined in Article 3, paragraph 5, *agrees* that Parties in the pursuit of the objective and implementation of the Convention, shall not resort to any measures, in particular unilateral fiscal or

non-fiscal measures applied on the border, against goods and services imported from Parties, that constitute a means of arbitrary or unjustified discrimination or a disguised restriction on international trade;]

3. *Agrees* that information relating to response measures should be considered in a structured manner in order to enhance the implementation of Article 4, paragraph 1(g) and (h), of the Convention, recognizing the needs of developing country Parties identified in Article 4, paragraphs 8, 9 and 10;

4.

Alternative 1

[*Decides* to establish a forum to undertake activities including identifying and addressing negative economic and social consequences of response measures of developed country Parties, sharing information, including that provided in national communications as [considered by][reviewed under] the Subsidiary Body for Implementation, promoting and cooperating on issues relating to response strategies and exploring ways to minimize negative consequences, in particular in developing country Parties;

Invites Parties and relevant intergovernmental organizations to submit to the secretariat, by xx, their views on issues related to paragraph xx above for consideration by the Parties by xx before xx the sixteenth session of the Conference of the Parties;

Requests the secretariat to compile these submissions into a miscellaneous document for consideration at xxx;

Agrees to adopt, at the sixteenth session of the Conference of the Parties, modalities for the operationalization of the forum, defining its mandate, nature, scope, composition, functions, related support, reporting and evaluation, and any other related matters];

Alternative 2

[*Decides* that Parties should cooperate fully to enhance understanding of economic and social consequences of response measures, taking into account the need for information from those affected, and evidence of actual impacts, and of [both positive and] negative effects, [in particular in developing country Parties] and further decides to consider how existing channels, such as national communications including the possibility of submitting supplementary information [, as reviewed] under the Subsidiary Body for Implementation, could serve as a platform for discussions on the information provided by Parties.]

I. Draft decision -/CP.15

Various approaches, including opportunities for using markets, to enhance the cost-effectiveness of, and to promote, mitigation actions

The Conference of the Parties,

Recognizing that Parties will ensure a balance between the different types of mitigation approach that they choose to adopt,

I. Non-market-based approaches

[Option 1:

1. *Agrees* to establish a work programme to promote non-market measures at the international level that enhance the cost-effectiveness of mitigation and promote the voluntary implementation of mitigation actions[, including near-term mitigation actions];
2. *Requests* the Subsidiary Body for Scientific and Technological Advice to consider the measures referred to in paragraph 1 above, taking account of proposals made by Parties under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, with a view to forwarding a draft work programme for adoption by the Conference of the Parties at its sixteenth session;
3. *Invites* Parties to submit to the secretariat, by 26 July 2010, further views on the scope and content of the work programme referred to in paragraph 1 above;
4. [*Urges* Parties, without prejudice to the scope of the Convention and its related instruments, to pursue, under the Montreal Protocol on Substances that Deplete the Ozone Layer, the adoption of appropriate measures to progressively reduce the production and consumption of hydrofluorocarbons;]

[Option 2:

Alternatives suggested by Parties]

II. Market-based approaches

[Option 1:

5. [*Agrees* to establish a work programme to promote market-based mechanisms that complement other means of support for nationally appropriate mitigation actions, enhance the cost-effectiveness of mitigation and assist developed country Parties in meeting part of their mitigation commitments;
6. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend definitions, modalities and procedures for market-based mechanisms, with a view to forwarding a draft decision on this matter to the Conference of the Parties for adoption at its sixteenth session, [guided by, inter alia:
 - (a) Ensuring voluntary participation of Parties;
 - (b) Stimulating greenhouse gas emission reductions and removals across broad segments of the economy;

- (c) Safeguarding environmental integrity by ensuring that emission reductions and removals are additional to any that would otherwise occur, providing for robust measurement, reporting and verification, and preventing double-counting;
- (d) Benefiting developing country Parties by promoting technology transfer and other co-benefits that contribute to sustainable development;
- (e) Promoting a fair and equitable distribution of activities across regions;
- (f) Promoting investment by the private sector;]

7. *Invites* Parties to submit to the secretariat, by 26 July 2010, their views on the definitions, modalities and procedures referred to in paragraph 6 above;

8. *Decides* that use of any market-based mechanisms to assist in meeting mitigation commitments shall be supplemental to domestic mitigation action.]]

[Option 2:

Alternatives suggested by Parties]

J. Draft decision -/CP.15**Cooperative sectoral approaches and sector-specific actions in agriculture**

[The Conference of the Parties,

Reaffirming the objective, principles and provisions of the Convention, in particular its Article 2, Article 3, paragraphs 1 and 5, and Article 4, paragraph 1(c),

Bearing in mind the need to improve the efficiency and productivity of agricultural production systems in a sustainable manner,

Recognizing the interests of small and marginal farmers, the rights of indigenous peoples and traditional knowledge and practices, in the context of applicable international [instruments][obligations] and national [legislation][laws][, and national circumstances],

Recognizing that cooperative sectoral approaches and sector-specific actions in the agriculture sector should take into account the relationship between agriculture[, land degradation] and food security, the link between adaptation and mitigation and the need to safeguard that these approaches and actions do not adversely affect food security,

[Affirming that cooperative sectoral approaches and sector-specific actions in the agriculture sector should not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade,]

1. *Decides* that all Parties, with respect to the agriculture sector and taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, [shall][should] promote and cooperate in the research, development, including transfer, of technologies, practices and processes that control, reduce or prevent anthropogenic emissions of greenhouse gases, particularly those that improve the efficiency and productivity of agricultural systems in a sustainable manner and those that could support adaptation to the adverse effects of climate change, thereby contributing to safeguarding food [security and sustainable livelihoods][and livelihoods security];

2. *[Affirms* that cooperative sectoral approaches and sector-specific actions in the agriculture sector should not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade;]

3. *Requests* the Subsidiary Body for Scientific and Technological Advice to establish, at its thirty-second session, a programme of work on agriculture to enhance the implementation of Article 4, paragraph 1(c), of the Convention, taking into account paragraph 1 above;

4. *Invites* Parties to submit to the secretariat, by 22 March 2010, their views on the content and scope of the work programme;

5. *Requests* the secretariat to compile these views into a miscellaneous document for consideration by the Subsidiary Body for Scientific and Technological Advice at its thirty-second session.]

Annex II

**Documents before the Ad Hoc Working Group on Long-term
Cooperative Action under the Convention
at its eighth session**

Documents prepared for the session

FCCC/AWGLCA/2009/14	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its seventh session, held in Bangkok from 28 September to 9 October 2009, and Barcelona from 2 to 6 November 2009
FCCC/AWGLCA/2009/15	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/AWGLCA/2009/16	Scenario note on the eighth session. Note by the Chair
FCCC/AWGLCA/2009/MISC.8	Ideas and proposals on the elements contained in paragraph 1 of the Bali Action Plan. Submissions from Parties
FCCC/AWGLCA/2009/MISC.9	Ideas and proposals on the elements contained in paragraph 1 of the Bali Action Plan. Submissions from intergovernmental organizations
FCCC/AWGLCA/2009/L.6	Draft report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its eighth session
FCCC/AWGLCA/2009/L.7/Rev.1 and Add.1, Add.2/Rev.1, Add.3–7, Add.8/Rev.1 and Add.9	Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. Draft conclusions proposed by the Chair

Other documents before the session

FCCC/AWGLCA/2009/4 (Parts I and II)	Fulfilment of the Bali Action Plan and components of the agreed outcome. Note by the Chair
FCCC/AWGLCA/2009/8	Negotiating text. Note by the Chair
FCCC/AWGLCA/2009/INF.1 and Add.1	Revised negotiating text. Note by the secretariat
FCCC/AWGLCA/2009/INF.2 and Add.1 and 2	Reordering and consolidation of text in the revised negotiating text. Note by the secretariat
FCCC/AWGLCA/2008/16/Rev.1	Ideas and proposals on paragraph 1 of the Bali Action Plan. Revised note by the Chair

附件六

京都議定書特設工作小組 第十次會議報告

Report of the Ad Hoc Working Group on
Further Commitments for Annex I Parties
under the Kyoto Protocol on its tenth
session, held in Copenhagen
from 7 to 15 December 2009



AD HOC WORKING GROUP ON FURTHER COMMITMENTS
FOR ANNEX I PARTIES UNDER THE KYOTO PROTOCOL

**Report of the Ad Hoc Working Group on Further Commitments
for Annex I Parties under the Kyoto Protocol on its tenth session,
held in Copenhagen from 7 to 15 December 2009**

CONTENTS

	<i>Paragraphs</i>	<i>Page</i>
I. OPENING OF THE SESSION (Agenda item 1).....	1–2	3
II. ORGANIZATIONAL MATTERS (Agenda item 2).....	3–6	3
A. Adoption of the agenda	3–4	3
B. Organization of the work of the session.....	5–6	3
III. CONSIDERATION OF FURTHER COMMITMENTS FOR ANNEX I PARTIES UNDER THE KYOTO PROTOCOL (Agenda item 3).....	7–10	4
IV. REPORT OF THE AD HOC WORKING GROUP ON FURTHER COMMITMENTS FOR ANNEX I PARTIES UNDER THE KYOTO PROTOCOL TO THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE KYOTO PROTOCOL AT ITS FIFTH SESSION (Agenda item 4).....	11–17	4
V. OTHER MATTERS (Agenda item 5).....	18	5
VI. REPORT ON THE SESSION (Agenda item 6).....	19	5
VII. CLOSURE OF THE SESSION	20	5

Annexes

I.	Annex I	6
II.	Documents prepared for the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol at its tenth session	47

I. Opening of the session

(Agenda item 1)

1. The tenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP) was held at the Bella Center in Copenhagen, Denmark, from 7 to 15 December 2009.
2. The Chair of the AWG-KP, Mr. John Ashe (Antigua and Barbuda), opened the session and welcomed all Parties and observers. He welcomed Mr. Harald Dovland (Norway) as Vice-Chair of the AWG-KP and Mr. Miroslav Spasojevic (Serbia) as Rapporteur, and expressed his appreciation to the Government of Denmark for hosting the meeting. The Chair reminded delegates that the AWG-KP was expected to forward to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its fifth session the results of the work of the AWG-KP, with a view to their adoption.

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda item 2 (a))

3. At its 1st meeting, on 7 December, the AWG-KP considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/KP/AWG/2009/15).
4. At the same meeting, the agenda was adopted as follows:
 1. Opening of the session.
 2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session.
 3. Consideration of further commitments for Annex I Parties under the Kyoto Protocol.
 4. Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifth session.
 5. Other matters.
 6. Report on the session.

B. Organization of the work of the session

(Agenda item 2 (b))

5. The AWG-KP considered this sub-item at its 1st meeting, on 7 December. The Chair made a proposal for the organization of the work of the tenth session, as outlined in the scenario note.¹ The AWG-KP agreed to the proposed organization of work.
6. At the same meeting, statements were made by representatives of six Parties, including one speaking on behalf of the Group of 77 and China, one on behalf of the European Union and its member States, one on behalf of the Umbrella Group, one on behalf of the Alliance of Small Island States, one on behalf of the least developed countries and one on behalf of the Environmental Integrity Group.

¹ FCCC/KP/AWG/2009/16.

III. Consideration of further commitments for Annex I Parties under the Kyoto Protocol

(Agenda item 3)

7. The AWG-KP considered this item at its 1st and 2nd meetings, on 7 and 15 December, respectively. It had before it documents FCCC/KP/AWG/2009/10/Rev.3, FCCC/KP/AWG/2009/10/Add.1/Rev.2, FCCC/KP/AWG/2009/10/Add.2, FCCC/KP/AWG/2009/10/Add.3/Rev.3, FCCC/KP/AWG/2009/10/Add.4/Rev.2 and FCCC/KP/AWG/2009/12/Rev.2.
8. At its 1st meeting, the AWG-KP agreed to establish four contact groups to advance the work at its tenth session, on:
- (a) Issues identified in paragraph 49 (a) and (b) of the report of the AWG-KP on its resumed sixth session,² to be co-chaired by Mr. Leon Charles (Grenada) and Ms. Gertraud Wollansky (Austria);
 - (b) Other issues identified in paragraph 49 (c) of the report of the AWG-KP on its resumed sixth session, to be chaired by the Vice-Chair of the AWG-KP, Mr. Harald Dovland (Norway);
 - (c) Consideration of information on potential environmental, economic and social consequences, including spillover effects, of tools, policies, measures and methodologies available to Annex I Parties, to be co-chaired by Mr. Mama Konaté (Mali) and Mr. Andrew Ure (Australia);
 - (d) Legal matters, to be convened as needed and co-chaired by Ms. María Andrea Albán Durán (Colombia) and Mr. Gerhard Loibl (Austria).
9. At the 2nd meeting, the Chair invited the Vice-Chair and the co-chairs to provide an oral report on the status of the work of the four contact groups. The Chair invited Parties to take stock of progress with a view to facilitating work under agenda item 4.
10. At the same meeting, statements were made by representatives of 10 Parties.

IV. Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifth session

(Agenda item 4)

1. Proceedings

11. The AWG-KP considered this item at its 1st and 3rd meetings, on 7 and 15 December, respectively.
12. At its 1st meeting, the AWG-KP agreed to consider the agenda item in a contact group to be chaired by the Chair of the AWG-KP.
13. At the 3rd meeting, the Chair reported on the work of the contact group referred to in paragraph 12 above. Statements were made by representatives of two Parties.
14. At the same meeting, the AWG-KP considered and adopted conclusions³ proposed by the Chair.

² FCCC/KP/AWG/2008/8.

³ Adopted as document FCCC/KP/AWG/2009/L.15.

2. Conclusions

15. The AWG-KP agreed to forward the report on its tenth session, including the draft text contained in the annex,⁴ to the CMP for consideration at its fifth session.
16. The AWG-KP agreed that the draft text would benefit from additional work on the unresolved issues.
17. The AWG-KP recommends to the CMP that consideration be given on how to proceed with the further consideration of the draft text.

V. Other matters

(Agenda item 5)

18. No other matters were raised or considered.

VI. Report on the session

(Agenda item 6)

19. At its 3rd meeting, on 15 December, the AWG-KP considered the draft report on its tenth session (FCCC/KP/AWG/2009/L.14). At the same meeting, on a proposal by the Chair, the AWG-KP authorized the Vice-Chair (also serving as the Rapporteur at the 3rd meeting) to complete the report on the session, under the guidance of the Chair and with the assistance of the secretariat.

VII. Closure of the session

20. At the 3rd meeting, the Chair thanked the Vice-Chair and the Rapporteur for their work and thanked delegates for their contributions. Statements were made by representatives of three Parties. Statements were also made on behalf of the environmental non-governmental organizations (NGOs), the business and industry NGOs, the farmers NGOs, the trade union NGOs, the women and gender NGOs and the youth.

⁴ See annex I.

Annex I

[Draft decision -/CMP.5

Amendments to the Kyoto Protocol pursuant to its Article 3, paragraph 9

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling Article 3, paragraph 9, and Articles 20 and 21 of the Kyoto Protocol,

Also recalling decisions 1/CMP.1 and 3/CMP.4,

Having considered the proposals for amendments to the Kyoto Protocol submitted under Articles 20 and 21 of the Kyoto Protocol,¹

Noting the reports of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its sessions to date and the oral report by the Chair to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifth session,

Taking into account the proposed amendments to the Kyoto Protocol contained in the annex to the report of the tenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol,²

Noting that Parties listed in the table contained in section A of the annex to this decision have provided, in accordance with Article 21, paragraph 7, of the Kyoto Protocol, their written consent to the adoption of an amendment to Annex B to the Kyoto Protocol,

1. *Adopts the amendments to the Kyoto Protocol as contained in the annex to this decision;*
2. *[Decides that the provisions of the amendments contained in the annex to this decision shall apply to all Parties immediately upon the conclusion of the first commitment period under Article 3, paragraph 1, of the Kyoto Protocol, and shall continue to apply on a provisional basis until the entry into force of the amendments for each Party;*
- 3.] *Invites Parties to deposit their instruments of acceptance in respect of the amendments contained in the annex to this decision, in accordance with Article 20, paragraph 4, with a view to ensuring that there is no gap between the first and second commitment periods;*

[[3][4]. Requests the Subsidiary Body for Implementation to assess the implications of the carry-over of assigned amount units to the second commitment period on the scale of emission reductions to be achieved by Annex I Parties in aggregate for the second commitment period;

[4][5]. Also requests the Subsidiary Body for Implementation to recommend, at its thirty-third session, appropriate actions to be taken by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to address the implications referred to in paragraph [3][4] above, for adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its sixth session.]]

¹ Documents FCCC/KP/CMP/2009/2 to FCCC/KP/CMP/2009/13.

² FCCC/KP/CMP/2009/X.

ANNEX

A. Annex B

Option 1

The following table shall replace the table in Annex B to the Protocol:

Annex B

Party	Quantified emission limitation or reduction commitment (2008–2012) (percentage of base year or period)	Quantified emission limitation or reduction commitment ([2013–2017] [2013–2020]) (percentage of base year or period)		[(2013–2017)[2020]] [Percentage of reference year ((X ₁)[2000])]	[(2013–2017)[2020]] [Percentage of reference year (X ₂)]
		Quantified emission limitation or reduction commitment	[Base year]		
Australia	108				
Austria	92				
Belarus ^{a*}	92				
Belgium	92				
Bulgaria [*]	92				
Canada	94				
Croatia ^{b*}	95				
Czech Republic [*]	92				
Denmark	92				
Estonia [*]	92				
European Community ⁺	92 ^c		^d		
Finland	92				
France	92				
Germany	92				
Greece	92				
Hungary [*]	94				
Iceland	110				
Ireland	92				
Italy	92				
Japan	94				
Kazakhstan ^{e*}	100				
Latvia [*]	92				

Table (continued)

Party	Quantified emission limitation or reduction commitment (2008–2012) (percentage of base year or period)	Quantified emission limitation or reduction commitment ([2013–2017] [2013–2020]) (percentage of base year or period)		[(2013–2017)[2020]] [Percentage of reference year ((X ₁)[2000])]	[(2013–2017)[2020]] [Percentage of reference year (X ₂)]
		Quantified emission limitation or reduction commitment	[Base year]		
Liechtenstein	92				
Lithuania [*]	92				
Luxembourg	92				
Malta ^f					
Monaco	92				
Netherlands	92				
New Zealand	100				
Norway	101				
Poland [*]	94				
Portugal	92				
Romania [*]	92				
Russian Federation [*]	100				
Slovakia [*]	92				
Slovenia [*]	92				
Spain	92				
Sweden	92				
Switzerland	92				
Ukraine [*]	100				
United Kingdom of Great Britain and Northern Ireland	92				
United States of America ^g	93				

⁺ As of 1 December 2009 the European Union replaces and succeeds the European Community.

^{*} Countries that are undergoing the process of transition to a market economy.

Notes

^a Added to Annex B by an amendment adopted pursuant to decision 10/CMP.2. This amendment has not yet entered into force.

^b Temporary target for Croatia, including decision 7/CP.12. Upon the accession of Croatia to the European Union, the Croatian target shall be replaced by arrangement in line with and part of the European Union mitigation effort.

^c Quantified emission limitation or reduction commitment of the European Community and its member States in the first commitment period. Upon deposit of its instrument of approval to the Kyoto Protocol on 31 May 2002, the European Community had 15 member States.

^d Quantified emission limitation reduction commitment of the European Union and its member States in the second commitment period. Upon deposit of its instrument of acceptance of the amendment to Annex B to the Kyoto Protocol on [date], the European Union had 27 member States.

^e Kazakhstan has submitted a proposal to amend the Kyoto Protocol to include its name in Annex B with a quantified emission limitation and reduction commitment of 100 per cent for the first commitment period.

^f Malta has requested that it be included in Annex I to the Convention by submitting a proposed amendment to that effect (document FCCC/CP/2009/2).

^g Countries that have not ratified the Kyoto Protocol.

Option 2

The following table shall replace the table in Annex B to the Protocol:

Annex B

Party	Quantified emission limitation or reduction commitment (2008–2012) (percentage of base year or period)	Quantified domestic emission reduction commitment (2013–2017) (percentage of base year or period) {i.e. minimum reductions required domestically}	Quantified emission reduction commitment (2013–2017) (percentage of base year or period) {i.e. total reductions required, based on historical responsibility and needs of developing countries}
Australia	108		
Austria	92		
[...other Annex I Parties]			
United States of America	93		
Total		[51]	[XX]

[Option A**B. Article 3, paragraph 1 and paragraph 1 bis***Option 1*

The following paragraph shall be inserted after paragraph 1 of Article 3 of the Protocol:

1 bis. The Parties included in Annex I shall, individually or jointly, ensure that their aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A do not exceed their assigned amounts, calculated pursuant to their quantified emission limitation and reduction commitments inscribed in the third column of the table contained in Annex B and in accordance with the provisions of this Article, with a view to reducing their overall [domestic] emissions of such gases

Option 1.1: by at least [X][49][15] [per cent] [QELRO] below 1990 levels in the commitment period 2013 to [2017][2020]

Option 1.2: by 33 per cent below 1990 levels in the commitment period 2013 to 2017 toward the aim of reducing overall emissions of such gases by at least 45 per cent from 1990 levels by 2020.

Option 1.3: by at least 95 per cent below 1990 levels by 2050 through the reduction of greenhouse gases from sources and removals by sinks. This shall be achieved during subsequent periods by the end of 2050.

Option 1.4: by at least [30][[at least] 45][X] per cent below 1990 levels by 2020
[and by 80 to [more than][at least] 95 per cent below 1990 levels by 2050]
[and by 80 per cent or more by 2050 compared to 1990 or more recent years]

Option 2

(would apply only if option 2 in section A above is chosen)

Paragraph 1 of Article 3 of the Protocol shall be deleted and replaced by the following paragraph:

1. The Parties included in Annex I shall, individually or jointly, ensure that their aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A do not exceed their total assigned amounts, calculated pursuant to their quantified emission reduction commitments inscribed in Annex B and determined by applying the principle of historical responsibility/debt and addressing the needs of developing countries³ in accordance with the provisions of this Article, with a view to ensuring a fair allocation of the global atmospheric space to all Parties.

The following paragraph shall be inserted after paragraph 1 of Article 3 of the Protocol:

³ In determining the commitments in this Article, the following criteria are taken into account in order to ensure consistency with the ultimate objective of the Convention and the principles of equity and common but differentiated responsibilities and respective capabilities:

- (a) Responsibility of Annex I Parties, individually and jointly, for current atmospheric concentrations of greenhouse gases;
- (b) The historical and current per-capita emissions originating in developed countries;
- (c) Technological, financial and institutional capacities; and
- (d) The share of global emissions required by developing countries in order to meet their social and economic development needs, to eradicate poverty and to achieve the right to development.

Fulfillment by Annex I Parties of the commitments in paragraph 1 of this Article constitutes a contribution to the repayment of emissions debts reflecting excessive consumption of shared atmospheric space and the needs of developing countries.

1 bis. In fulfillment of their obligations under Article 3, paragraph 1, the Parties included in Annex I shall, individually or jointly, ensure that their aggregate anthropogenic carbon dioxide equivalent emissions from [domestic] sources of the greenhouse gases listed in Annex A do not exceed their assigned [domestic] amounts, calculated pursuant to their quantified [domestic] emission reduction commitments inscribed in Annex B and in accordance with the provisions of this Article, with a view to reducing their overall [domestic] emissions of such gases by [more than][at least] [49] per cent below 1990 levels in the commitment period 2013 to 2017.⁴

C. Article 3, paragraph 7 bis

The following paragraph shall be inserted after paragraph 7 of Article 3 of the Protocol:

7 bis. In the second quantified emission limitation and reduction commitment period, from [2013 to 2017][2013 to 2020], the assigned amount for each Party included in Annex I shall be equal to the percentage inscribed for it in the third column of the table contained in Annex B of its aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A in 1990, or the base year or period determined in accordance with paragraph 5 above, multiplied by [five][eight]. [Those Parties included in Annex I for whom land-use change and forestry constituted a net source of greenhouse gas emissions in 1990 shall include in their 1990 emissions base year or period the aggregate anthropogenic carbon dioxide equivalent emissions by sources minus removals by sinks in 1990 from land-use change for the purposes of calculating their assigned amount.]

D. Article 3, paragraph 9 bis

In paragraph 9 of Article 3 of the Protocol, for the words:

the consideration of such commitments

there shall be substituted:

the consideration of commitments for the second commitment period

The following paragraph shall be inserted after paragraph 9 of Article 3 of the Protocol:

9 bis. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall initiate the consideration of commitments for the third and subsequent commitment periods at least [[five][seven] years before the end of the commitment period that immediately precedes the commitment period under consideration][seven years before the end of any commitment period].

E. Article 4, paragraph 2

The following words shall be added to the end of the first sentence of paragraph 2 of Article 4 of the Protocol:

, or on the date of deposit of their instruments of acceptance of any amendments to Annex B pursuant to Article 3, paragraph 9 and paragraph 9 bis

⁴ A Party included in Annex I may, with the agreement of other Parties, meet the difference between its total and domestic assigned amounts under Article 3, paragraph 1, through the financial mechanism operating under the authority and guidance of the Conference of Parties, in the context of their obligation to provide the agreed full incremental costs under the Convention.

F. Article 4, paragraph 3

Option 1

In paragraph 3 of Article 4 of the Protocol, for the words:

the commitment period specified in Article 3, paragraph 7

there shall be substituted:

any commitment period established by the Conference of the Parties serving as the meeting of the Parties to this Protocol

Option 2

In paragraph 3 of Article 4 of the Protocol, for the words:

, paragraph 7

there shall be substituted:

to which it relates]

[Option B**B. Article 3, paragraph 1 and paragraph 1 bis***Option 1*

The following paragraph shall be inserted after paragraph 1 of Article 3 of the Protocol:

1 bis. The Parties included in Annex I shall, individually or jointly, ensure that their aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A do not exceed their assigned amounts, calculated pursuant to their quantified emission limitation and reduction commitments inscribed in the third column of the table contained in Annex B and in accordance with the provisions of this Article, with a view to reducing their overall [domestic] emissions of such gases

Option 1.1: by at least [X][49][15] [per cent] [QELRO] below 1990 levels in the commitment period 2013 to [2017][2020]

Option 1.2: by 33 per cent below 1990 levels in the commitment period 2013 to 2017 toward the aim of reducing overall emissions of such gases by at least 45 per cent from 1990 levels by 2020.

Option 1.3: by at least 95 per cent below 1990 levels by 2050 through the reduction of greenhouse gases from sources and removals by sinks. This shall be achieved during subsequent periods by the end of 2050.

Option 1.4: by at least [30][[at least] 45][X] per cent below 1990 levels by 2020
[and by 80 to [more than][at least] 95 per cent below 1990 levels by 2050]
[and by 80 per cent or more by 2050 compared to 1990 or more recent years]

Option 2

(would apply only if option 2 in section A above is chosen)

Paragraph 1 of Article 3 of the Protocol shall be deleted and replaced by the following paragraph:

1. The Parties included in Annex I shall, individually or jointly, ensure that their aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A do not exceed their total assigned amounts, calculated pursuant to their quantified emission reduction commitments inscribed in Annex B and determined by applying the principle of historical responsibility/debt and addressing the needs of developing countries⁵ in accordance with the provisions of this Article, with a view to ensuring a fair allocation of the global atmospheric space to all Parties.

⁵ In determining the commitments in this Article, the following criteria are taken into account in order to ensure consistency with the ultimate objective of the Convention and the principles of equity and common but differentiated responsibilities and respective capabilities:

- (a) Responsibility of Annex I Parties, individually and jointly, for current atmospheric concentrations of greenhouse gases;
- (b) The historical and current per-capita emissions originating in developed countries;
- (c) Technological, financial and institutional capacities; and
- (d) The share of global emissions required by developing countries in order to meet their social and economic development needs, to eradicate poverty and to achieve the right to development.

Fulfillment by Annex I Parties of the commitments in paragraph 1 of this Article constitutes a contribution to the repayment of emissions debts reflecting excessive consumption of shared atmospheric space and the needs of developing countries.

The following paragraph shall be inserted after paragraph 1 of Article 3 of the Protocol:

1 bis. In fulfillment of their obligations under Article 3, paragraph 1, the Parties included in Annex I shall, individually or jointly, ensure that their aggregate anthropogenic carbon dioxide equivalent emissions from [domestic] sources of the greenhouse gases listed in Annex A do not exceed their assigned [domestic] amounts, calculated pursuant to their quantified [domestic] emission reduction commitments inscribed in Annex B and in accordance with the provisions of this Article, with a view to reducing their overall [domestic] emissions of such gases by [more than][at least] [49] per cent below 1990 levels in the commitment period 2013 to 2017.⁶

C. Article 3, paragraph 1 ter

The following paragraph shall be inserted after paragraph 1 bis of Article 3 of the Protocol:

1 ter. Paragraph 1 bis above shall only apply on the ninetieth day after the date (being a date after the entry into force of the [Agreement]⁷) on which:

- (a) not less than [X] Parties to the Convention have deposited their instruments of acceptance relating to the amendments establishing the commitment period 2013 to 20XX under this Protocol in accordance with Article 20, paragraph 4 or 5, of this Protocol, or deposited their instrument of ratification, acceptance, approval or accession to the [Agreement]; and
- (b) those Parties in subparagraph (a) incorporate Parties to the Convention that:
 - (i) accounted collectively for at least [X] per cent of the total [cumulative] anthropogenic carbon dioxide equivalent emissions of the greenhouse gases for [year] of the Parties to the Convention; and
 - (ii) have each inscribed quantifiable mitigation commitments or actions in either Annex B of this Protocol or Annex A of the [Agreement].

D. Article 3, paragraph 1 quater

The following paragraph shall be inserted after paragraph 1 ter of Article 3 of the Protocol:

1 quater. For the purposes of paragraph 1 ter above, “the total anthropogenic carbon dioxide equivalent emissions of the greenhouse gases for [year] of the Parties to the Convention” means the amount communicated for the year [X] or nearest year reported in their national communications submitted in accordance with Article 12 of the Convention.

E. Article 3, paragraph 1 quinquies

The following paragraph shall be inserted after paragraph 1 quater of Article 3 of the Protocol:

1 quinquies. For the purposes of this Article, any instrument deposited by a regional economic integration organization shall not be counted as additional to those deposited by States members of the organization.

F. Article 3, paragraph 7 bis

The following paragraph shall be inserted after paragraph 7 of Article 3 of the Protocol:

⁶ A Party included in Annex I may, with the agreement of other Parties, meet the difference between its total and domestic assigned amounts under Article 3, paragraph 1, through the financial mechanism operating under the authority and guidance of the Conference of Parties, in the context of their obligation to provide the agreed full incremental costs under the Convention.

⁷ Contemplates the adoption of a new agreement under the Convention.

7 bis. In the second quantified emission limitation and reduction commitment period, from [2013 to 2017][2013 to 2020], the assigned amount for each Party included in Annex I shall be equal to the percentage inscribed for it in the third column of the table contained in Annex B of its aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A in 1990, or the base year or period determined in accordance with paragraph 5 above, multiplied by [five][eight]. [Those Parties included in Annex I for whom land-use change and forestry constituted a net source of greenhouse gas emissions in 1990 shall include in their 1990 emissions base year or period the aggregate anthropogenic carbon dioxide equivalent emissions by sources minus removals by sinks in 1990 from land-use change for the purposes of calculating their assigned amount.]

G. Article 3, paragraph 8 bis

The following paragraph shall be inserted after paragraph 8 of Article 3 of the Protocol:

8 bis. Any Party included in Annex I may use [1995] as its base year for hydrofluorocarbons, perfluorocarbons, sulphur hexafluoride and nitrogen trifluoride, for the purposes of the calculation referred to in paragraph 7 bis above.

H. Article 3, paragraph 9 bis

In paragraph 9 of Article 3 of the Protocol, for the words:

the consideration of such commitments

there shall be substituted:

the consideration of commitments for the second commitment period

The following paragraph shall be inserted after paragraph 9 of Article 3 of the Protocol:

9 bis. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall initiate the consideration of commitments for the third and subsequent commitment periods at least [[five][seven] years before the end of the commitment period that immediately precedes the commitment period under consideration][seven years before the end of any commitment period].

I. Article 3, paragraph 12 bis

The following paragraph shall be inserted after paragraph 12 of Article 3 of the Protocol:

12 bis. Any [names of units generated from new market mechanisms established under the Kyoto Protocol or Agreement under the Convention] which a Party acquires from another Party to the Convention in accordance with the provisions of [Article [A]]⁸and [Article [B]]⁹ shall be added to the assigned amount for the acquiring Party.

J. Article 4, paragraph 2

The following words shall be added to the end of the first sentence of paragraph 2 of Article 4 of the Protocol:

, or on the date of deposit of their instruments of acceptance of any amendments to Annex B pursuant to Article 3, paragraph 9 and paragraph 9 bis

⁸ "A" refers to the Article(s) of an Agreement under the Convention dealing with new market mechanism(s) if such mechanism(s) is (are) established under that Agreement.

⁹ "B" refers to the Article(s) of the Kyoto Protocol dealing with new market mechanism(s) if such mechanism(s) is (are) established under the Protocol.

K. Article 4, paragraph 3

Option 1

In paragraph 3 of Article 4 of the Protocol, for the words:

the commitment period specified in Article 3, paragraph 7

there shall be substituted:

any commitment period established by the Conference of the Parties serving as the meeting of the Parties to this Protocol

Option 2

In paragraph 3 of Article 4 of the Protocol, for the words:

, paragraph 7

there shall be substituted:

to which it relates

L. Article 9

Paragraphs 1 and 2 of Article 9 shall be deleted and replaced by the following paragraphs:

1. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall periodically provide for a comprehensive review of this Protocol. The review shall evaluate the adequacy of, and consider the need for strengthening the provisions of this Protocol, in particular the long-term goal for emission reductions and the [commitments under this Protocol, in order to contribute to the ultimate objective of the Convention. The review shall be conducted in the light of the best available scientific knowledge, in particular the assessments of the Intergovernmental Panel on Climate Change.] The review should be conducted in close coordination and consistent with relevant reviews under other bodies and processes of the Convention.
2. Based on the review, the Conference of the Parties serving as the meeting of the Parties to this Protocol shall take appropriate action.
3. Appropriate action may comprise, in particular, new quantified emission limitation and reduction commitments for individual Parties as well as a strengthening of existing quantified emission limitation and reduction commitments. Amendments to Annex B to this Protocol shall only be adopted with the written consent of the Party concerned. New commitments shall lead to absolute emission reductions for the respective Parties compared to [the national emission level data] available at the time of the conclusion of the review.
4. The first review according to paragraph 1 above shall start no later than 2014 and conclude no later than 2016.
5. Further reviews shall be conducted every [4] years, unless the Conference of the Parties serving as the meeting of the Parties to this Protocol decides otherwise.

Optional: Majority Voting and quick entering into force:

6. When deciding on amendments of Annex B to this Protocol in accordance with paragraph 3 above, the Parties shall make every effort to reach agreement by consensus. If all efforts at consensus have been exhausted, and no agreement reached, the amendment shall as a last resort be adopted by four-fifth majority vote of the Parties present and voting at the meeting.
7. Amendments adopted in accordance with paragraphs 3 and 5 above shall enter into force six months after the adoption unless the Conference of the Parties serving as the meeting of the Parties to this Protocol decides otherwise together with the adoption of the amendment.

M. Article 21

Paragraph 4 of Article 21, paragraph 4 shall be replaced with the following paragraph:

4. The Parties shall make every effort to reach agreement on any proposed annex or amendment to an annex by consensus. If all efforts at consensus have been exhausted, and no agreement reached, the annex or amendment to an annex other than Annex A, B [or ...] shall as a last resort be adopted by a three-fourths majority vote of the Parties present and voting at the meeting. Amendments to Annex A, B [and ...] shall be adopted by consensus and in relation to Annex B [and ...], only with the written consent of the Party concerned. The adopted annex or amendment to an annex shall be communicated by the secretariat to the Depositary, who shall circulate it to all Parties for their acceptance.

Paragraph 5 of Article 21 shall be replaced with the following paragraph:

5. An annex, or amendment to an annex other than Annex A, B [or ...], that has been adopted in accordance with paragraphs 3 and 4 above shall enter into force for all Parties to this Protocol six months after the date of the communication by the Depositary to such Parties of the adoption of the annex or adoption of the amendment to the annex, except for those Parties that have notified the Depositary, in writing, within that period of their non-acceptance of the annex or amendment to the annex. The annex or amendment to an annex shall enter into force for Parties which withdraw their notification of non-acceptance on the ninetieth day after the date on which withdrawal of such notification has been received by the Depositary.

Paragraph 7 of Article 21 shall be replaced with the following paragraph:

7. Amendments to Annexes A, B [or ...] to this Protocol shall enter into force for all Parties to this Protocol six months after the date of the communication by the Depositary to such Parties of the adoption of the annex or adoption of the amendment to the annex.

N. Annex A

The following table shall replace the list under the heading “Greenhouse gases” in Annex A to the Protocol:

GREENHOUSE GASES

Carbon dioxide (CO₂)
Methane (CH₄)
Nitrous Oxide (N₂O)
Hydrofluorocarbons (HFCs)
Perfluorocarbons (PFCs)
Sulphur hexafluoride (SF₆)
Nitrogen trifluoride (NF₃)

Draft decision -/CMP.5

Land use, land-use change and forestry

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Affirming that the implementation of land use, land-use change and forestry activities included under the provisions of the Kyoto Protocol shall be consistent with the objectives and principles of, and any decisions taken under, the Convention and its Kyoto Protocol,

Having considered decision 16/CMP.1,

1. *Affirms* that the principles contained in paragraph 1 of decision 16/CMP.1 continue to govern the treatment of land use, land-use change and forestry activities in the second and subsequent commitment periods of the Kyoto Protocol;
2. *Decides* that anthropogenic greenhouse gas emissions by sources and removals by sinks shall be accounted for in accordance with the annex to this decision;
3. *Also decides* that the information referred to in paragraph 2 above shall be reviewed in accordance with relevant decisions under Article 8 of the Kyoto Protocol;
4. *Agrees* to consider, at its [sixth] session, the need to revise decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol that are relevant to the annex contained in this decision, including those related to reporting and review under Articles 5, 7 and 8 of the Kyoto Protocol;
5. *Also agrees* that it is desirable to move towards complete coverage of managed lands when accounting for the land use, land-use change and forestry sector, while addressing technical challenges and the need to focus on accounting for anthropogenic emissions by sources and removals by sinks;
6. *Requests* the Subsidiary Body for Scientific and Technological Advice to initiate a work programme to explore ways of moving towards more comprehensive accounting of anthropogenic emissions by sources and removals by sinks from land use, land-use change and forestry, including through a more inclusive activity-based approach and a land-based approach, and to report to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its seventh session on the outcomes of this work programme;
7. [*Requests* the Subsidiary Body for Scientific and Technological Advice to provide guidance for the provision and review of transparent and verifiable data on emissions from the harvested wood products pool, taking into account emission estimation methodologies, as revised and refined by the Intergovernmental Panel on Climate Change, and the fact that the best available data for use in estimating emissions arising from wood harvested by a Party prior to 31 December 2007 [and since 1990] may be data provided in guidance issued by the Intergovernmental Panel on Climate Change;]
8. *Requests* the Subsidiary Body for Scientific and Technological Advice to initiate a work programme to consider and, as appropriate, develop and recommend modalities and procedures for possible additional land use, land-use change and forestry activities under the clean development mechanism (e.g. revegetation, forest management, cropland management, grazing land management, wetland management, soil carbon management in agriculture and other sustainable land management activities), with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its seventh session;

9. *Further requests* the Subsidiary Body for Scientific and Technological Advice to initiate a work programme to consider and, as appropriate, develop and recommend modalities and procedures for alternative approaches to addressing the risk of non-permanence under the clean development mechanism (e.g. how to take responsibility for reversals, insurance, buffers and/or credit reserves, exceptions for low-risk activities, and applying a discount factor to the total emission reductions achieved), with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its sixth session;

10. *Requests* the Subsidiary Body for Scientific and Technological Advice to consider revising the UNFCCC reporting guidelines for Annex I Parties contained in decision 6/CMP.3 for the second commitment period and the associated common reporting format tables for supplementary information related to the annex contained in the present decision with a view to forwarding a draft decision on reporting and review;

11. *Invites* the Intergovernmental Panel on Climate Change to revise and develop, as necessary, of supplementary methodologies for estimating anthropogenic greenhouse gas emissions by sources and removals by sinks resulting from land use, land-use change and forestry activities under Article 3, paragraphs 3 and 4 of the Kyoto Protocol, related to the annex to this decision, on the basis of, inter alia, chapter 4 of its *Good Practice Guidance for Land Use, Land-Use Change and Forestry*;

12. *Requests* the Subsidiary Body for Scientific and Technological Advice to consider, following the completion of methodological work by the Intergovernmental Panel on Climate Change outlined in paragraph 11 above, the revised supplementary methodologies related to the annex to this decision, with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its [xxth] session;

13. *Adopts* the definitions, modalities, rules and guidelines relating to land use, land-use change and forestry activities under the Kyoto Protocol contained in the annex to this decision for application in the second commitment period.

ANNEX

Definitions, modalities, rules and guidelines relating to land use, land-use change and forestry activities under the Kyoto Protocol**[Option A****A. Definitions**

1. For land use, land-use change and forestry activities under Article 3, paragraphs 3 and 4 of the Kyoto Protocol, the following definitions shall apply:
 - (a) “Forest” is a minimum area of land of 0.05–1.0 hectares with tree crown cover (or equivalent stocking level) of more than 10–30 per cent with trees with the potential to reach a minimum height of 2–5 metres at maturity in situ. A forest may consist of either closed forest formations where trees of various storeys and undergrowth cover a high proportion of the ground or open forest. Young natural stands and all plantations which have yet to reach a crown density of 10–30 per cent or tree height of 2–5 metres are included under forest, as are areas normally forming part of the forest area which are temporarily unstocked as a result of human intervention such as harvesting or natural causes, but which are expected to revert to forest;
 - (b) “Afforestation” is the direct human-induced conversion of land that has not been forested for a period of at least 50 years to forested land through planting, seeding and/or the human-induced promotion of natural seed sources;
 - (c) “Reforestation” is the direct human-induced conversion of non-forested land to forested land through planting, seeding and/or the human-induced promotion of natural seed sources, on land that was forested but that has been converted to non-forested land. For the second commitment period of the Kyoto Protocol, reforestation activities will be limited to reforestation occurring on those lands that did not contain forest on 31 December 1989;
 - (d) “Deforestation” is the direct human-induced conversion of forested land to non-forested land;
 - (e) “Revegetation” is a direct human-induced activity to increase carbon stocks on sites through the establishment of vegetation that covers a minimum area of 0.05 hectares and does not meet the definitions of afforestation and reforestation contained here. It includes direct human-induced activities related to emissions of greenhouse gas and/or decreases in carbon stocks on sites which have been categorized as revegetation areas and do not meet the definition of deforestation;
 - (f) “Forest management” is a system of practices for stewardship and use of forest land aimed at fulfilling relevant ecological (including biological diversity), economic and social functions of the forest, and includes emissions by sources and removals by sinks;
 - (g) “Cropland management” is the system of practices on land on which agricultural crops are grown and on land that is set aside or temporarily not being used for crop production;
 - (h) “Grazing land management” is the system of practices on land used for livestock production aimed at manipulating the amount and type of vegetation and livestock produced;

- (i) ["Wetland management" is a system of practices for rewetting and draining on land that covers a minimum area of 1 hectare. It includes all lands that have been drained and/or rewetted since 1990 and that are not accounted for under any other activity, where drainage is the artificial lowering of the soil water table and rewetting is the partial or total reversal of drainage;]
- (j) ["Planted production forest" [is a forest consisting of [introduced] species, which as at 1990 met all the following criteria: [dominated by] one or two species at plantation, even age class and regular spacing. The "planted production forest" shall have been established by direct human-induced conversion of non-forest land to forest land [or non-productive forest land to planted production forests] by the planting and/or seeding provisions of an afforestation or reforestation activity;]
- (k) ["Equivalent forest" means an area of forest that will achieve at least the same carbon stock over the same period as would have occurred had the area of harvested "planted production forest" been re-established;]
- (l) ["Force majeure" means, for the purposes of this decision, extraordinary events or circumstances, defined as those events or circumstances whose occurrence or severity was beyond the control of, and not materially influenced by, a Party [and whose associated total annual greenhouse gas emissions by sources and removals by sinks are a minimum of [X per cent][Y to 5 per cent] of the total national emissions included in the base year].

B. Article 3, paragraph 3

2. For the purposes of Article 3, paragraph 3, eligible activities are those direct human-induced afforestation, reforestation and/or deforestation activities that meet the requirements set forth in this annex and that started on or after 1 January 1990 and before 31 December of the last year of the commitment period.

3. For the purposes of determining the area of deforestation to come into the accounting system under Article 3, paragraph 3, each Party shall determine the forest area using the same spatial assessment unit as is used for the determination of afforestation and reforestation, but not larger than 1 hectare.

3 bis. [In the case of planted production forests [established before 1 January 1990 only], conversion of forest land to non-forest land shall be considered harvesting, and shall not be considered deforestation, where an equivalent forest is established elsewhere on non-forest land that would have qualified for afforestation or reforestation. Equivalent forest shall not be included in a Party's assessment of emissions and removals from afforestation and reforestation activities and must be included in a Party's accounting of forest management under Article 3, paragraph 4, if elected.]

4. [Debits arising from harvesting a unit of land that was subject to afforestation or reforestation between 1 January 1990 and 31 December 2007, and has not been harvested since, shall not be greater than the credits accounted for in total on that unit of land since 1 January 2008.]

5. Each Party included in Annex I shall report, in accordance with Article 7, on how harvesting or forest disturbance that is followed by the re-establishment of a forest is distinguished from deforestation. This information will be subject to review in accordance with Article 8.

C. Article 3, paragraph 4

6. A Party included in Annex I may choose to account for anthropogenic greenhouse gas emissions by sources and removals by sinks resulting from any or all of the following activities: [revegetation,] [forest management,] [cropland management,] [grazing land management and] [wetland management].

6 bis. [All Parties included in Annex I shall account for anthropogenic greenhouse gas emissions by sources and removals by sinks resulting from the following: any activity under Article 3, paragraph 4, elected in the first commitment period; and [revegetation,] [forest management,] [cropland management,] [grazing land management and] [wetland management].

7. [A Party included in Annex I wishing to account for activities under Article 3, paragraph 4, in the second commitment period shall identify, in its report to enable the establishment of its assigned amount pursuant to Article 3, paragraphs 7 and 8, the activities under Article 3, paragraph 4, that it elects to include in its accounting for the second commitment period. Upon election, a decision by a Party will be fixed for the second commitment period. *(Delete or revise if all or some activities are mandatory.)*]

7 bis. [Activities elected by a Party under Article 3, paragraph 4, in the first commitment period shall continue to be accounted for in the second commitment period. This accounting shall be incorporated into the calculation of its assigned amount pursuant to Article 3, paragraphs 7 and 8.]

8. During the second commitment period, a Party included in Annex I that selects any or all of the activities mentioned in paragraph 6 above (if any), in addition to those already selected for the first commitment period, shall demonstrate that such activities have occurred since 1990 and are human-induced. A Party included in Annex I shall not account for emissions by sources and removals by sinks resulting from activities under Article 3, paragraph 4, if these are already accounted for under Article 3, paragraph 3.

9. For the second commitment period, accountable anthropogenic greenhouse gas emissions by sources and removals by sinks resulting from [revegetation,] [forest management,] [cropland management,] [grazing land management,] [wetland management,] under Article 3, paragraph 4, shall be equal to anthropogenic greenhouse gas emissions by sources and removals by sinks in the commitment period, less [X] times the anthropogenic greenhouse gas emissions by sources and removals by sinks resulting from these eligible activities in the base year of that Party, while avoiding double accounting. *(Forest management would be deleted from this paragraph depending on the option adopted).*

Accounting for forest management

Option 1 (caps):

11. For the second commitment period, additions to and subtractions from the assigned amount of a Party resulting from forest management under Article 3, paragraph 4, and from forest management project activities undertaken under Article 6 shall not exceed the value inscribed in the appendix^[10], times [x].]

Option 2 (reference levels):

11. For the second commitment period, accountable anthropogenic greenhouse gas emissions by sources and removals by sinks resulting from forest management under Article 3, paragraph 4, shall be equal to anthropogenic greenhouse gas emissions by sources and removals by sinks in the commitment period, less [X] times the reference level inscribed in the appendix.¹¹

¹⁰ [In arriving at the values in the appendix, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol was guided by the application of an 85 per cent discount factor to account for the removals identified in paragraph 1 (h) of decision 16/CMP.1 and a 3 per cent cap on forest management, using a combination of data provided by Parties and by the Food and Agriculture Organization of the United Nations. Consideration was also given to national circumstances (including the degree of effort needed to meet Kyoto commitments and the forest management measures implemented). The accounting framework established in this paragraph shall not be construed as establishing any precedent for the second and subsequent commitment periods.]

¹¹ [The forest management reference levels inscribed in the appendix were set transparently, taking into account:

[11 bis. [Neither credits nor debits shall result if net removals or emissions are [between the reference level and zero] [within X per cent¹² of the reference level. In this case, credits or debits outside this range shall be generated by the difference calculated with reference to X per cent above or below the reference level according to whether the net removals or emissions are above or below.]]

11 ter. [For the second commitment period, additions to [and subtractions from] the assigned amount of a Party resulting from forest management under Article 3, paragraph 4, and from forest management project activities undertaken under Article 6 shall not exceed the quantitative limitation inscribed in the appendix, times [x].]

11 quater. [A Party may reconsider its reference level as inscribed in the appendix and described in paragraph 11 above upon changing the methodologies, coverage of carbon pool and/or activity data used in its accounting of emissions by sources and removals by sinks resulting from forest management for the second commitment period. Such reconsideration shall be based on the elements contained in the footnote to paragraph 11 above and be included in the national greenhouse gas inventory report of the Party. This information will be subject to review as part of the expert review of the Party's national greenhouse gas inventory in accordance with relevant decisions related to Article 8 of the Kyoto Protocol.]

D. Article 12

12. Afforestation and reforestation are eligible projects activities under the clean development mechanism in the second commitment period. Activities additional to afforestation and reforestation will be eligible if agreed by any future decision of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol.

13. The modalities and procedures contained in decision 5/CMP.1 for afforestation and reforestation project activities under the clean development mechanism, and in decision 6/CMP.1 for small-scale afforestation and reforestation project activities under the clean development mechanism, shall apply, mutatis mutandis, to the second commitment period. Alternative approaches to addressing the risk of non-permanence may apply in accordance with any future decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol.

14. For the second commitment period, the total of additions to a Party's assigned amount resulting from afforestation and reforestation project activities under Article 12 shall not exceed one per cent of base year emissions of that Party, times [X].

E. General

15. Each Party included in Annex I shall, for the purpose of applying the definition of "forest" as contained in paragraph 1 (a) above, apply the definition of forest selected in the first commitment period.

-
- (a) Removals or emissions from forest management as shown in greenhouse gas inventories and relevant historical data;
 - (b) Age-class structure;
 - (c) Forest management activities already undertaken;
 - (d) Projected forest management activities;
 - (e) Continuity with the treatment of forest management in the first commitment period;
 - (f) The need to exclude removals in accordance with decision 16/CMP.1, paragraph 1 (h).

Points (c), (d) and (e) above were applied where relevant.

[The forest management reference levels also took into account the need for consistency with the provisions for addressing force majeure contained in paragraphs 19 bis to 19 septies by excluding emissions by sources and removals by sinks due to force majeure.]

¹² "X per cent" refers to a percentage of the reference level. It assumes the same value would apply for all Parties.

16. Those Parties included in Annex I that did not select a definition of forest for the first commitment period shall, for the purpose of applying the definition of “forest” as contained in paragraph 1 (a) above, select a single minimum tree crown cover value of between 10 and 30 per cent, a single minimum land area value of between 0.05 and 1 hectare and a single minimum tree height value of between 2 and 5 metres.

17. For the second commitment period, and subject to other provisions in this annex, the additions to and subtractions from the assigned amount of a Party pursuant to Article 3, paragraphs 7 and 8, shall be equal to anthropogenic greenhouse gas emissions by sources and removals by sinks measured as verifiable changes in carbon stocks, and non-carbon dioxide greenhouse gas emissions during the period [1 January 2013] to [31 December [YY]] resulting from afforestation, reforestation and deforestation under Article 3, paragraph 3, [and forest management under Article 3, paragraph 4,] that have taken place since 1 January 1990. Where the result of this calculation is a net sink of greenhouse gases, this value shall be added to the assigned amount of that Party. Where the result of this calculation is a net source of greenhouse gas emissions, this value shall be subtracted from the assigned amount of that Party. *(This paragraph may need to be revised in light of decisions on forest management.)*

18. Accounting of anthropogenic greenhouse gas emissions by sources and removals by sinks resulting from land use, land-use change and forestry activities under Article 3, paragraphs 3 and 4, shall begin with the onset of the activity or the beginning of the commitment period, whichever comes later.

19. Once land is accounted for under Article 3, paragraphs 3 and 4, all anthropogenic greenhouse gas emissions by sources and removals by sinks on this land must be accounted for throughout subsequent and contiguous commitment periods.

Force majeure

[Option 1: *delete section on Force Majeure*]

[Option 2: *(paragraphs 19 bis through 19 septies)*]

19 bis. Each Party shall, for the purposes of applying the definition of force majeure, select a single minimum value for total annual greenhouse gas emissions by sources and removals by sinks in the range [Y to 5 per cent] of the total national emissions included in the base year. The selection made by the Party shall be fixed for the duration of the [commitment period]. Each Party shall explain why and how the value was chosen.]

19 ter. Where force majeure has occurred during the second or subsequent commitment periods affecting carbon stocks on lands subject to Article 3, paragraph 3, and[, if elected,] land subject to activities under Article 3, paragraph 4, a Party included in Annex I may, at the end of the commitment period, or annually during the commitment period, [exclude from accounting the associated total annual [CO₂] [greenhouse gas emissions] until they have been balanced by subsequent removals], [or] [carry over the associated [CO₂] [greenhouse gas emissions] to the subsequent commitment period] provided that no land-use change has occurred on those lands. Emissions associated with the harvesting of salvage wood shall not be [excluded] [or] [carried over].

19 quater. A Party included in Annex I that applies the provisions of force majeure shall calculate the emissions and removals subject to the provisions contained in paragraph 19 bis above, showing that these emissions and removals comply with the definition of force majeure, and provide information:¹³

- (a) Showing that all lands subject to the provisions contained in paragraph 19 ter above are identified, including the geo-referenced location, year and type of force majeure;

¹³ Not all of the information listed below may be needed in the case of carry-over.

- (b) Showing that no land-use change has occurred on lands subject to the provisions contained in paragraph 19 ter above and describing how lands monitoring will identify any future land-use changes on those lands;
- (c) That demonstrates that the occurrence or severity of the events or circumstances was beyond the control of, and not materially influenced by, the Party, by demonstrating efforts to manage or control, where practicable, the events or circumstances that led to the application of the provisions contained in paragraph 19 ter above;
- (d) That demonstrates efforts taken to rehabilitate, where practicable, the carbon stocks on the lands subject to the provisions contained in paragraph 19 ter above;
- (e) Describing the system in place to ensure the monitoring and reporting of emissions and subsequent removals occurring on lands subject to the provisions contained in paragraph 19 ter above;
- (f) That demonstrates that removals by sinks on lands after force majeure has occurred do not enter the accounting until they equal the [CO₂][greenhouse gas] emissions excluded owing to force majeure;
- (g) That demonstrates consistency with the treatment of force majeure in reference levels established for forest management;
- (h) Showing that emissions associated with the harvesting of salvaged wood were not [excluded] [or] [carried over].

19 quinquies. The supplementary information described in paragraph 19 quater above shall be included in the national greenhouse gas inventory reports of Parties. Actual emissions and removals and those described in paragraph 19 quater above shall be included in the common reporting format tables provided by Parties. All information and estimates referred to in paragraph 19 quater above will be subject to expert review as part of the expert review of the national greenhouse gas inventory reports submitted by Parties.

19 sexies. [Parties included in Annex I must ensure that their reporting continues to provide estimates of emissions by sources and removals by sinks until the greenhouse gas emissions due to force majeure have been balanced by subsequent removals, and ensure unbiased accounting by maintaining consistency with the treatment of reference levels established for forest management.]¹⁴

19 septies. The lands subject to force majeure must re-enter the accounting when the excluded greenhouse gas emissions and subsequent removals have been balanced on those lands.]

20. National inventory systems established under Article 5, paragraph 1, shall ensure that information on the areas of land subject to land use, land-use change and forestry activities under Article 3, paragraphs 3 and 4, are identifiable, and information on these areas shall be provided by each Party included in Annex I in their national inventories in accordance with Article 7. Such information will be reviewed in accordance with Article 8.

21. Each Party included in Annex I shall account for all changes in the following carbon pools: above-ground biomass, below-ground biomass, litter, dead wood, [and] soil organic carbon [and harvested wood products]. A Party may choose not to account for a given pool in a commitment period, if transparent and verifiable information is provided that demonstrates that the pool is not a source.

21 bis. [When accounting for greenhouse gas emissions by sources and removals by sinks, Parties included in Annex I may remove the impacts of inter-annual variability.]

Harvested wood products

¹⁴ This may not be needed in the case of carry-over.

[Option 1: *Delete section on Harvested Wood Products.*]

[Option 2: *(paragraphs 21 ter through 21 novies)*]

21 ter. Emissions from carbon in wood removed from forests accounted for under Article 3 shall be accounted for by the producing country, as a default, on the basis of instantaneous oxidation, or on the basis of estimates of when emissions occur, provided that verifiable and transparent data are available. Accounting¹⁵ shall be confined to harvested wood products¹⁶ originating from harvested forest for which emissions and removals have been included in the accounting of the Party.

21 quater. Emissions from carbon in wood removed from forests accounted for under Article 12 shall be accounted, as a default, on the basis of instantaneous oxidation, or on the basis of estimates of when emissions occur, provided that verifiable and transparent data are available. Accounting shall be confined to harvested wood products originating from harvested forest for which emissions and removals have been included in the accounting of the afforestation/reforestation project activity.

21 quinquies. Accounting may be on the basis of when emissions occur for the domestically produced and consumed harvested wood products pool only, and may also be on the basis of when emissions occur for the exported harvested wood products pool.

21 sexies. Estimates of net emissions from harvested wood products shall specify product categories and the underlying assumptions used for both domestic and export markets.

21 septies. When a Party accounts for exported harvested wood products on the basis of when emissions occur, estimates shall be reported separately for each country to which the harvested wood products are exported, using nationally specific data on the fate of the wood in the importing country.

21 octies. Emissions from harvested wood products in solid waste disposals sites shall be accounted for on the basis of instantaneous oxidation.

[21 novies. Emissions that occur during the commitment period¹⁷ from the harvested wood pool arising from wood harvested by the Party prior to 31 December 2007 [and since 1990] shall also be accounted for, using the same procedure as above and in line with the latest Intergovernmental Panel on Climate Change guidance, approved by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol.]

21 decies. Parties included in Annex I shall maintain consistency in the treatment of harvested wood products in the reference level and in the commitment period, and in order to do so shall make an accounting adjustment if necessary, and shall report on how the adjustment was made.]]

¹⁵ Where a ratio is applied for accounting of emissions and removals from forest management, it shall also apply to the harvested products pool (*will be further elaborated in the text pending on the accounting rules to be agreed*).

¹⁶ Definitions and classifications of wood products provided by the Food and Agriculture Organization of the United Nations shall apply.

¹⁷ Noting that emissions from harvested wood products originating from harvests accounted for under Article 3, paragraph 3, and for some parts of Article 3, paragraph 4, (for those Parties that elected forest management) over the period 2008 to 2012 have already been accounted for on the basis of instantaneous oxidation of carbon in harvested wood products.

[APPENDIX (*Option 1, paragraph 11*)]

Party	Mt C/yr^a
Australia	0.00
Austria	0.63
Belarus	[0.00]
Belgium	0.03
Bulgaria	0.37
Canada	12.00
Croatia	0.265
Czech Republic	0.32
Denmark	0.05
Estonia	0.10
Finland	0.16
France	0.88
Germany	1.24
Greece	0.09
Hungary	0.29
Iceland	0.00
Ireland	0.05
Italy	2.78 ^b
Japan	13.00
Latvia	0.34
Liechtenstein	0.01
Luxembourg	0.01
Monaco	0.00
Netherlands	0.01
New Zealand	0.20
Norway	0.40
Poland	0.82
Portugal	0.22
Romania	1.10
Russian Federation	33.00
Slovakia	0.50
Slovenia	0.36
Spain	0.67
Sweden	0.58
Switzerland	0.50
Ukraine	1.11
United Kingdom	0.37

^a As listed in the appendix to decision 16/CMP.1.^b This figure was changed from 0.18 to 2.78 by decision 8/CMP.2.

[APPENDIX (*Option 2, paragraphs 11–11bis*)]

Party	Reference level (Mt CO₂e/yr)	[Quantitative limitation]
Australia	[-9.16]	
Austria	[-1.52]	
Belarus	[-24.93]	
Belgium	[-3.15]	
Bulgaria	[-6.49]	
Canada	[-105.40]	
Croatia	[xx]	
Cyprus ^a	[-0.18]	
Czech Republic	[-3.99]	
Denmark	[0.32]	
Estonia	[-0.74]	
European Union (27)	[-286]	
Finland	[-13.70]	
France	[-50.98]	
Germany	[0.85]	
Greece	[-3.08]	
Hungary	[-1.25]	
Iceland	[xx]	
Ireland	[-0.09]	
Italy	[-53.45]	
Japan	[0.00]	
Latvia	[-26.03]	
Liechtenstein	[xx]	
Lithuania	[-6.34]	
Luxembourg	[-0.26]	
Malta ^a	[-0.05]	
Monaco	[xx]	
Netherlands	[-1.84]	
New Zealand	[17.05]	
Norway	[-14.20]	
Poland	[-34.01]	
Portugal	[-0.28]	
Romania	[-30.26]	
Russian Federation	[-177.80]	
Slovakia	[-2.15]	
Slovenia	[-2.71]	
Spain	[-19.37]	
Sweden	[-21.84]	
Switzerland	[-1.11]	
Ukraine	[xx]	
United Kingdom	[-3.44]	

^a Cyprus and Malta are member States of the European Union but are not Parties to the Convention that are also Parties to the Kyoto Protocol with a commitment inscribed in Annex B to the Kyoto Protocol.

[Option B

A. Definitions

(Definitions of afforestation and reforestation moved to decision 5/CMP.1)

1. The following definitions shall apply:

- (a) “Forest” is a minimum area of land of 0.05–1.0 hectares with tree crown cover (or equivalent stocking level) of more than 10–30 per cent with trees with the potential to reach a minimum height of 2–5 metres at maturity in situ. A forest may consist of either closed forest formations where trees of various storeys and undergrowth cover a high proportion of the ground or open forest. Young natural stands and all plantations which have yet to reach a crown density of 10–30 per cent or tree height of 2–5 metres are included under forest, as are areas normally forming part of the forest area which are temporarily unstocked as a result of human intervention such as harvesting or natural causes but which are expected to revert to forest;
- (b) “Forest land” includes all land with woody vegetation which falls under the definition of forest;
- (c) “Cropland” includes all arable and tillage land as well as agroforestry systems which do not fall under the category of forest land;
- (d) “Grassland” includes [all] rangeland and pasture land as well as agroforestry systems which do not fall under the categories of forest land and cropland;
- (e) “Wetlands” includes land that is covered or saturated by water for all or part of the year, such as peatland, and which does not fall under the forest land, cropland, grassland or settlements categories;
- (f) “Settlements” includes all developed land, including transportation infrastructure and human settlements of any size, which does not fall under the forest land, cropland, grassland or wetlands categories;
- (g) “Other land” includes bare soil, rock, ice and all land areas which do not fall under the forest land, cropland, grassland, wetlands or settlements categories.
- [h) Option 1: “Force majeure” means, for the purposes of this decision, an extraordinary event or circumstances beyond the control of Parties.

Option 2: “Expected net emissions” is the algebraic sum of anthropogenic emissions by sources and removals by sinks of the greenhouse gases listed in Annex A to the Kyoto Protocol from the sectors which are expected to be accounted for during the relevant commitment period; it is expressed in gigagrams of carbon dioxide equivalent.]

B. Accounting rules for greenhouse gas emissions and removals

2. Option 1: For the purpose of accounting greenhouse gas emissions and removals from land use, land-use change and forestry, a Party shall account for anthropogenic greenhouse gas emissions by sources and removals by sinks on forest land, cropland, grassland, wetlands and settlements as well as greenhouse gas emissions by sources and removals by sinks resulting from land-use changes from the land-use categories forest land, cropland, grassland, wetlands or settlements to any other land-use category.

Option 2: For the purpose of accounting greenhouse gas emissions and removals from land use, land-use change and forestry, a Party shall account for those anthropogenic greenhouse gas emissions by sources and removals by sinks [on forest land and] from land-use changes occurring from the forest land category to other land-use categories and vice versa, and [for the second commitment period [only]] may account for those anthropogenic greenhouse gas emissions by sources and removals by sinks on [forest land,] cropland, grassland, wetlands and settlements as well as greenhouse gas emissions by sources and removals by sinks resulting from land-use changes occurring from cropland, grassland, wetlands or settlements to any other land-use category.

[Option 2 addendum: Where anthropogenic greenhouse gas emissions by sources and removals by sinks on forest land are not accounted for, the accounted anthropogenic greenhouse gas emissions by sources and removals by sinks from the land use, land-use change and forestry sector shall be adjusted for the displaced emissions. Displaced emissions are the anthropogenic greenhouse gas emissions by sources that occur on forest lands and are the consequence of reductions in emissions reported under an accounted category, as in the case of biomass fuel combustion in the energy sector.

A similar provision shall be included under Option A of this annex to cope with no or partial accounting of forest land: Where anthropogenic greenhouse gas emissions by sources and removals by sinks on forest land are not completely accounted for because either no election of forest management has taken place or the forest management activity does not cover the whole national area of forest land, anthropogenic emissions by sources and removals by sinks from land use, land-use change and forestry activities shall be adjusted for displacement of emissions. Displaced emissions are the anthropogenic greenhouse gas emissions by sources which occur on forest land and are the consequence of a reduction in emissions reported under an accounted category, as in the case of biomass fuel combustion in the energy sector.]

3. Anthropogenic greenhouse gas emissions and removals from land use, land-use change and forestry shall be estimated using the guidance provided in the *2006 IPCC Guidelines for National Greenhouse Gas Inventories* or any further guidelines for greenhouse gas inventories adopted by [the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol] [Parties] for this purpose.

4. For the purpose of accounting, greenhouse gas emissions by sources and removals by sinks resulting from land use change occurring on forest land, cropland, grassland, wetland or settlement during the commitment period shall be reported under the land category to which the land has been converted.

Option 1:

5. For the second commitment period, accountable anthropogenic greenhouse gas emissions by sources and removals by sinks resulting from land use, land-use change and forestry shall be equal to the anthropogenic greenhouse gas emissions by sources and removals by sinks in the commitment period, less [[five] [X] times] the anthropogenic greenhouse gas emissions by sources and removals by sinks [that take place on [forest land], cropland, grassland, wetlands and settlements in the [base year] [base period]] [reported as the reference level] of that Party, while avoiding double accounting.

6. For the second commitment period [only], additions to and subtractions from the assigned amount of a Party¹⁸ resulting from anthropogenic greenhouse gas emissions by sources and removals by sinks occurring on forest land shall:

Option A: Be subject to the application of a [x per cent] discount factor.

Option B: Not exceed the value inscribed in the appendix below, times [five] [X].

¹⁸ In accordance with decision -/CMP.1 (“Modalities for the accounting of assigned amounts”).

Option C: (Bar approach/Reference level – text included under Option A of this annex is applied here.)

7. For the second commitment period, and subject to other provisions in this annex, the additions to and subtractions from the assigned amount of a Party pursuant to Article 3, paragraphs 7 and 8, shall be equal to the anthropogenic greenhouse gas emissions by sources and removals by sinks measured as verifiable changes in carbon stocks, and non-carbon dioxide greenhouse gas emissions during the period [1 January 2013 to] [31 December [YY]] occurring on forest land. Where the result of this calculation is a net sink of greenhouse gases, this value shall be added to the assigned amount of that Party. Where the result of this calculation is a net source of greenhouse gas emissions, this value shall be subtracted from the assigned amount of that Party. *(This paragraph may need to be revised to make it consistent with paragraphs 5 and 6 above.)*

Option 2:

5. Any Party included in Annex I should apply as the reference level for the land use, land-use change and forestry sector the aggregate carbon dioxide equivalent anthropogenic greenhouse gas emissions by sources and removals by sinks estimated for the period 20XX–20XX. Taking into account national circumstances, any Party included in Annex I may apply a different reference level for the land use, land-use change and forestry sector from that selected in Article 3, paragraph 3, (as amended)¹⁹ of the Kyoto Protocol. To do so, the Party shall submit, no later than two years before the start of the relevant commitment period, the proposed values and relevant elements in support of such a deviance. The submission should be made together with the Party's annual greenhouse gases inventory submission. Submitted data should be subject to the review procedure, and the agreed reference level should be part of the Party's annual review report on its greenhouse gas inventory.

C. Article 12

(Text included under Option A of this annex is applied here.)

D. General

8. *(Same as Option A, paragraph 16)*
9. *(Same as Option A, paragraph 19)*
10. *(Same as Option A, paragraph 20)*
11. Option 1: *(Same as Option A, paragraph 21)*

Option 2: Each Party included in Annex I shall account for all changes in the following carbon pools: above-ground biomass, below-ground biomass, litter, dead wood, soil organic carbon and harvested wood products. A Party may choose not to account for a given pool in a commitment period if transparent and verifiable information is provided to show that the exclusion of that pool does not result in discounting a debit.²⁰ *(The same text shall also be included under Option A of this annex.)*

¹⁹ See page 38 of annex V to document FCCC/KP/AWG/2009/8.

²⁰ A debit means that either the average annual net increase in carbon stocks reported in the commitment period is smaller than that reported in the reference period or an average annual net decrease in carbon stocks has been reported in the reference period.

[Option I:

12. A Party included in Annex I in which a force majeure has occurred during the second or subsequent commitment periods, affecting carbon stocks on forest land [and [, if elected,] other land categories], may

Option 1: request [a review process²¹], at the end of the commitment period, for the emissions and subsequent removals up to the levels prior to the event classified as force majeure to be removed from accounting. The carbon stocks resulting from any land use changes that occur in those areas shall not be removed from accounting and the corresponding emissions shall be fully accounted for.

Option 2: choose to carry over to the next commitment period(s) the non-anthropogenic emissions resulting from the event classified as force majeure.

13. (*Same as Option A, paragraph 19*)

[Option II:

12. The Parties included in Annex I shall submit a proposed value for the expected net emissions of the land use, land-use change and forestry sector for the following commitment period, together with data which support the selected values. The values and data shall be submitted to the Conference of the Parties serving as the meeting to the Parties to the Kyoto Protocol before an agreement is reached on the quantified emission limitation and reduction commitments for the commitment period to which the data refer.

13. Together with the list of quantified emission limitation or reduction commitments for Parties inscribed in Annex B to the Kyoto Protocol, an appendix to this annex containing a list of expected net emissions from the agriculture, forestry and other land use sector for each Party inscribed in Annex B shall be adopted by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol. The value for the expected net emissions shall be the algebraic sum of anthropogenic emissions by sources and removals by sinks from the land use, land-use change and forestry sector of the greenhouse gases listed in Annex A that are expected to be accounted for during the commitment period to which it is applied; the value shall be expressed in gigagrams of carbon dioxide equivalent.]

14. At the end of the commitment period, any Party included in Annex I shall calculate the difference between anthropogenic greenhouse gas emissions by sources and removals by sinks measured as verifiable changes in carbon stocks, and non-carbon dioxide greenhouse gas emissions during the period 1 January 2013 to 31 December 20XX resulting from land use, land-use change and forestry sector the expected net emissions of that Party inscribed in the appendix to this annex. Where the result of this calculation is a positive value, this value shall be subtracted from the accounted anthropogenic greenhouse gas emissions by sources and removals by sinks from the land use, land-use change and forestry sector of that Party; moreover, an equivalent amount shall be added to the accounted anthropogenic greenhouse gas emissions by sources and removals by sinks from the land use, land-use change and forestry sector in the following commitment period.

15. (*Text included under Option A for harvested wood products is applied here.*)

²¹ Using guidance to be agreed.

Draft decision -/CMP.5

Emissions trading and the project based mechanisms

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling Articles 6, 12 and 17 of the Kyoto Protocol,

[*Recognizing* that developed country Parties shall achieve their quantified emissions limitation and reduction commitments primarily through domestic reduction efforts,] [*Recalling* decision 2/CMP.1, paragraph 1,]

Noting the reports of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its sessions to date,

I. Clean development mechanism

Carbon dioxide capture and storage

Option 1:

1. *Decides* that activities relating to carbon dioxide capture and storage shall not be eligible under the clean development mechanism in the second commitment period owing to unresolved concerns and issues at the international level, including:

- (a) Non-permanence, including long-term permanence;
- (b) Measurement, reporting and verification;
- (c) Environmental impacts;
- (d) The definition of project activity boundaries;
- (e) Issues of international law;
- (f) Issues of liability;
- (g) The potential for the creation of perverse incentives for increased dependency on fossil fuels;
- (h) Safety;
- (i) The absence of insurance coverage to provide compensation for damage to the environment and to the atmosphere resulting from storage site leakage;

Option 2:

2. *Decides* that activities relating to carbon dioxide capture and storage in geological formations shall be eligible under the clean development mechanism in the second and subsequent commitment periods;

3. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend modalities and procedures for inclusion under the clean development mechanism of the activities referred to in paragraph 2 above, with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its [sixth] [seventh] session, including in relation to:

- (a) Non-permanence, including long-term permanence;
- (b) Measuring, reporting and verification;
- (c) Environmental impacts;
- (d) The definition of project activity boundaries;
- (e) Issues of international law;
- (f) Issues of liability;
- (g) Insurance to compensate for leakage;
- (h) The potential for perverse outcomes;
- (i) Safety;

Nuclear

Option 1:

4. *Decides* that activities relating to nuclear facilities shall not be eligible under the clean development mechanism in the second commitment period;

Option 2:

5. *Recognizes* that Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol are to refrain from using certified emission reductions generated from nuclear facilities to meet their quantified emission limitation and reduction commitments;

Option 3:

6. *Decides* that activities relating to nuclear facilities that commenced operation on or after 1 January 2008 shall be eligible under the clean development mechanism in the second and subsequent commitment periods;

7. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend modalities and procedures for inclusion under the clean development mechanism of the activities referred to in paragraph 6 above, with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its seventh session;

Crediting based on nationally appropriate mitigation actions

Option 1:

8. *No decision to be made with respect to this issue*

Option 2:

9. *Decides* to set up a nationally appropriate mitigation action crediting mechanism under the Kyoto Protocol, in which credits for verifiable nationally appropriate mitigation actions of developing country Parties not included in Annex I to the Convention can be issued in order to assist such Parties in achieving sustainable development and contributing to global efforts to combat climate change;

10. *Further decides* that this crediting mechanism shall be subject to the authority and guidance of the Conference of the Parties and be supervised by a dedicated body constituted by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol;

11. *Agrees* that the criteria and standards by which credits issued for nationally appropriate mitigation actions need to be established, building on the current methodology for the clean development mechanism;

12. *Agrees* to adopt a decision at its sixth session on the operation of this crediting mechanism, including in relation to:

- (a) The scope of the nationally appropriate mitigation actions eligible to generate credits;
- (b) Methodologies to measure and verify the generation of nationally appropriate mitigation actions;

Standardized baselines

Option 1:

13. *No decision to be made with respect to this issue*

Option 2:

14. *Decides* that, where appropriate, in order to enhance the environmental integrity, efficiency and regional distribution of the clean development mechanism, standardized baselines shall be used on a national or subnational level for specific project activity types in the determination of additionality and the calculation of emission reductions and removals;

15. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend modalities and procedures for the definition, periodic adjustment and use of standardized baselines as referred to in paragraph 14 above, with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its sixth session;

Improving regional distribution and access²²

16. *Requests* the Executive Board of the clean development mechanism to establish simplified modalities for demonstrating additionality for certain project activity types, initially project activities of 5 megawatts or less that employ renewable energy [and/or clean fossil fuel technologies] as their primary technology and energy efficiency project activities that aim to achieve energy savings at a scale of 20 gigawatt hours per year or less;

²² This option may require an amendment to the Kyoto Protocol.

17. *Decides* to permit the postponement of the payment of the registration fee for project activities hosted in Parties with fewer than 10 registered project activities until the first issuance of certified emission reductions;

18. *Requests* the Executive Board of the clean development mechanism to provide upfront financing for the validation, verification and certification of project activities hosted in Parties with fewer than 10 registered project activities through the provision of loans under the clean development mechanism management plan, to be repaid upon the first issuance of certified emission reductions;

19. *[[Decides that] [Encourages]* Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol *[should] [to]* take reasonable measures *[such that 10 per cent of all certified emission reductions used to comply with their quantified emission limitation and reduction commitments in the second commitment period are] [to use]* certified emission reductions from project activities hosted in Parties with fewer than 10 registered project activities;]

20. *Requests* the Executive Board of the clean development mechanism to include in its annual report to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, as of 2010, an update on actions taken relating to the measures referred to in paragraphs 16 to 19 above;

Co-benefits

Option 1:

21. *No decision to be made with respect to this issue*

Option 2:

22. *Requests* the Executive Board of the clean development mechanism to implement measures in the registration and ongoing assessment of project activities to enhance the visibility of their co-benefits;

Discount factors

Option 1:

23. *No decision to be made with respect to this issue*

Option 2:

24. *Decides* that specified project activities under the clean development mechanism shall generate certified emission reductions equal to the certified level of emission reductions or removals adjusted by a discount factor;

25. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend modalities and procedures for the discount factors referred to in paragraph 24 above, with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its seventh session;

II. Joint implementation

Nuclear

Option 1:

26. *Decides* that activities relating to nuclear facilities shall not be eligible under joint implementation in the second commitment period;

Option 2:

27. *Recognizes* that Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol are to refrain from using emission reduction units generated from nuclear facilities to meet their quantified emission limitation and reduction commitments;

Option 3:

28. *Decides* that activities relating to nuclear facilities that commenced operation on or after 1 January 2008 shall be eligible under joint implementation in the second and subsequent commitment periods;

29. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend modalities and procedures for inclusion under joint implementation of the activities referred to in paragraph 28 above, with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its seventh session;

Co-benefits

Option 1:

30. *No decision to be made with respect to this issue*

Option 2:

31. *Requests* the Joint Implementation Supervisory Committee to implement measures in the determination and ongoing assessment of projects under the Joint Implementation Supervisory Committee to enhance the visibility of their co-benefits;

III. Other

Carry-over (banking)

Option 1:

32. *Decides* that limits on the carry-over of units from the first commitment period to the second commitment period shall apply to the carry-over of units from the second and subsequent commitment periods to future commitment periods;

Option 2:

33. *Decides* that there shall be no restrictions on the carry-over of units from the second and subsequent commitment periods to future commitment periods;

Share of proceeds

Option 1:

34. *No decision to be made with respect to this issue*

Option 2:²³

35. *Decides* that, to assist developing country Parties that are particularly vulnerable to the adverse effects of climate change [and/or the implementation of response measures] to meet the costs of adaptation, [0.5] [2] [8] per cent of assigned amount units and removal units [for the second and subsequent commitment periods] for each Party included in Annex I to the Convention with a commitment inscribed in Annex B to the Kyoto Protocol shall be issued and transferred to the specified account of the Adaptation Fund before the remaining assigned amount units and removal units may be issued;

Commitment period reserve

36. *Decides* to review at its seventh session, and revise as appropriate, the design of the commitment period reserve for the second commitment period to support the effective operation of emissions trading, taking into account, inter alia, the relevant rules, modalities, guidelines and procedures for measuring, reporting, verification and compliance;

Emissions trading

Option 1:

37. *No decision to be made with respect to this issue*

Option 2:

38. *Decides* to enable all Parties to participate in the trading of units generated from all market-based mechanisms;

39. *Decides* to enable all Parties included in Annex I to the Convention with a commitment inscribed in Annex B to the Kyoto Protocol to use units generated from all market-based mechanisms to meet their quantified emission limitation and reduction commitments;

40. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend modalities and procedures for the measures referred to in paragraphs 38 and 39 above, with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its seventh session;

New market-based mechanisms

Option 1:

41. *No decision to be made with respect to this issue*

²³ This option may require an amendment to the Kyoto Protocol.

Option 2:²⁴

42. *Decides* to establish new market-based mechanisms that provide for the voluntary participation of Parties, reflect net contributions to global mitigation efforts by developing country Parties, and are subject to the authority and guidance of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol;

43. *Requests* the Subsidiary Body for Scientific and Technological Advice to recommend modalities and procedures for the new market-based mechanisms referred to in paragraph 42 above, with a view to forwarding a draft decision on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption at its sixth session;

Supplementarity

Option 1:

44. *No decision to be made with respect to this issue*

Option 2:

45. *Decides* that, for the second commitment period, additions to and subtractions from the assigned amount of a Party resulting from emissions trading and the project-based mechanisms shall not exceed 30 per cent of the quantified emission limitation and reduction commitment of that Party.

²⁴ This option may require an amendment to the Kyoto Protocol.

Draft decision -/CMP.5

Greenhouse gases, sectors and source categories; common metrics to calculate the carbon dioxide equivalence of anthropogenic emissions by sources and removals by sinks; and other methodological issues

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling Article 3, paragraph 9, and Articles 5, 7, 8, 20 and 21 of the Kyoto Protocol,

Also recalling decisions 1/CMP.1 and 3/CMP.4,

Having considered proposals by Parties relating to greenhouse gases, sectors and source categories, common metrics to calculate the carbon dioxide equivalence of anthropogenic emissions by sources and removals by sinks, and other methodological issues,

Noting the reports of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its tenth session and the oral report by the Chair to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifth session,

Taking into account proposals by Parties for elements of draft decisions contained in the annex to the report of the Ad Hoc Working Group on Further Commitments for Annex I Parties to the Kyoto Protocol at its tenth session,

In relation to greenhouse gases, sectors and source categories

Option 1:

1. *[Affirms] [Decides]* that, for the second commitment period of the Kyoto Protocol, the actual emissions of hydrofluorocarbons and perfluorocarbons, including new species included by the Intergovernmental Panel on Climate Change in its Fourth Assessment Report, as well as actual emissions of sulphur hexafluoride, [nitrogen trifluoride], [fluorinated ethers], [perfluoropolyethers] [and] [trifluoromethyl sulphur pentafluoride] should be estimated, [where data [or methodologies] are available,] and used for the reporting of emissions [and shall be included in the coverage of the quantified emission limitation and reduction objectives for the second commitment period];

Option 2:

Provisions of the Kyoto Protocol relating to coverage of greenhouse gases and sectors remain unchanged;

In relation to common metrics to calculate the carbon dioxide equivalence of emissions by sources and removals by sinks

2. *Decides* that, for the second commitment period of the Kyoto Protocol, the global warming potentials used by Parties to calculate the carbon dioxide equivalence of anthropogenic emissions by sources and removals by sinks of greenhouse gases listed in Annex A to the Kyoto Protocol shall be those [provided by the Intergovernmental Panel on Climate Change in its Second Assessment Report as referred to in decision 2/CP.3 (“1995 IPCC GWP values”)] [listed in the column entitled “Global Warming Potential for Given Time Horizon” in table 2.14 of the Errata to the contribution Working Group I to the Fourth

Assessment Report of the Intergovernmental Panel on Climate Change], based on the effects of greenhouse gases over a 100-year time horizon, taking into account the inherent and complicated uncertainties involved in global warming potential estimates;

[Note: If the Parties decide to use the Second Assessment Report and to add new gases or new groups of gases to Annex A, then the following text would be added to the paragraph above:

3. *Also decides* that for those greenhouse gases listed in Annex A to the Kyoto Protocol for which values for global warming potentials are not provided in the Second Assessment Report, the values used shall be those listed in the column entitled “Global Warming Potential for Given Time Horizon” in table 2.14 of the Errata to the contribution of Working Group I to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change, based on the effects of greenhouse gases over a 100-year time horizon;]
4. *Requests* the Subsidiary Body for Scientific and Technological Advice to conduct an assessment, based on the work of, inter alia, the Intergovernmental Panel on Climate Change, of the implications of the choice of metrics used to calculate the carbon dioxide equivalence of anthropogenic emissions by sources and removals by sinks of the greenhouse gases listed in Annex A to the Kyoto Protocol for the third or subsequent commitment periods;
5. *Also requests* the Subsidiary Body for Scientific and Technological Advice to initiate such an assessment no later than 2015 and present its recommendations on the most appropriate metric and related values to be used by Parties to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, with a view to the Conference of the Parties serving as the meeting of the Parties adopting a decision on the metric and related values;
6. *Decides* that any decision adopted by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to change the metric or revise the values used by Parties to calculate carbon dioxide equivalence shall apply only to commitments under Article 3 of the Kyoto Protocol in respect of any commitment period adopted subsequent to that change or revision;
7. *Encourages* the Parties to the Convention, the Kyoto Protocol and any related legal instruments to strive for a consistent approach in relation to the metric and related values used by Parties to calculate the carbon dioxide equivalence of greenhouse gases;

In relation to application of the 2006 IPCC Guidelines for National Greenhouse Gas Inventories

8. *Acknowledges* that the Subsidiary Body for Scientific and Technological Advice, at its thirtieth session, agreed to launch a work programme in 2010 to revise the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories” (hereinafter referred to as the UNFCCC Annex I reporting guidelines) and to address the methodological issues related to reporting when using the *2006 IPCC Guidelines for National Greenhouse Gas Inventories*, with a view to recommending a draft decision on revised UNFCCC Annex I reporting guidelines for adoption by the Conference of the Parties for regular use starting in 2015;
9. *Decides* that, starting with the second commitment period of the Kyoto Protocol, the methodologies for estimating anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol for the greenhouse gases and sectors/source categories listed in Annex A to the Kyoto Protocol shall be consistent with the *2006 IPCC Guidelines for National Greenhouse Gas Inventories* as implemented through the

revised UNFCCC Annex I reporting guidelines to be adopted through the process referred to in paragraph 8 above;

10. *Also decides* that for the estimation and accounting of anthropogenic emissions by sources and removals by sinks of greenhouse gases under Article 3, paragraphs 3 and 4, of the Kyoto Protocol, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol shall agree on supplementary methodologies, referred to in paragraph xx of decision -/CMP.5, at its [...] session at the latest which shall be based on, inter alia, chapter 4 of the *Good Practice Guidance for Land Use, Land-Use Change and Forestry* of the Intergovernmental Panel on Climate Change;

11. *Further decides* that time series of emissions by sources and removals by sinks of greenhouse gases, including base year emissions, shall be recalculated for the second commitment period.

[In relation to the sector/source categories listed in Annex A to the Kyoto Protocol]

12. *Agrees* that for the second commitment period of the Kyoto Protocol:

- (a) [The category “Energy/Fuel combustion/Other” includes the subcategory “CO₂ transport and storage”];
- (b) The category “Industrial processes/Other” includes the subcategory “electronics industry”;
- (c) The category “Waste/Other” includes the subcategory “biological treatment of solid waste”];

In relation to cross-cutting issues

13. *Requests* the Subsidiary Body for Scientific and Technological Advice to assess the implications of the action taken in accordance with paragraphs 1–11 above on the decisions that guide the reporting and review under Articles 5, 7 and 8 of the Kyoto Protocol, with a view to preparing relevant draft decisions for adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its seventh session, at the latest;

14. *Also requests* the Subsidiary Body for Scientific and Technological Advice to address any transitional issues arising from actions taken in accordance with paragraphs 1–12 above on the decisions that guide the reporting and review under Articles 5, 7 and 8 of the Kyoto Protocol, with a view to preparing relevant draft decisions for adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its seventh session, at the latest.

[Draft decision -/CMP.5]²⁵

Consideration of information on potential environmental, economic and social consequences, including spillover effects, of tools, policies, measures

Recalling that the work of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on the consideration of information on potential environmental, economic and social consequences, including spillover effects, of tools, policies, measures and methodologies available to Annex I Parties (hereinafter referred to as potential consequences) should be guided and informed by Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol, the relevant provisions and principles of the Convention and the best available relevant scientific, social, environmental and economic information,

Emphasizing that the work of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol should be guided by the ultimate objective of the Convention, as set out in its Article 2,

Noting that a framework for consideration of potential consequences has been established through decisions 15/CMP.1, 27/CMP.1 and 31/CMP.1,

Also noting that additional work on this issue should, in accordance with the provisions, principles and relevant Articles of the Convention and its Kyoto Protocol, build on relevant decisions of the Conference of the Parties and of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, and work being carried out by other bodies and in other processes under the Convention and its Kyoto Protocol, with the aim of maintaining an approach that is coherent with other work under the UNFCCC process,

Further noting that striving to minimize the adverse impacts of mitigation policies and measures is a common concern of both developing and developed countries,

Noting that there could be both positive and negative consequences of mitigation policies and measures,

Also noting that the work on the consideration of potential consequences should focus on minimizing negative potential consequences for Parties, especially developing country Parties,

Recognizing that although potential negative consequences [could] present challenges for all Parties, they [will] [could] be most severe for developing country Parties, in particular,

Option 1: Those identified in Article 4, paragraphs 8, 9 and 10, of the Convention,

Option 2: The poorest and most vulnerable developing country Parties that are least capable of addressing such consequences,²⁶

Noting the challenges in anticipating, attributing and quantifying potential consequences,

²⁵ Parties have not yet agreed whether this text will be a decision or a set of conclusions.

²⁶ A group has asked for the deletion of this paragraph.

Underlining the importance of Article 3, paragraph 5, of the Convention in the implementation of Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol,

Noting that the work on potential consequences should not constrain or hinder progress in addressing climate change, should benefit from the experiences of Parties and lessons learned, should take into consideration the role of national policies and measures and should consider both negative and positive potential consequences,

Also noting that the impacts of potential consequences may be influenced by the institutional capacity and regulatory framework in Parties not included in Annex I to the Convention (non-Annex I Parties),

1. *Urges* Annex I Parties to support the efforts of non-Annex I Parties in strengthening such capacities and frameworks in this regard,
2. *Recognizes* that there is a need to deepen the understanding of potential consequences and any observed impacts and that this can be achieved through various means, including:
 - (a) The regular and systematic provision by all Parties of information that is as complete as possible, on potential and observed impacts of policies and measures, in particular through national communications, and the regular review of this information;
 - (b) Assessment of potential consequences and observed impacts carried out by, inter alia, relevant national institutions and international organizations;
 - (c) Information from work being carried out by other UNFCCC bodies that may be relevant in considering potential consequences;

3.
[Option 1: *Decides* to review the guidelines contained in decision 15/CMP.1 on the preparation of the information required under Article 7 of the Kyoto Protocol in order to assist Parties included in Annex I to the Convention (Annex I Parties) to report on potential consequences in their national communications];

Option 2: *Decides* to use the existing guidelines contained in decision 15/CMP.1;

Alternative to options 1 and 2: *Decides* that [the careful design by] Parties included in Annex I to the Convention [should carefully design their][of] policies and measures under Article 2 of the Kyoto Protocol [to][could] assist them in striving to implement such policies and measures consistent with Article 2.3 of the Kyoto Protocol in such a way as to minimize negative potential consequences on non-Annex I Parties.

4.

Option 1: *Noting* that in accordance with decision 27/CMP.1, the Compliance Committee shall address questions of implementation of Article 3, paragraph 14, of the Kyoto Protocol regarding potential consequences.

Also noting that one way to facilitate compliance by Annex I Parties with their commitments under Article 2, paragraph 3, of the Kyoto Protocol is to enable affected Parties to submit questions of implementation of response measures to the facilitative branch of the Compliance Committee;

Decides to use the Compliance Committee or to establish a permanent forum as a means for Parties to report impacts and consequences of policies and measures; this would offer a common space where Parties may provide information on their specific needs and concerns relating to those consequences, and identify ways to minimize negative consequences of these policies and measures adopted by Annex I Parties on Parties not included in Annex I to the Convention;²⁷

Option 2: *Noting* that national communications and their review under the Subsidiary Body for Implementation provide a channel through which Parties can report on impacts and consequences of the policies and measures of Annex I Parties;

Recommends that Parties report in their national communications on observed impacts and specific needs and concerns relating to social, environmental and economic consequences of mitigation actions taken by Parties;

²⁷ A group has asked for the deletion of this paragraph.

Draft decision -/CMP.5

Application of decision 14/CP.7

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling decisions 1/CP.3, paragraph 5 (d), and 14/CP.7 on impact of single projects on emissions in the commitment period,

Recalling also its decisions 7/CMP.3 and 8/CMP.3,

Recognizing the importance of renewable energy in meeting the objective of the Convention,

1. *Decides* that, the provisions of decision 14/CP.7, adopted by the Conference of the Parties at its seventh session, shall continue to apply for the second commitment period with the conditions detailed therein.

Annex II

**Documents prepared for the
Ad Hoc Working Group on Further Commitments for
Annex I Parties under the Kyoto Protocol at its tenth session**

Documents prepared for the session

FCCC/KP/AWG/2009/10/Rev.3	Documentation to facilitate negotiations among Parties. Note by the Chair
FCCC/KP/AWG/2009/10/Add.1/Rev.2	Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. Proposed amendments to the Kyoto Protocol pursuant to its Article 3, paragraph 9
FCCC/KP/AWG/2009/10/Add.2	Documentation to facilitate negotiations among Parties. Note by the Chair. Addendum. Other proposed amendments to the Kyoto Protocol
FCCC/KP/AWG/2009/10/Add.3/Rev.3	Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. Draft decisions on other issues identified in paragraph 49 (c) of document FCCC/KP/AWG/2008/8
FCCC/KP/AWG/2009/10/Add.4/Rev.2	Documentation to facilitate negotiations among Parties. Note by the Chair. Revised addendum. A compilation of proposals by Parties for aggregate and individual figures for Annex I Parties
FCCC/KP/AWG/2009/12/Rev.2	Consideration of information on potential environmental, economic and social consequences, including spillover effects, of tools, policies, measures and methodologies available to Annex I Parties. Revised note by the Chair
FCCC/KP/AWG/2009/15	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/AWG/2009/16	Scenario note on the tenth session. Note by the Chair
FCCC/KP/AWG/2009/L.14	Draft report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its tenth session
FCCC/KP/AWG/2009/L.15	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifth session

Other documents before the session

FCCC/KP/AWG/2009/14	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its ninth session, held in Bangkok from 28 September to 9 October 2009, and Barcelona from 2 to 6 November 2009
FCCC/KP/AWG/2008/8	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its resumed sixth session, held in Poznan from 1 to 10 December 2008
FCCC/KP/AWG/2009/MISC.16	Organizational matters. Submissions from Parties

附件七

Earth Negotiation Bulletin: The United Nations Climate Change Conference in Copenhagen from 7 to 19 December 2009

A Reporting Service for Environment and
Development Negotiations, Published by
the International Institute for Sustainable
Development (IISD)

SUMMARY OF THE COPENHAGEN CLIMATE CHANGE CONFERENCE: 7-19 DECEMBER 2009

The United Nations Climate Change Conference in Copenhagen, Denmark took place from 7-19 December 2009. It included the fifteenth Conference of the Parties (COP 15) to the United Nations Framework Convention on Climate Change (UNFCCC) and the fifth Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (COP/MOP 5). COP 15 and COP/MOP 5 were held in conjunction with the thirty-first sessions of the Subsidiary Body for Scientific and Technological Advice (SBSTA 31) and the Subsidiary Body for Implementation (SBI 31), the tenth session of the *Ad Hoc* Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP 10) and the eighth session of the *Ad Hoc* Working Group on Long-term Cooperative Action under the UNFCCC (AWG-LCA 8).

The Copenhagen Conference marked the culmination of a two-year negotiating process to enhance international climate change cooperation under the Bali Roadmap, launched by COP 13 in December 2007. Close to 115 world leaders attended the joint COP and COP/MOP high-level segment from 16-18 December, marking one of the largest gatherings of world leaders outside of New York. The conference was subject to unprecedented public and media attention, and more than 40,000 people, representing governments, nongovernmental organizations, intergovernmental organizations, faith-based organizations, media and UN agencies applied for accreditation at the conference.

Many hoped that the Copenhagen Climate Conference would be able to “seal the deal” and result in a fair, ambitious and equitable agreement, setting the world towards a path to avoid dangerous climate change. To this end, what many characterized as “intense negotiations” took place over the two weeks at the level of experts, Ministers and Heads of State. But it was not without controversy. Questions concerning transparency and process played out during the meeting. Differences emerged, *inter alia*, on whether work should be carried out in a smaller “friends of the chair” format as well as on a proposal by the Danish COP Presidency to table two texts reflecting the work done by the AWGs. Many parties rejected this idea, urging that only texts developed in the AWGs by parties should be used.

During the high-level segment, informal negotiations took place in a group consisting of major economies and representatives of regional groups. Late on Friday evening, these talks resulted in political agreement entitled the “Copenhagen Accord,” which was not based on the texts developed by either of the AWGs. Details of the agreement were widely reported by the media before the COP closing plenary. While most reports highlighted that Heads of State had been able to “seal the deal,” almost everyone participating in the negotiations openly admitted that it was “far from a perfect agreement.”

During the closing COP plenary, which lasted nearly 13 hours, long and what many characterized as “acrimonious” discussions ensued on the transparency of the process that had led to the conclusion of the Copenhagen Accord and on whether the COP should adopt it. Most negotiating groups supported its adoption as a COP decision in order to operationalize it as a step towards “a better” future agreement. Some developing countries, however, opposed the Accord reached during what they characterized as an “untransparent” and “undemocratic” negotiating process. During informal negotiations facilitated by UN Secretary-General Ban Ki-Moon during the night and early morning, parties agreed to adopt a COP decision whereby the COP “takes note” of the Copenhagen Accord, which was

IN THIS ISSUE

A Brief History of the UNFCCC and the Kyoto Protocol	.. 2
Report of the Meeting 3
COP 15 3
COP/MOP 5 10
AWG-LCA 8 15
AWG-KP 10 19
SBSTA 31 22
SBI 31 23
High-Level Segment 25
A Brief Analysis of the Climate Change Conference	... 27
Upcoming Meetings 29
Glossary 30

This issue of the *Earth Negotiations Bulletin* © <enb@iisd.org> is written and edited by Tomilola “Tomi” Akanle, Asheline Appleton, Kati Kulovesi, Ph.D., Anna Schulz, Matthew Sommerville, Chris Spence, and Yulia Yamineva. The Digital Editor is Leila Mead. The Editor is Pamela S. Chasek, Ph.D. <pam@iisd.org>. The Director of IISD Reporting Services is Langston James “Kimo” Goree VI <kimo@iisd.org>. The Sustaining Donors of the *Bulletin* are the United Kingdom (through the Department for International Development – DFID), the Government of the United States of America (through the Department of State Bureau of Oceans and International Environmental and Scientific Affairs), the Government of Canada (through CIDA), the Danish Ministry of Foreign Affairs, the German Federal Ministry for Economic Cooperation and Development (BMZ), the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU), the Netherlands Ministry of Foreign Affairs, the European Commission (DG-ENV), and the Italian Ministry for the Environment, Land and Sea. General Support for the *Bulletin* during 2009 is provided by the Government of Australia, the Austrian Federal Ministry of Agriculture, Forestry, Environment and Water Management, the Ministry of Environment of Sweden, the New Zealand Ministry of Foreign Affairs and Trade, SWAN International, Swiss Federal Office for the Environment (FOEN), the Finnish Ministry for Foreign Affairs, the Japanese Ministry of Environment (through the Institute for Global Environmental Strategies - IGES), the Japanese Ministry of Economy, Trade and Industry (through the Global Industrial and Social Progress Research Institute - GISPRI), the Government of Iceland, the United Nations Environment Programme (UNEP), and the World Bank. Funding for translation of the *Bulletin* into French at this meeting has been provided by the International Organization of Francophonie (IOF). Funding for translation of the *Bulletin* into Spanish at this meeting has been provided by the Spanish Ministry of the Environment and Rural and Marine Affairs. The opinions expressed in the *Bulletin* are those of the authors and do not necessarily reflect the views of IISD or other donors. Excerpts from the *Bulletin* may be used in non-commercial publications with appropriate academic citation. For information on the *Bulletin*, including requests to provide reporting services, contact the Director of IISD Reporting Services at <kimo@iisd.org>, +1-646-536-7556 or 300 East 56th St., 11A, New York, New York 10022, USA.

attached to the decision as an unofficial document. Parties also agreed to establish a procedure whereby countries supporting the Copenhagen Accord can accede to it.

Many recognized the historical significance of the Copenhagen Conference, highlighting its unprecedented success in bringing together the majority of the world's leaders to consider climate change and listing mitigation actions pledged by developed and developing countries, as well as provisions on finance and technology. Most delegates, however, left Copenhagen disappointed at what they saw as a "weak agreement," and questioning its practical implications given that the Copenhagen Accord had not been formally adopted as the outcome of the negotiations.

A BRIEF HISTORY OF THE UNFCCC AND THE KYOTO PROTOCOL

The international political response to climate change began with the adoption of the UNFCCC in 1992, setting out a framework for action aimed at stabilizing atmospheric concentrations of greenhouse gases to avoid "dangerous anthropogenic interference" with the climate system. The UNFCCC entered into force on 21 March 1994 and now has 194 parties.

In December 1997, delegates at COP 3 in Kyoto, Japan, agreed to a Protocol to the UNFCCC committing industrialized countries and countries in transition to a market economy to achieve emission reduction targets. These countries, known under the UNFCCC as Annex I parties, agreed to reduce their overall emissions of six greenhouse gases by an average of 5.2% below 1990 levels between 2008-2012 (the first commitment period), with specific targets varying from country to country. The Kyoto Protocol entered into force on 16 February 2005 and currently has 190 parties.

In 2005, at COP/MOP 1 in Montreal, Canada, parties established the AWG-KP on the basis of Protocol Article 3.9, mandating consideration of Annex I parties' further commitments at least seven years before the end of the first commitment period. In addition, COP 11 agreed in Montreal to consider long-term cooperation under the Convention through a series of four workshops known as "the Convention Dialogue," which continued until COP 13.

BALI ROADMAP: COP 13 and COP/MOP 3 took place in December 2007, in Bali, Indonesia. The focus was on long-term issues and the negotiations resulted in the adoption of the BAP, establishing the AWG-LCA with a mandate to focus on key elements of long-term cooperation identified during the Convention Dialogue, namely: mitigation; adaptation; finance; and technology and capacity building. The BAP also called for articulating a "shared vision for long-term cooperative action," including a long-term global goal for emission reductions.

Parties agreed on a two-year negotiating process, the Bali Roadmap, which included "tracks" under the Convention and the Protocol and set a deadline for concluding the negotiations in Copenhagen. The two key bodies under the Bali Roadmap are the AWG-LCA and the AWG-KP, which held four negotiating sessions in 2008: April in Bangkok, Thailand; June in Bonn, Germany; August in Accra, Ghana; and December in Poznań, Poland.

AWG-LCA 5 & AWG-KP 7: From 29 March to 8 April 2009, AWG-LCA 5 and AWG-KP 7 convened in Bonn, Germany. The main objective of the session was to work towards

negotiating text under both AWGs. Based on a note (FCCC/AWGLCA/2009/4, Parts I and II), prepared by AWG-LCA Chair Michael Zammit Cutajar (Malta), discussions at AWG-LCA 5 focused on elaborating elements for a draft negotiating text to be prepared by Chair Zammit Cutajar for AWG-LCA 6.

AWG-KP 7 focused on emission reductions by Annex I parties under the Kyoto Protocol beyond 2012 and on legal issues, including possible Protocol amendments. The AWG-KP also considered potential consequences of response measures and the other issues in its work programme (FCCC/KP/AWG/2008/8), namely: flexibility mechanisms; land use, land-use change and forestry; and methodological issues. The AWG-KP requested its Chair, John Ashe (Antigua and Barbuda), to prepare two documents for its next session: a proposal for Protocol amendments under Article 3.9 (Annex I parties' further commitments); and a text on the other issues.

AWG-LCA 6 & AWG-KP 8: From 1-12 June 2009, AWG-LCA 6 and AWG-KP 8 convened in Bonn, Germany, in conjunction with the 30th sessions of the SBI and SBSTA. AWG-LCA 6 concentrated on developing negotiating text, using a Chair's draft (FCCC/AWGLCA/2009/8) as the starting point. Parties clarified and developed their proposals and the main outcome was a revised negotiating text (FCCC/AWGLCA/2009/INF.1), which was nearly 200 pages long and covered all the main elements of the BAP. AWG-KP 8 focused on Annex I parties' aggregate and individual emission reduction targets. It agreed to continue discussions on these as well as on the other issues based on documentation prepared by the AWG-KP Chair.

By the end of the June session, the Secretariat had also received five proposals for a new protocol under the Convention and twelve submissions concerning amendments to the Kyoto Protocol, proposed for adoption in Copenhagen.

INFORMAL AWGs: From 10-14 August 2009, the AWG-LCA and AWG-KP held informal intersessional consultations in Bonn, Germany. For the AWG-LCA, the focus was on how to proceed with the revised negotiating text (FCCC/AWGLCA/2009/INF.1). It began producing reading guides, tables, matrices and non-papers (FCCC/AWGLCA/2009/INF.2) aimed at making the negotiating text more manageable. Under the AWG-KP, discussions continued on Annex I parties' emission reductions, potential consequences and other issues. The results were reflected in revised documentation prepared by the Chair for Bangkok.

AWG-LCA 7 AND AWG-KP 9: From 28 September to 9 October 2009, the first part of AWG-LCA 7 and first part of AWG-KP 9 convened in Bangkok, Thailand. Both AWGs resumed their sessions from 2-6 November 2009 in Barcelona, Spain.

AWG-LCA 7 continued streamlining and consolidating the negotiating text. The outcome was a series of non-papers, forwarded to Copenhagen as an annex to the meeting report (FCCC/AWGLCA/2009/14). While progress on issues such as adaptation, technology and capacity building was commonly described as satisfactory, many felt that "deep divides" persisted on mitigation and certain aspects of finance.

During AWG-KP 9, discussions continued on all issues in the AWG-KP's work programme. Most felt, however, that no significant progress was made on Annex I parties' aggregate and individual targets, and differences also surfaced between developed and developing countries concerning whether the outcome from Copenhagen should be an amendment to the

Kyoto Protocol or a single new agreement under both AWGs. AWG-KP 9 did not conclude consideration of any of the issues in its work programme.

REPORT OF THE MEETING

The fifteenth Conference of the Parties (COP 15) of the United Nations Framework Convention on Climate Change (UNFCCC) and the fifth Conference of the Parties serving as the Meeting of the Parties (COP/MOP 5) of the Kyoto Protocol opened on Monday morning, 7 December. Lars Løkke Rasmussen, Prime Minister of Denmark, said this conference was taking place at a time of unprecedented political will and urged parties to reach an ambitious agreement in order to deliver “hope for a better future.”

Ritt Bjerregård, Mayor of Copenhagen, said COP 15 needed to “go very far, very fast” and called on delegates to turn Copenhagen into “Hopenhagen” and to “seal the deal.”

Rajendra Pachauri, Chair of the Intergovernmental Panel on Climate Change (IPCC), emphasized that for temperature increase to be limited to between 2.0-2.4°C, global emissions must peak no later than 2015.

UNFCCC Executive Secretary Yvo de Boer said Copenhagen should result in: an agreement on implementation of mitigation, adaptation, finance, technology, reducing emissions from deforestation and forest degradation in developing countries (REDD) and capacity-building actions; ambitious emission reductions commitments and “start-up finance” of around US\$10 billion per year; and a shared vision on long-term cooperative action. He emphasized that Copenhagen would be successful only if it delivered significant and immediate action beginning the day the conference concludes.

This report summarizes the discussions by COP 15, COP/MOP 5, the eighth *Ad Hoc* Working Group on Long Term Cooperative Action (AWG-LCA 8), the tenth *Ad Hoc* Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP 10), the 31st meeting of the Subsidiary Body for Implementation (SBI) and the 31st meeting of the Subsidiary Body for Scientific and Technical Advice (SBSTA) 31 based on their respective agendas.

COP 15

On 7 December, COP 14 President Maciej Nowicki (Poland) opened COP 15, stressing its critical role in addressing climate change. Parties elected Connie Hedegaard, Minister for the UN Climate Change Conference in Copenhagen 2009, Denmark, as COP 15 President. At the beginning of the high-level segment on 16 December, COP President Hedegaard resigned, and was replaced by Danish Prime Minister Lars L. Rasmussen. Hedegaard assumed the role of the COP President’s Special Representative.

COP President Hedegaard stated that the political will to address climate change has never been stronger and said “if we miss this chance, it may take years to get the next one.” She emphasized the need for progress during the first week, highlighting that leaders are expecting to adopt a global agreement in 11 days. She called for a comprehensive agreement, delivering on all building blocks and launching immediate action. Finally, she urged parties to “mark this meeting in history” and “get it done.”

Sudan, for the Group of 77 and China (G-77/China), called upon parties to observe the principles of good faith, transparency, inclusiveness and openness. He emphasized

the need for the Copenhagen agreed outcome to ensure full implementation of developed country party commitments under the Convention.

Algeria, for the African Group, expressed serious concerns with the lack of progress at previous meetings and reminded parties that Africans are already impacted by climate change through increased droughts, health hazards, food scarcity and migration. He called for transparent and equitable negotiations during the high-level segment.

Lesotho, for the Least Developed Countries (LDCs), urged countries not to betray “the expectations of the anxious global population” and highlighted the importance of adaptation, financing, technology and capacity-building support, and underlined the need for contributions to the LDC Fund to finance countries’ most immediate adaptation needs.

Grenada, for the Alliance of Small Island States (AOSIS), urged an ambitious outcome responding with the urgency needed and guaranteeing the long-term survival of small island developing states (SIDS), LDCs, and other vulnerable groups. She said a political outcome was inadequate and that AOSIS would “have to consider our options” if a legally-binding outcome is not achieved. She said a final agreement must address emission reductions by all major emitting countries and limit temperature increase to below 1.5°C and atmospheric greenhouse gas concentrations to 350 ppm. She indicated that any agreement should also provide for stable, predictable and adequate financing for adaptation, capacity building, technology and mitigation.

Mexico, for the Environmental Integrity Group, supported a legally-binding outcome agreed by political leaders in Copenhagen and urged the conclusion of negotiations on both tracks ahead of the high-level segment.

Australia, for the Umbrella Group, supported limiting global average temperature increase to 2°C and a 50% reduction in global emissions by 2050. She said all Umbrella Group members are prepared to propose individual reduction targets that will substantially reduce their emissions by 2020, with their actions being subjected to robust monitoring, reporting and verification (MRV). She supported “quick, substantial and high-impact financing to assist the most vulnerable developing countries,” particularly LDCs and vulnerable SIDS. She also noted the emerging consensus that a core element of the Copenhagen accord should be mobilization of US\$10 billion a year by 2012 to support adaptation and mitigation in developing countries. She suggested that the aim in Copenhagen was to forge a political vision that will guide global actions and lead to a new legally-binding treaty – the Copenhagen accord – as soon as possible.

Sweden, for the European Union (EU), called for an inclusive Copenhagen agreement, encompassing non-Annex I parties, covering all building blocks based on the principles of the Convention. He said the agreement should be translated into a universal, legally-binding agreement in Copenhagen or by a specified time in 2010. He welcomed recent clarification on levels of ambition and urged parties to increase their pledges if possible. The EU highlighted the need for funding in the order of €100 billion annually by 2020 to support adaptation, mitigation, REDD, technology and capacity building. He noted the need for fast-start financing of €5-7 billion to enable immediate action.

ORGANIZATIONAL MATTERS: On 7 December, parties adopted the agenda (FCCC/CP/2009/1 and Add.1). COP President Hedegaard noted recent Convention ratifications by Iraq and Somalia, indicating that this brings the total number of parties to 194 and makes the UNFCCC “a truly universal agreement.”

Adoption of rules of procedure: COP President Hedegaard recalled the practice since COP 1 of applying the draft rules of procedure (FCCC/CP/1996/2), with the exception of draft rule 42 on voting. Papua New Guinea opposed, stating that agreement by consensus based on “the lowest common denominator” is “gravely negligent” given the seriousness of climate-change impacts. He supported taking decisions by a majority of two-thirds of parties present and voting. COP President Hedegaard said she would consult on the issue.

On Friday, 18 December, COP Vice-President Mohammad Barkindo (Nigeria) reported that the COP President had consulted on the issue, noting parties maintained their “fundamental positions” and there was no consensus. He therefore proposed that the COP continue to apply the draft rules of procedure with the exception of draft rule 42.

Election of officers other than the COP President: On 7 December, the opening plenary addressed this issue. COP President Hedegaard noted that nominees were still needed for some positions. She said the COP would address this issue once nominations are complete, and that according to the draft rules of procedure being applied, the current bureau members would continue to serve.

On 18 December, parties elected officers other than the President. The COP Vice-Presidents are: Lumumba Stanislaus-Kaw Di-Aping (Sudan); Mohammad Al-Sabban (Saudi Arabia); Rae-Kwon Chung (Republic of Korea); Philip Weech (the Bahamas); Luis Alfonso de Alba Góngora (Mexico); Oleg Shamanov (the Russian Federation); Collin Beck (the Solomon Islands). Andrej Kranjc (Slovenia) was elected as the Rapporteur. The newly-elected SBI Chair is Robert Owen-Jones (Australia) and the newly-elected SBSTA Chair is Mama Konaté (Mali).

Accreditation of observers: On 7 December, delegates agreed to admit the proposed organizations as observers (FCCC/CP/2009/8/Rev.1).

Dates and venues of future sessions: The COP adopted a decision accepting Mexico’s offer to host COP 16 and COP/MOP 6 and noted the offer by South Africa to host COP 17 and COP/MOP 7 (FCCC/CP/2009/L.3). The Republic of Korea expressed willingness to host COP 18 and COP/MOP 8 in 2012. The Secretariat noted that Qatar has also offered to host COP 18 and COP/MOP 8. During the closing plenary, the decision contained in document FCCC/CP/2009/L.3 was adopted. In its decision, the COP: decides to hold COP 16 and COP/MOP 6 from 29 November - 10 December 2010, in Mexico City, Mexico; recalls that COP 17 and COP/MOP 7 will be held from 28 November - 9 December 2011, in South Africa; and invites parties to come forth with offers to hold COP 18 and COP/MOP 8.

Adoption of the report on credentials: Parties approved the credentials (FCCC/CP/2009/10 and FCCC/KP/CMP/2009/20).

REPORT OF THE AWG-LCA: This issue was scheduled to be taken up by the COP plenary on Wednesday, 16 December. In the morning, the COP/MOP plenary took place first, during which COP President’s Special Representative Hedegaard outlined plans by the COP Presidency to table a package for the Copenhagen outcome, consisting of two texts “based substantially on the two texts forwarded by the AWGs.” Many

countries raised points of order, opposing the proposal, especially given that they had not been given the opportunity to consider the AWG-LCA’s report and the texts forwarded by it. The COP plenary did not convene until late evening pending informal consultations on how to proceed.

In the evening, COP Vice-President Christiana Figueres Olsen (Costa Rica) opened the COP plenary, noting the historic nature of the process undertaken by the AWG-LCA to fulfill the BAP. She explained that COP President Rasmussen is consulting with parties on how to proceed and that he would inform parties in the morning on the outcome of these consultations. Tuvalu requested clarity on the process moving forward and specifics on how consultations would be conducted. COP Vice-President Figueres Olsen clarified that the COP President is “consulting on how to conduct consultations” and noted that it had been “an extraordinary day” and that the road forward was not clear.

Bangladesh, Tuvalu, Egypt and Guatemala said they had yet to be contacted by the COP President for consultations and noted that they should be inclusive, transparent and include all major groups. Ecuador expressed concern with the final outcome and worried that “basic standards of multilateralism” would be violated. Also Bolivia, Saudi Arabia, Nigeria, Argentina, Venezuela and Pakistan urged openness, transparency and inclusiveness in the consultations, lamenting the lack of transparency so far. Argentina said consultations must be carried out with all countries. Cuba highlighted the need for efficient use of time, noting that the COP plenary had been scheduled for 1:00 pm but had only convened at 10:00 pm.

AWG-LCA Chair Zammit Cutajar then presented the report of the AWG-LCA (FCCC/AWGLCA/2009/L.7/Rev.1, Add.1, Add.2/Rev.1, Add.3-7, Add.8/Rev.1 and Add.9). He noted that the main output is a set of conclusions presenting decision text to COP 15, emphasizing that the text does not prejudice the legal nature of the outcome to be adopted by the COP. He stressed that while substantial progress had been made, the text had not been completed, required further work and that, as a package, “nothing is agreed until everything is agreed.”

India requested textual changes to make the text more consistent with the Convention, changes to the sections on nationally appropriate mitigation actions (NAMAs) and on financial resources and investment. The Republic of Korea emphasized that some proposals had not yet been discussed in the contact group. Australia urged moving to outstanding issues, saying this should be done at the ministerial level.

Costa Rica welcomed the report of the AWG-LCA and called for an ambitious and legally-binding agreement. The US said that the text posed problems, which were “neither final nor finished” and expressed willingness to work on specifics, noting that the relevant decisions would have “enormous value.” Figueres Olsen said that she would convey the general message to the COP President on the need for: quick clarity on the way forward; effective use of time; and an inclusive and transparent process. The COP plenary was suspended at 11:03 pm.

On Thursday morning, 17 December, COP President Rasmussen reconvened the COP. He noted that many parties had sought clarification during the COP plenary on Wednesday evening about the documentary basis for moving forward and also about the method of work to complete the negotiations under the COP and COP/MOP. He said that the documentary basis for the work would be the texts presented by the AWG-LCA Chair to the COP plenary on Wednesday.

COP President Rasmussen proposed forwarding the texts for consideration by a contact group chaired by the COP President's Special Representative Hedegaard. He said the contact group would have a mandate to complete work on unresolved issues within a short deadline and that open-ended drafting groups would be convened, chaired by "people we know well and trust." Sudan, for the G-77/China, requested clarity on the deadline. Rasmussen said the contact groups should decide on the schedule and that he would not define a clear deadline. He then closed the meeting of the COP.

During the contact group meeting in the afternoon, contact group Chair Hedegaard proposed, and parties agreed, to establish open-ended drafting groups on:

- shared vision (FCCC/AWGLCA/2009/L.7/Rev.1), facilitated by Michael Zammit Cutajar (Malta);
- finance (FCCC/AWGLCA/2009/L.7/Add.2/Rev.1), co-facilitated by Farrukh Khan (Pakistan) and Jukka Uosukainen (Finland);
- mitigation (FCCC/AWGLCA/2009/L.7/Rev.1; paragraphs 12-29, but excluding paragraph 23 on a NAMA mechanism), facilitated by Cristian Maquieira (Chile);
- NAMA mechanism (FCCC/AWGLCA/2009/L.7/Add.5), facilitated by Margaret Mukahanana-Sangarwe (Zimbabwe);
- REDD-plus (FCCC/AWGLCA/2009/L.7/Add.6), co-facilitated by Peter Graham (Canada) and Tony La Viña (Philippines);
- various approaches to enhance cost-effectiveness of mitigation actions (FCCC/AWGLCA/2009/L.7/Add.8/Rev.1), facilitated by Christiana Figueres Olsen (Costa Rica);
- adaptation (FCCC/AWGLCA/2009/L.7/Add.1), co-facilitated by Thomas Kolly (Switzerland) and William Kojo Agyemang-Bonsu (Ghana);
- technology (FCCC/AWGLCA/2009/L.7/Add.3), co-facilitated by Kishan Kumarsingh (Trinidad and Tobago) and Kunihiko Shimada (Japan); and
- capacity building (FCCC/AWGLCA/2009/L.7/Add.4), co-facilitated by Fatou Gaye (the Gambia) and Georg Børsting (Norway).

Chair Hedegaard suggested the contact group reconvene later in the evening to receive an update on progress in drafting groups.

On *bunker fuels*, Norway and Argentina inquired about addressing emissions from bunker fuels and Hedegaard explained that text would be available in the afternoon. Saudi Arabia noted that this issue had not been captured as a supplementary decision to the core decision. He also asked how response measures would be addressed. Hedegaard confirmed that a facilitator was being sought for the group on response measures. The G-77/China noted that issues under discussion in the various drafting groups had been captured in the AWG-LCA's text on the core decision (FCCC/AWGLCA/2009/L.7/Rev.1) in a way that did not fully reflect the understanding reached in the negotiating groups. She sought assurances that in the interest of transparency, no other processes would define or alter the outcome of the drafting groups.

On *sectoral approaches*, Egypt noted long discussions on guiding principles and asked for the reinsertion of principles in the text. Uruguay called for the establishment of a drafting group on sectoral approaches in the agriculture sector.

On *capacity building*, South Africa stressed that this issue is important for developing countries and highlighted that it would be difficult to discuss capacity building for developed countries in text concerning developing countries. Tanzania, for the G-77/

China, called for separate discussions on capacity building for developing countries and countries with economies in transition. The Russian Federation suggested that a compromise proposal should be sought to resolve the issue.

Late in the evening on Thursday, 17 December, the COP contact group reconvened and the drafting group facilitators reported back on progress.

On *adaptation*, Co-Facilitator Kolly said that the drafting group had reached a better understanding of a Copenhagen adaptation framework or programme, as well as agreement on objectives and principles and some categories of action. Identifying issues to be addressed at a higher level, Kolly highlighted: response measures, the polluter-pays principle, and the concept of historical responsibility.

On *technology*, Co-Facilitator Kumarsingh reported that parties had agreed on the establishment of a technology mechanism with a technology executive committee and a climate technology center. He said discussions had focused on the functions of these entities and agreement had been reached with some "minor issues" outstanding. Kumarsingh identified issues in need of ministerial intervention as: the reporting line between the committee and center; links between the committee and agreement on finance; and the issue of intellectual property rights.

On *a shared vision for long-term cooperative action*, Facilitator Zammit Cutajar observed that views had been expressed on human rights, stakeholder participation and a just transition to a new form of production and consumption, which could be addressed through further discussion. He noted discussions on the concept of long-term goals on finance, technology and adaptation, in addition to the long-term global goal on emission reductions. He also identified the need to resolve the issue of review, especially in terms of what is to be reviewed.

On *a possible NAMA registry or mechanism*, Facilitator Mukahanana-Sangarwe said no agreement had been reached on the establishment of a NAMA registry or mechanism, the functions of such a registry or mechanism, and on whether the registry should be independent from, or part of, the financial mechanism. She said divergent views remained on whether support for NAMAs should come only from developed countries or from both developed and developing countries and identified treatment of autonomous NAMAs as an issue in need of political resolution.

Reporting on *institutional arrangements for finance*, Co-Facilitator Uosukainen said that the drafting group had addressed the issue of a climate fund or facility, and noted movement on the selection of a trustee for the fund or facility on an interim basis. He said that divergent views remained on the composition and nomination of a finance board and its corresponding functions, explaining that these issues could benefit from political resolution. He also noted that the group lacked time to address the remaining paragraphs on the establishment and functions of the proposed finance board.

On *capacity building*, Co-Facilitator Børsting identified "difficult outstanding issues" requiring political guidance. He highlighted: institutional arrangements and financial resources for capacity building; indicators for reporting and reviewing capacity-building support; and the provision of capacity building as a legally-binding obligation.

On **REDD-plus**, Co-Facilitator Graham highlighted outstanding issues relating to financing, relationship to NAMAs and MRV of action and support.

On **various approaches to enhancing cost-effectiveness of mitigation actions, including markets**, Facilitator Figueres Olsen highlighted two outstanding issues: whether to adopt an option encouraging parties to pursue hydrofluorocarbon (HFC) regulation under the Montreal Protocol on Substances that Deplete the Ozone Layer; and the role of markets and how this role should be structured.

In his report on **mitigation**, Facilitator Maquieira noted the complexity of the issue, highlighting fixed positions on many paragraphs. He also informed parties of his intention to combine proposals.

Venezuela, with Angola, for the African Group, drew attention to the option of not taking any decision on market approaches, while the US stressed the centrality of market approaches.

Late in the evening of 17 December, the COP contact group began discussing how to move forward. The EU, supported by Japan, Colombia, Canada, the Marshall Islands, Iceland, Australia, Guyana and many others, supported establishing a “friends of the chair” group. Sudan and Bolivia stressed the need for transparency and sought clarification on the establishment of a smaller group. Sudan suggested continuation of discussions in drafting groups. The US, opposed by Brazil, noted the possibility of convening a “friends of the chair” group while continuing with drafting.

South Africa, supported by Grenada, for AOSIS, suggested forwarding issues related to mitigation by developed countries, market approaches and finance to the political level. India, supported by Egypt, said that the Protocol process should take precedence and that the reports from the “friends of the chair” group should go through the COP/MOP or COP before being forwarded to Heads of State.

Bangladesh, for the LDCs, said drafting groups could report back in the morning and issues could then be forwarded to the political level. Mexico supported working in a “friends of the chair” format, provided the group discusses only political issues. New Zealand stressed the need to continue working through a smaller group with higher-level representation.

Following brief consultations, contact group Chair Hedegaard recommended that the majority of drafting groups continue with their work, especially those that had reported that it would be meaningful to do so. She also proposed convening a “friends of the chair” group to address political issues on mitigation by developed countries, market approaches and finance.

The G-77/China said that a “friends of the chair” group would have to be open-ended and allow negotiating groups to select their representatives. Venezuela reiterated that a non-inclusive approach was unacceptable because of divergent views within groups on certain issues. Emphasizing the late hour, COP President’s Special Representative Hedegaard closed the meeting and asked the drafting groups on all issues to continue their work.

At 3:00 am on Friday 18 December, the contact group reconvened to take stock of work in the drafting groups. Most groups had not achieved much progress. However, progress was reported on cooperative sectoral approaches in the agricultural sector and technology transfer. Many groups stressed that further political guidance was necessary to achieve agreement.

During the closing COP plenary on Saturday afternoon, parties adopted a decision on extending the AWG-LCA’s mandate.

They also agreed to elect Margaret Mukahanana-Sangarwe (Zimbabwe) as the AWG-LCA Chair, Daniel Reifsnnyder (US) as the AWG-LCA Vice-Chair and Teodora Obradovik-Grncarovska (Macedonia) as Rapporteur.

COP Decision: In its decision (FCCC/CP/2009/L.6), the COP:

- decides to extend the mandate of the AWG-LCA to enable it to continue its work with a view to presenting the outcome to COP 16 for adoption;
- requests the AWG-LCA to continue its work drawing on the report of the AWG-LCA presented to COP 15, as well as work undertaken by the COP on the basis of the report; and
- mandates the host country of the next session of the COP to make the necessary arrangements in order to facilitate work towards the success of the session.

PROPOSED PROTOCOLS UNDER CONVENTION

ARTICLE 17: This item was first considered by COP plenary on Wednesday, 9 December. COP President Hedegaard indicated that proposals relating to adoption of new protocols under the Convention had been received from five countries: Australia, Costa Rica, Japan, Tuvalu and the US (FCCC/CP/2009/3-7). The proponents then outlined their proposals.

India, China, Saudi Arabia and others opposed a new protocol. China urged a focus on implementing the existing commitments under the Convention and Protocol and adopting an ambitious outcome under the Bali Roadmap and BAP.

COP President Hedegaard proposed establishing a contact group on this item. This was supported by Grenada, for AOSIS, as well as Barbados, Tuvalu, Costa Rica, Belize, Bahamas, Senegal, Kenya, Solomon Islands, Cook Islands, Palau and the Dominican Republic. However, Saudi Arabia, with India, Venezuela, Algeria, Kuwait, Oman, Nigeria, Ecuador and China, opposed a contact group and preferred that the COP President or a Vice-President hold informal consultations. COP President Hedegaard indicated that in the absence of consensus on forming a contact group, she had no option but to consult informally. Tuvalu, supported by AOSIS, argued that this agenda item required formal consideration, and proposed suspending the COP until the issue is resolved. Following informal consultations, President Hedegaard reported back in the evening that consultations on the issue would continue and that she would report back to the COP plenary on 10 December.

The next time the issue was taken up by the COP plenary was on Saturday, 12 December. COP President Hedegaard said consultations had been held on how to proceed on the agenda item on proposals for new protocols under Convention Article 17. Tuvalu reiterated the “strong plea” for two legally-binding protocols as the outcome from Copenhagen and insisted that an option to sign a legally-binding agreement in Copenhagen be put to the ministers. COP President Hedegaard responded that “no option will be taken off the table.”

During the closing COP plenary on 19 December, Vice-President Colin Beck noted that the COP President conducted informal consultations on this issue. He said, however, that no consensus was reached on how to proceed and, therefore, the proposed protocols will automatically be included on the COP 16 agenda.

MALTA’S PROPOSAL TO AMEND CONVENTION

ANNEX I: This issue was first taken up by the COP plenary on Wednesday, 9 December when Malta outlined its proposal to join Annex I (FCCC/CP/2009/2), noting that by joining the EU in

2004 it has taken on responsibilities in line with those of Annex I parties. The proposal was then considered during informal consultations facilitated Stephen de Boer (Canada).

On 18 December, the COP plenary adopted a decision to include Malta in Convention Annex I (FCCC/CP/2009/L.2). Malta expressed his thanks to the COP for adopting the decision.

REPORTS OF THE SUBSIDIARY BODIES: On 18 December, the COP closing plenary adopted the reports of SBSTA 30 and 31 (FCCC/SBSTA/2009/3 and Add.1; FCCC/SBSTA/2009/L.13) and of SBI 30 and 31 (FCCC/SBI/2009/8 and Add.1; FCCC/SBSTA/2009/L.17).

On 18 December, the COP also took note of SBI conclusions on: the Special Climate Change Fund (FCCC/SBI/2009/L.31); Annex I national communications (FCCC/SBI/2009/L.26); technology transfer (FCCC/SBI/2009/L.18), Buenos Aires Programme of Work on Adaptation and Response Measures (decision 1/CP.10) (FCCC/SBI/2009/L.28); and LDCs (FCCC/SBI/2009/L.27). The COP also took note SBSTA conclusions on technology transfer (FCCC/SBSTA/2009/L.14).

Conclusions adopted by the SBSTA and SBI are summarized under the respective headings. Draft decisions forwarded to the COP and subsequent actions are summarized under the relevant COP agenda items.

REVIEW OF IMPLEMENTATION OF COMMITMENTS AND OTHER CONVENTION PROVISIONS: Financial

Mechanism: Fourth Review of the Financial Mechanism: On 18 December, the COP adopted a decision on the fourth review of the financial mechanism referred to it by the SBI.

COP Decision: In its decision (FCCC/SBI/2009/L.29), the COP requests the SBI to continue its consideration of the fourth review of the financial mechanism at SBI 32, with a view to recommending a draft decision for adoption by COP 16. The COP also decides to complete the consideration of the fourth review of the financial mechanism at COP 16.

Report by the Global Environment Facility (GEF): On 18 December, the COP adopted a decision on further guidance to the GEF.

COP Decision: In its decision (FCCC/SBI/2009/L.30), the COP requests the SBI to continue its consideration of additional guidance to the GEF at SBI 32 with a view to recommending a draft decision for adoption by COP 16.

National Communications: Non-Annex-I National Communications: On 18 December, the COP adopted a decision forwarded by SBI 30 on reconstituting the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) (FCCC/SBI/2009/8/Add.1). Brazil, for the G-77/China, welcomed the adoption of a decision on the CGE.

Capacity Building under the Convention: On 18 December, the COP adopted a decision on capacity building under the Convention, as forwarded by the SBI.

COP Decision: In its decision (FCCC/SBI/2009/L.19), the COP: requests the SBI to continue its consideration of the second comprehensive review of the implementation of the capacity-building framework in developing countries at SBI 32, with a view to preparing a draft decision on the outcome of this review for adoption by COP 16, and decides to complete the consideration of the review at COP 16.

REDD: On 18 December, the COP adopted a decision on REDD, as annexed to the SBSTA conclusions (FCCC/SBSTA/2009/L.19/Add.1).

COP Decision: In its decision, the COP, among other things:

- requests developing countries to, *inter alia*, identify drivers of deforestation and forest degradation, use the most recent IPCC guidance to estimate emissions and establish national forest monitoring systems;
- encourages capacity-building support from all able parties to support capacity building in developing countries;
- encourages development of guidance for indigenous peoples and local community engagement;
- recognizes that forest reference emission levels should take into account historic data, and adjust for national circumstances; and
- urges coordination of efforts.

ADMINISTRATIVE, FINANCIAL AND INSTITUTIONAL MATTERS: Budget performance in 2008-2009: On 18 December, the COP adopted a draft decision as forwarded by the SBI.

COP Decision: In its decision (FCCC/SBI/2009/L.21/Add.1), the COP, *inter alia*: calls upon parties that have not paid their contributions to the core budget to do so without delay; and reiterates its appreciation to the Government of Germany for its annual voluntary contribution to the core budget of €766,938 and its special contribution of €1,789,522 as host country for the Secretariat. The COP, on continuing review of the functions and operations of the Secretariat, agrees that SBI 33 will consider this matter.

Budget for 2010-2011: This decision was forwarded from SBI 30 and adopted on 18 December by the COP.

COP Decision: In its decision (FCCC/SBI/2009/L.9/Add.1), the COP, *inter alia*: decides that the programme budget shall be calculated in Euros; and approves the programme budget for the biennium 2010-2011, amounting to €44,200,099.

OTHER MATTERS REFERRED TO THE COP BY SUBSIDIARY BODIES: In its closing plenary on 18 December, the COP adopted the draft conclusions as contained in the recommendations by the SBSTA (FCCC/SBSTA/2009/L.16/Add.1), where it expresses appreciation for the decision by the World Meteorological Organization (WMO) and its partner organizations for establishing a Global Framework for Climate Services.

The COP also adopted a draft decision on the updated training programme for greenhouse gas inventory review experts, as contained in FCCC/SBSTA/2009/3/Add.1.

CLOSING PLENARY: The closing plenary convened at 3:00 am on Saturday, 19 December 2009. COP President Rasmussen noted that hours of “intense negotiation” had paid off and that he had mobilized support for a “Copenhagen Accord” developed by a “representative group of leaders.” He proposed that the COP adopt this Accord. He then suspended the COP and opened COP/MOP 5, where he also introduced the Accord. He requested that parties read the text, consult on this for one hour and then return with a decision on whether or not they wanted to accept the proposal.

Parties objected to closing the meeting, with several raising points of order. Tuvalu said that in the UN system, nations large and small, are given respect and that the public announcement of a deal before bringing it before the meeting of the COP was disrespectful of the process and the UN system. He highlighted major problems with the political agreement, saying it, *inter alia*, lacked a scientific basis, international insurance mechanism, and guarantees on the continued existence of the Kyoto Protocol. He emphasized the importance of acting urgently and said that

despite being offered financing “to betray our people and sell our future, our future is not for sale.” Tuvalu stressed that he could not accept the document.

Venezuela expressed indignation at the lack of respect for sovereign nations. Bolivia, supported by Cuba, took offense at being given 60 minutes to decide on the “lives of millions of people,” as well as at the non-democratic process and imposition of the agreement. Costa Rica noted that in the absence of a consensus on the Accord, at most it could be issued as an information (INF) document. Nicaragua requested that: the “Copenhagen Accord” be treated as a submission from those parties who negotiated it and issued as a miscellaneous (MISC) document; the COP and COP/MOP be suspended rather than concluded so that the AWGs’ original mandates could continue; and a decision be taken to “mandate inclusive and transparent consultations, as appropriate” by the host country of the next session.

After consulting, COP President Rasmussen proposed reissuing the document as a MISC document and indicating in the document the countries that had submitted it, if Nicaragua would withdraw its proposal to suspend the COP and COP/MOP. Nicaragua agreed and withdrew the proposal.

India noted that COP President Rasmussen should obtain permission from the relevant countries before including their names on the re-issued document. He objected to issuing it as a MISC document, because it was negotiated by his Head of State.

Sudan condemned the document, stressing that it threatens the lives and livelihoods of millions of people in developing countries, including the African continent. He referred to the financial commitment of US\$100 billion in the document as “a bribe,” saying that a commitment to 2°C would ask Africa to “sign an incineration pact” and was based on values that “tunneled 6 million people in Europe into furnaces.” The UK, Mexico, Canada, Grenada, Norway, the EU and others called on Sudan to withdraw his offensive references to the Holocaust.

The Maldives expressed support for the document, while noting his reservation to certain elements contained in it, such as the failure to agree to limit temperature increase to below 1.5°C. He stressed the document could serve as a basis to continue negotiations and result in a legally-binding instrument by 2010.

The EU, Lesotho, for the LDCs, the Russian Federation, the Philippines, Singapore, Ethiopia, for the African Union, Algeria, for the African Group, Japan and many other developed and developing countries also supported the Copenhagen Accord, with several parties noting that it was a compromise document. Papua New Guinea noted that some G-77/China parties sent “public servants” to negotiate the Accord instead of their Heads of State or Government, and that these officials were to blame for “striking a lot of substance out of the document.” The US noted broad participation of about 30 countries in the development of the document.

Grenada, for AOSIS, noted that their Prime Minister had participated in the negotiations, together with the US, UK, Russian Federation, Mexico, the Maldives, Algeria, India, the Republic of Korea, Lesotho, China, Brazil, Sweden, Spain, Ethiopia and other developed and developing country parties as well as UN Secretary-General Ban Ki-moon. She said that the process of development of this document was “sincere and legitimate” and that she “stands by the document and process.”

Norway emphasized that leaders had made a great effort to negotiate an acceptable outcome and said countries should take “one step forward, rather than two steps back,” despite desiring a

much higher level of ambition. He objected to categorizations of financing as a “bribe” when it had been requested by developing countries in the first place.

Australia expressed astonishment at the manner in which those who had been at the table had portrayed the negotiation of the draft decision. Bolivia reiterated the flaws in the document, including lack of effective commitments, and she called for: a 1°C temperature rise limit; contributions of 6% of developed country GDP to the Adaptation Fund; and a 49% reduction in greenhouse gases by 2020.

The UK outlined a choice between either putting into place fast-start financing, long-term public and private finance, and responsibilities for mitigation, or “wrecking the Conference” by passing the document as an INF. He called for parties to adopt the Accord as a COP decision.

Supporting the Accord, Senegal acknowledged that the draft decision was a compromise and expressed concern that reference to binding commitments in the second commitment period was missing.

Ethiopia, for the African Union, supported the Accord and noted that the discussion was multilateral. Tuvalu intervened again, asking parties to accept the flaws in the Accord and for it to be adopted as a MISC document. Noting that the draft decision was not perfect, France emphasized that it could be improved and give an impetus to work towards a legally-binding instrument to combat climate change. He said that his country had fought for the inclusion of reference to 1.5°C.

Algeria, for the African Group, thanked the thousands of people who have worked over the last two years to make Copenhagen a success. He noted that the document was freely and democratically submitted to the African Group and that it enjoys the Group’s support, including that of five Heads of State.

Venezuela stressed that only 25 out of 192 countries took part in the preparation of the Accord, with only 14 developing countries. She also noted that the parties did not give a mandate to the COP Presidency to negotiate the Accord. She said that the document should be issued as a MISC document and discussed in that way. Cuba called the suggestion of “money for adoption of the Accord” a form of “blackmail.” Bolivia proposed adopting it as a MISC document and listing those countries that participated in its development. She expressed readiness to work on the basis of these texts, but said they do not want anything imposed on them.

Lesotho, for the LDCs, acknowledged that the Accord is a compromise and does not go far enough, but that further work should be conducted to improve it. Saudi Arabia said that they participated in the negotiation of the Accord. Noting that it was “the worst COP plenary” he had ever attended, he said that there was no consensus and that parties were simply restating their positions. He suggested accepting the reality and asked that a procedural solution be found to move forward.

The UK proposed adopting the document as a COP decision and allowing the proper recognition of those countries who objected. He noted that Slovenia had earlier suggested there was a UN precedent for this approach. The Maldives stated that his country was one of those most at risk and pleaded for “our developing country friends to keep the document alive.” Sweden, for the EU, expressed support for the Maldives, noting that the draft decision was a compromise. The Bahamas, supported by the UK, stressed that the document, negotiated by leaders, was important and that a mechanism needed to be found so that the financial offers could be operationalized.

President Rasmussen reminded the parties that UN consensus decision-making would not allow the document to be adopted and that, since other proposals were unacceptable to the parties, it could not be passed. The UK moved for an adjournment.

At 8:03 am, COP President Rasmussen suspended the COP plenary. A number of informal consultations to resolve the matter were held on the floor, with the participation of UN Secretary-General Ban Ki-moon.

At 10:35 am, COP Vice-President Philip Weech (Bahamas) proposed the COP adopt a decision that “takes note” of the Copenhagen Accord of the 18th of December of 2009. He then read out the decision text, indicating that the Accord would be attached to this decision and the names of parties that support the Accord would be listed in the chapeau to the Accord. Parties agreed to the proposal.

The US recognized that since “five or six parties” were not in favor of the Accord, no consensus was reached. He stressed that the process was, however, consistent with the Convention and, as it constitutes an “optional decision,” invited parties to associate with the Accord and asked the Secretariat to formalize a procedure to achieve this.

Lengthy discussions took place during the morning and afternoon, with parties raising questions concerning, *inter alia*, procedures for acceding to the Accord. In response, the Secretariat specified that there would be an attachment to the text of the Copenhagen Accord, as contained in document FCCC/CP/2009/L.7. He said the chapeau would be modified to include a list of countries that associate themselves with the Accord. The Secretariat also noted that since there was no official list of countries who participated in the negotiations of the Accord, it would be preferable to have a procedure whereby countries wishing to do so can associate themselves with the Accord.

Many countries, including the EU, Australia, Barbados, Japan, Costa Rica and the Russian Federation, expressed support for the Accord. Senegal supported clarity on accession to the Accord and said that if a country rejects the Accord, they should not have access to its funds.

China said he was not sure about the legal significance of associating with something that was not negotiated, saying the text had been negotiated by a “very small group.” He also proposed referring to the title of the Accord rather than to the document number (FCCC/CP/2009/L.7), which was not adopted. The Secretariat replied that reference to the document number had been for clarity and was not part of the decision text.

South Africa pointed out that, technically, the COP decision had been adopted during the COP/MOP plenary and requested that the record be corrected so that the decision is under the COP, rather than the COP/MOP. He also made a request to note that the Accord took place outside of the UNFCCC process and proposed that parties submit their intended support of the Accord in the record of the session.

Australia, supported by Canada, requested the parties to implement the Copenhagen Accord pursuant to Convention Article 7.2(c) (Conference of the Parties). Indonesia, Norway, Australia, the EU and others also supported that the COP facilitate implementation of the Copenhagen Accord under Convention Article 7.2(c). China said reference to Convention Article 7.2(c) is not appropriate since it concerns measures “adopted by parties.” Venezuela and Bolivia also opposed referencing Convention Article 7.2(c). Saudi Arabia said

reference to Convention Article 7.2(c) is not possible since the item was not on the COP agenda but, if there was consensus, it could be on the agenda of COP 16.

The US stressed that all the leaders in the room had agreed to the Accord and said he would be curious to know how countries who were present in the room but contest the agreement understood language indicating that parties “have agreed.”

UN Secretary-General Ban Ki-moon expressed gratitude to the Danish Prime Minister for his leadership, perseverance and patience. He described the Copenhagen Accord as a significant step towards a global agreement to reduce and limit greenhouse gas emissions, and urged immediate implementation and transformation into a legally-binding agreement by 2010. He called for launching the Copenhagen Green Climate Fund immediately in order to “jump-start” clean energy growth in developing countries. He also urged parties to “pursue the road of higher ambition rather than the path of least resistance.”

COP Decision: The decision adopted by the COP takes note of the Copenhagen Accord, which is attached to the decision.

The Accord’s preamble:

- notes that they pursue the ultimate objective of the Convention;
- states that they are guided by the principles and provisions of the Convention;
- notes the results of work done by the two AWGs;
- endorses the decisions by the COP and COP/MOP to extend the mandate of the AWGs; and
- indicates that parties have agreed to the Accord, which is “operational immediately.”

The Accord contains a placeholder for the list of parties wishing to associate themselves with it.

The operative text:

- identifies climate change as one of “the greatest challenges of our time” and emphasizes “strong political will” to urgently combat climate change in accordance with the principle of common but differentiated responsibilities and respective capabilities;
- agrees that deep cuts in global emissions are required according to science and as documented by the IPCC Fourth Assessment Report, with a view to reducing global emissions in order to limit the increase in global temperature to below 2°C;
- states that parties should cooperate in achieving the peaking of global and national emissions as soon as possible, recognizing that the time frame for peaking will be longer in developing countries;
- states that adaptation to the adverse effects of climate change and the potential impacts of response measures is a challenge faced by all countries, and that enhanced action and international cooperation on adaptation are urgently required in developing countries, especially in the LDCs, SIDS and Africa. They also agree that developed countries shall provide adequate, predictable and sustainable financial resources, technology and capacity building to support adaptation actions;
- provides that Annex I parties commit to implement, individually or jointly, quantified economy-wide emission targets for 2020, to be submitted in the format given in Appendix I to the Secretariat by 31 January 2010 for compilation in an INF document. Protocol Annex I parties will thereby further strengthen the emission reductions initiated by the Protocol. Delivery of reductions and financing

by developed countries will be monitored, reported and verified in accordance with existing and any further guidelines adopted by the COP;

- states that non-Annex I parties to the Convention will implement mitigation actions, including those to be submitted to the Secretariat in the format given in Appendix II by 31 January 2010, for compilation in an INF document. LDCs and SIDS may undertake actions voluntarily and on the basis of support. Mitigation actions shall be communicated through national communications every two years. Unsupported actions will be subject to domestic MRV, with provisions for international consultations and analysis under clearly-defined guidelines that will ensure that national sovereignty is respected. Supported NAMAs will be subject to international MRV;
- recognizes the crucial role of reducing emissions from deforestation and forest degradation and the need to enhance removals of greenhouse gas emissions by forests, and agrees on the need to provide positive incentives to such actions through the immediate establishment of a mechanism including REDD-plus, to enable the mobilization of financial resources from developed countries;
- decides to pursue various approaches, including opportunities to use markets, to enhance the cost-effectiveness of, and to promote mitigation actions;
- states that the collective commitment by developed countries is to provide new and additional resources, including forestry and investments through international institutions, approaching US\$30 billion for the period 2010-2012 with balanced allocation between adaptation and mitigation. Funding for adaptation will be prioritized for the most vulnerable developing countries, such as the LDCs, SIDS and Africa. Developed countries also commit to a goal of jointly mobilizing US\$100 billion a year by 2020 to address the needs of developing countries, with funding coming from a wide variety of sources;
- establishes a high-level panel under the guidance of, and accountable to, the COP to study the contribution of the potential sources of revenue, including alternative sources of finance, towards meeting this goal;
- decides that the Copenhagen Green Climate Fund shall be established as an operating entity of the financial mechanism of the Convention to support projects, programmes, policies and other activities in developing countries related to mitigation including REDD-plus, adaptation, capacity building, technology development and transfer;
- decides to establish a Technology Mechanism to accelerate technology development and transfer in support of adaptation and mitigation that will be guided by a country-driven approach and be based on national circumstances and priorities;
- calls for an assessment of the implementation of this Accord to be completed by 2015. This would include consideration of strengthening the long-term goal referencing various matters presented by the science, including in relation to temperature rises of 1.5°C.

The Accord also contains two appendices with blank tables to fill on Annex I parties' quantified economy-wide emission targets for 2020 and NAMAs by developing country parties.

ADOPTION OF THE REPORT: The COP then adopted the report of the session (FCCC/CP/2009/L.1). The COP also adopted a resolution expressing gratitude to the host country

(FCCC/CP/2009/L.4 and FCCC/KP/CMP/2009/L.5). Mexico thanked Denmark for hosting the Conference, saying delegates were received and welcomed by "warm people" and expressed gratitude to the Government and people of Denmark, especially the city of Copenhagen.

COP Vice-President Beck closed the meeting at 2:14 pm on Saturday, 19 December.

COP/MOP 5

COP/MOP President Connie Hedegaard opened COP/MOP 5 on Monday, 7 December. Delegates adopted the agenda (FCCC/KP/CMP/2009/1 and Add.1) and agreed to the organization of work.

Sudan, for the G-77/China, stressed that the core mandate of the ongoing negotiations is to define ambitious quantified emission reduction targets for future commitment periods. He emphasized the "huge" gap between Annex I emission reduction pledges and what is required by science, and said negotiations should result in separate agreements under the AWG-KP and AWG-LCA.

Australia, for the Umbrella Group, called for bold action and a strong legally-binding outcome that provides clarity on rules for the flexibility mechanisms and for land use, land-use change and forestry (LULUCF). He stated that the negotiations under the Protocol provide a foundation for a single new legally-binding treaty.

Grenada, for AOSIS, highlighted the Protocol as a central part of the climate change architecture and emphasized that its institutions must be reaffirmed and strengthened through ambitious emission reduction targets for the second and subsequent commitment periods, consistent with the science.

Lesotho, for the LDCs, said the Protocol is the only instrument in place to harmonize efforts to reduce emissions of greenhouse gases and stressed that the AWG-KP should be "steered away from" the AWG-LCA to maintain the distinction between the two tracks.

Switzerland, for the Environmental Integrity Group, called for a follow-up agreement to the Protocol in order for industrialized countries to continue, and to intensify, their emission reduction commitments. He called on all Annex I countries to take the lead in achieving the 2°C objective.

Sweden, for the EU, highlighted the need to arrive at an effective agreement in Copenhagen. He stressed that although the Protocol has been the primary tool for combating climate change since 1997, Copenhagen should result in a global, ambitious and comprehensive agreement that is more inclusive than the Protocol. He said developed countries should cut their emissions by 30% below 1990 levels by 2020 and that economically-advanced developing countries should take appropriate actions according to their responsibility and capacity.

REPORT OF THE AWG-KP: The COP/MOP plenary convened on Wednesday, 16 December to consider the report of the AWG-KP. AWG-KP Chair John Ashe (Antigua and Barbuda) presented the AWG-KP's report (FCCC/KP/AWG/2009/L.15), explaining that the AWG-KP had met in contact groups considering Annex I emission reductions, other issues and potential consequences. He underscored significant progress but regretted that parties were unable to reach agreement on amendments to the Kyoto Protocol. He expressed confidence that the COP/MOP would take appropriate action on the text developed by the AWG-KP. Tuvalu expressed "extreme disappointment" with lack of progress under the AWG-KP and,

opposed by India, urged consideration of parties' proposals for Protocol amendments as "a lifeboat for a sinking process." South Africa, for the G-77/China, supported by India, the Philippines, China, Algeria, for the African Group, Oman and Zambia, requested further time to resolve outstanding technical issues in the AWG-KP's text. The EU noted that the text was "well developed" and that political choices must now be made. COP/MOP President Hedegaard then outlined plans by the COP Presidency to table a package for the outcome, consisting of two texts that are "based substantially on the two texts forwarded by the AWGs." She said the texts would be available shortly. Many parties objected to the tabling of these texts, and stating that only the texts developed by the parties should form the basis of further work.

The COP/MOP plenary then re-convened on Thursday, 17 December. COP/MOP President Rasmussen said the documentary basis for work will be the texts presented by the AWG-KP Chair to the COP/MOP. He proposed, and parties agreed, to establish a contact group chaired by COP/MOP President's Special Representative Connie Hedegaard. He said the contact group would have a mandate to complete work on unresolved issues with a short deadline and that open-ended drafting groups would be convened, chaired by "people we know well and trust." Sudan, for the G-77/China, requested confirmation that the process would result in two separate documents and that no document that had not been agreed by the parties would be forwarded to the Heads of State and Government. COP/MOP President Rasmussen confirmed that negotiations will continue under two tracks and that the output will be two documents.

During the first meeting of the contact group, Chair Hedegaard explained that the contact group's mandate is to prepare the outcomes of Copenhagen emerging from the Protocol negotiating track and that the work of the group would be based on the text forwarded by the AWG-KP to the COP/MOP. She then proposed establishing five drafting groups on:

- Annex I emission reductions, co-facilitated by Gertraud Wollansky (Austria) and Leon Charles (Grenada);
- LULUCF, co-facilitated by Marcelo Rocha (Brazil) and Bryan Smith (New Zealand);
- flexibility mechanisms, facilitated by Harald Dovland (Norway);
- basket of methodological issues, also facilitated by Harald Dovland; and
- potential consequences, co-facilitated by Mama Konaté (Mali) and Andrew Ure (Australia).

Chair Hedegaard noted that the facilitators are the same ones that chaired the respective negotiations under the AWG-KP. She encouraged parties to identify issues that can be resolved at the expert level and those that need to be addressed at the political level.

Later that evening, the COP/MOP contact group convened to take stock of progress made during the afternoon and evening. Co-Facilitator Charles said that the group on Annex I emission reductions had discussed the draft COP/MOP decision and noted that there were still differences on several technical issues, including base years and the length and number of commitment periods. He identified issues requiring political attention: addressing surplus Assigned Amount Units (AAUs); the question of how to populate Annex B with quantified emission limitation or reduction objectives (QELROs), or in the absence of agreement on a Protocol amendment in Copenhagen,

how to reflect pledges moving forward; and a core decision defining further work if it were to continue due to lack of agreement at this time. Facilitator Dovland reported on work on methodological issues. He noted constructive discussions but said different views remained on the inclusion of new greenhouse gases and global warming potentials (GWPs).

On the flexibility mechanisms, he noted disagreement on: carbon capture and storage (CCS) under the Clean Development Mechanism (CDM); standardized baselines; share of proceeds; supplementarity; and regional distribution of CDM projects.

On LULUCF, Co-Facilitator Rocha highlighted that many parties preferred not to adopt a land-based approach at this time. He identified the need for further work on a possible cap for forest management. He said that further improvements to the text could be made but that choosing between options and addressing cross-cutting issues would facilitate consensus text.

On potential consequences, Co-Facilitator Ure noted impressive progress and flexibility, highlighting that consensus language had been reached on all issues except on the creation of a permanent forum to address potential consequences.

Chair Hedegaard then asked for parties' views on how to proceed. The EU recommended establishment of a "friends of the chair" group. South Africa, for the G-77/China, noted that significant progress on LULUCF may facilitate progress on Annex I emission reductions and that issues on the flexibility mechanisms and methodologies, in turn, could be unlocked by movement in Annex I emission reductions. He noted that "time is ripe" for informal consultations, but requested that such a group report back to the contact group in order to maintain construction of a party-driven consensus. Costa Rica, Papua New Guinea, Grenada, for AOSIS, the Gambia, for the African Group, Colombia, Guatemala, Lesotho, for the LDCs, and Australia supported the proposal to establish a "friends of the chair" group. Hedegaard said she will consult with parties on how to proceed with establishment of a "friends of the chair" group and closed the contact group meeting.

During the COP/MOP closing plenary on Saturday, 19 December, informal consultations took place on a draft COP/MOP decision to extend the AWG-KP's mandate. South Africa, supported by Algeria, proposed amending the decision to include reference to adoption of amendments pursuant to Protocol Article 3.9. The EU, Canada and Japan opposed. The COP/MOP was suspended to allow for informal consultations on this issue, and upon being reconvened, the Secretariat announced that the text would remain unchanged. The COP/MOP eventually agreed to extend the AWG-KP's mandate.

COP/MOP Decision: In its decision (FCCC/KP/CMP/2009/L.8), the COP/MOP: welcomes the progress of the AWG-KP on its work pursuant to decision 1/CMP.1 (Consideration of commitments for subsequent periods for Convention Annex I Parties under Protocol Article 3.9); requests the AWG-KP to deliver the results of its work pursuant to decision 1/CMP.1 for adoption by COP/MOP 6; requests the AWG-KP to continue its work drawing on the draft text forwarded as part of the report of its tenth session to COP/MOP 5 (FCCC/KP/AWG/2009/L.15); and mandates the host country for COP/MOP 6 to make the necessary arrangements to facilitate the work towards the success of that session.

REPORTS OF THE SUBSIDIARY BODIES: On 18 December, the COP/MOP adopted the reports of SBSTA 30 and 31 (FCCC/SBSTA/2009/3; FCCC/SBSTA/2009/L.13) and of SBI 30 and SBI 31 (FCCC/SBI/2009/8 and Add.1; FCCC/

SBI/2009/L.17 and Add.1). The COP/MOP plenary took note of SBI conclusions on: Annex I national communications and greenhouse gas inventory data (FCCC/SBI/2009/L.26); reporting and review of information from Annex I parties under the Protocol (FCCC/SBI/2009/L.23); annual compilation and accounting report for Protocol Annex B parties (FCCC/SBI/2009/L.24); and Protocol Article 3.14 (adverse effects and impacts of response measures) (FCCC/SBI/2009/L.25). The COP/MOP plenary also took note of SBSTA conclusions on Protocol Article 2.3 (adverse effects of policies and measures) (FCCC/SBSTA/2009/L.18).

Conclusions adopted by the SBSTA and SBI are summarized under the respective headings. Draft decisions forwarded to the COP/MOP and subsequent actions are summarized under the relevant COP/MOP agenda items.

PROPOSALS FOR PROTOCOL AMENDMENTS: This issue (FCCC/KP/CMP/2009/2-13) was first taken up by the COP/MOP plenary on Thursday, 10 December. The Secretariat explained that proposals had been received from: Australia; Belarus; Bolivia, for several countries; Colombia; Japan; the EU; New Zealand; Papua New Guinea; the Philippines; China, for several non-Annex I countries; and two from Tuvalu. Tuvalu, supported by Grenada, for AOSIS, stressed the Protocol's importance now and in the future and elaborated on its two proposals to amend the Protocol. Australia emphasized that her country needs more than a Protocol amendment from Copenhagen. She said a unified protocol would have certain advantages but that an outcome with two protocols is possible if they are linked as a package. The EU stressed its commitment to safeguarding the Kyoto Protocol's key elements. He said the AWG-KP process allows for comprehensive consideration of issues raised by the amendment proposals and underlined that a decision on Protocol amendments must be taken in the context of an overall agreement. Japan emphasized that the intention is not to ignore and bury the Kyoto Protocol, but "to expand the scope of responsibility and construct an expanded and more durable vehicle on the Kyoto foundation."

Ethiopia, for LDCs, said the issue is a controversial one as it is being discussed under both the AWG-KP and the COP/MOP. He expressed willingness to consider the issue in a contact group to see if the proposals contain ambitious targets and promote LDCs' interests. Brazil, supported by many developing countries, noted a proposal by 35 countries to amend Protocol Annex B based on the mandate in Protocol Article 3.9 (Annex I parties' further commitments). Many developing countries stressed that the most important task of COP/MOP 5 is to adopt a Protocol amendment to inscribe new commitments for developed countries in Annex B based on the mandate in Protocol Article 3.9. Some developing countries also highlighted the Kyoto Protocol as the only legally-binding instrument to mitigate climate change, urged continuing it in the second commitment period and opposed attempts to "kill" or supersede it, or make it redundant. Others also underscored continuation of the Protocol as a condition for an outcome in Copenhagen. Egypt, supported by several developing countries, said elements of the proposed Protocol amendments have also been submitted under the Convention and the AWG-LCA, lamented this "triplication" of efforts and urged focusing on "the real thing."

New Zealand said her country's preference is a single and unified post-2012 legal outcome that avoids duplication of efforts and institutions. Without prejudice to this, she said her country has proposed Protocol amendments, envisaging the

Kyoto Protocol as part of a fully integrated package with a legally-binding outcome under the Convention. Bolivia outlined a proposed Protocol amendment, emphasizing that developed countries have "expropriated more than their fair share of the earth's environmental space." She called for strong efforts by developed countries to reduce their over-pollution and over-consumption. Papua New Guinea agreed with the focus on Protocol Article 3.9, but supported by others, called for also considering forest issues and REDD. Colombia also noted her country's proposals to amend other aspects of the Protocol and expressed interest in discussing other countries' proposals. Tuvalu emphasized that unlike the AWG-KP's mandate, this agenda item relates to Protocol Article 20 under which any party may propose amendments. He stressed that if unable to reach consensus, the COP/MOP may take a decision by a three-quarters majority of parties present and voting.

On the way forward, COP/MOP President Hedegaard noted that many countries had supported establishing a contact group while many others preferred focusing on the AWG-KP. She proposed that AWG-KP Chair Ashe consult on the way forward and report back to the COP/MOP on Saturday, 12 December. Tuvalu, supported by Grenada, Kiribati, El Salvador, Costa Rica, the Cook Islands, the Marshall Islands, Palau and Belize, stressed the importance of the issue, urged its proper substantive consideration through a contact group and said delaying the issue until Saturday would not allow this. China, supported by Venezuela, Papua New Guinea, United Arab Emirates, Brazil, Nigeria and Bahrain, expressed sympathy for Tuvalu's proposal, but opposed discussing proposed Protocol amendments that "do not enhance the Protocol." He said issues such as share of proceeds and compliance could be discussed further, and suggested that: proposals related to Protocol Article 3.9 be referred to the AWG-KP; and a "limited number" of other proposals be selected for discussion under this agenda item. The EU opposed limiting issues for further consideration, identifying the need to reflect all proposals. The COP/MOP was then suspended for informal discussions. COP/MOP President Hedegaard subsequently reported that no solution had been found and suspended the meeting.

During the COP/MOP plenary on Saturday, 12 December, President Hedegaard noted ongoing consultations on how to proceed with the proposed Protocol amendments. Tuvalu stressed that their aim was not to merge the Kyoto Protocol with a new instrument but to preserve the legal architecture, including the Protocol. Calling for substantive discussions, he said it would be a "grave injustice" to defer the issue to another COP/MOP. Highlighting the focus on the adoption of "deep emission reductions" by Annex I parties and inconsistencies of the amendment proposal with the Convention, India called for proceeding with work "without sidestepping." COP/MOP President Hedegaard noted India's concerns, but said that informal consultations on the proposals will continue.

Outcome: During the closing plenary on 19 December, COP/MOP Vice-President Beck reported that consensus was not achieved on how to proceed. He noted that pursuant to rule 16 of the draft rules of procedure, the issue would be automatically included in the agenda of the next session.

CDM: Issues relating to the Clean Development Mechanism were first considered by the COP/MOP on Tuesday, 8 December. The CDM Executive Board (EB) presented its 2009 annual report (FCCC/KP/CMP/2009/16). Several parties encouraged the CDM EB to continue improving efficiency, transparency

and consistency of its decision-making. Many African countries stressed the need to continue improving regional distribution of CDM projects, as well as Africa's participation in the CDM. Niger called for measures to simplify project registration and promote African Designated Operational Entities (DOEs). Swaziland proposed requesting that the CDM EB prioritize a review of methodologies that could promote CDM projects in Africa.

Supported by Brazil, India opposed sectoral approaches, saying they could lead to benchmarking and, thus adversely affect developing countries' economic growth. Japan, Saudi Arabia, Algeria, the United Arab Emirates, Syria, Nigeria, Libya and others, opposed by Grenada and Tuvalu, stressed the importance of including CCS under the CDM. The EU called for specifying terms of reference for EB members concerning conflicts of interest and opposed the inclusion of reforestation of lands with forests in exhaustion and said forest management should be addressed under REDD-plus.

A contact group was established, co-chaired by Christiana Figueres Olsen (Costa Rica) and Kunihiko Shimada (Japan).

During the first contact group meeting, parties discussed the CDM EB's study on the implications of including CCS under the CDM. The Secretariat provided clarification on the process by which the CDM EB conducted the study, as requested by the COP/MOP President during the COP/MOP plenary. Co-Chair Figueres Olsen noted that because the CDM EB had been unable to reach conclusions on the study on CCS under the CDM or the mandate given to it by the COP/MOP, the matter was now back before the COP/MOP.

Discussions in the contact group were based on a draft COP/MOP decision prepared by the Co-Chairs. Parties also identified further issues that should be discussed by the group. The EU highlighted: standardized baselines; understaffing of the Secretariat; terms of reference for CDM EB members; and the possibility of a full-time CDM EB chair. China identified the need to improve transparency, fairness and efficiency in decision-making. Grenada and Brazil opposed the proposal for a full-time chair, noting the existence of a full-time Secretariat and highlighting that the proposal would only favor those countries that can support a full-time chair. Grenada also objected to adopting terms of reference for CDM EB members, highlighting that it may bias countries with limited CDM knowledge and expertise. Ethiopia, for the LDCs, proposed exempting small-scale projects in LDCs from the additionality requirement.

Parties conducted several readings of the draft text and several revisions were produced, incorporating parties' comments and proposals. Issues discussed by the group included governance, additionality, accreditation, CCS under the CDM, conflicts of interest of Board members, improving consistency, transparency and impartiality of the Board and its work, an appeals procedure, and means of improving the distribution of registered project activities.

On **Board members' conflicts of interest**, parties disagreed on whether and how to define conflicts of interest, particularly whether nationality and/or relationship to designated national authorities involved in specific projects would create a conflict of interest. The final text does not clarify when a conflict of interest is created, but requests publishing statements on conflicts of interest and details of past and current professional affiliations of members. Another controversial issue was the development of **standardized baselines** to select the baseline scenario. Brazil, China, Thailand, the Russian Federation and others, opposed

by the EU, Switzerland and Ethiopia, supported deletion of the reference. Parties eventually agreed to request the SBSTA to recommend modalities and procedures for the development of such baselines.

Inclusion of CCS under the CDM was supported by Australia, Saudi Arabia and others, but opposed by Brazil, Ethiopia, Grenada and others. Some parties wanted to postpone consideration of the matter to COP/MOP 6. Parties could not agree to extend CDM eligibility to CCS, but recognized its importance and requested the SBSTA to continue to work on its possible inclusion in the CDM. A COP/MOP decision was adopted on 19 December.

COP/MOP Decision: In its decision (FCCC/KP/CMP/2009/L.10), the COP/MOP requests the Board to:

- significantly improve transparency, consistency and impartiality in its work;
- take fully into account, in its work and that of its support structure, host country laws, regulations, policies, standards and guidelines;
- consolidate, clarify and revise, as appropriate, its guidance on the treatment of national policies;
- recommend terms of reference for membership of the Board that clarify the desired set of skills and expertise, as well as the expected time commitment required of members and alternates, for consideration at COP/MOP 6;
- establish, following consultations with stakeholders, procedures for considering appeals in relation to situations where a Designated Operational Entity may not have performed its duties in accordance with COP/MOP and/or Executive Board rules or requirements, or rulings taken by or under the authority of the Executive Board;
- develop top-down methodologies that are particularly suited for application in countries with fewer than ten CDM projects, and introduce a requirement that Designated Operational Entities indicate in their annual activity reports, the work they are undertaking on projects originated in these countries; and
- allocate financial resources from the interest accrued on the principal of the CDM Trust Fund, as well as any voluntary donor contributions, in order to provide loans to cover the costs of development of project design documents and of validation and first verification for these project activities, in countries with fewer than ten registered CDM projects.

The COP/MOP also:

- requests the SBSTA to recommend modalities and procedures for the development of standardized baselines that are broadly applicable, provide for a high level of environmental integrity, and take account of specific national circumstances, and to forward a draft decision to COP/MOP 6;
- invites parties, intergovernmental organizations and admitted observer organizations to submit their views on the matter of standardized baselines to the Secretariat, by 22 March 2010;
- requests the SBSTA to assess the implications of the recommendation regarding "forests in exhaustion" as contained in Annex I to the annual report of the CDM EB;
- recognizes the importance of CCS in geological formations as a possible mitigation technology, bearing in mind concerns related to outstanding issues, requests the SBSTA to continue to work on the possible inclusion of CCS in geological formations in the CDM with a view to COP/MOP 6 adopting a decision on this matter, and invites parties to submit their views on these issues to the Secretariat by 22 March 2010;

- requests that the curricula vitae of Board members, statements on conflicts of interest and details of any past and current professional affiliations of members be published on the UNFCCC CDM website;
- decides to defer payment of the registration fee until after the first issuance for countries with fewer than ten registered CDM project activities; and
- requests the Secretariat to implement the staffing requirements in the CDM management plan in an expeditious manner.

JOINT IMPLEMENTATION: This issue was first taken up by the COP/MOP on 8 December. The Joint Implementation Supervisory Committee (JISC) presented its 2009 annual report (FCCC/KP/CMP/2009/18). The EU encouraged parties to pledge sufficient funding to the JISC. China, supported by Nigeria, Syria, Oman and Brazil, stressed the need to mobilize funding for the Adaptation Fund. David Lesolle (Botswana) and Pedro Martins Barata (Portugal) co-chaired a contact group.

At the first contact group meeting, Co-Chair Lesolle identified the following issues as requiring consideration: resources for the JISC, including the Joint Implementation (JI) management and budget plans for 2010-2011 and the need for predictable and adequate funding; further guidance to the JISC as appropriate; and guidance to the Secretariat regarding the JI track 1 procedure, including information from parties and input by the Secretariat. The Secretariat presented a summary of the JISC report, including an overview of the operation and status of JI. China noted that the Chair had not mentioned the issue of extending the share of proceeds levy to JI, as raised by parties in plenary. Co-Chair Lesolle noted that this could be included under further guidance on JI.

A draft COP/MOP decision was subsequently produced by the Co-Chairs and parties were able to agree on all paragraphs with the exception of a paragraph on extending the share of proceeds to JI. The Russian Federation and Ukraine, opposed by the G-77/China, proposed deleting this paragraph. Australia, supported by several others, highlighted ongoing discussions on financing under other bodies, and Ukraine noted that this issue is also being discussed under the AWG-KP. Japan noted that a decision extending the share of proceeds would require a Protocol amendment. Sierra Leone proposed specifying that the share of proceeds will be paid into the Adaptation Fund. The Russian Federation, supported by Ukraine, proposed a new option, which states that the share of proceeds would be paid into the Adaptation Fund "on a voluntary basis." New Zealand said the drafting of the option of taking no decision on the issue is misleading and proposed amending the option to state that no decision would be taken on the issue within this contact group, noting that this issue was being discussed elsewhere and a decision could be taken there. After several consultations, both informal and bilateral, the reference to extending the share of proceeds to JI was deleted.

A COP/MOP decision was adopted on 18 December.

COP/MOP Decision: In its decision (FCCC/KP/CMP/2009/L.7), the COP/MOP *inter alia*:

- adopts the revised JISC rules of procedure, as contained in Annex I to document FCCC/KP/CMP/2009/19 (Part I) and Corr. 1;
- encourages the JISC, designated focal points, independent entities, project participants and stakeholders to make every effort to contribute towards a more transparent, consistent, predictable and efficient verification procedure;

- endorses the revision to the fee structure as recommended by the JISC;
- notes that income from the charging of fees to cover administrative costs relating to the activities of the JISC will continue to accrue during the biennium 2010-2011 and that income from fees may cover the administrative expenses only as of 2012;
- notes with concern that the income accrued to date from the charging of fees is significantly lower than the level required to cover the estimated administrative costs relating to JISC activities;
- requests the JISC to report to COP/MOP 6 on a financial and budget projection up to 2012, including an analysis of when and under which conditions the JISC will become self-financing; and
- urges Annex I parties to make contributions to the Trust Fund for Supplementary Activities for funding the work on JI in the biennium 2010-2011 at a level that would ensure the thorough and timely implementation of the JI management plan.

COMPLIANCE: This issue was taken up by the COP/MOP in plenary on Wednesday, 9 December. The Compliance Committee presented the Committee's report (FCCC/KP/CMP/2009/17), highlighting, *inter alia*, its consideration of two questions of implementation with respect to Croatia. Croatia expressed disappointment with the decision not to approve its request regarding calculation of its Assigned Amount and commitment period reserve and noted its intention to appeal the decision. Informal consultations were conducted by Jürgen Lefevere (EU) and the COP/MOP adopted the decision on 18 December.

COP/MOP Decision: In its decision (FCCC/KP/CMP/2009/L.4), the COP/MOP: urges Convention Annex I parties that have not yet submitted their fourth national communications and relevant supplementary information, to do so; notes interest in the COP/MOP Compliance Committee concluding adequate legal arrangements on privileges and immunities for individuals serving on constituted bodies, as early as possible; also notes the continuing concerns of the Compliance Committee regarding funding for travel costs to, and participation in, Committee meetings; and invites parties to make voluntary contributions to the Trust Fund for Supplementary Activities in support of the Committee's work in the biennium 2010-2011.

PROTOCOL AMENDMENT IN RESPECT OF COMPLIANCE: On Thursday, 10 December, the COP/MOP agreed to defer its consideration of this item to COP/MOP 6.

ADAPTATION FUND: Adaptation Fund Board's Report: This matter was first taken up by the COP/MOP on 9 December. It was then considered by a contact group and informal consultations co-chaired by Agus Purnomo (Indonesia) and Vanesa Alvarez Franco (Spain).

The Adaptation Fund Board (AFB) presented the Board's report (FCCC/KP/CMP/2009/14), highlighting actions taken to operationalize the Adaptation Fund, including: adoption of policies and guidelines for accessing funds; commencement of the monetization of certified emission reductions (CERs); and the decision to accept Germany's offer to confer legal capacity on and host the Board. He also noted the inadequacy of available funds from the sale of CERs to achieve the objective of the Fund and functions of the Board.

Ghana, supported by Senegal, proposed amendments to the Board's rules of procedure to enable the Board to be represented by its Chair and Vice-Chair. Uruguay, Senegal and Jamaica called on the international community to provide more financial support to the Fund. Afghanistan stressed that adaptation funding must be additional to, and separate from, official development assistance (ODA). Mauritania urged simplification of procedures to access funding in order to ensure eligible countries can benefit. India outlined that deeper emission cuts by developed countries would positively impact the price of CERs, which would be beneficial to the Fund. He also highlighted the need for additional contributions to the Fund though JI credits.

The COP/MOP adopted a decision on 18 December.

COP/MOP Decision: In its decision (FCCC/KP/CMP/2009/L.2), the COP/MOP, *inter alia*: endorses the decision of the AFB to accept the offer of Germany to confer legal capacity on the AFB and invites Germany to take the necessary measures in this regard; decides that the Chair and Vice-Chair of the AFB shall jointly serve as legal representatives of the Board; and adopts the amendments to the rules of procedure.

Adaptation Fund's Review: This decision was forwarded from SBI 30 and was adopted the COP/MOP on 18 December.

COP/MOP Decision: In its decision (FCCC/SBI/2009/8/Add.1), the COP/MOP requests SBI 32 to initiate the review of the Adaptation Fund and agree on the terms of reference for the review and report back to COP/MOP 6 so that the review can be undertaken by COP/MOP 6.

REVIEW OF IMPLEMENTATION OF COMMITMENTS AND OTHER PROTOCOL PROVISIONS: Capacity

Building under the Protocol: The COP/MOP adopted the decision (FCCC/SBI/2009/L.20) forwarded by the SBI.

COP Decision: In its decision, the COP/MOP requests the SBI to continue its consideration of the second comprehensive review of the implementation of the capacity-building framework in developing countries at SBI 32, with a view to preparing a draft decision on the outcome of this review for adoption by COP/MOP 6, and decides to complete the consideration of the review at COP/MOP 6.

PROPOSAL FROM KAZAKHSTAN TO AMEND PROTOCOL ANNEX B:

The Secretariat explained that Kazakhstan will be considered an Annex I party under the Protocol while remaining a non-Annex I party under the Convention (FCCC/CP/2001/13/Add.4). He specified that Kazakhstan has ratified the Protocol and submitted an amendment proposal to be included in Annex B in September 2009. Kazakhstan said her country's transition to a low-emission economy requires using the carbon market and private investment. The Russian Federation and Kyrgyzstan supported the proposal. The EU recognized Kazakhstan's aspiration to join Annex B, while highlighting the need to comply with legal requirements relating to Annex B amendments. She supported deferring the issue to COP/MOP 6. Kazakhstan stressed that her country has been communicating relevant information to parties since June. Stephan Michel (Switzerland) consulted informally.

During the closing plenary on 18 December, COP/MOP Vice-President Barkindo reported that the informal consultations resulted in draft conclusions.

COP/MOP Conclusions: In its conclusions (FCCC/KP/CMP/2009/L.3), the COP/MOP, *inter alia*: takes note of Kazakhstan's proposal to amend Protocol Annex B to include its name; notes that if Kazakhstan is considered to be in compliance with the requirements set out in the "Guidelines for the

implementation of Article 6 of the Kyoto Protocol," Kazakhstan would be considered to be eligible to participate in JI; requests the Secretariat to conduct an annual technical review of the latest greenhouse gas inventory submission of Kazakhstan, and also to communicate the text of the proposed Annex B amendment to parties and signatories; and requests SBI 32 to consider the proposal to include Kazakhstan's name in Protocol Annex B and to report on the outcome to COP/MOP 6.

ADMINISTRATIVE, FINANCIAL AND INSTITUTIONAL MATTERS: Budget performance in 2008-2009:

The COP/MOP adopted a draft decision.
COP/MOP Decision: In its decision (FCCC/SBI/2009/L.21/Add.2) the COP/MOP calls upon parties that have not paid their contributions to the core budget and the international transaction log to do so and expresses appreciation for the contributions received from parties to the Trust Fund for Participation in the UNFCCC Process and to the Trust Fund for Supplementary Activities. The COP/MOP reiterates its appreciation to Germany for its annual voluntary contribution to the core budget of €766,938 and its special contribution of €1,789,522 as host country to the Secretariat.

Budget for 2010-2011: The COP/MOP adopted decision FCCC/SBI/2009/8/Add.1.

OTHER MATTERS REFERRED TO THE COP/MOP

BY THE SUBSIDIARY BODIES: On 18 December, the COP/MOP adopted a decision on an updated programme for members of expert review teams participating in annual reviews (FCCC/SBI/2009/8/Add.1) forwarded by SBI 30.

CLOSING PLENARY: The COP/MOP adopted the report of the session (FCCC/KP/CMP/2009/L.1) and a resolution (FCCC/KP/CMP/2009/L.5) by Mexico commending Denmark for the excellent arrangements at COP/MOP 5. COP Vice-President Beck closed the session at 2:36 pm on Saturday, 19 December.

AWG-LCA 8

The AWG-LCA opening plenary convened on Monday, 7 December. Chair Michael Zammit Cutajar (Malta) reminded parties that the AWG-LCA has to conclude its work in Copenhagen. Parties adopted the agenda and agreed to the organization of work (FCCC/AWG/LCA/2009/15 and 16).

Sudan, for the G-77/China, called on parties to fulfill the mandate of the BAP and to reject attempts to shift responsibility onto developing countries. Grenada, for AOSIS, said all elements of a legally-binding agreement that guarantees survival of SIDS and other vulnerable developing countries are embedded in the existing text, but that political will is required to realize an agreement. Lesotho, for the LDCs, called for a legally-binding agreement prioritizing adaptation and scaling up financing. Australia, for the Umbrella Group, underscored the importance of MRV.

Sweden, for the EU, highlighted the importance of: increased ambition on mid-term reductions; inclusion of emissions from the international aviation and maritime transport sectors; fast-track and long-term financing that includes the private sector and carbon markets; and action on a performance-based mechanism for REDD.

Switzerland, for the Environmental Integrity Group, supported a registry for nationally appropriate mitigation actions (NAMAs), without prejudicing how it would be institutionalized, and a robust MRV process. Algeria, for the African Group, said the AWG-LCA must set commitments for developed countries

that are not Protocol parties that are comparable to those taken by other developed countries under the Protocol in the second commitment period.

Cuba, for the Bolivarian Alliance for the Peoples of Our America (ALBA), consisting of Antigua and Barbuda, Bolivia, Cuba, Dominica, Ecuador, Nicaragua, Saint Vincent and the Grenadines, and Venezuela, called for developed countries to honor their climate debt and rejected attempts to transfer responsibilities to developing countries.

Costa Rica spoke for countries belonging to the Central American Integration System, consisting of Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama and the Dominican Republic. He called for an outcome that is consistent with the UNFCCC and Protocol and urged developed countries to show leadership.

LONG-TERM COOPERATIVE ACTION: On 7 December, Chair Zammit Cutajar noted the report of AWG-LCA 7 (FCCC/AWGLCA/2009/14), containing the compilation of the latest non-papers on each element being discussed under the agenda item. He also noted agreement in Barcelona to work in one contact group in Copenhagen. On the way forward, he said the contact group would begin working on 8 December and that it would launch drafting groups to produce agreed text on all the elements of the BAP, using the non-papers as a starting point. He said the groups would produce text in the form of draft COP decisions, stressing that this would not prejudice the legal form of the agreed outcome and that parties had the right to bring forward proposals on a different legal form.

During the first meeting of the contact group on 8 December, parties agreed to establish informal drafting groups on:

- a shared vision, facilitated by Sandea de Wet (South Africa);
- finance, co-facilitated by Farrukh Khan (Pakistan) and Jukka Uosukainen (Finland);
- technology, co-facilitated by Kishan Kumarsingh (Trinidad and Tobago) and Kunihiko Shimada (Japan);
- capacity building, co-facilitated by Lilian Portillo (Paraguay) and Georg Børsting (Norway); and
- adaptation, co-facilitated by William Kojo Agyemang-Bonsu (Ghana) and Thomas Kolly (Switzerland).

On mitigation, Chair Zammit Cutajar suggested that drafting groups will meet on:

- nationally appropriate mitigation actions (NAMAs), supported by public finance, facilitated by Margaret Mukahanana-Sangarwe (Zimbabwe);
- REDD-plus, facilitated by Tony La Viña (Philippines);
- general aspects of sectoral approaches and the agriculture sector, facilitated by Magdalena Preve (Uruguay); and
- response measures, facilitated by Richard Muyungi (Tanzania).

Chair Zammit Cutajar further explained that mitigation issues not considered by drafting groups will first be addressed in closed informal consultations under his chairmanship.

Chair Zammit Cutajar also proposed that consultations be conducted on non-market approaches to cost-effectiveness, facilitated by María del Socorro Flores (Mexico), and cross-cutting issues such as sources and scales of adaptation funding, and matching NAMAs with support. Chair Zammit Cutajar also consulted with parties bilaterally on the legal form of the outcome. Key issues discussed by the informal drafting groups are summarized below.

Shared Vision: Parties discussed a shared vision for long-term cooperative action in a drafting group. Negotiations were based on non-papers Nos. 33, 43, 37 and 38, forwarded from the Barcelona session and contained in document FCCC/AWGLCA/2009/14. Discussion led to shortening the text and making it more operational.

The main issues discussed included references to the Convention and the Protocol, historical responsibility and leadership by developed countries on mitigation and financing. Differences persisted on a long-term goal for emission reductions, trade measures and a long-term goal for financing.

The G-77/China underlined gaps in the implementation of the Convention, opposed by some developed countries, including the US and Australia. Parties also deliberated on the role of the Protocol, with the G-77/China and AOSIS supporting a reference to the ongoing role of the Protocol and Canada opposing it saying it prejudices the legal form of the outcome.

Turkey and Belarus proposed a reference to special circumstances of parties, including countries with economies in transition. The G-77/China underlined historical responsibility, with Bolivia stressing also climate debt and relationship of climate change with human rights. Saudi Arabia opposed a reference to taking into account the IPCC assessment reports in the review of a shared vision.

Many countries supported a goal of keeping temperature increase below 2°C above pre-industrial levels, with AOSIS underlining 1.5°C and Bolivia 1°C. Different views also remained on the required global and developed country emission reductions, and on peaking of emissions. No agreement was reached and options remain bracketed in the text. The G-77/China highlighted the importance of text requiring developed countries to refrain from unilateral protectionist trade measures, which was opposed by some developed countries.

Outcome: The AWG-LCA adopted conclusions, where it decides to present a draft decision on the outcome of the AWG-LCA for consideration and adoption by COP 15 (FCCC/AWGLCA/2009/L.7/Rev.1). The preamble and the first section of this draft decision capture the results of the negotiations on a shared vision.

Mitigation: Sub-paragraph 1(b)(i) of the BAP: The issue of mitigation by developed countries (sub-paragraph 1(b)(i) of the BAP) was first addressed in a drafting group facilitated by Karsten Sach (Germany). Parties focused discussions on non-paper No. 50 forwarded from the Barcelona session contained in Annex IIIA of document FCCC/AWGLCA/2009/14. Differences persisted on the nature of mitigation by developed countries, a collective reduction goal, comparability of efforts, relationship with the Kyoto Protocol, and MRV.

The G-77/China underlined that the text should apply to Annex I countries that are not parties to the Kyoto Protocol, who should take legally-binding economy-wide quantified emission reduction commitments in the mid- and long-term. The EU and Canada suggested this section applies to both Annex I parties and other countries wishing to take binding QELROS. Several developed countries, including the EU and US, opposed references to the second commitment period of the Kyoto Protocol. AOSIS underlined the importance of developed country mitigation in line with science and in a legally-binding form. Australia and Japan suggested discussing common mitigation elements applicable to both developed and developing countries.

Sub-paragraph 1(b)(ii) of the BAP: Parties began discussions on mitigation by developing countries under sub-paragraph 1(b)(ii) of the BAP in a drafting group on NAMAs, supported by public finance. Parties based discussions on non-paper No. 51, forwarded from the Barcelona session contained in Annex IIIB of document FCCC/AWGLCA/2009/14. Bilateral consultations also took place on unilateral NAMAs.

Parties mainly reiterated their positions and differences persisted on a number of issues, including the role of low-carbon emission strategies in relation to NAMAs, a NAMA mechanism and who should provide support for NAMAs and MRV.

The G-77/China opposed and the EU and other developed countries supported low-carbon emission strategies. On a NAMA mechanism, the G-77/China supported establishing a registry for actions and support. The Group also reiterated that support for NAMAs comes from public sources in developed countries, while some developed countries, including Canada and Australia, preferred a more inclusive approach. The US, Australia, Canada and others supported international MRV of NAMAs. Many developing countries stressed this should be conducted at the domestic level.

Sub-paragraph 1(b)(iii) of the BAP: In the sub-group on REDD-plus, parties met in an informal drafting group to consider text from Annex III.C of document FCCC/AWGLCA/2009/14. Initial consultations on REDD-plus addressed scope and objectives. Parties discussed whether the scope should include percentage goals and whether specific activities that comprise REDD-plus should be listed. Parties then considered text on safeguards and began discussing reference levels. Consultations continued on MRV and finance.

Sub-paragraph 1(b)(iv) of the BAP: On sectoral approaches, parties met in an informal drafting group to continue work based on Annex III.D of document FCCC/AWG/LCA/2009/14. Parties discussed draft text on agriculture and focused on a decision text to develop a SBSTA work programme on agriculture. Concerns were raised with respect to the inclusion of reference to adaptation, food security, trade and offsets in the text.

On bunker fuels, the co-facilitators of the bunker fuel drafting group developed a draft text and parties exchanged views on reducing options in the text.

Sub-paragraph 1(b)(v) of the BAP: The sub-group on various approaches to enhance the cost-effectiveness of, and to promote, mitigation actions, was facilitated by María del Socorro Flores (Mexico). Discussions were conducted through informal consultations and were based on Annex III.E of FCCC/AWG/LCA/2009/14.

Many parties supported discussing both market- and non-market-based approaches, while some preferred discussing only non-market-based approaches. Venezuela and Bolivia, in particular, objected to discussions of market-based-approaches and inclusion of these in the new draft text. Others, such as South Africa, Brazil, China and some other developing countries said such discussions could only proceed after Annex I parties undertake legally-binding QELROs. Most Annex I parties, as well as some Latin American ones such as Peru and Chile supported inclusion and discussion of market-based approaches.

On HFCs, the controversy surrounded text encouraging or urging parties to pursue HFC regulation under the Montreal Protocol on Substances that Deplete the Ozone Layer. Currently HFCs are regulated by the Kyoto Protocol, but during previous sessions, some parties proposed also having the Montreal Protocol regulate HFCs. The EU and the Federated States of

Micronesia, opposed by Brazil, India and China, supported the inclusion and discussion of this issue. According to China and India, since the Montreal Protocol is an entirely different process, it is not appropriate to give instructions to its parties. They also pointed out that this issue was already being discussed by the Montreal Protocol and there was no need to duplicate discussions here. Regarding the option for promoting the voluntary implementation of mitigation actions, including actions with near-term effects, several parties, including India and China, objected to its inclusion. The Federated States of Micronesia encouraged parties not to reject the entire option just because they object to some of the possible actions with near-term effects, such as HFC regulation.

Sub-paragraph 1(b)(vi) of the BAP: The sub-group on response measures, facilitated by Richard Muyungi, considered Annex III.F of document FCCC/AWGLCA/2009/14. Parties exchanged views on draft conclusions on response measures and reduced options on other topics including trade and whether a forum is needed. Parties could not agree on the appropriate approach for exchanging information, with many developing countries preferring a permanent forum and developed countries expressing concern with language on institutional structure. Some developed countries also suggested a reference to a focus on vulnerable and least developed countries.

Outcome: The AWG-LCA presented the draft conclusions including on mitigation (Sub-paragraphs 1(b)(i)-(vi) of the BAP) (FCCC/AWGLCA/2009/L.7/Add.7/Rev.1) to COP 15 for consideration and adoption. They also sent draft thematic decisions to the COP on:

- Sub-paragraph 1(b)(i) of the BAP, on nationally appropriate mitigation commitments or actions by developed country parties (FCCC/AWGLCA/2009/L.7/Rev.1);
- Sub-paragraph 1(b)(ii) of the BAP, on mitigation including NAMAs by developing country parties (FCCC/AWGLCA/2009/L.7/Rev.1), and on a NAMA mechanism (FCCC/AWGLCA/2009/L.7/Add.5);
- Sub-paragraph 1(b)(iii) of the BAP, on REDD-plus (FCCC/AWGLCA/2009/L.7/Add.6);
- Sub-paragraph 1(b)(iv) of the BAP, on sectoral approaches (FCCC/AWGLCA/2009/L.7/Add.9);
- Sub-paragraph 1(b)(v) of the BAP, on economic and social consequences of response measures (FCCC/AWGLCA/2009/L.7/Add.7); and
- Sub-paragraph 1(b)(vi) of the BAP, various approaches, including markets (FCCC/AWGLCA/2009/L.7/Add.7).

The text remains heavily bracketed.

Adaptation: Parties conducted discussions in a drafting group. Some progress was with regard to an adaptation framework or programme, objectives and principles, and categories of action. Differences persisted on, *inter alia*, vulnerabilities, response measures, a loss and damage mechanism, assessment of adaptation actions and support for adaptation. The LDCs and AOSIS proposed a reference to special concerns of LDCs, SIDS and African countries in the text on adaptation. Several developing countries, including Peru and Colombia, stressed other vulnerabilities. Saudi Arabia proposed also addressing adaptation to impacts of response measures, which was opposed by many other countries.

AOSIS supported developing a mechanism to address loss and damage. AOSIS, with several other developing countries, also opposed arrangements for reporting and assessment of adaptation actions.

On support for adaptation, parties discussed the placement of specific issues with a view to avoiding duplication with the section on financing, in particular concerning: scale and sources of financing; institutional arrangements; provision of support; and specific modalities.

Outcome: The AWG-LCA adopted conclusions, where it decides to present a draft decision on the outcome of the AWG-LCA (FCCC/AWGLCA/2009/L.7/Rev.1) and several draft thematic decisions for consideration and adoption by the COP 15. In addition, a separate thematic decision addresses adaptation (FCCC/AWGLCA/2009/L.7/Add.1).

Finance: This item was considered during informal consultations and drafting groups co-facilitated by Farrukh Khan (Pakistan) and Jukka Uosukainen (Finland). Parties centered the majority of their discussions on institutional arrangements for a financial mechanism, although the generation and provision of financial resources were also addressed.

On institutional arrangements, debate centered on whether to “operationalize” or “strengthen” the financial mechanism of the Convention. Difficulties were expressed with, among other things, listing commitments contained in Convention Article 4 (commitments) and language on a governing body allocating funds among thematic areas. When a possible organizational structure was considered, several parties expressed concern that the administrative layers envisaged, comprising the COP, a high-level body or executive body, the funds and funding windows, which they said could prove to be burdensome and bureaucratic. Others highlighted the importance of determining the functions of the high-level board as well as the need for a monitoring function for financial commitments. A non-paper was subsequently produced reflecting bracketed elements on, *inter alia*: commitment to operationalize the financial mechanism; the concept of a body with various functions; a facilitative and verification function for the body; governance; and the establishment of a fund or funds. There was general support for a possible high-level level finance committee to assist the COP and a climate fund or facility. When discussions took place on the trustee for the financial mechanism, developed countries generally preferred that the World Bank should act as the trustee, while many developing countries preferred new arrangements to overcome problems experienced with the current financial mechanisms. Divergent views were also expressed on the composition and nomination of the board and its corresponding functions.

Outcome: The AWG-LCA presented the decision on the provision of financial resources and investment (FCCC/AWGLCA/2009/L.7/Add.2/Rev.1) to COP 15 for consideration and adoption.

Technology: This item was considered during informal consultations. The main issues for consideration were the establishment of a technology mechanism with a technology executive committee and a climate executive center, which parties were able to agree on. Parties envisaged the technology mechanism undertaking preparatory work and technology-related activities for mitigation and adaptation and the implementation of those actions. Discussions focused on the functions of these technology entities and activities eligible for support. Developing countries also sought a clear linkage between the technology mechanism and financial arrangements under the COP, with a list of activities eligible for support to ensure that proposals would receive financing. Developed countries maintained that the consideration of financial matters was not within the purview

of the technology group. Although parties made progress on the technology text, they were not able to agree on the reporting line between the committee and the center or the link between the committee and agreement on finance and the issue of intellectual property rights.

Outcome: The AWG-LCA presented the decision on enhanced action on technology development and transfer (FCCC/AWGLCA/2009/L.7/Add.3) to COP 15 for consideration and adoption.

Capacity Building: Discussions in the sub-group on capacity building were based on Annex VI of document FCCC/AWGLCA/2009/14. Several revised draft COP decisions on capacity building were produced based on discussions during the session.

In particular, discussions focused on enhancing capacity building and the necessary institutional arrangements for this. Parties were not able to agree on several issues. Most of the revised text therefore contained several options on various issues, and parties focused on cleaning up the text in order to provide clear options, rather than on selecting specific options. The issues on which parties could not reach agreement include: capacity-building activities that require financing, with some parties preferring to conduct finance-related discussions only in the AWG-LCA contact group on finance; the issue of performance indicators for measuring support for capacity-building activities, with most developing countries supporting, and most developed countries opposing, reference to this; and institutional arrangements for addressing capacity building, with several developing countries, opposed by some developed countries, proposing establishment of a technical panel on capacity building.

Outcome: The AWG-LCA adopted conclusions, where it decides to present document FCCC/AWGLCA/2009/L.7/Add.4 consisting of a draft thematic decision on capacity building for consideration and adoption by COP 15.

CLOSING PLENARY: The AWG-LCA closing plenary convened at 4:45 am on Wednesday, 16 December. Chair Zammit Cutajar explained that the AWG-LCA’s work is envisaged as a “package” and was being presented as a “core COP decision” and series of thematic decisions (FCCC/AWGLCA/2009/L.7 and Adds.1-9). He stressed that this is without prejudice to the legal form of the outcome and that “nothing is agreed until everything is agreed.” He highlighted that the objective is to transmit the texts to the COP.

Chair Zammit Cutajar identified the “core decision” (FCCC/AWGLCA/2009/L.7) as some of the “less mature elements” of the package. He explained that a preambular paragraph had been added during the day on special circumstances of countries with economies in transition. He said no input had been provided from informal ministerial consultations to those parts of the “core COP decision” where placeholders had been inserted and that paragraphs from the earlier version had therefore been reinserted. Chair Zammit Cutajar said he had attempted to indicate areas of disagreement by bracketing parts of the text but that these indications of divergence were “not sufficient” and consultations had therefore taken place in the past few hours on this issue. He then invited the US to indicate how their views might be better reflected.

On developed country mitigation, the US requested bracketing numbers referring to aggregate range of emission reductions, and for inserting a bracketed option “x” and a footnote explaining that “x is equal to the sum of the reductions by parties.” The

US stressed the need for a structure that is “very different” from the Kyoto Protocol, based on a bottom-up structure and actions implemented domestically. On developing country mitigation, the US proposed bracketing the entire section and inserting words “option one.” He called for inserting “option two” consisting of “alternatives suggested by parties,” and highlighted that this gives a “clear sense of different ways to think about this problem” and the need for “fundamental revisions.”

Algeria requested going through all the decisions included in the package one-by-one. Many parties then expressed their concern with the texts and provided detailed proposals for changes, focusing first on document FCCC/AWGLCA/2009/L.7. Sudan, for the G-77/China, suggested bracketing text in the section on finance, in particular with regard to developed country pledges for short-term financing. Bangladesh, for the LDCs, with Tanzania and the Cook Islands, for AOSIS, proposed a reference to special concerns of LDCs, SIDS and African countries in the text on adaptation. Norway and Mexico said their proposals on financing arrangements should be reflected in full. Bolivia noted, *inter alia*, her country’s textual proposals on a shared vision and indigenous peoples. Japan noted “strong concerns” on, *inter alia*, mitigation and legal outcome. The EU stressed the need to convey their concerns to the COP President on issues including on a legally-binding outcome and mitigation.

Chair Zammit Cutajar stressed that parties would have the opportunity to continue discussions under the COP and requested that they agree to send the texts forward. After parties continued providing detailed proposals for changing the text, he indicated that so many changes had been suggested it would not be possible to reproduce the texts in time for the COP plenary. Brazil stressed the need for having text forwarded to the COP and Costa Rica expressed willingness to start negotiations at “another level.”

At 6:30 am, Chair Zammit Cutajar proposed, and parties agreed, to adopt the entire package as “unfinished business.” Parties adopted the report of the session (FCCC/AWGLA/2009/L.6). Many parties thanked the Chair for his hard work. Chair Zammit Cutajar closed the session at 6:50 am.

AWG-KP 10

The AWG-KP opening plenary took place on Monday, 7 December. Chair John Ashe (Antigua and Barbuda) explained that the AWG-KP’s mandate is to develop a proposal for amending the Protocol and define quantified emission reduction commitments for Annex I parties for the post-2012 period. He urged parties not to be distracted from this task. He also noted that documentation to assist negotiations had been developed (FCCC/KP/AWG/2009/10/Rev.3, Add.1/Rev.2, Add.2, Add.3/Rev.3, and Add.4/Rev.2; and FCCC/KP/AWG/2009/12/Rev.2). Parties then adopted the agenda and organization of work (FCCC/KP/AWG/2009/15 and 16).

Sudan, for the G-77/China, expressed concern at the “insistence” of Annex I parties on a single outcome in Copenhagen and urged parties to build on the Protocol’s success by establishing more ambitious targets for the second commitment period, as well as developing the means to address the potential consequences of Annex I parties’ policies and measures on developing countries.

Sweden, for the EU, said that a Copenhagen deal must deliver concrete results and include all the essential components of the Kyoto Protocol. He highlighted that climate change science requires emissions to peak no later than 2020 and halve by 2050

in order to keep global warming below 2°C, and stated that the Kyoto Protocol alone cannot achieve this. He called for a global, ambitious and comprehensive agreement in Copenhagen.

Noting the need for rules on markets and LULUCF, Australia, for the Umbrella Group, called for broad and effective participation of all parties under a single, new legally-binding agreement.

Grenada, for AOSIS, stressed that emissions must peak by 2015 to avoid catastrophic impacts for vulnerable countries such as SIDS, and to minimize the risks of irreversible impacts. She emphasized the economic and technical feasibility of 45% emission reductions by 2020 and 95% reductions by 2050. She said the current Annex I pledges, amounting to 13-19% reductions below 1990 levels by 2020, are inadequate.

Lesotho, for the LDCs, stressed the Protocol as critical to the UNFCCC process and identified ambitious emission reductions by Annex I parties as the only way to reduce the already evident impacts of climate change. He called for targets to limit temperature increase to 1.5°C and keep greenhouse gas concentrations below 350 ppm. He said that ending the Protocol is unacceptable and urged maintaining a distinction between the two negotiating tracks.

Switzerland, for the Environmental Integrity Group, called for continuing the Protocol’s key elements, including quantified and legally-binding objectives, the flexibility mechanisms and a transparent monitoring system.

ANNEX I FURTHER COMMITMENTS: AWG-KP Chair Ashe said this agenda item is divided into four main components, namely: Annex I parties’ aggregate and individual emission reduction commitments; other issues identified in paragraph 49(c) of the report of AWG-KP 6 (FCCC/AWG/2008/8); potential consequences; and legal matters. He said that in accordance with the agreement reached at AWG-KP 9 in Barcelona, 60% of the available time would be allocated to the group on Annex I emission reductions.

Parties subsequently agreed to establish four contact groups on:

- Annex I emission reductions, co-chaired by Leon Charles (Grenada) and Gertraud Wollansky (Austria);
- other issues, chaired by AWG-KP Vice-Chair Harald Dovland (Norway);
- potential consequences, co-chaired by Mama Konaté (Mali) and Andrew Ure (Australia); and
- legal matters, co-chaired by María Andrea Albán Durán (Colombia) and Gerhard Loibl (Austria), to meet only if requested by the other contact groups.

Annex I Emission Reductions: Discussions took place in contact groups and informal consultations and key issues discussed included: length and number of commitment periods; options for amending Annex B of the Kyoto Protocol; base or reference years; use of flexibility mechanisms and LULUCF in the pledges; a reasonable level of ambition for aggregate and individual Annex I emission reductions; starting points for translating pledges into QELROs; and surplus AAUs.

On *pledges*, China, Algeria, Bolivia, Venezuela and AOSIS emphasized the need for ambitious commitments from Annex I parties. The Russian Federation highlighted its recent pledge to reduce emissions by 20-25% from 1990 levels by 2020. Several countries, including Japan and the Russian Federation, noted that their pledges are contingent on a comprehensive global

legal framework. The Gambia, with Algeria, Sudan and Zambia, supported continuation of the Kyoto Protocol. No agreement on aggregate level of ambition was reached.

On **base year**, consensus emerged from informal consultations on having one single legally-binding base year instead of multiple binding base years. However, the single base year would not necessarily be the same for all parties as there was some support for including reference years in the Protocol amendment and consensus that 1990 should be one of them. Multiple base and reference years were retained in the text.

On **addressing surplus AAUs**, the EU noted that failing to address the issue of AAU surplus and using either current rules or unconstrained gross-net accounting rules for LULUCF would result in increased emissions from the 1990 baseline. Brazil requested that AAU carryover issues be resolved separate from discussions of level of ambition. Parties highlighted methods of dealing with surplus AAUs including: requesting parties not to use them in the second commitment period; capping carryovers; discounting; or using actual emissions as a starting point for calculating QELROs. The EU, Australia and Brazil expressed concern with using actual emissions as a starting point.

On **commitment periods**, parties exchanged views on the pros and cons of a five-year versus an eight-year commitment period. Considerations included: domestic constraints related to legislation and ratification processes; and ability to respond to science, including a possible mid-term review for an eight-year cycle. No agreement was reached and both options were retained in the text.

Outcome: The AWG-KP adopted its report to the COP/MOP (FCCC/KP/AWG/2009/L.15), which contains a draft decision on Protocol amendments pursuant to Article 3.9. The decision includes options on: tables to replace the table in Annex B of the Kyoto Protocol; aggregate and individual emission reductions; AAUs; and length and number of commitment periods. Text was forwarded from the AWG-KP closing plenary for consideration by the COP/MOP on Tuesday, 15 December.

Flexibility Mechanisms: AWG-KP Vice-Chair Dovland highlighted that the aim of the contact group is to clean up the text of the draft COP/MOP decision on the flexibility mechanisms (Annex I of FCCC/KP/AWG/2009/10/Add.3/Rev.3). Discussions in the contact group focused on this document and revised text was produced several times, incorporating parties' proposals and comments.

During the first meeting of the group, discussions focused on either: continuing discussion of the issues on which consensus was not envisaged; or forwarding such issues to the COP/MOP to decide either to take no further action on the issue or to request the SBSTA to develop procedures and modalities for relevant action. Parties then considered the text and identified issues in the text that could be referred to the COP/MOP for further consideration, including: CCS under the CDM; nuclear activities under the CDM; and standardized baselines. Parties then focused on streamlining and removing brackets from the various options on the other items in the text.

On **crediting on the basis of NAMAs**, Saudi Arabia, Senegal, Egypt, Bolivia and several other developing countries proposed deletion of the text relating to this issue. The Republic of Korea and Sweden, for the EU, preferred retaining the text. The section, containing an option to take no decision on this issue, and an option establishing a NAMA crediting mechanism, was retained in the text.

On **extending the share of proceeds to JI**, the Russian Federation and Ukraine supported the option requiring no decision to be made with respect to the issue. New Zealand noted that extension of the share of proceeds would require a Protocol amendment rather than just a COP/MOP decision. Saudi Arabia proposed including reference to developing countries that are particularly vulnerable to the impact of response measures in the text that identifies parties requiring adaptation assistance. Two options, one to take no action and the other to extend the share of proceeds to JI, remain in the text.

On **supplementarity of the flexibility mechanisms**, Peru proposed including a section on this issue in the text, limiting the amounts that can be added to, or subtracted from, the Assigned Amounts of a party through the flexibility mechanisms. Brazil, supported by Peru and opposed by Japan and Saudi Arabia, proposed specifying a cap of 30% on the use of the flexibility mechanisms. The EU, supported by Norway, proposed having an option stating that no decision should be taken on this issue. Grenada, for AOSIS, proposed inserting a preamble recognizing that developed countries shall achieve their QELROs primarily through domestic efforts. Australia, supported by Canada, proposed moving this preamble to the operative part of the text and then inserting an option maintaining the *status quo*. AOSIS, Jamaica, Peru and Brazil, opposed by Norway and Saudi Arabia, supported retaining the text in the preamble. New Zealand proposed inserting alternative language in the preamble, recalling the definition of supplementarity in decision 2/CMP.1 (principles, nature and scope of the flexibility mechanisms). The various options remain in the text.

On **emissions trading**, New Zealand noted interest in extending emissions trading to developing countries and proposed text reflecting this. This section retains the two options: one to take no decision with respect to this issue; and the other to enable all parties to participate in the trading of units from all market-based mechanisms.

On **new market-based mechanisms**, the EU, opposed by Argentina and Venezuela, and supported by New Zealand and others, proposed a paragraph establishing new market-based mechanisms. Venezuela opposed the establishment of new market-based-mechanisms and proposed inserting a footnote stating that this would require a Protocol amendment, and also noted that this issue is being addressed under the AWG-LCA. The two options remain on the table.

On **improving regional distribution**, Saudi Arabia proposed that the provision exempting SIDS from payment of the registration fee and share of proceeds, as well as that establishing a quota for projects hosted in LDCs, SIDS and African countries, should be extended to all developing countries with fewer than ten registered projects. Grenada, supported by Peru and the EU, and opposed by Uganda, preferred deleting the paragraph exempting SIDS from payment of fees and retaining the option permitting postponement of the payment of fees by parties with fewer than ten registered projects, noting that exempting all countries with fewer than ten projects could negatively impact the functioning of the CDM Executive Board. Japan and Canada noted the need to specify that the payment would be postponed until the first issuance of CERs. Parties finally agreed on language postponing payment of fees by parties with fewer than ten projects. On the paragraph on establishing a quota, Canada, supported by Japan, opposed identifying a specific percentage of CERs to come from countries with fewer than ten CDM projects, and Japan preferred language "encouraging parties"

rather than “deciding” to use CERs coming from these countries. Ethiopia, supported by Mali, noted that the language already reflects compromise and preferred retaining the text as it stands. Ethiopia, opposed by many countries, but supported by Uganda, proposed that this quota should apply to countries that had fewer than ten projects in the first commitment period. No agreement could be reached on this paragraph and it remains bracketed.

Outcome: A decision on the flexibility mechanism is contained in the AWG-KP report to the COP/MOP (FCCC/KP/AWG/2009/L.15). Parties were unable to agree on most of the issues addressed, with the exception of the issue of commitment period reserve, for which parties were able to agree on a single option, and the issue of improving regional distribution, which only has one option on the table for which parties were able to agree on most of the paragraphs.

LULUCF: This issue was first introduced in the AWG-KP plenary on 7 December. It was referred to a spin-off group of the other issues contact group, co-facilitated by Bryan Smith (New Zealand) and Marcelo Rocha (Brazil). Initial informal consultations reduced options on the definitions for natural disturbances and harvested wood products. Parties also attempted to reduce options on forest management, with discussions taking place on the potential role for caps and discount factors. On Monday, 14 December, the sub-group on LULUCF convened in a contact group to exchange views on the AWG-KP Chair’s draft text. Brazil, with many others, supported the text as the basis for discussion.

Papua New Guinea, supported by Costa Rica, Malaysia and Thailand, expressed concern that the option on land-based accounting was omitted from the Chair’s draft text. China and many others noted an interest in a land-based approach, but not for the second commitment period. Canada and Australia highlighted decision text that establishes a SBSTA work programme on a land-based approach. Papua New Guinea said they could not move forward with the text unless the land-based approach was an option.

Outcome: A LULUCF decision is contained in the AWG-KP report to the COP/MOP (FCCC/KP/AWG/2009/L.15). The draft decision requests the SBSTA to initiate a work programme that: explores moving towards a land-based approach; considers procedures for additional LULUCF activities under the CDM; considers the role of non-permanence; revises reporting guidelines; and revises supplementary methodologies. The annex contains options on accounting for forest management using reference levels or caps, definitions of natural disturbance and harvested wood products, as well as an option for a land-based approach.

Basket of Methodological Issues: In the first contact group on other issues, Vice-Chair Dovland said discussions on the basket of methodological issues (comprising possible new greenhouse gases, common metrics to calculate carbon dioxide equivalence of emissions by sources and removals by sinks, and the 2006 IPCC Guidelines for National Greenhouse Gas Inventories) would be based on Annex III of document FCCC/KP/AWG/2009/10/Add.3/Rev.3.

On the inclusion of new greenhouse gases, some parties advocated adding new gases or species of gases, while others emphasized that amendment of the Protocol to include new gases was beyond the scope of the group’s mandate. In the stocktaking plenary, Vice-Chair Dovland noted agreement on the 2006 IPCC Guidelines for National Greenhouse Gas Inventories and cleaner text on common metrics, but described a lack of agreement on

including new greenhouse gases. Describing the Chair’s draft text, Vice-Chair Dovland said it had added six preambular “uncontroversial and factual” paragraphs. Brazil, opposed by Australia, the Federated States of Micronesia and Switzerland, preferred no change in greenhouse gases and suggested that adding new gases that are reported but not accounted for may result in a “loophole.” Vice-Chair Dovland said there would be a placeholder in the text for amending Protocol Annex A and the Federated States of Micronesia suggested consideration of such language that does not require an amendment of Annex A. Japan highlighted environmental integrity, but said technical details require further clarification. Peru suggested that this is an issue for the SBSTA.

Outcome: A decision on the basket of methodological issues is contained in the report of the AWG-KP to the COP/MOP (FCCC/KP/AWG/2009/L.15). On greenhouse gases, the draft decision presents options on the inclusion of new gases. On common metrics, the draft decision provides options on the methodologies for calculating global warming potential of various gases. On the 2006 IPCC Guidelines, the draft decision decides to use this as a reference for methodologies for estimating emissions from sources and removals by sinks. On sectors/source categories, the draft decision contains bracketed text on the addition of new subcategories.

Potential Consequences: Discussions in the contact group were based on document FCCC/KP/AWG/2009/12/Rev.2. Key issues addressed included: the form of the outcome, deepening understanding, designing policies and measures, possible creation of a permanent forum to address potential consequences, and definition of countries most affected by potential consequences.

On *form of the decision*, New Zealand, supported by the EU, but opposed by the G-77/China, expressed preference for adopting conclusions rather than a decision. On countries that would be most severely impacted by potential negative consequences, Saudi Arabia, Colombia, Kuwait, Nigeria and others preferred referring to countries identified in Convention Articles 4.8, 4.9 and 4.10, while the EU, Japan and AOSIS preferred referring to the poorest and most vulnerable developing country parties.

On *operationalization*, South Africa, for the G-77/China, preferred using the Compliance Committee to address implementation of Protocol Article 3.14 (adverse effects and impacts of responses) and to facilitate compliance under Protocol Article 2.3 (adverse effects of policies and measures). No consensus could be reached on this issue and two options remain in the text, the first utilizing national communications and a mechanism for review of potential consequences and the second creating a permanent forum for addressing the issue.

Outcome: A decision on potential consequences is annexed to the AWG-KP Report to the COP/MOP (FCCC/KP/AWG/2009/L.15). The annex includes options on: guidelines for reporting on potential consequences; use of the Compliance Committee to address questions related to the implementation regarding potential consequences; and use of national communications under the SBI as a means for reporting on potential consequences.

CLOSING PLENARY: The AWG-KP closing plenary convened briefly just after midnight on 16 December, following a stocktaking plenary and ensuing negotiations on the AWG-KP’s report to the COP/MOP earlier in the evening. Parties adopted the report of the session (FCCC/KP/AWG/2009/L.14 and 15) recommending that the COP/MOP consider how to proceed with

the further consideration of the draft text. South Africa, for the G-77/China, highlighted that the text would benefit from further technical work and that some core issues in the AWG-KP will require consultations at the political level. AWG-KP Chair Ashe closed the plenary at 12:07 am.

SBSTA 31

On Tuesday, 8 December, SBSTA Chair Helen Plume (New Zealand) opened SBSTA 31. Parties adopted the agenda (FCCC/SBSTA/2009/4) and agreed to the proposed organization of work. On 12 December, the SBSTA agreed to elect Mihir Kanti Majumder (Bangladesh) as Vice-Chair and Purushottam Ghimire (Nepal) as Rapporteur.

NAIROBI WORK PROGRAMME ON IMPACTS, VULNERABILITY AND ADAPTATION TO CLIMATE CHANGE:

This item (FCCC/SBSTA/2009/5, 6, 7, INF.5, MISC.9/Rev.1, MISC.10, and FCCC/TP/2009/2) was first considered by the SBSTA on 8 December. The Convention on Biological Diversity reported on the results of the Expert Group on Biological Diversity. The IPCC reported on the contribution of the Task Group on Data and Scenario Support for Impact and Climate Analysis. The issue was referred to a contact group co-chaired by Kishan Kumarsingh (Trinidad and Tobago) and Donald Lemmen (Canada). Parties met in informal consultations focusing on reporting burdens associated with networking partnerships and the catalytic role of the Nairobi Work Programme on Impacts, Vulnerability and Adaptation (NWP). Parties adopted conclusions in the SBSTA closing plenary on Saturday, 12 December.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2009/L.17), the SBSTA, *inter alia*:

- welcomes progress on and work under the NWP and the direct engagement and contributions, including through action pledges, of many organizations in its implementation;
- requests the Secretariat to continue enhancing the outreach of the NWP; and
- reaffirms the catalytic role of the NWP and requests the Secretariat continue engaging organizations, including those implementing education, training and awareness-raising activities and adaptation actions.

REDD: This issue (FCCC/SBSTA/2009/3 Annex I) was first considered by the SBSTA on 8 December and then referred to a contact group, co-chaired by Lilian Portillo (Paraguay) and Audun Rosland (Norway). In the opening plenary, which focused on a general exchange of views, many countries urged parties not to mix technical discussions under the SBSTA with policy-related discussions under the AWG-LCA. Many countries called for consideration of participation of indigenous peoples. Tanzania and Mali called for REDD methodologies to consider benefits for local communities. Papua New Guinea supported creation of an instrument that allows participation of countries that reduce their deforestation rates, protects existing forest or increases forest area. The Environmental Integrity Group recommended a decision allowing SBSTA to continue methodological work after the COP.

On *reference levels*, parties focused discussions on whether and how to include national and/or sub-national reference levels. On establishing monitoring systems, a number of parties said language on independent review is needed. Some parties suggested that only activities that are supported financially should be open to review. Parties discussed a proposal for text on capacity building to enhance coordination on REDD.

Parties also discussed identification of activities and drivers of deforestation, and the use of guidance and guidelines from the IPCC. Throughout discussions, parties highlighted that many of the most contentious issues, such as national and sub-national reference levels and MRV, were political in nature and the details of these issues should therefore be discussed under the AWG-LCA.

The SBSTA adopted conclusions and agreed to forward decision text to the COP on 12 December. Parties also agreed to note in the meeting's report that "national circumstances include countries with specific circumstances, such as high forest cover and low rates of deforestation."

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2009/L.19 and Add.1), the SBSTA decides to take note of an oral report by the Chair on ways to facilitate activities relating to a draft COP decision, as contained in FCCC/SBSTA/2009/L.19/Add.1 (approaches to stimulate action on REDD) and to forward a draft decision to the COP.

RESEARCH AND SYSTEMATIC OBSERVATION: This issue (FCCC/SBSTA/2009/MISC.12) was first considered by the SBSTA plenary on 8 December. The Global Climate Observing System (GCOS) reported on its updated Implementation Plan, noting that the additional annual cost of a fully effective GCOS will be US\$2.1 billion. Many developing countries supported a greater focus on the needs of developing countries in terms of observing systems, and Burundi, Kuwait and Saudi Arabia highlighted the importance of early warning systems. Chair Plume prepared procedural draft conclusions with assistance from the Secretariat and in consultation with interested parties. The SBSTA adopted conclusions on 12 December.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2009/L.16 and Add.1), the SBSTA welcomes statements from agencies and information on the updated Implementation Plan for the GCOS for Climate in Support of the UNFCCC. The SBSTA forwarded a draft conclusion for consideration by the COP on appreciation for the WMO and its partner organizations for the decision to establish a Global Framework for Climate Services.

METHODOLOGICAL ISSUES UNDER THE CONVENTION: Review of Annex I greenhouse gas inventories:

SBSTA Chair Plume proposed, and parties agreed, to reflect in the meeting's report that the SBSTA took note of the annual report on the technical review of Annex I greenhouse gas inventories (FCCC/SBSTA/2009/INF.4)

Emissions from international aviation and maritime transport: This issue was first considered by the SBSTA plenary on 8 December. Parties heard reports from the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO). China and others stressed that actions in these sectors should be in line with the principle of common but differentiated responsibilities. The Bahamas supported that the IMO and ICAO remain the only bodies regulating emissions from international aviation and maritime transport. Chair Plume prepared draft conclusions, which were adopted on 12 December.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2009/L.15), the SBSTA invites ICAO and IMO to report on their relevant work at subsequent sessions of the SBSTA.

METHODOLOGICAL ISSUES UNDER THE

PROTOCOL: HCFC-22/HFC-23: This issue was first considered by the SBSTA plenary on 8 December. Chair Plume noted lack of consensus on this issue since SBSTA 26. Samuel

Adejuwon (Nigeria) facilitated informal consultations, but parties were not able to reach conclusions. The consideration of the issue will continue at SBSTA 32.

CCS under the CDM: This issue was first considered by the SBSTA plenary, where Chair Plume reported that no agreement had been reached on how to proceed on this issue. Saudi Arabia and Australia expressed disappointment that agreement was not reached. Ghana proposed requesting that SBSTA establish a programme for CCS as a mitigation technology and activity. The SBSTA adopted conclusions on 12 December.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2009/L.20), the SBSTA agrees to continue consideration of this matter at SBSTA 32 based on the draft text in the annex.

Common metrics: This issue on the crediting of new hydrochlorofluorocarbon-22 (HCFC-22) facilities under the CDM under decision 8/CMP.1 was first considered by the SBSTA plenary on 8 December. Mikhail Gytarsky (Russian Federation) conducted informal consultations to prepare draft conclusions. Parties highlighted that scientific work on the issue is ongoing and discussed how it should be taken up in the future. Some parties expressed concern about perverse incentives for increasing the production of HCFC-22, while others said that the phase out of HCFC-22 under the Montreal Protocol addresses this concern. Gytarsky reported that no agreement had been reached. Consideration of the issue will continue at SBSTA 32.

TECHNOLOGY TRANSFER: This issue (FCCC/SB/2009/4, Summary and INF.6) was first taken up by the SBSTA in plenary on 8 December. The Expert Group on Technology Transfer (EGTT) presented its 2009 report (FCCC/SB/2009/INF.6), highlighting the implementation of work in 2009 and the report on performance indicators. The issue was then referred to a joint SBI/SBSTA contact group, co-chaired by Carlos Fuller (Belize) and Holger Liptow (Germany). The SBSTA adopted conclusions on 12 December.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2009/L.14), the SBSTA *inter alia*: endorses the EGTT rolling programme of work for 2010-2011; welcomes the final EGTT report on performance indicators; and notes the offer of the Government of Belize to host the Latin America and Caribbean regional workshop on preparing technology transfer projects for financing, which will be held in Belize in 2010.

MATTERS RELATING TO PROTOCOL ARTICLE 2.3 (Adverse effects of policies and measures): The SBSTA plenary first considered this issue on 8 December and Chair Plume, noting constructive discussions at SBSTA 30, said that discussions under a joint SBI/SBSTA contact group on Protocol Articles 2.3 (adverse impacts of policies and measures) and 3.14 (adverse effects and impacts of response measures), co-chaired by Kristin Tilley (Australia) and Eduardo Calvo Buendia (Peru), would continue on the basis of Annex III of the Report of SBSTA 30 (FCCC/SBSTA/2009/3, Annex III). Parties met in formal discussions working through documents FCCC/SBSTA/2009/L.10 and FCCC/SBI/2009/L.11 to consolidate options and streamline the text in Annex III. The SBSTA closing plenary adopted conclusions on 12 December.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2009/L.18), the SBSTA agrees to continue discussions on this matter in a joint SBI/SBSTA contact group at their 32nd session, based on the draft text annexed to the conclusions.

CLOSING PLENARY: The SBSTA closing plenary took place on 12 December. The SBSTA adopted the report of the session (FCCC/SBSTA/2009/L.13). SBSTA Chair Plume closed SBSTA 31 at 5:19 pm.

SBI 31

SBI 31 opened on Tuesday, 8 December. SBI Chair Liana Bratasida (Indonesia) suggested leaving the sub-item on information contained in non-Annex I national communications in abeyance. Parties agreed and adopted the agenda and organization of work (FCCC/SBI/2009/9). The SBI elected Samuel Ortiz Basualdo (Argentina) as Vice-Chair and Kadio Ahossane (Côte d'Ivoire) as Rapporteur.

PROTOCOL ARTICLE 3.14 (adverse effects and impacts of response measures): The SBI plenary first considered this issue on 8 December and Chair Bratasida, noting constructive discussions at SBI 30, said that discussions under a joint SBI/SBSTA contact group on Protocol Articles 2.3 (adverse impacts of policies and measures) and 3.14 (adverse effects and impacts of response measures), co-chaired by Kristin Tilley (Australia) and Eduardo Calvo Buendia (Peru), would continue on the basis of Annex IV of the Report of SBI 30 (FCCC/SBI/2009/8, Annex IV). Parties met in formal discussions working through documents FCCC/SBSTA/2009/L.10 and FCCC/SBI/2009/L.11 to consolidate options and streamline the text in Annex IV. The SBI closing plenary adopted conclusions on 12 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.25), the SBI agrees to continue discussions on this matter in a joint SBI/SBSTA contact group at SBSTA 32, based on the draft text annexed to the conclusions.

ANNEX I NATIONAL COMMUNICATIONS AND GREENHOUSE GAS INVENTORY DATA: This agenda item included sub-items on national greenhouse gas (GHG) inventory data for 1990-2007, and review of fourth national communications and preparation for the review of fifth national communications. Both sub-items were first considered by SBI on 8 December (FCCC/SBI/2009/12 and INF.9, respectively) and then addressed by parties in joint contact group and informal meetings on Annex I reporting under the Convention and Protocol, co-chaired by Anke Herold (Germany) and Quamrul Islam Chowdhury (Bangladesh).

On national GHG inventory data for 1990-2007, the G-77/China expressed concern at the trend of increasing GHG emissions in Annex I parties and suggested reflecting this concern in the SBI conclusions. The EU noted that its member states are undertaking significant reductions and proposed that the SBI conclusions take note of the report.

On national communications, discussions focused on a date for submitting a sixth national communication. Co-Chair Herold reminded parties that according to decision 10/CP.13, Annex I parties are expected to submit a fifth national communication on 1 January 2010 "with a view to submitting the sixth national communication four years after this date," that is on 1 January 2014. The US, EU, Australia and Russian Federation suggested deciding on the exact date for submitting the sixth national communication at a later stage, pending the outcome of AWG-LCA discussions. The G-77/China proposed fixing the date at this session. The SBI closing plenary adopted the conclusions on Annex I national communications on 12 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.26) the SBI:

- recalls decision 10/CP.13;

- notes that it began consideration of the date of submission of the sixth national communications of Annex I parties but could not agree at this session;
- agrees to set the date of submission at SBI 32, with a view that such a date shall be no later than four years after the due date of submission of the fifth national communications of Annex I parties;
- agrees to forward, at SBI 32, a draft decision, setting the date of submission to COP 16 for adoption; and
- agrees to continue consideration of other matters under this agenda item at SBI 32.

CAPACITY BUILDING (CONVENTION): This agenda item (FCCC/SBI/2009/4-5 and MISCs.1-2) was first considered by the SBI in plenary on 8 December, when Chair Bratasida reported on agreement to defer consideration of the agenda item to SBI 32. SBI conclusions were adopted on 12 December and a draft COP decision was adopted on 18 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.19), the SBI decides to recommend a draft decision for adoption by COP 15. (For more information on the COP decision, see page 7 of this report.)

CAPACITY BUILDING (PROTOCOL): This agenda item (FCCC/SBI/2009/4-5 and 10, and MISCs.1-2 and 8) was first considered by the SBI plenary on 8 December, when Chair Bratasida reported on agreement to defer consideration of the agenda item to SBI 32. SBI conclusions were adopted on 12 December and a draft COP/MOP decision was adopted on 18 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.20) the SBI decides to recommend a draft decision for adoption by COP/MOP 5. (For more information on the COP/MOP decision, see page 15 of this report.)

REPORTING AND REVIEW OF INFORMATION FROM ANNEX I PARTIES UNDER THE PROTOCOL:

This issue (FCCC/SBI/2009/INF.8) was first considered by the SBI on 8 December and then in joint contact group and informal meetings on Annex I reporting under the Convention and Protocol. The SBI closing plenary adopted the conclusions on 12 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.23), the SBI takes note of the report on the status of submission and review of information.

ANNUAL COMPILATION AND ACCOUNTING REPORT FOR PROTOCOL ANNEX B PARTIES: This issue (FCCC/KP/CMP/2009/15 and Add.1) was first taken up by the SBI on 8 December, and then in joint contact group and informal meetings on Annex I reporting under the Convention and Protocol. The SBI adopted the conclusions on 12 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.24), the SBI agrees to continue consideration of matters under this agenda item at SBI 32.

ADMINISTRATIVE, FINANCIAL AND INSTITUTIONAL MATTERS: Budget performance for the biennium 2008-2009: This agenda item concerns budget performance for the biennium 2008-2009 (FCCC/SBI/2009/11, INF.10 and Corr.1) and continuing review of the functions and operations of the Secretariat. This item was first taken up in SBI plenary on 8 December when UNFCCC Executive Secretary de Boer reported on budget performance in 2008-2009. The SBI adopted conclusions and a draft COP decision and draft COP/MOP decision on 12 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.21), the SBI takes note of the information relating to income and budget performance and the status of contributions and takes note of the information relevant to the continuing review of the functions and operations of the Secretariat administrative, financial and institutional matters for adoption by COP 15 and by the COP/MOP. (For more information on the COP and COP/MOP decisions, see pages 7 and 15 of this report.)

Continuing review of the Secretariat's functions and operation: The SBI adopted conclusions (FCCC/SBI/2009/L.21 and Adds.1 and 2).

Privileges and immunities: This issue (FCCC/SBI/2009/8) was first considered in SBI plenary on 8 December. The Secretariat explained that the SBI would be invited to refer the draft treaty arrangements to COP/MOP 5. Dessima Williams (Grenada) was appointed to consult informally. The SBI adopted conclusions on 12 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.22), the SBI decides to continue its consideration of this issue at SBI 32 with a view to forwarding a draft text for consideration by the COP/MOP 6.

CONVENTION ARTICLES 4.8 AND 4.9 (ADVERSE EFFECTS): Progress on the implementation of decision 1/CP.10 (Buenos Aires Programme of Work): This issue (FCCC/SBI/2009/MISC.11/Rev.1) was first considered by the SBI plenary on 8 December, and subsequently in contact groups and informal consultations chaired by Thinley Namgyel (Bhutan). Conclusions were adopted by the SBI closing plenary on 12 December.

The focus of the negotiations centered on whether to proceed on the basis of the newly introduced draft decision text proposed by SBI Chair Bratasida. Many developing countries said that their views were not adequately reflected in the text, while developed countries felt that discussions could use the draft text as their basis. The Chair's draft decision text remained unacceptable to some parties and discussions continued on draft conclusions requesting the Chair of the SBI to draft new decision text.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.28), the SBI:

- takes note of documents issued to date on Convention Article 4.8 (adverse effects) and decisions 5/CP.7 (implementation of Article 4.8 and 4.9, of the Convention) and 1/CP.10 (Buenos Aires programme of work);
- recalls that parties were invited to submit views on further action on this matter by 22 March 2010;
- requests the Chair to continue developing draft decision text; and
- agrees to continue work on the matter at SBI 32.

Matters relating to the LDCs: The SBI plenary first considered this issue on 8 December. The LDC Expert Group (LEG) reported on its work (FCCC/SBI/2009/13). The issue was subsequently taken up in informal consultations facilitated by Rence Sore (Solomon Islands). The SBI adopted conclusions on 12 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.27) the SBI, *inter alia*:

- endorses the draft terms of reference for the review of the experiences gained from implementing the LDC work programme;
- requests the Secretariat to prepare a synthesis report on possible elements for a future mandate of the LEG, taking into

account these submissions and inputs provided by the LEG at its eighteenth meeting, for consideration at SBI 33; and

- invites parties in a position to do so to continue to provide financial and other resources required for the implementation of the LEG work programme, including for the training workshops on national adaptation programmes of action (NAPA) implementation, as well as for the timely implementation of priority activities identified in NAPAs, including through contributions to the Least Developed Country Fund.

TECHNOLOGY TRANSFER: This issue (FCCC/SB/2009/4 and Summary, INF.6, and FCCC/SBI/2009/14) was first taken up by the SBI in plenary on 8 December. The EGTT presented its 2009 report (FCCC/SB/2009/INF.6), as well as its report on performance indicators (FCCC/SB/2009/4 and Summary). The GEF reported on progress made in implementing the Poznań strategic programme on technology transfer (FCCC/SBI/2009/14). The issue was then referred to a joint SBI/SBSTA contact group, co-chaired by Carlos Fuller (Belize) and Holger Liptow (Germany). The US urged increased engagement of the private sector in technology transfer. India, for the G-77/China, noted that there may be substantive outcomes on technology from Copenhagen and suggested tailoring the EGTT's work programme to consider such outcomes. He also called for further consideration of the GEF's report on implementation of the Poznań strategic programme on technology transfer, particularly regarding the effectiveness of the implementation. The SBI adopted conclusions on 12 December.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/L.18), the SBI *inter alia*: endorses the EGTT rolling programme of work for 2010-2011; welcomes the final EGTT report on performance indicators; and invites the GEF to provide a report at SBI 32 on the progress made in implementing the Poznań strategic programme on technology transfer, including the long-term aspects of the programme.

FINANCIAL MECHANISM: This item was first addressed by the SBI plenary on 8 December. It includes the fourth review of the financial mechanism (FCCC/SBI/2009/MISC.10), report of the GEF (FCCC/CP/2009/9) and the special climate change fund. Zaheer Fakir (South Africa) and Cecilia Lei (Canada) co-chaired a contact group on this issue. The SBI closing plenary adopted a conclusion and draft COP decisions on these items.

Fourth Review of the Financial Mechanism: The G-77/China said the fourth review provides an opportunity to look at gaps in implementation of obligations in a comprehensive manner. The LDCs expressed dissatisfaction with implementation of the LDC work programme, stressing that funding should not be restricted to NAPAs. China said developed countries must significantly increase their contributions to the fifth replenishment and reform the GEF to improve its capacity to facilitate implementation post-2012.

The EU welcomed review and guidance ahead of the conclusion of the fifth replenishment, noting the review should provide the basis for progressively defining the role of the GEF in the architecture being defined under the AWG-LCA. During contact group discussions, the EU proposed streamlining the draft conclusions (FCCC/SBI/2009/L.15/Rev.1) by deleting several preambular paragraphs. Australia and Norway called for a focus on core issues. The US said its Congress was considering a request for US\$50 million for the GEF for various climate change activities, to be included in the 2010 budget.

During the SBI closing plenary, Co-Chair Lei noted progress made under this agenda item but said that the contact group needs more time to finish its work.

SBI Conclusion: The SBI adopted conclusions (FCCC/SBI/2009/L.29), which will serve as the basis for negotiations at SBI 32.

Report of the GEF: The GEF presented its report on 8 December. Highlighting the US\$2.7 billion already invested in mitigation, GEF CEO and Chair Monique Barbut emphasized GEF reform centered on four focal points: response to Convention guidance, country ownership, effectiveness and efficiency, and the fifth replenishment.

Switzerland supported the GEF's role as the operating entity of the financial mechanism and as a catalyst for leveraging finance, noting that it was crucial to improve performance. Algeria, for the African Group, said GEF reforms are encouraging but inadequate, noting the need to strengthen urgent priorities for beneficiaries. Barbados acknowledged ongoing work to improve the GEF resource allocation framework and called for a strong fifth replenishment. Benin highlighted the need for closer linkages between the GEF focal points and the UNFCCC. Noting positive GEF reforms resulting in increased access to funds for LDCs, the Gambia expressed hope that the fifth replenishment would enhance funding under the Least Developed Country Fund. Syria called for a reconsideration of financial resource allocation, particularly for adaptation projects. Sudan, for the G-77/China, highlighted concerns relating to predictability and adequacy of funding. With Mali, Rwanda, Antigua and Barbuda and Timor-Leste, she opposed the co-financing requirement, which she said is particularly burdensome for LDCs. Uganda supported monitoring and evaluation of implementing agencies.

Assessment of the Special Climate Change Fund: This matter was first considered in SBI plenary on 8 December and the SBI adopted conclusions on 12 December. SBI 30 invited parties to submit to the Secretariat their views and recommendations on the status of implementation of financing of activities in priority areas defined in decision 1/CP.12. The Secretariat informed parties that views on the matter had not been received from parties.

SBI Conclusions: In its conclusions (FCCC/SBI/2009/31), the SBI agrees to continue its consideration of matters under this agenda item at SBI 32.

CLOSING PLENARY: The closing plenary convened on 12 December and adopted the report of the session (FCCC/SBI/2009/L.17). SBI Chair Bratasida closed the session at 9:15 pm.

HIGH-LEVEL SEGMENT

The welcoming ceremony of the high-level segment took place on Tuesday, 15 December. Lars Løkke Rasmussen, Prime Minister of Denmark, said the presence of so many distinguished guests shows promise for an ambitious, fair and effective climate deal. He noted that "the world is literally holding its breath" and called on world leaders to translate the current political momentum into "a decisive moment of change."

UN Secretary-General Ban Ki-moon noted the long road to this "defining moment" and said that "we are here today to write a different future." He called for a fair, ambitious and comprehensive agreement, specifying that this means: more ambitious mid-term mitigation targets from industrialized countries; more action by developing countries to limit emissions

growth below “business as usual,” an adaptation framework for all countries; financing and technology support; and transparent and equitable governance. He stressed financing as a key, welcoming the emerging consensus among developed countries to provide approximately US\$10 billion annually for the next three years to the Copenhagen Launch Fund. UN Secretary-General Ban Ki-moon underlined that the goal is to lay the foundation for a legally-binding climate treaty as early as possible in 2010, and said that until such an agreement is reached “the Kyoto Protocol remains the only legally-binding instrument that captures reduction commitments” and that “as such it must be maintained.”

Highlighting the potential for failure if parties keep repeating positions and slowing progress with formalities, COP President Hedegaard identified “compromise” as the key word for the coming days. She called on countries to take big steps and commit to delivering a deal, reminding delegates that “we are accountable for what we do, but also for what we fail to do.”

UNFCCC Executive Secretary Yvo de Boer noted that Tuesday was the second anniversary of the adoption of the Bali Roadmap and stressed that “now it is time to deliver.” He said there had been some progress but “not nearly enough to celebrate success.” He noted that groundwork has been laid for prompt implementation of action on mitigation, adaptation, technology cooperation, finance, REDD and capacity building. Highlighting that 115 world leaders are not coming to Copenhagen to leave “empty handed,” he called on parties to resolve outstanding issues.

His Royal Highness Charles, the Prince of Wales, stressed that “a partial solution to climate change is no solution at all.” He underscored the benefit of partnerships between government, business, NGOs and civil society, and said the quickest and most cost-effective way to address climate change is to protect tropical forests.

Wangari Maathai, Nobel Peace Laureate and UN Messenger of Peace, noted that no conference ends with “a perfect document” and stressed the need to find common ground based on fairness, honesty, transparency and responsibility. She called on delegates to overcome “a legacy of mistrust,” highlighting the need for a Copenhagen agreement to provide a governance structure based on accountability between donors and beneficiaries.

OPENING CEREMONY: On 16 December, the opening ceremony of the high-level segment took place. UNFCCC Executive Secretary de Boer explained he had received a letter of resignation by COP/MOP President Hedegaard and, in accordance with the draft rules of procedure, announced the nomination of Danish Prime Minister Lars Løkke Rasmussen as her replacement. He also noted that Connie Hedegaard had been appointed as the COP President’s Special Representative and would be continuing her efforts in informal consultations.

Hedegaard noted that as a consequence of the arrival of the large number of Heads of State and Government, it was appropriate that the Prime Minister of Denmark take over the position of the COP President. She also outlined plans by the COP Presidency to table a package for the outcome, consisting of two texts that are “based substantially on the two texts forwarded by the AWGs.” She said the texts would be available shortly.

During COP President Rasmussen’s opening remarks, several parties raised points of order. Brazil sought clarification on the texts proposed by the Danish COP Presidency, questioning why they were presented when the COP plenary had not convened to

consider the AWG-LCA’s report. UNFCCC Executive Secretary de Boer informed delegates that the COP plenary would convene in the early afternoon to consider the AWG-LCA’s report and decide on how to proceed in terms of taking the documents forward.

Brazil, supported by China, said preparing new texts and focusing subsequent discussions on how to take them forward created the impression that text negotiated by parties would not form the basis of further work. China identified the issue as “one of trust between the host country and parties,” noting that the procedure had not been transparent. He stressed that “the only legitimate basis” for an outcome from Copenhagen is an outcome from the AWGs and the Presidency could not “put forward text from the sky.” India underscored that only the AWG-LCA and AWG-KP texts negotiated by parties should guide further negotiations. The Maldives proposed moving forward by considering the new texts proposed by the COP Presidency.

Sudan, for the G-77/China, emphasized that parties had agreed on a two-track, party-driven, transparent negotiating process and were not ready to “rubber stamp text coming out of the blue.” Ecuador drew attention to “serious procedural problems,” highlighting lack of transparency and inclusiveness. South Africa recalled the COP Presidency’s undertaking to ensure a party-driven process. Bolivia said the problem was one of substance, not just procedure, highlighting that the Danish texts did not reflect the outcome of a democratic or participatory process.

COP President Rasmussen explained that the Danish texts had not yet been presented and that the Presidency fully respected the will of parties. He reminded parties that the COP plenary would convene in the afternoon and parties could then decide how to proceed.

NATIONAL STATEMENTS: From 16-17 December, the high-level segment heard statements by Heads of State, Heads of Government and other heads of delegation, starting with statements from representatives of the main negotiating groups.

Nafie Ali Nafie, Assistant President of Sudan, for the G-77/China, stressed the need to maintain a two-track outcome under the AWG-KP and AWG-LCA, establish a second commitment period under the Kyoto Protocol on the basis of comparable and ambitious emission reductions, and respect the Convention’s principles of equity and common but differentiated responsibilities.

Meles Zenawi, Prime Minister of Ethiopia, for the African Group, noted the importance of Africa speaking with one voice, and outlined a short-term finance proposal that includes: US\$10 billion per year for 2010-2012; a board of trustees with representatives from an equal number of donor and recipient countries; 40% of funds earmarked for Africa; and a committee of experts to facilitate the launch of the fund. On long-term financing he said, *inter alia*, that US\$100 billion per year by 2020 would be required with at least 50% earmarked for the LDCs and SIDS, and that Africa’s share should be administered by the African Development Bank.

Tillman Thomas, Prime Minister of Grenada, for AOSIS, called on all countries to work together to ensure that the Copenhagen outcomes fulfill the hopes and aspirations of millions of people “depending on us to do the right thing to help them stay alive.” He stressed that all countries must take “strong measures” to achieve needed emission reductions to achieve the goal of limiting temperature increase to well below 1.5°C and atmospheric greenhouse gas concentrations to below 350 ppm, in accordance with their common but differentiated responsibilities.

Pakalitha Bethuel Mosisili, Prime Minister of Lesotho, for the LDCs, noted progress by LDCs in developing their NAPAs and called for scaling up accessible, predictable and sustainable finance for LDCs that is additional to official development assistance.

Andreas Calgren, Minister for the Environment of Sweden, for the EU, urged parties not to leave Copenhagen without a legally-binding, ambitious, global and comprehensive agreement for all countries, including actions from developed countries and emerging economies. He called on the US to adopt legally-binding, economy-wide emission reduction commitments and on China to adopt binding actions, urging these countries to “unleash their full potential” to enable the world to achieve the objective of limiting the global temperature increase to below 2°C.

Penny Wong, Minister for Climate and Water of Australia, for the Umbrella Group, called for an agreement delivering an environmental outcome and with legally-binding commitments for all major economies in order to realize a 50% reduction in global emissions by 2050. She highlighted the core element of mobilizing US\$120 billion from public and private sources, including carbon markets, particularly for vulnerable and LDCs.

From 16 to 17 December, a number of Heads of State, Heads of Government and heads of delegation addressed the high-level segment. On 18 December, the high-level segment heard statements from observer organizations. A webcast of the statements is available online at http://www9.cop15.meta-fusion.com/kongresse/cop15/templ/intro.php?id_kongressmain=1&theme=unfccc

In the morning of 18 December, an informal high-level event was convened by the Prime Minister of Denmark, COP President Rasmussen. The following dignitaries addressed the event: UN Secretary-General Ban Ki-moon, US President Barack Obama, Chinese Premier Wen Jiabao, Ethiopian Prime Minister Meles Zenawi, Brazilian President Luiz Inacio Lula da Silva, Russian President Dmitry Medvedev, Indian Prime Minister Monmohan Singh, Swedish Prime Minister Fredrik Reinfeldt, Colombian President Alvaro Uribe, Japanese Prime Minister Yukio Hatoyama, South African President Jacob Zuma, South Korean President Myung-bak Lee, Grenadian Prime Minister Tillman Thomas, Sudanese Assistant President Nafie Ali Nafie, European Commission President José Manuel Barroso. Lesotho Prime Minister Pakalitha Bethuel Mosisili, Bolivian President Evo Morales and Venezuelan President Hugo Chávez. A webcast of the informal high-level event is available online at http://www2.cop15.meta-fusion.com/kongresse/cop15/templ/play.php?id_kongressmain=1&theme=unfccc&id_kongresssession=2720

A BRIEF ANALYSIS OF THE COPENHAGEN CLIMATE CHANGE CONFERENCE

The UN Climate Change Conference in Copenhagen was, in many ways, an historic event. It marked the culmination of two years of intensive negotiations under the United Nations Framework Convention on Climate Change (UNFCCC) and the Bali Roadmap, which was agreed by the thirteenth Conference of the Parties (COP 13) in December 2007. Millions of people around the world hoped that “Hopenhagen” would be a turning point in the battle against climate change. The high-level segment brought together 115 Heads of State and Government, and was widely reported as one of the largest high-level gatherings outside New York. More than 40,000 people applied

for accreditation for the Conference, far exceeding the 15,000 capacity of the Conference venue. Large, and at times violent, demonstrations took place in Copenhagen during the Conference as people urged the world’s leaders to reach a meaningful agreement. There is little doubt that the Copenhagen Conference left its mark in history – never before has climate change featured so prominently on the international agenda. However, feelings about the outcome are, at best, mixed and some even consider the Conference to be a failure.

This brief analysis focuses on the Copenhagen outcome, both in terms of substance and process, examining what the outcome might mean for the UNFCCC process, and most importantly, for the battle against climate change.

EXPECTATIONS FOR COPENHAGEN

Early in 2009, UNFCCC Executive Secretary Yvo de Boer identified what he saw as the key deliverables for Copenhagen, namely agreement on: ambitious mid-term emission reductions by developed countries; clarity on mitigation actions by major developing countries; short- and long-term finance; and governance structures. The two key bodies, the *Ad Hoc* Working Group on Long-term Cooperative Action under the UNFCCC (AWG-LCA) and the *Ad Hoc* Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP) held five negotiating sessions in 2009 before the Copenhagen Conference. Related discussions also took place in various other settings, including the Greenland Dialogue, the Major Economies’ Forum on Energy and Climate Change, the Group of Eight (G-8) and the Group of Twenty (G-20).

Negotiations under the AWG-KP made little progress in 2009, with developing countries urging Annex I parties to commit to ambitious emission reduction targets in line with science and developed countries stressing that making progress on “numbers” and providing a meaningful response to climate change requires negotiations that also involve the US and major developing countries. Under the AWG-LCA, the negotiating text evolved into the most complex document in the history of the UNFCCC, with nearly 200 pages reflecting various proposals by all UNFCCC parties and thousands of brackets indicating areas of disagreement. Throughout the year, progress on issues such as adaptation, reducing deforestation and forest degradation in developing countries plus conservation (REDD-plus) and technology was commonly seen as “positive.” Countries’ positions on finance and mitigation, however, remained entrenched. Many also characterized questions concerning the legal structure of the mitigation framework and the continuation of the Kyoto Protocol beyond 2012 as “clouds” hanging over the negotiations.

As Copenhagen approached and as each negotiating session achieved less than what was needed for an ambitious outcome, many began lowering their expectations, especially concerning a legally-binding outcome. At the same time, rumors circulated about positive progress during various informal meetings, including between China and the US. During the UN Secretary-General’s Climate Summit in September over 100 world leaders expressed political will to reach a meaningful outcome in December. Coming to Copenhagen, many hoped that, failing to reach a legally-binding outcome, the unique gathering of international decision-making power would result in a political agreement on the key issues, including quick-start finance to address climate change in developing countries and a process towards a legally-binding agreement in 2010.

DECISIVE MOMENTS IN COPENHAGEN

The Copenhagen Conference was characterized by many dramatic events. From the outset, there were rumors about a “Danish text” that had reportedly been shown to select countries participating in the “Pre-COP 15” in November, with the intention of tabling it in Copenhagen. Indeed, during the first week of the Conference, a document was leaked through *The Guardian* newspaper in the UK, which some veteran negotiators identified as an earlier draft of the “Danish text.” In anticipation of the COP Presidency’s text for a Copenhagen Agreement, many negotiating groups and *ad hoc* coalitions began working on their own texts, some of which were also leaked to the media. During the opening of the high-level segment on 16 December, the Danish COP Presidency officially announced its intention to table two texts “based substantially on the two texts forwarded by the AWGs.” The proposal angered many delegates, especially developing countries, who argued that the proposal undermines their “transparent and democratic” efforts throughout the year to develop negotiating texts under the AWG-LCA and AWG-KP. “Those writing the ‘Danish text’ are not adequately familiar with the process,” lamented another, continuing: “You cannot just assume that you understand these enormously complex issues and come up with something from out of the blue. You should listen and take advice from those who know how this process works.”

Informal consultations ensued, taking up an entire day of negotiating time on Wednesday during the second week, at what many saw as a “critical point” in the Conference. As a result, parties agreed that only texts developed by the AWG-KP and AWG-LCA would be used as a basis for further discussion. While many blamed the Danish COP Presidency for the time wasted, some others voiced concerns over the rejection of the Presidency’s proposal: “The texts from the AWG-LCA and AWG-KP are too complicated and full of brackets – Ministers and Heads of State cannot negotiate based on them. Tabling a compromise text would have been a way out. The current situation effectively means that high-level negotiations will need to start from scratch.”

There were also other time-consuming procedural hurdles. On Monday, 14 December, the African Group and LDCs, supported by the rest of the G-77/China, called for suspending negotiations under the AWG-LCA and on all other issues under the AWG-KP apart from Annex I parties’ further emission reductions beyond 2012. The move was intended as a protest against only AWG-LCA issues being taken up during informal ministerial discussions. “The key outcome from Copenhagen must be extension of the Kyoto Protocol and agreement on Annex I countries’ new targets. They must therefore be given adequate consideration at higher level,” was the position explained by a developing country delegate. What some characterized as a “walk-out” by the G-77/China caused “severe frustration” among most developed country negotiators. “We have come here to negotiate in good faith and listen to developing country concerns – and all they do is block any progress for procedural reasons,” commented one developed country negotiator.

Lengthy discussions also took place on whether to establish “friends of the chair” consultations under the COP on issues being discussed by the AWG-LCA. While many saw this as the only sensible way to move forward, some developing countries strongly opposed and stressed the need for transparent and inclusive processes. “Some agreements have been negotiated with everyone in the room. This must be a transparent process,”

remarked one developing country delegate. Many other delegates expressed frustration noting that their leaders were already in Copenhagen at a formal dinner hosted by the Queen of Denmark and there were only hours remaining before they would be engaged in the process.

Transparency also dominated discussions concerning the involvement of observers and civil society representatives. The Bella Center, with its 15,000-person capacity, could not accommodate all 40,000 people who had applied for accreditation, comprising more than 21,000 NGOs and 5,000 media with the remainder being parties or intergovernmental organizations. In the beginning of the second week, many spent between six and nine hours queuing in the cold and waiting to register – often in vain. Only a very limited number of civil society delegates were allowed to access the venue during the last critical days of the conference. Many NGO representatives were angry, arguing that their exclusion from the negotiations at such a critical moment was not good for the outcome: “How can we keep up the pressure when we do not know what is going on and are not even allowed near the building where these crucial negotiations are taking place?” asked one NGO representative during COP President Connie Hedegaard’s briefing to civil society.

Ultimately, the arrival of 115 Heads of State and Government in Copenhagen changed the dynamics and routine of the negotiations. On the last day, many well-known negotiators were seen nervously waiting in the corridors with everyone else. Presidents and Prime Ministers, followed by their entourages and journalists, were seen rushing from one meeting to another.

Late in the evening on Friday 18 December, “friends of the chair” consultations at the highest political level resulted in an agreement, which was immediately announced by US President Barack Obama before his quick departure back to Washington and widely reported by the media. In fact, many delegates first learned about the Copenhagen Accord on the internet and draft versions of the text were also leaked through the media long before the official UNFCCC document was produced. Most media reports alluded to a deal crafted by a small number of countries. Many close to the process despaired, arguing that announcing an agreement reached by a small group of countries was not democratic or diplomatic. “We are at the United Nations and everyone has to agree before you can report that agreement has been reached,” commented one negotiator from a small developing country delegation. Some, however, argued that the only way to “get a real deal” was to get the “big boys” involved – and they would inevitably use their own procedures and tactics. They also stressed that most of them are democratically-elected leaders and directly accountable to their constituencies.

Yet, whether the procedure leading to the Copenhagen Accord was transparent and democratic enough by UN standards was subject to much debate. Late Friday night, COP President and Danish Prime Minister Lars Løkke Rasmussen submitted the “Copenhagen Accord” for formal adoption. The proposal sparked what many saw as an unprecedented and deeply divisive debate. A small number of developing countries, with Venezuela, Bolivia, Cuba and Nicaragua in the forefront, voiced strong objections to an “untransparent and undemocratic” negotiating process and renounced the Copenhagen Accord. Tuvalu also criticized the text and the procedure. Sudan called the Accord “a suicide note for Africa.” However, all developed countries, most developing countries, as well as spokespersons for AOSIS, LDCs and the African Group, recognized that the negotiating process

had been legitimate and urged COP 15 to adopt the Copenhagen Accord. While willing to admit that the outcome was far from perfect, most countries recognized the Accord as an important step forward. As a result of informal consultations facilitated by UN Secretary-General Ban Ki-moon early on Saturday morning, COP 15 agreed to “take note” of the Copenhagen Accord and establish a procedure without precedent under the UNFCCC for countries willing to do so to register their support for the Accord and submit their targets by 31 January 2010.

Many saw this as an unsatisfactory result. Some also felt that what many media reports seemed to be missing is that while it is very true that many countries – developed and developing ones alike – had serious misgivings about the substance of the Accord, the vast majority considered the negotiating process adequately representative and supported the formal adoption of the Copenhagen Accord.

THE COPENHAGEN ACCORD

In terms of substance, the Copenhagen Accord immediately faced strong criticism. Others, however, argued that the agreement did include a 2°C target and many other important provisions. Indeed, many saw the Copenhagen Accord as a concise document containing an outline of a future framework to address climate change.

Nevertheless, its provisions on mitigation by developed countries are widely seen as “clearly weak” and “a step backwards from the Kyoto Protocol.” Developed countries do not commit themselves to legally-binding emission reductions. Similarly, there is no quantification of a long-term global goal for emission reductions, or specific timing for global emissions to peak. Instead, the agreement suggests a bottom-up approach whereby developed and developing countries submit their pledges for information purposes to the Convention, a method advocated most prominently by the US.

With regard to mitigation actions by developing countries, the Accord does not contain any quantified emission reduction objectives and mainly elaborates on the measurement, reporting and verification (MRV) of developing country actions, one of the major stumbling blocks in the negotiations leading to Copenhagen. MRV of unsupported actions are suggested to be done domestically and reported to the Convention through national communications. The Accord, however, does contain some language, reportedly a compromise between the US and China, stating that there will be some provisions for “international consultations and analysis,” a concept yet to be defined. Those actions supported by international finance, technology transfer and capacity building will, however, be subject to international MRV.

What many characterized as “the most successful part of the Accord” relates to short- and long-term financing. Developed countries came to Copenhagen with clear promises to fund mitigation and adaptation actions in developing countries. According to the Copenhagen Accord, US\$30 billion for the period 2010-2012 will be provided, and long-term finance of a further US\$100 billion a year by 2020 will be mobilized from a variety of sources. The Accord also establishes four new bodies: a mechanism on REDD-plus, a High-Level Panel under the COP to study the implementation of financing provisions, the Copenhagen Green Climate Fund and a Technology Mechanism. Furthermore, the Accord contains a reference to possibly

limiting temperature increase to below 1.5°C, as advocated by many SIDS and others, although only with regard to the future assessment of the implementation of the Accord.

“If adopted, the Accord would have been an important step forward towards a better and legally-binding outcome,” commented one delegate before leaving the Bella Center. After many long nights of tense negotiations many were, however, reluctant to analyze its legal and operational implications given the “exceptional procedure” through which the Accord was adopted. In particular, the basis for operationalizing the financing provisions in the text is uncertain, which many have pointed out is very unfortunate and detrimental to those developing countries that really need it. To delegates leaving Copenhagen the future also remained somewhat unclear. The COP and COP/MOP agreed to extend the mandate of the AWG-LCA and AWG-KP for another year. No decision was taken, however, on when and where the negotiations would continue.

COPENHAGEN IN CONTEXT

Now that the last “confusing” and “highly emotional” moments in Copenhagen are history, the question remains of how the Conference and its outcome should be characterized in the larger scheme of things. Was Copenhagen a failure? There seems to be no question that the deep divisions and ill will that characterized the negotiations and the resulting Copenhagen Accord were disappointing to many negotiators and observers alike. However, when looking back through the history of the UNFCCC, there has been important progress in the past five years. In other words, long-term discussions have evolved from an informal one-day seminar for government experts in May 2005, through the Convention Dialogue and Bali Roadmap, to the Copenhagen Conference, where, for the very first time, the majority of the world’s leaders gathered to frankly and seriously discuss climate change – now commonly recognized as a serious threat to humanity. Their discussions also covered a full range of formerly “unmentionable” issues, such as adaptation and mitigation by developing countries. Agreement was reached on mitigation actions by both developed and major developing countries, and billions of US dollars were pledged for short- and long-term finance. Had the threat posed by climate change not been so urgent and serious, delegates would therefore have had every reason to be satisfied with their achievements over the past few years. However, as things stand, the Copenhagen outcome highlights that an enormous amount of work remains to be done before people can safely believe that the world has seen a turning point in the fight against climate change. It remains to be seen whether the political and public profile created in Copenhagen can be translated into a binding and ambitious international agreement on climate change.

UPCOMING MEETINGS

INTERGOVERNMENTAL MEETING FOR THE HIGH-LEVEL TASKFORCE ON THE GLOBAL FRAMEWORK FOR CLIMATE SERVICES: This meeting will take place from 11-12 January 2010, in Geneva, Switzerland. This meeting is being organized following a decision of the World Climate Conference 3 (WCC-3), which called for the establishment of the High Level Taskforce on the Global Framework for Climate Services. For more information, contact WMO: tel: +41-22-730-8111; fax: +41-22-730-8181; e-mail: hlt@wmo.int; internet: http://www.wmo.int/hlt-gfcs/index_en.html

FOURTH INTERNATIONAL CONFERENCE ON COMMUNITY-BASED ADAPTATION (CBA): This event will take place from 21-27 February 2010, in Dar es Salaam, Tanzania. The conference aims to share and consolidate the latest developments in CBA planning and practice in different sectors and countries among practitioners, policymakers, researchers, funders and the communities at risk. For more information, contact Saleemul Huq or Hannah Reid; tel: +44-(0)20-7388-2117; fax: +44-(0)20-7388-2826; e-mails: saleemul.huq@iied.org or hannah.reid@iied.org; internet: <http://www.iied.org/climate-change/key-issues/community-based-adaptation/cba-conference>

32ND SESSIONS OF THE UNFCCC SUBSIDIARY BODIES, AWG-LCA 9 AND AWG-KP 11: The 32nd sessions of the Subsidiary Bodies of the UNFCCC – the SBI and the SBSTA – are scheduled to take place from 31 May to 11 June 2010, in Bonn, Germany. At the same time AWG-LCA 9 and AWG-KP 11 will also take place. For more information, contact UNFCCC Secretariat: tel: +49-228-815-1000; fax: +49-228-815-1999; e-mail: secretariat@unfccc.int; internet: <http://unfccc.int/>

18TH COMMONWEALTH FORESTRY CONFERENCE: This meeting will convene from 28 June to 2 July 2010 in Edinburgh, Scotland. The theme of this conference is “Restoring the Commonwealth’s Forests: Tackling Climate Change.” For more information, contact the conference organizers: tel: +44-131-339-9235; fax: +44-131-339-9798; e-mail: cfcc@in-conference.org.uk; internet: <http://www.cfc2010.org/>

2010 INTERNATIONAL CLIMATE CHANGE ADAPTATION CONFERENCE: This event will be held from 29 June to 1 July 2010 in Gold Coast, Australia. The event will focus on “preparing for the unavoidable impacts of climate change, and will be co-hosted by Australia’s National Climate Change Adaptation Research Facility and the CSIRO Climate Adaptation Flagship. For more information contact the Conference Secretariat: tel: +61-7-3368-2422; fax: +61-7-3368-2433; e-mail: nccarf-conf2010@yrd.com.au; internet: <http://www.nccarf.edu.au/conference2010>

SECOND INTERNATIONAL CONFERENCE ON CLIMATE, SUSTAINABILITY AND DEVELOPMENT IN SEMI-ARID REGIONS (ICID II): This meeting will take place from 16-20 August 2010, in Fortaleza, Brazil. ICID I was held in 1992 in the run up for the Rio Conference. For more information, contact the Executive Secretariat: tel: +55-61-3424-9634; e-mail: contact@icid18.org; internet: <http://icid18.org>

WORKSHOP ON FOREST GOVERNANCE, DECENTRALIZATION AND REDD IN LATIN AMERICA: This meeting will convene from 30 August to 3 September 2010, in Mexico City, Mexico. For more information, contact CIFOR: tel: +62-251-8622-622; fax: +62-251-8622-100; e-mail: cifor@cgiar.org; internet: <http://www.cifor.cgiar.org/Events/CIFOR/decentralisation-redd.htm>

DELHI INTERNATIONAL RENEWABLE ENERGY CONFERENCE (DIREC): This event will take place from 27-29 October 2010, in New Delhi, India. It will be the fourth global ministerial level conference on renewable energy, and will consist of a ministerial meeting, business-to-business and business-to-government meetings, side events and a trade show and exhibition. For more information, contact Rajneesh Khattar; tel: +91-11-4279-5054; fax: +91-11-4279-5098/99; e-mail: rajneeshk@eigroup.in; internet: <http://direc2010.gov.in>

SIXTEENTH SESSION OF THE UNFCCC COP AND SIXTH MEETING OF THE COP SERVING AS THE MEETING OF THE PARTIES TO THE KYOTO PROTOCOL: This meeting is tentatively scheduled to take place from 29 November - 10 December, in Mexico City, Mexico. For more information, contact UNFCCC Secretariat: tel: +49-228-815-1000; fax: +49-228-815-1999; e-mail: secretariat@unfccc.int; internet: <http://unfccc.int/>

GLOSSARY

AOSIS	Alliance of Small Island States
AAU	Assigned Amount Unit
ALBA	Bolivarian Alliance for the Peoples of Our America
AWG-KP	<i>Ad Hoc</i> Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol
AWG-LCA	<i>Ad Hoc</i> Working Group on Long-term Cooperative Action
BAP	Bali Action Plan
CCS	Carbon capture and storage
CDM	Clean Development Mechanism
CDM EB	CDM Executive Board
CER	Certified Emission Reductions
CGE	Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention
COP	Conference of the Parties
COP/MOP	Conference of the Parties serving as the Meeting of the Parties
EGTT	Expert Group on Technology Transfer
GCOS	Global Climate Observing System
GEF	Global Environment Facility
GHG	Greenhouse gas
GWP	Global warming potential
HFC	Hydrofluorocarbon
IPCC	Intergovernmental Panel on Climate Change
JI	Joint Implementation
JISC	Joint Implementation Supervisory Committee
LDC	Least developed country
LULUCF	Land use, land use change and forestry
NAMA	Nationally appropriate mitigation actions
NAPA	National Adaptation Programmes of Action
NWP	Nairobi Work programme on impacts, vulnerability and adaptation to climate change
MRV	Measurable, reportable and verifiable
ppm	Parts per million
QELRO	Quantified emission limitation and reduction objective
REDD-plus	Reducing emissions from deforestation and forest degradation in developing countries, plus conservation
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body for Scientific and Technical Advice
SIDS	Small island developing state
UNFCCC	UN Framework Convention on Climate Change



Agriculture and Rural Development Day Bulletin

A summary report of the Agriculture and Rural Development Day 2009

Published by the International Institute for Sustainable Development (IISD)
in collaboration with CGIAR

ONLINE AT [HTTP://WWW.IISD.CA/CLIMATE/COP15/AD/](http://www.iisd.ca/CLIMATE/COP15/AD/)
VOLUME 170, No. 1, MONDAY, 14 DECEMBER 2009



SUMMARY OF AGRICULTURE AND RURAL DEVELOPMENT DAY: 12 DECEMBER 2009

The Agriculture and Rural Development Day event was held at the University of Copenhagen, in Copenhagen, Denmark, on Saturday, 12 December 2009. The event took place in parallel with the United Nations Climate Change Conference, including the fifteenth session of the Conference of the Parties (COP 15) to the United Nations Framework Convention on Climate Change (UNFCCC) and the fifth Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (COP/MOP 5), held in Denmark from 7-18 December 2008.

The Agriculture and Rural Development Day was co-hosted by the Consultative Group on International Agricultural Research (CGIAR), Climate Change Agriculture and Food Security, the Global Donor Platform for Rural Development, and the Faculty of Life Sciences at the University of Copenhagen. The event was attended by over 350 participants, including representatives from governments, UN and international agencies, business, NGOs, academia and farmers.

The key objectives of the meeting were to build consensus on ways to fully incorporate agriculture into the post-Copenhagen climate agenda and to discuss strategies and actions needed to address climate change adaptation and mitigation in the agriculture sector. Participants heard two keynote presentations during the opening session in the morning, and also attended four parallel roundtables before lunch. In the afternoon, there was a presentation by the US Secretary of Agriculture, and an “ideas marketplace” to provide an informal opportunity for dialogue and information exchange. The closing plenary was held in the early evening, during which a synthesis from the roundtables and a summary of the day were presented, followed by the premier of the film feature “Hope in Climate Change.”

The results of the Agriculture and Rural Development Day will be presented, along with outcomes from Forest Day and the FAO Climate Change and Food Security event, at a COP 15 Side Event on Monday afternoon, 14 December, titled: “Beyond Copenhagen: Agriculture and Forestry are Part of the Solution. How can forestry and agriculture help to mitigate climate change and feed 9 billion people by 2050?”

OPENING SESSION

Per Holten-Andersen, Dean, Faculty of Life Sciences, University of Copenhagen, welcomed participants to the event. He stressed that cooperation is key to solving climate challenges, underscored that while agriculture contributes to the

problem, it must also be part of the solution, and highlighted that major gaps still exist in knowledge about climate change and agriculture.

Katherine Sierra, CGIAR Chair and Vice President for Sustainable Development, World Bank, emphasized the need for comprehensive national strategies on agriculture and climate change adaptation and mitigation, including the better management of livestock, waste, pollutants, disease, fisheries, soils and carbon monitoring. She said there is a need to fully embed agriculture into a climate agreement.

Gordon Conway, Imperial College London, discussed scientific perspectives on agriculture and climate change. Among other things, he said: chronic hunger is widespread and will worsen with climate change; agriculture is both a victim and culprit of climate change; farming will suffer disproportionately from climate change; and little is known about impact of adaptation and mitigation on agriculture. He identified drivers of climate change, including tropical convection, monsoons, and the El Niño-La Niña oscillation. He said these drivers impact temperature and rainfall patterns, leading to agricultural stresses and shocks in the forms of floods and droughts. Conway noted that it is cheaper to anticipate these changes than to restore agricultural systems, but anticipation requires better quality weather data,

IN THIS ISSUE

Opening Session	1
Parallel Roundtable Discussions.	2
Roundtable 1: The Triple Challenge to Agriculture of Increasing Food Productivity, Climate Resilience and Greenhouse Gas (GHG) Mitigation.	2
Roundtable 2: Policies and Institutions for Resilient Development in the Face of Climate Change	2
Roundtable 3: Strategies and Responses for Adaptation of Farmers and Food Systems	2
Roundtable 4: Unlocking the Potential of Emission Markets for Small Farmers.	3
Afternoon Session	3
Closing Plenary	3

The *Agriculture and Rural Development Day Bulletin* is a publication of the International Institute for Sustainable Development (IISD) <info@iisd.ca>, publishers of the *Earth Negotiations Bulletin* © <enb@iisd.org>. This issue was written and edited by Kate Harris and Miquel Muñoz, Ph.D. The Digital Editors are Kate Harris and Diego Noguera. The Editor is Robynne Boyd <robyne@iisd.org>. The Director of IISD Reporting Services is Langston James “Kimo” Goree VI <kimo@iisd.org>. Funding for coverage of this meeting has been provided by the Consultative Group on International Agricultural Research (CGIAR). IISD can be contacted at 161 Portage Avenue East, 6th Floor, Winnipeg, Manitoba R3B 0Y4, Canada; tel: +1-204-958-7700; fax: +1-204-958-7710. The opinions expressed in the *Bulletin* are those of the authors and do not necessarily reflect the views of IISD. Excerpts from the *Bulletin* may be used in other publications with appropriate academic citation. Electronic versions of the *Bulletin* are sent to e-mail distribution lists (in HTML and PDF formats) and can be found on the Linkages WWW-server at <http://www.iisd.ca/>. For information on the *Bulletin*, including requests to provide reporting services, contact the Director of IISD Reporting Services at <kimo@iisd.org>, +1-646-536-7556 or 300 East 56th St., 11A, New York, New York 10022, United States of America.

downscaled global models for projecting local effects, and improved in-country capacities. He stressed that win-win solutions are needed to increase mitigation, productivity, food security, and adaptation. He said such solutions might include: new cropping systems; conservation farming; water retaining measures; diverse agro-systems; better warning systems; and soil sequestration. He said carbon market mechanisms should reward small farmers for emission reductions and carbon sequestration efforts, but farmer-friendly assessment techniques are needed to test soil carbon. He stressed that agricultural interventions should be judged in terms of productivity, profit, sustainability, adaptation and mitigation.

Kanayo Nwanze, President, International Fund for Agricultural Development (IFAD), said food security and climate change are interlinked and inseparable, and stressed that the decisions taken or not taken on climate change will affect our lives and those of our children. He said the dialogue between climate change and agriculture is insufficient. He underscored that poverty and hunger are on the rise, cannot be ignored, and that climate change is making them worse. Nwanze noted that fragile rural infrastructure will come under increased pressure from climate change impacts, and emphasized the great potential for mitigation in the agricultural sector.

Underscoring the challenges for Africa, he said countries need to invest in agriculture research themselves and not be dependent on international assistance. He emphasized that the international community should deliver a fair, credible and clear global agreement on climate change. He stressed that the weaker the climate deal, the greater the impact on poor rural people, adding that an ambitious deal should set the frameworks providing incentives for poor people, yet cautioning that finance should be new and not a recycling of existing money, as in the past. Nwanze said the compartmentalization of finance into adaptation and mitigation does not work well for agriculture.

PARALLEL ROUNDTABLE DISCUSSIONS

ROUNDTABLE 1: THE TRIPLE CHALLENGE TO AGRICULTURE OF INCREASING FOOD PRODUCTIVITY, CLIMATE RESILIENCE AND GREENHOUSE GAS (GHG) MITIGATION

The roundtable was moderated by Rodney Cooke, IFAD, and included presenter Mankombu Sambasivan Swaminathan, Chairman, Swaminathan Research Foundation, and panelists: Lindiwe Sibanda, CEO, Food, Agriculture and Natural Resources Policy Analysis Network; Stephen Hall, The WorldFish Center; and N'douati Kariuki, Kenya National Federation of Agricultural Producer. The roundtable identified the gaps and priorities related to the links between food productivity, agriculture, and climate change. Issues addressed included identifying: where and who would be most impacted by climate change; data and research needs for improving understanding of climate-agriculture interactions; and financial implications of these needs.

Brian Baldwin, Global Donor Platform for Rural Development, was in charge of summarizing the session. He underscored the following points: food security and climate

change are inseparable, and therefore agriculture must be included in any agreement; stakeholders are united in seeking profitable solutions; and links between public, private, and scientific sectors must be strengthened.

ROUNDTABLE 2: POLICIES AND INSTITUTIONS FOR RESILIENT DEVELOPMENT IN THE FACE OF CLIMATE CHANGE

This roundtable, moderated by Wendy Mann, FAO, explored the national and international policies and institutions that incentivize agricultural adaptation and mitigation responses. Maura O'Neill, U.S. Department of Agriculture, identified priority areas such as: key elements of a development strategy to facilitate climate change resilience; differences between policies and programs for climate resilience versus those for enhancing food security; information and analysis needed to devise policy for climate resilient development strategies; and the financial implications of these needs.

Gerald Nelson, International Food Policy Research Institute, argued for increasing investments in public sector agricultural research and for improved knowledge sharing systems across disciplines and borders. Carlos Seré, International Livestock Research Institute, stated that the key policy issue is engaging small agricultural stakeholders in mitigation-related business, which poses challenges in terms of quantification and verification. Yvan Biot, Department for International Development, United Kingdom, distinguished between agricultural issues related to short-term impacts of climate change, such as dealing with local uncertainty, versus long-term impacts, for example rising global temperatures.

The ensuing discussion revolved around policy and financing as related to climate change and agriculture. Participants highlighted the challenges associated with engaging agricultural stakeholder participation across civil and private sectors, debated the differences between the impacts of climate change and food security, discussed the importance of coordinating funding at national and international levels, and emphasized the relationship between sustainable development and climate change resiliency. Pramod Joshi, of the National Centre for Agricultural Economics and Policy Research in India, summarized the discussions and reiterated the need for investment in agricultural research, extensions, and capacity building.

ROUNDTABLE 3: STRATEGIES AND RESPONSES FOR ADAPTATION OF FARMERS AND FOOD SYSTEMS

This roundtable examined ways to support farmers and food systems as they adapt to climate change. Adel El-Beltagy, Global Forum on Agricultural Research, flagged concerns about the impact of climate change on cropping patterns, water availability, pests, and efficacy of current agricultural technologies. He emphasized that strategies for addressing climate change must build from the farmer to the global level. He called for a global alliance for food security, peace and prosperity.

Marco Ferroni, Syngenta Foundation for Sustainable Agriculture, called for increases in yield potential through improved crop varieties and better natural resource management. Sara Scherr, Ecoagriculture Partners, emphasized the need for a landscape approach to tackling climate change

and called for increased investment in agricultural institutions and effective rural finance for integrated climate prevention. Sarala Gopalan, a farmer from India, said farmers need relevant agricultural research provided in clear and simple ways. Peter Kendall, National Farmers Union of England and Wales, called for greater consumer awareness of food choice impact on the environment.

Thomas Rosswall, Climate Change Action Fund, summarized the ensuing discussion with the following points: agriculture should be a prominent factor not only into the climate change negotiations, but also into the biodiversity and desertification negotiations; climate change is a global issue that demands local solutions; and incentive systems in terms of finance and policy are needed to assist farmers.

ROUNDTABLE 4: UNLOCKING THE POTENTIAL OF EMISSION MARKETS FOR SMALL FARMERS

Erick Fernandes, World Bank, moderated the roundtable. Axel Michaelowa, Perspectives Climate Change, noted that while agriculture is a major source of GHGs, accounting for 10 to 12% of emissions, there are no agriculture projects under the Kyoto Protocol's Clean Development Mechanism (CDM). He underscored challenges for inclusion of agriculture in the carbon markets, such as ambiguous scientific knowledge, and highlighted public-private partnerships as essential. Fernandes noted that CDM was a great lost opportunity.

Ralph Ashton, the Terrestrial Carbon Group, said climate change financing would not solve agriculture problems, underscored the need for a holistic landscape approach to forestry and agriculture, and noted the need for specific proposals on how to include agriculture in carbon markets. Andreas de Neergaard, University of Copenhagen, noted that most of the agriculture mitigation potential resides in developing countries, and stressed the importance of incentives for farmers.

Mohammed Adow, Christian Aid, said agriculture in Africa will not benefit from carbon finance, similarly as it did not benefit from the CDM. He urged a focus on livelihoods and sustainable agriculture rather than on carbon offsets.

The ensuing discussion focused on, *inter alia*: aggregation of small scale emissions by agro-industries; the importance of methodologies and prospects of activities-based approaches; certification; the need to collaborate with regulators; experiences learned from the forest sector; the role of financial derivatives and carbon bundling; and issues of scale.

AFTERNOON SESSION

Tom Vilsack, Secretary of the U.S. Department of Agriculture, discussed climate change and global food security, encompassing both the developed and developing world, which he highlighted as the globe's two defining issues. He described how food demands are increasing, while the quantity of water is decreasing, aridity is spreading, and weather patterns are becoming more erratic. He said these factors impact food yields, which can in turn lead to economic and political instability. Vilsack stressed the role of agriculture in mitigating climate change, and the need for transformational change to meet the world's food needs. He emphasized that the goal of agricultural research should be to improve health, safety, and quality of life for people throughout the world. To achieve this

ultimate end, he identified areas that need attention, including: climate change research, to provide relevant, local-scale information to small farmers worldwide; agricultural research, to improve crop and livestock yield and resiliency; and climate change mitigation research, to develop carbon markets for a sustainable world. He concluded his speech by encouraging participants to think of climate change less in analytical terms, and more in personal terms, since future generations will face the consequences of agricultural decisions made today.

In the ensuing question and answer session, participants asked about subsidies and the Doha trade round, support for mitigation and the US contribution, COP15 negotiations, and climate change and food security. On subsidies, Vilsack said that it is important to compare farmer's benefits from open access to trade with those of the subsidies. On support for mitigation, he said that no matter how much financing developed countries put on the table, it will not be enough, and it is necessary to create incentives and institutions to promote private sector investment. On international support for mitigation by the US, he said his country's role is first and foremost to provide resources, but also to foster research and promote good practices, citing as examples improving the ingredients in livestock feed and developing and implementing second and third generation biofuel feedstocks. Vilsack emphasized that though it is important to increase food production, it is also essential to ensure that its nutritional value is fully realized and that the food reaches people. On the climate negotiations, Vilsack highlighted his priority as helping the US Congress to understand the importance of agriculture as a tool for adaptation and mitigation. He said in the US agriculture represents about 7% of the GHG emissions but could account for 20% of the solution. Vilsack underscored that food security and climate change are linked and one cannot be addressed without the other. He emphasized the need to ensure that food security and alleviating hunger are not lost in the climate change debate.

CLOSING PLENARY

Thomas Rosswall, presented the findings of the four Roundtables to the afternoon plenary.

Ajay Vashee, President, International Federation of Agricultural Producers, synthesized the day's discussions by focusing on the fact that food security and, by extension, national security, depends on a stable climate, thus the Copenhagen and post-Copenhagen agenda must incorporate agriculture. He said that agriculture is already affected by climate change, and comprehensive risk management, financing programs, and policy initiatives are needed to involve all stakeholders in solutions. He concluded that agriculture is the intersection of poverty reduction, food security, and climate change, and, therefore, presents the potential for win-win-win solutions to these issues.

Mark Cackler, Manager, Agriculture and Rural Development, World Bank, reiterated that agriculture lies at the apex of poverty alleviation, economic growth, and environmental sustainability. In the ensuing discussion participants noted, *inter alia*, that: adaptation money should be separate and distinct from mitigation funding; developing institutions require direct and unmediated access to funding;

the role of women is central to agricultural issues worldwide; and a unified message on agriculture needs to be presented during the climate negotiations.

Lindiwe Sibanda said the session had identified the key elements necessary to inform the negotiators at COP 15 on how agriculture should be addressed. She stressed that food security and climate change are inseparable, and questioned to the best way to communicate the message to ensure that agriculture is a part of the agreement. She identified priorities highlighted in the conference, such as: food provision; addressing overconsumption and waste; the role

of women; sustainable land uses; the need to look at biofuels in a pragmatic manner; addressing invasive species; having small farmers and large producers accrue the benefits of the carbon trade; the need for clear communication and clean technologies; literacy; modalities to access financing; and bottom-up approaches. She said that all farmers have a stake in agriculture and climate change and need to speak with one voice, and cautioned against compartmentalizing agriculture.

Sibanda thanked the hosts, organizers, presenters and participants and closed the meeting with the message “no agriculture, no deal.”



Agriculture & Rural Development Day

COPENHAGEN 12 December 2009

Hosted by



Global Donor Platform
for Rural Development



FACULTY OF LIFE SCIENCES
UNIVERSITY OF COPENHAGEN

With the support of

Danida



Global Donor Platform
for Rural Development



USAID
FROM THE AMERICAN PEOPLE

Organized by



Earth System
Science Partnership



FACULTY OF LIFE SCIENCES
UNIVERSITY OF COPENHAGEN



FIPA IFAP



Global Donor Platform
for Rural Development



GFAR



ILIFAD



INTERNATIONAL FOOD POLICY
RESEARCH INSTITUTE
Sustainable solutions for ending hunger and poverty
Supported by the CGIAR



Business Day Bulletin

A summary report of the Copenhagen Business Day

Published by the International Institute for Sustainable Development (IISD) in collaboration with the World Business Council for Sustainable Development (WBCSD)

ONLINE AT [HTTP://WWW.IISD.CA/CLIMATE/COP15/BD/](http://www.iisd.ca/climate/cop15/bd/)
VOLUME 160, No. 2, SUNDAY, 13 DECEMBER 2009



World Business Council for Sustainable Development



International Chamber of Commerce
The world business organization



SUMMARY OF COPENHAGEN BUSINESS DAY: 11 DECEMBER 2009

The Copenhagen Business Day event convened at the headquarters of the Confederation of Danish Industry, in Copenhagen, Denmark, on 11 December 2009. Organized by the World Business Council for Sustainable Development (WBCSD) and the International Chamber of Commerce (ICC), together with the Confederation of Danish Industry, Copenhagen Business Day met in parallel to the UN Copenhagen Climate Change Conference. This event was the third Business Day, and featured more than 40 speakers and panelists. Over 400 participants registered to attend the one-day meeting, including representatives of governments, international organizations, business, academia, non-governmental organizations and youth.

Copenhagen Business Day featured: an opening plenary entitled “Let’s get moving,” during which United Nations Framework Convention on Climate Change (UNFCCC) Executive Secretary Yvo de Boer challenged participants to consider their role in addressing climate change; three parallel sessions on “2012: Realizing the potential of today’s solutions,” “Actions now that set the course for 2020” and “Envisioning our 2050 future,” respectively; and a panel discussion entitled “Taking the gloves off.” The event concluded with the launch of the WBCSD Value Chain Initiative. This report summarizes the presentations and discussions during the one-day event.

A BRIEF HISTORY OF CLIMATE CHANGE AND BUSINESS ISSUES

Climate change is considered to be one of the most serious threats to sustainable development, with adverse impacts expected on the environment, human health, food security, economic activity, natural resources and physical infrastructure. While the global climate varies naturally, scientists agree that rising concentrations of anthropogenically-produced greenhouse gases (GHGs) in the Earth’s atmosphere are leading to further changes in the climate. These increasing GHG emissions are caused or influenced by factors such as economic growth, technology, population and governance. According to the Intergovernmental Panel on Climate Change (IPCC), the effects of climate change are already being observed, and scientific findings indicate that prompt action is necessary.

Certain sectors of the business community have long been recognized as significant producers of GHG emissions. Increasingly, the business community is also being recognized as important for identifying business-led solutions to climate change challenges. A growing number of corporations acknowledge the importance of corporate social responsibility, risk mitigation and performance dimensions associated with



A view of Copenhagen, optimistically dubbed Hopenhagen, from the Business Day venue

the sustainable production and use of energy. As a result, issues relating to clean technology, carbon markets, energy efficiency and demand-side management, sectoral approaches, voluntary emission reduction commitments, adaptation and forestry are of increasing interest to the business community.

The first Business Day, called the Bali Global Business Day, was organized in parallel with COP 13 of the UNFCCC in Nusa Dua, Bali, Indonesia on 10 December 2007. The Bali Global Business Day included panels on energy efficiency, zero-carbon technologies, large-scale carbon control, and clarity in climate policy. Business participants at that event made clear that they favored the successful completion of a new global climate change policy framework, valid beyond 2012, which promotes urgent and sustained mitigation and adaptation plans.

The second such event, “Business Day at COP 14,” convened in Poznań, Poland, on 9 December 2008. This event featured panel sessions on: a shared long-term vision;

IN THIS ISSUE

A Brief History of Climate Change and Business Issues . . .	1
Copenhagen Business Day Report	2
Opening Plenary: Let’s Get Moving	2
Parallel Workstreams	3
Panel Discussion: Taking the Gloves Off	5
Launch of the WBCSD’ Value Chain Initiative	6
Upcoming Meetings	6

The *Business Day Bulletin* is a publication of the International Institute for Sustainable Development (IISD) <info@iisd.ca>, publishers of the *Earth Negotiations Bulletin* © <enb@iisd.org>. This issue was written and edited by Deborah Davenport, Ph.D., Elisa Morgera, Ph.D., and Lynn Wagner, Ph.D. The Digital Editors are Kate Harris and Diego Noguera. The Editor is Robynne Boyd <robynne@iisd.org>. The Director of IISD Reporting Services is Langston James “Kimo” Goree VI <kimo@iisd.org>. Funding for coverage of this meeting has been provided by WBCSD. IISD can be contacted at 161 Portage Avenue East, 6th Floor, Winnipeg, Manitoba R3B 0Y4, Canada; tel: +1-204-958-7700; fax: +1-204-958-7710. The opinions expressed in the *Bulletin* are those of the authors and do not necessarily reflect the views of IISD. Excerpts from the *Bulletin* may be used in other publications with appropriate academic citation. Electronic versions of the *Bulletin* are sent to e-mail distribution lists (in HTML and PDF formats) and can be found on the Linkages WWW-server at <http://www.iisd.ca/>. For information on the *Bulletin*, including requests to provide reporting services, contact the Director of IISD Reporting Services at <kimo@iisd.org>, +1-646-536-7556 or 300 East 56th St., 11A, New York, New York 10022, United States of America.

mitigation; adaptation; technology; and financing and investing. Participants sought to contribute to the UNFCCC negotiation process by interrelating the themes of the Bali Action Plan, which charted the course for a new negotiating process designed to tackle climate change, with business capability and initiative: energy efficiency and demand-side management; technology development and deployment; carbon markets and financing; and sectoral approaches.

COPENHAGEN BUSINESS DAY REPORT

Björn Stigson, President, WBCSD, opened Copenhagen Business Day, encouraged participants to engage intensively



Björn Stigson, President, WBCSD

in the day's discussions, and introduced the host of the event, Hans Skov Christensen, Director General and CEO, Confederation of Danish Industry. Christensen said business has formulated a number of climate change solutions, clean technologies are ready, and business and politics must join forces to lead to the future. He stressed

that, *inter alia*, solutions should be global and we need global prices on emissions.

OPENING PLENARY: LET'S GET MOVING

Nik Gowing, international journalist and broadcaster, moderated the plenary and introduced the Copenhagen Business Day agenda, inviting participants to raise innovative ideas for discussion.

UNFCCC Executive Secretary Yvo de Boer discussed the need for the climate change agenda to reinforce and be reinforced by other public policy agendas, such as employment and security. He presented his expectation that COP 15 would produce a set of decisions to:

address climate change as a long-term goal; provide clarity on developed country targets, developing country engagement, and finance to make such engagement possible; and identify specific actions, such as reducing emissions from deforestation and forest degradation in developing countries (REDD) to quick-start immediate progress. He noted the business community's lack of relevance to the negotiations at the international level and said business needs to "define an attractive product" to elicit government attention.



Moderator Nik Gowing, international journalist and broadcaster



UNFCCC Executive Secretary Yvo de Boer



Participants during the discussion

In ensuing discussions, one participant underscored business's incoherence in presenting their views at the international level. Another said certain governments have specifically asked for business's perspectives on climate change. A participant stressed that the race towards a low-carbon future is a "marathon, not a sprint."

When asked what companies can offer at the global level, participants pointed to technology development, in particular with regard to carbon capture and storage (CCS), smart transport systems and renewable energy, and finance for mitigation and adaptation in developing countries. One participant, however, noted challenges in facing "intransigent perceptions" vis-à-vis business. Another participant called for regulation on building energy efficiency to support investment in that sector.

De Boer stressed the lack of business influence on international negotiations for linking public and private financing. In response, one participant underscored the need for the private sector to better understand "customers," so as to present a more coherent message to the international community. De Boer called for business to influence the design of new institutions, funds, rules and market-based approaches.

On a call for changing consumer lifestyles, de Boer responded that this is a "non-starter" in the North because people in those countries do not want to lose their lifestyle and the South because people in those countries want the same lifestyle as the North. In this context, he noted the need for ambitious targets to "allocate gain rather than pain" and achieve technological leaps. One participant called for focusing on green growth rather than sacrifices and risks, with another cautioning that markets are out of fashion in many areas. Others focused on, *inter alia*, the need for: concrete business pledges on investment and technology transfer; certainty and predictability; transparency and regulation in order to build trust that the market is well-run and fair; and a change in the equation from loss to benefit for business.

Various participants bemoaned: the lack of coherence in the business community's responses to climate change, with some businesses favoring less ambitious emissions reductions than those preferred by governments; the fact that people engaging in technology transfer lack representation on national delegations; and the lack of politicians' willingness to hear progressive messages from the business community. One participant called for a deal between the developing and developed world on reciprocal reductions in new coal plants. De Boer concluded by suggesting that participants should develop messages from the business community to the climate change negotiations.



Participants during the parallel session “2012: Realizing the potential of today’s solutions”

PARALLEL WORKSTREAMS

Three workstreams addressed actions that could and should be taken by 2012, 2020 and 2050, respectively. Following initial presentations by issue leaders, participants conducted their discussions using the Chatham House Rule, which provides that the identity and affiliation of speakers may not be revealed. Accordingly, the summaries below report on the ideas expressed during the discussions without speaker attribution.

2012: REALIZING THE POTENTIAL OF TODAY’S

SOLUTIONS: Malini Mehra, Chief Executive, Social Markets, India, moderated this workstream, calling for

participants to consider issues related to changing lifestyles, technologies and business models in discussion groups on different topics. Rick Bradley, International Energy Agency (IEA), noted challenges, including the fact that atmospheric carbon is still increasing and that energy demand is increasing such that the Organization for Economic Cooperation and Development and IEA countries can no longer set energy prices. He called for new technologies and their worldwide dissemination, and noted the window of opportunity provided by the world financial crisis.

Dennis Welch, American Electric Power, spoke on the need for changing wasteful lifestyles, citing the increasing size of US doorways to accommodate obesity. On technology, Laura Ipsen, Cisco, noted that today’s technologies can reduce up to 20% of emissions and called for positive solutions and for sharing best practices with emerging markets. On the role of business models in accelerating change, Rachel Kyte, International Finance Corporation, queried why trust is so low. She called for an enabling environment, with public finance leveraging private finance.

In separate groups participants discussed transport, consumer goods, sustainable forests, waste, buildings, and alternative energy, identifying a specific issue within each on which to focus through the lenses of lifestyle, technology and business models.



Malini Mehra, Chief Executive, Social Markets, India



Dennis Welch, American Electric Power

The transport group rapporteur reported on its focus on biofuels, citing the need for enablers, such as certification, regulations, standards, tax policy and clear methodologies. She noted that increased use of biofuels would require few changes in consumer lifestyle and that biofuels have huge potential in the short term.

The consumption group rapporteur reported that for 100% recycled clothing, there is a need for more factories and more consumer demand. She called for consideration of what stops consumers from adopting low-carbon lifestyles and business’s role in this regard.

On sustainable forests, the rapporteur noted a focus on sustainable wood products and recommendations for: common approaches on standards for sustainable forest management to address consumer confusion; scientifically accepted indicators for certification; and further efforts to define forest sustainability at the UN level.

The waste group’s rapporteur called for considering “waste” as a resource. He said the price signal is the main barrier as long as recycling is more expensive than virgin materials. He called for regulatory frameworks to set the right prices and consumer education.

The rapporteur for the buildings group said roadblocks include: the cost of building technologies and materials; the lack of transparency on long-term costs of electricity, water and heating; the high prices of alternatives; and a lack of political will. On recommendations, he said participants differed over the role of subsidies. They also suggested new policies to boost fossil fuel costs or prices and education on the health and other benefits of greener buildings.

The alternative energy group’s rapporteur noted challenges caused by “not in my backyard” attitudes, low government financing, and consumer confusion about sources of fuels and electricity. He noted the group’s recommendations for: comprehensive global education tailored to local needs; leadership from WBCSD and ICC to drive public-private partnerships on education about options; and greater use of existing clean technologies.

In the afternoon plenary, Mehri highlighted the group’s conclusions that the challenge is to achieve: the right price; regulatory and policy framework changes; more public engagement and education; and training of engineers. She also recommended gaining trust through greater transparency and a multi-stakeholder approach.

2020: ACTIONS NOW THAT SET THE COURSE

FOR 2020: Christine Loh, CEO, Civic Exchange, moderated the workstream that considered how current infrastructure investments can be scaled up to set a course for a low-carbon 2020 pathway. Peter Taylor, IEA, said energy efficiency and renewable energy offer options for the coming decade, but he also emphasized the need to think about what framework is needed to take us beyond 2020.

Katherine Sierra, World Bank, asked participants to consider how places without power that are urbanizing quickly could get the necessary technology and finance. Richard Gledhill, PricewaterhouseCoopers, encouraged participants to think of new fund structures.



Moderator Christine Loh, CEO, Civic Exchange



L-R: Katherine Sierra, World Bank; Peter Taylor, IEA; Richard Gledhill, PricewaterhouseCoopers; and Joan MacNaughton, Alstom Power

Joan MacNaughton, Alstom Power, suggested that delegates consider how to: get more energy efficient technologies; get the right mix of technologies; and ensure innovation.

Participants then divided into small groups to discuss barriers, enablers and solutions related to three themes: investment; technology; and development. Barriers identified included: the lack of a price on carbon; risk; costs and complexity of current market arrangements; lack of capacity; lack of investment at a large scale; and lack of regulatory framework and governance structures to attract large scale investments. The enablers included: capacity building; government regulation; risk management tools; public-private partnerships; and multi-stakeholder involvement in a technology platform.

Solutions included: development of a stable regulatory framework; development of finance packages for technology transfer to reduce underlying investment risks; transparency and clarity on funding mechanisms; consumer education; development of an energy efficiency platform to exchange best practices and a technology research and development database on carbon and energy management; pricing that reflects true costs; support to small and medium enterprises and best practices; and development of minimum global efficiency standards and of more sectoral agreements and initiatives.



Moderator Christine Loh, Civic Exchange (left), made an intervention in the Workstream group on Technology



Workstream group on Investment

Speakers favored improvements to the Clean Development Mechanism, including simplifying it and making it technology neutral. The benefits of public policy, development and capacity building, public finance in risk mitigation, public support for innovation networks, and early implementation of agreements in the building and construction and cement sectors were highlighted.

Participants suggested establishing a global fund to support divestment in old, "dirty" assets, while providing incentives to scrap old technology. Sharing best practices among businesses, supporting the needs of small and medium enterprises, and capacity building in developing countries were highlighted, as was the need to protect and also encourage intellectual property. One speaker highlighted that, whereas the previous message from the private sector was that free markets would solve problems, speakers at Copenhagen Business Day were now saying that business does not have the solution and, therefore, noting the need for regulatory frameworks. The benefits of short-term reporting on progress were highlighted.

In her summary, Christine Loh highlighted, *inter alia*, the gap in messaging to government negotiators and the importance of: dialogue; innovation networking; training for clients and customers; setting standards; and sectoral initiatives.

2050: ENVISIONING OUR 2050 FUTURE: Isabel Hilton, CEO, China Dialogue, noted that in 2050 the world population will: total 9 billion; be mostly concentrated in cities; and have witnessed the largest migration in human history. She wondered whether the emission reduction commitments by developed countries and the promises of CCS will have been fulfilled by then.

Nijma Khan, WBCSD, stressed that to achieve a sustainable world by 2050, defined as nine billion people living well within the limits of resources and without negatively impacting the natural environment, business will need to ensure efficient production by collaborating with governments and civil society. Christopher Tuppen, BT, underlined the need to move towards sustainable energy production and consumption, noting that there is an insufficient debate on reducing energy consumption through technology innovation or behavioral change.



Isabel Hilton, CEO, China Dialogue



Christian André Weinberger, Henkel

Christian André Weinberger, Henkel, discussed innovative sustainable consumption, stressing that the new quality standard will refer to sustainability-based performance. Mark Spelman, Accenture, noted that there will be winners and losers in the low-carbon economy, and called for a fundamental change in business models. He identified the need for private companies to factor in externalities through

innovative materials, production systems, product design, marketing and distribution.

Participants then broke into working groups, tasked to describe the low-carbon life of an imaginary citizen of the future, and to identify ways to further reduce the carbon footprint of future citizens through technology innovation. Among proposed solutions identified by the working groups were: high-tech devices to optimize individuals' carbon footprint; improved transportation and distribution systems through the use of biofuels based on waste; dietary changes involving reduced consumption of meat; widespread use of renewable energy; use of biotechnology for recycling; and a shift in taxation from labor to materials.

In ensuing discussions, participants underscored the: possibility of using technology to verify carbon footprints at the individual level; carbon intensity of the health care sector in the future; likelihood of small business coming up with new "disruptive" technology, and need to create a business culture looking to the future. Participants also discussed the need for: smart, flexible regulation to prompt change in business; consideration of both micro- and macro- levels; a role for business leadership according to a longer-term vision; and focus on gross domestic wellbeing and happiness rather than gross domestic product.

In the afternoon, Hilton summarized the outcomes of the discussions in this workstream, highlighting: optimism about technology development; the importance of culture in framing views on consumption in 2050 and in integrating sustainability into business practices; consensus on the fact that global challenges will drive business; and pessimism that business can drive the agenda.



Mark Spelman, Accenture

PANEL DISCUSSION: TAKING THE GLOVES OFF

Nik Gowing opened the afternoon session, identifying three "C" challenges for business: clarification, communication and coherence of business's medium to long-term vision on climate change.

Reporting on a closed morning CEO session, one panelist stressed that business needs to have one voice and called for the immediate establishment of a government framework on climate change to provide long-term predictability. He also noted that certain private companies are already behaving as if there were a price on carbon. An afternoon panel discussion, consisting of a series of panels composed of CEOs, focused on selected themes.

Quick-start initiatives: One panelist encouraged leadership to ensure that tomorrow's products are either recyclable or sustainable. Other panelists: called for stability and returns as necessary preconditions for investment in the low-carbon economy, underscoring the importance of carbon pricing; stressed the role of education that targets consumers and citizens; identified sustainable cities as a quick-start initiative; encouraged companies to publish information on their carbon footprint so as to build trust; and noted that the carbon market will generate large sources of financing and said it is necessary to have trust that the funds will be used appropriately.

Speakers also noted: the benefits of clear, equitable targets in a long-term framework; the misconception of "business versus government"; governments need to hear from early adopters; WBCSD should develop a communication strategy with governments; and most governments' primary concern is to not increase the price of energy.

Business Unusual: Panelists focused on innovative businesses and new business models. Speakers highlighted: the market for satellites is developing, calling for government assistance to enable it provide practical tools to end users; developing CCS can solve the coal problem; and the importance of good regulation and carbon prices.

Panelists also noted that 40% of carbon emissions come from construction, calling for new construction technologies, rapid uptake and changes in stakeholder attitudes, and said companies along the supply chain could work together for mutual advantage and they need to stop relying on governments for all solutions.

Panelists also: called for business transformation, a new carbon accounting infrastructure, and use of the context of climate change in order to foster changes and innovations; said sectoral thinking is the biggest obstacle to widespread implementation of new concepts, and that value chains and business models that are more effective for society should be established; and agreed that acceptance of new technologies depends on the risk acceptance of a company's investors, demonstration of possibilities for future value, and shareholder understanding that businesses have social values. One panelist said intellectual property rights and technology transfer to developing countries do not have to conflict.

Public-private partnerships: One panelist pointed to successful partnerships between legislators and business representatives in devising economically and environmentally sound legislation. Other areas identified as ideal for partnerships were: technology development, energy-efficient building, adaptation in developing countries, and combined food and biofuel production. Some participants noted that businesses from developing countries were under-represented at Copenhagen Business Day.



Participants during the discussion in the parallel session "Envisioning our 2050 future"

Participants also: supported the continuity of international financing to support developing countries; called on private companies to contribute to international carbon financing mechanisms; and underscored the importance of setting targets at the international level to drive innovation.

Consumers: Panelists: noted the win-win situation of getting a 200% return on every dollar invested in energy efficiency in California through retrofitting of buildings and other efficiency measures; called for targets, legislation and incentive schemes to encourage customers to switch from old technologies; cautioned that sectoral approaches will not lead to a comprehensive outcome; noted an increasing willingness of consumers in both developed and developing countries to change their behaviors, saying the challenge is innovating more rapidly to bring new goods to the market faster and at competitive prices; said consumers like to indulge and do not want to be told what to do; noted a coming battle over scarce resources, arguing for a systemic institutional 'smart grid' approach to electricity; and said businesses lose trust by not keeping promises and taking a short-term rather than long-term view.

Meeting wrap-up: Ed Crooks, Financial Times, underscored that although business may have differing views on climate change, it can have a significant role to play in partnering with government for technology development and in demanding the stability and predictability needed for investment.

LAUNCH OF THE WBCSD VALUE CHAIN INITIATIVE

Bjorn Stigson announced the launch of the WBCSD Value Chain Initiative, led by the Coca-Cola Company and Unilever, which will focus on optimizing carbon reductions throughout the value chains of consumer goods companies. Muhtar Kent, Chairman and CEO, Coca-Cola Company, stressed the importance of influencing behavioral change in suppliers and consumers. Paul Polman, CEO, Unilever, noted that sustainable business is not just about energy, but also about reducing poverty, sustainably managing waste water, and increasing food production. He expected increasing demands for more responsible business models.

Stigson thanked the Copenhagen Business Day participants and noted that the event was characterized by companies' indication of their willingness to do more. Stigson expressed WBCSD's willingness to convene other Business Days in the future and closed the meeting at 5:15 pm.

UPCOMING MEETINGS

WORLD ECONOMIC FORUM ANNUAL MEETING

2010: This meeting will take place from 27-31 January 2010, in Davos, Switzerland, under the theme "Improve the State of the World: Rethink, Redesign and Rebuild." For more information contact: tel: +41-22-869-1212; fax: +41-22-786-2744; e-mail: contact@weforum.org; Internet: <http://www.weforum.org/en/events/AnnualMeeting2010/index.htm>

BUSINESS FOR THE ENVIRONMENT (B4E)

SUMMIT: This event will convene from 21-23 April 2010, in Seoul, Republic of Korea, co-hosted by UNEP, the UN Global Compact and WWF. For more information contact: tel: +65-6534-8683; fax: +65-6534-8690; e-mail: michelle.ko@globalinitiatives.com; Internet: <http://www.b4esummit.com/>

UNFCCC SUBSIDIARY BODIES: These meetings will convene from 31 May-11 June 2010, in Bonn, Germany. For more information contact: tel: +49-228-815-1000; fax: +49-228-815-1999; e-mail: secretariat@unfccc.int; Internet: http://unfccc.int/meetings/unfccc_calendar/items/2655.php?year=2010

DELHI INTERNATIONAL RENEWABLE ENERGY CONFERENCE (DIREC): This event will take place from 27-29 October 2010, in New Delhi, India. It will be the fourth global ministerial level conference on renewable energy, and will consist of a ministerial meeting, business-to-business and business-to-government meetings, side events and a trade show and exhibition. For more information contact: Rajneesh Khattar; tel: +91-11-4279-5054; fax: +91-11-4279-5098/99; e-mail: rajneeshk@eigroup.in; Internet: <http://direc2010.gov.in>

SIXTEENTH SESSION OF THE UNFCCC COP AND SIXTH MEETING OF THE COP SERVING AS THE MEETING OF THE PARTIES TO THE KYOTO PROTOCOL: This meeting is expected to convene at the end of 2010, in Mexico City, Mexico. For more information contact: tel: +49-228-815-1000; fax: +49-228-815-1999; e-mail: secretariat@unfccc.int; Internet: http://unfccc.int/meetings/unfccc_calendar/items/2655.php?year=2010



L-R: Björn Stigson, WBCSD; Muhtar Kent, the Coca-Cola Company; and Paul Polman, Unilever



Development and Climate Days Bulletin

A Summary Report of the Development and Climate Days at COP 15

Published by the International Institute for Sustainable Development (IISD) in collaboration with the International Institute for Environment and Development (IIED)

ONLINE AT [HTTP://WWW.IISD.CA/CLIMATE/COP15/DCD/](http://www.iisd.ca/climate/cop15/dcd/)
VOLUME 99, ISSUE No. 6, WEDNESDAY, 16 DECEMBER 2009



SUMMARY OF THE DEVELOPMENT AND CLIMATE DAYS AT COP 15: 11-14 DECEMBER 2009

The “Development and Climate Days at COP 15” event took place at The Concert House in Copenhagen, Denmark, from 11-14 December 2009. The event was held in parallel with the fifteenth Conference of the Parties (COP 15) to the UN Framework Convention on Climate Change (UNFCCC) and fifth Meeting of the Parties to the Kyoto Protocol (COP/MOP 5).

Development and Climate Days has been a feature of the UNFCCC negotiations since 2002. It provides an opportunity for participants to share information on key development and climate change issues. In Copenhagen, approximately 800 participants attended the four-day event, including representatives of governments, international organizations, academia, research institutes, business and non-governmental organizations. The event was organized by the International Institute for Environment and Development (IIED), the International Institute for Sustainable Development (IISD), the Stockholm Environment Institute, the RING alliance of policy research organizations, and the Capacity Strengthening of Least Developed Countries for Adaptation to Climate Change (CLACC). The event was sponsored by the UK Department for International Development and the Ministry of Foreign Affairs of Denmark.

The event featured more than 70 speakers and numerous extended discussions and question-and-answer sessions. Over the four days, the event focused on the following issues:

- land, water and forests (day one);
- justice, ethics and humanitarian issues (day two);
- planning adaptation (day three); and
- mitigation, finance and the private sector (day four).

The event also included a film festival on climate and development issues, featuring short films from around the world.

This report summarizes the presentations and discussions held over the four days.

A BRIEF HISTORY OF CLIMATE CHANGE AND DEVELOPMENT ISSUES

Climate change is considered one of the most serious threats to sustainable development, with adverse impacts expected on the environment, human health, food security, economic activity, natural resources and physical infrastructure. Global climate varies naturally, but scientists agree that rising concentrations of anthropogenically-produced greenhouse gases (GHGs) in the Earth’s atmosphere are leading to changes in the climate. Anthropogenic climate change is the result of increasing GHG emissions caused or influenced by development factors such as economic growth, technology, population and governance; and evidence of climate change impacts on both natural and human systems is increasing. According to the Intergovernmental Panel on Climate Change (IPCC), the effects of climate change have already been observed, and scientific findings indicate that precautionary and prompt action is necessary.

Until recently, climate change was viewed largely as an environmental concern of little relevance to development policy makers or practitioners. Likewise, development approaches have been given less attention than technological and natural science approaches focusing on reducing GHG emissions.

Nevertheless, unsustainable development is the underlying cause of climate change, and development pathways will determine the degree to which social systems are vulnerable to climate change. Climate change will have direct impacts on development with regard to climate-sensitive activities such as agriculture and indirect consequences on social issues such as poverty and education. Furthermore, climate change is likely to exacerbate inequalities due to the uneven distribution of damage, since poor communities tend to live on marginal lands and in areas prone to extreme weather events. Alternative development pathways will influence the capacity of communities and countries to adapt to climate change and will also determine future GHG emissions. As such, development policy and practice must address climate change issues.

While mitigation has traditionally been the pivotal issue for many climate change experts, adaptation to the effects of climate change is now acknowledged as necessary for responding effectively and equitably to the impacts of both climate change and climate variability. Adaptation has been implicitly and explicitly linked with development-focused action, particularly as the IPCC has underscored that developing countries are disproportionately vulnerable to climate change and lack adaptive capacity, a notion that is especially important for developing countries with growing economies. Therefore, attention will need to be paid to

IN THIS ISSUE

A Brief History of Climate Change and Development Issues	1
Report of Development and Climate Days at COP 15	2
Day One: Land, Water and Forests	2
Day Two: Justice, Ethics and Humanitarian Issues	5
Day Three: Planning Adaptation	7
Negotiating Climate Information Needs for Improved Humanitarian Response and Rural Livelihoods	7
Day Four: Mitigation, Finance and the Private Sector	10
Upcoming Meetings	12
Glossary	12

The *Development and Climate Days Bulletin* is a publication of the International Institute for Sustainable Development (IISD) <info@iisd.ca>, publishers of the *Earth Negotiations Bulletin* © <enb@iisd.org>. This issue was written and edited by Chris Spence and Liz Willetts. The Editor is Leonie Gordon <leonie@iisd.org>. The Director of IISD Reporting Services is Langston James “Kimo” Goree VI <kimo@iisd.org>. Funding for coverage of this meeting has been provided by IIED. IISD can be contacted at 161 Portage Avenue East, 6th Floor, Winnipeg, Manitoba R3B 0Y4, Canada; tel: +1-204-958-7700; fax: +1-204-958-7710. The opinions expressed in the *Bulletin* are those of the authors and do not necessarily reflect the views of IISD. Excerpts from the *Bulletin* may be used in other publications with appropriate academic citation. Electronic versions of the *Bulletin* are sent to e-mail distribution lists (in HTML and PDF formats) and can be found on the Linkages WWW-server at <<http://www.iisd.ca/>>. For information on the *Bulletin*, including requests to provide reporting services, contact the Director of IISD Reporting Services at <kimo@iisd.org>, +1-646-536-7556 or 300 East 56th St., 11A, New York, New York 10022, United States of America.

issues of particular importance to these vulnerable groups, including the management of water and other natural resources, agricultural activities, and the sources and generation of energy.

Development and Climate Days began as “Adaptation Day” in 2002 to discuss some of these issues. The Development Day was added in 2004 to bring in development practitioners who would not normally attend the UNFCCC negotiations, but had relevant information to share, and whose work might be influenced by the work of the climate change community. In 2007, the event was renamed Development and Climate Days to reflect that adaptation is now fairly well mainstreamed into the development agenda and that good adaptation presupposes development. The 2007 event, held alongside COP 13 in Bali, Indonesia, included panels on disaster reduction and extreme weather events, cities, health, financing adaptation, food and agriculture, community-based adaptation, and communicating for communities across sectors and timescales.

The event in 2008, which took place in parallel with COP 14 in Poznań, Poland, included discussions on: vulnerable groups; gender and climate change; children; the Arctic and small island developing States; rights and justice; policymaking in a changing climate; community-based adaptation; adaptation effectiveness; and adaptation funding.

REPORT OF DEVELOPMENT AND CLIMATE DAYS AT COP 15

Saleemul Huq, Senior Fellow, International Institute for Environment and Development (IIED), opened the Development and Climate Days event on Friday, 11 December,

noting the growth of this event since its beginnings as a one-day gathering at the eighth Conference of the Parties to the UN Framework Convention on Climate Change (UNFCCC COP 8) in New Delhi, India, in 2002. He said the aim of this event is to bring people with a development interest or background to the climate negotiations. He observed that the event had also grown in scope beyond its initial focus on adaptation. He welcomed participants and anticipated a productive meeting.



Saleemul Huq, Senior Fellow, IIED

DAY ONE: LAND, WATER AND FORESTS

Issues of land, water and forests were explored in a series of sessions held on 11 December. Sessions focused on integrating adaptation into development planning, arid land ecosystems, mountains and adaptation, and reducing emissions from deforestation and forest degradation in developing countries (REDD). In addition, an evening reception was held on “innovations, partnerships and solutions” in the context of adaptation.

INTEGRATING ADAPTATION INTO DEVELOPMENT PLANNING: This high-level panel session was organized by the Danish Ministry of Foreign Affairs and chaired by Saleemul Huq, IIED.

Presentations: Ulla Tørnæs, Minister for Development Cooperation of Denmark, identified Development and Climate Days as a critical event linking development, poverty reduction, adaptation, mitigation and climate change, and stressed Denmark’s longstanding support for this event. Highlighting the “unjust paradox” that those who suffer most from climate change have contributed least to the problem, she said local communities often hold the solutions and “small-scale farmers may hold large-scale answers.” She also stressed women’s



L-R: Wangari Maathai, Greenbelt Movement founder; Ulla Tørnæs, Minister for Development Cooperation, Denmark; and Ditlev Engel, CEO and President of Vestas

role as crucial agents of change and said gender equality must be part of the COP 15 outcome. She drew attention to the Dialogue on Climate Change Adaptation for Land and Water Management, which resulted in the “Nairobi Principles” for adaptation to climate change. Identifying financing as a critical issue and ongoing discussions to provide US\$10 billion per year from 2010-2012 as an initial step, Minister Tørnæs announced that Denmark has set aside US\$240 million in new and additional funding as part of a new agreement.

Wangari Maathai, Greenbelt Movement founder, emphasized the linkages between climate change and development. She warned of the risks to development if countries do not take care of their natural, indigenous forests in tropical areas such as the Amazon, the Congo Basin and South-East Asia. She also highlighted the impacts of climate change at a local level, citing the example of Kenya, where a prolonged drought resulted in rivers drying, declines in agricultural productivity and the threat of starvation for one-quarter of Kenya’s population. She emphasized the role of good governance in setting appropriate policies and providing support to help local communities and farmers adapt appropriately. She said donor funding must be used responsibly and improve local capacity, not misappropriated by politicians or spent on international consultants. Ridiculing the “trickle down” theory, she said the only thing that trickles down is corruption, and good values must be established both at the government and community level.

Ditlev Engel, CEO and President of Vestas, discussed how to cut emissions while also fighting poverty. He underscored a bottom-up approach, sustainable job creation, and solutions that address water management. He highlighted the benefits of wind energy, which is available for deployment now, unlike some other forms of renewable energy. He outlined the work of Vestas in 63 countries, stressed his company’s commitment to long-term sustainability, and outlined its support for bottom-up approaches that involve local partnerships, capacity building and job creation. He noted the huge difference in water use from different energy sources, with dramatically higher water use associated with electricity from coal or oil compared to wind power.

Paul Collier, Centre for the Study of African Economies, Oxford University, underlined the vital importance of adaptation by citing the direct impact climate change will have on the future viability of crops and therefore on “mass hunger.” He stated that adaptation will require the adoption of genetically modified organisms (GMOs). He also proposed that Africa must shift from an agriculture-based to a service-based economy, suggesting that this will actually reduce carbon

emissions. He labeled the Clean Development Mechanism (CDM) as a “scam” that was benefiting certain countries while diverting money away from Africa.

Discussion: In the ensuing discussion, participants highlighted mechanisms for addressing local behavior change in response to climate change, noting the opportunities for natural management techniques, government strategies to increase local participation in national forest goals, and the role of development assistance. Participants also questioned the use of GMO patents.

For more information, contact:

Dorte Neimann <dornei@um.dk>

LAUNCH OF ALERTNET: Delegates were briefed by Laurie Goering of Thomson Reuters Foundation on the launch of “Alertnet: Climate,” a new website on the humanitarian impacts of climate change. The website: <http://www.alertnet.org/climate>

ARID LAND ECOSYSTEMS: This session was organized by the International Fund for Agricultural Development (IFAD) and chaired by IFAD’s Rodney Cooke.

Presentations: Atiqur Rahman, IFAD, noted that arid land ecosystems have an estimated 1.3 billion inhabitants, including pastoralists and farmers. He explained that these areas are being adversely affected by extreme weather variability, desertification, salinity, over-exploitation of natural resources, loss of productivity, human displacement and conflicts. He outlined key issues for discussion in this session, including opportunities for mitigation in arid land ecosystems, adaptation options, and emerging financial mechanisms.

Peter Holmgren, UN Food and Agriculture Organization (FAO), spoke about mitigation opportunities. He supported sustainable land management (SLM), noting the role of soil in carbon sequestration and the need to avoid further carbon loss through desertification. He also discussed the prospects for REDD and the role of conservation, sustainable forest management and enhancement of forest carbon stocks – an approach known as “REDD-plus.” Noting that the UNFCCC and other processes tend to focus on one issue, he stressed the benefits of an integrated SLM approach that could combat desertification, alleviate rural poverty, increase food security, and mitigate and adapt to climate change.

Ced Hesse, IIED, emphasized local expertise in addressing environmental challenges. He urged efforts to understand and build on what is known at the local level, rather than trying to impose top-down answers and replace locally-tested solutions. He labeled as a “myth” the perception that local communities do not have the answers, and suggested that poor policies imposed by central authorities have undermined local responses. He suggested that traditional pastoralism involving mobile livestock is more productive than fixed farming models with sedentary livestock.

Nadim Khouri, IFAD, noted “unmet expectations” on what arid lands could potentially offer both in terms of mitigation and adaptation. He promoted the livelihoods approach to development, arguing that policy makers should seek to understand and support local strategies and solutions. He suggested that lands that are approaching or have already reached a “tipping point” should be the focus of increased support.

Alejandro Kilpatrick, Global Mechanism of the UN Convention to Combat Desertification, presented on the links between climate change, desertification and biodiversity loss in arid land ecosystems. He described scenarios that might arise from a Copenhagen outcome. In particular, he referenced two means for supporting dryland funding: the inclusion of agriculture, forestry, and land use (AFOLU) into a financial mechanism in an amended CDM; or financing through REDD-

plus. He also listed ways to reduce emissions in agricultural, rural and land use sectors, including reduced fertilizer use and anaerobic digestion of waste, in addition to avoiding deforestation.

Cynthia Awuor, CARE, commented on adaptation finance. She explained that CARE’s focus includes adaptive capacity, increasing resilience through diversified livelihoods, and disaster risks. In terms of financing, she emphasized the need for greater budget flexibility, for instance allowing the inclusion of funds for emergencies. She underscored the need to link climate change adaptation with development policies, stressing the importance of education, technical skills training and alternative livelihood strategies.

Lars Otto Naess, Climate Change and Development Centre, Institute for Development Studies (IDS), emphasized the need to “unpack” climate change at the local level and said local institutions should be strengthened.

Discussion: Participants discussed local policy structures that enable shifts to new local industries, such as farmer-based agroforestry; financing streams for agriculture and energy; waste management; case studies for early warning for pastoralists; the opportunities for funding local adaptation; links between indigenous knowledge and existing adaptation strategies; and capacity building in general.

In response to a question about funding for local adaptation, Peter Holmgren said the international community fails to recognize that land use is a huge part of the problem and should make financing available for land management. He called for a more structured and long-term adaptation strategy.

Nadim Khouri then responded to a question on land ownership, noting that improved legal clarity on property rights leads to improvements in productivity.

In his closing remarks, Rodney Cooke noted the value of engaging with and educating the media on these issues. He noted that about one-third of emissions come from land use (14% from agriculture, 18% from deforestation). He also drew attention to the significant projected increase in people exposed to water stress in sub-Saharan Africa and other regions.

For more information, contact:

Atiqur Rahman <at.rahman@ifad.org>

MOUNTAINS AND ADAPTATION: LIVING WITH TOO MUCH OR TOO LITTLE WATER: This session was organized by the International Centre for Integrated Mountain Development (ICIMOD) and chaired by ICIMOD’s Mats Eriksson.

Presentations: Ralph Lasage, IVM Institute for Environmental Studies, outlined the “adaptive water management at the local scale” (ADAPTS) initiative. He explained that the project aims to increase developing countries’ adaptive capacities by securing the inclusion of climate change and adaptation considerations in water policies, local planning and investment decisions. He also noted that the initiative analyzes and supports local water-related adaptation initiatives, working with local non-governmental organizations (NGOs) and governments. He identified various challenges, including how to ensure that climate models and data support local actors in their strategic choices; ensuring sufficient local capacity and ownership; and securing future funding for adaptation that is both top-down and bottom-up.

Rahel Belete, Africa for Development (AfD), outlined results from the ADAPTS project in the Oromia region of Ethiopia, an arid and semi-arid region seriously affected by climate change. She explained that the project had secured multi-stakeholder involvement building sand dams, which improve the natural storage capacity of the riverbed and surrounding formations, and help reduce vulnerability to drought and floods.

Julie Dekens, ICIMOD, reported on studies focused on adaptation in the Hindu Kush Himalayan region. She outlined examples of successful local adaptation strategies to deal with droughts and floods over many years, but warned that local knowledge is now either being lost or ignored at this critical time. She recommended that climate predictions should not be the central tool to guide adaptation, but that policy makers should focus on existing vulnerabilities in a “context of change” where climate change is one of a number of drivers of such change. She also suggested that local responses are influenced by larger trends and processes.

Participants then watched two short films. Ajaya Dixit, Institute for Social and Environmental Transition (ISET)-Nepal, introduced the film “In the Grip of Drought,” pointing out that it shows a classic example of maladaptation in which segregation and resource theft are used as coping mechanisms. She reported that drought is a threat to two-thirds of Nepal’s people.

Julie Dekens, ICIMOD, presented the film “Living with Floods,” which shows that some communities are compelled to change their cultural norms in order to adapt to climate change.

Panel Discussion: Following the film presentations, ICIMOD Director General Andreas Schild convened a panel focused on mountain, water and adaptation policy, particularly for bottom-up approaches.

Ajaya Dixit, ISET-Nepal, said adaptation is the capacity to switch strategies in the face of constraints, and that this should set the context for drafting government adaptation policy.

Mohamed Ait Kadi, Chair of the Technical Committee of the Global Water Partnership, stated that the contributions of institutions and processes are very important in this policy discussion. He described mountains as “the water towers of the world” providing water to at least 50% of the world’s population. He proposed a joint sustainable mountain management and water policy approach, as well as an integrated climate change and mountain policy. He concluded that mountains provide many positive externalities and that communities should receive compensation for these environmental services.

Discussion: In the ensuing discussion, one participant questioned whether an evolutionary approach based on local strategies is preferable to a transformative approach that looks at whether the current livelihoods systems are viable in the long-run and, if not, acts to make them viable. Another said governments need to work with local communities, which are best placed to understand the needs and threats to their local environment.

Reflecting on the discussions, Andreas Schild hoped that by COP 16 the key role of mountain regions would be sufficiently recognized in the UNFCCC process, and identified the Hindu Kush as a “climate hot spot.”

For more information, contact:
<meriksson@icimod.org>

REDD AND DEVELOPMENT: ENSURING THE INTEGRITY OF GREENHOUSE GAS REDUCTIONS AND DEVELOPMENT BENEFITS:

This session was organized by the International Institute for Sustainable Development (IISD) and chaired by IISD’s John Drexhage. He listed several key issues for the REDD negotiations at COP 15, including questions over REDD-plus, the levels of monitoring and reporting, the use of current IPCC guidelines, exploration of transboundary cooperation to address leakage issues, and co-benefits.

Presentations: Dennis Garrity, Director General, World Agroforestry Centre, said REDD needs a broader approach. He described the idea of REDD-plus as a “whole landscape approach” that can address the drivers of deforestation and the issue of leakage while also enhancing broader participation



Session Discussing REDD and Development. L-R: Pham Minh Thoa, Ministry of Agriculture and Rural Development, Viet Nam; George Wamukoya, Common Market for East and Southern Africa; Maryanne Grieg-Gran, IIED; Dennis Garrity, ICRAF; and John Drexhage, IISD

and benefiting small-scale land owners. He also noted the substantial carbon sequestration potential on lands surrounding forests. Finally, he discussed co-benefits, proposing that REDD-plus could create joint benefits for adaptation, mitigation and food security.

Maryanne Grieg-Gran, IIED, argued that REDD needs to be coordinated with strategies for adaptation and development in agriculture. Noting projected population increases and changes in dietary habits, she said the required increases in food supply must be taken into account when developing REDD policies, which could potentially close off land-use options. She noted studies suggesting that both improvements in agricultural productivity and increases in land available for farming may be needed. She argued that because of these linkages, the forestry and agricultural communities should work together on REDD issues.

Pham Minh Thoa, Deputy Director General, Department of Forestry, Ministry of Agriculture and Rural Development, Viet Nam, reported on her country’s experience as a pilot country for REDD and its interest in a system for measuring, reporting and verifying (MRV) REDD activities. She highlighted the importance of a suitable institutional framework, strong collaborative partnerships, avoiding the duplication of work, and a well-designed and developed system for MRV. She suggested that a system for supporting MRV at all levels is needed for both REDD actions and support.

George Wamukoya, Common Market for East and Southern Africa, noted the dependence on natural resources in sub-Saharan Africa and discussed how REDD interacts with trade, poverty alleviation, environmental sustainability and food security. He said REDD can provide an opportunity for a paradigm shift in how we use our natural resources. He promoted efforts to take a transboundary perspective to REDD and to harness technology through sub-regional collaboration, and proposed developing a work programme on agriculture.

Discussions: John Drexhage opened the discussion, asking how useful a non-REDD-plus agreement would be. In response, George Wamukoya said negotiations must first clarify and compare REDD-plus and “REDD-plus-plus,” which includes agriculture. Pham expressed concern with the time constraints in Copenhagen, noting that REDD needs to follow the IPCC Good Practice Guidelines and that delegates must agree to MRV based on international requirements while also allowing for national and regional circumstances.

In response to a question about the links between carbon funding and agroforestry, Dennis Garrity clarified that carbon funding would be used to accelerate the transition to agroforestry and therefore accelerate carbon storage capacity.

One participant emphasized that the financial benefits of REDD must filter down to local communities, and stressed the role of local people in MRV, since remote sensing has its limits.

Another participant outlined a project to re-plant multi-purpose indigenous tree species, which are a source of food and other benefits. He also supported the concept of “community forests.”

Responding to a question about whether an agreement must include REDD-plus-plus, George Wamukoya said this would be desirable, since it includes agriculture, but that we should move forward on REDD even if REDD-plus-plus is not secured at this point.

Reflecting on the discussions, John Drexhage said he was astounded at how quickly the REDD agenda had gained traction in the UNFCCC process and this is a real achievement in a short space of time.

For more information, contact:
<sjungcurt@iisd.ca>

ADAPTATION RECEPTION: On Friday evening, 11 December, the Stockholm Environment Institute and Global Climate Adaptation Partnership (SEI) hosted a reception and interactive discussion that included Wangari Maathai and several other speakers talking about “innovations, partnerships and solutions.” The reception also showcased the Google Earth/weADAPT online tour of forests and livelihoods.

DAY TWO: JUSTICE, ETHICS AND HUMANITARIAN ISSUES

Justice, ethics and humanitarian issues were considered in four sessions held on 12 December. These sessions focused on gender and equality, climate change and migration, ethical and human rights in the context of adaptation policy, and population dynamics and climate change. In addition, a new report, “Other Worlds are Possible: Human Progress in an Age of Climate Change,” was launched. Richard Klein, the SEI, served as master of ceremonies for the day’s events.

GENDER EQUALITY: This session was organized by the Global Gender and Climate Alliance and the Women’s Environment and Development Organization (WEDO). It was facilitated by WEDO Chair Monique Essed-Fernandes, who identified an emerging consensus on the significance of gender in the context of climate change. She drew attention to the work of the Global Gender and Climate Change Alliance. She also discussed a new publication, “Climate Change Connections: A Resource Kit on Climate, Population and Gender,” produced by WEDO and the UN Population Fund (UNFPA). She emphasized women’s roles as agents of change, not just as a group of vulnerable people.

Presentations: Yianna Lambrou, FAO, reported on preliminary results from research on gender and climate shifts in Andhra Pradesh, India. She reported the study’s findings that gender affects how people view and respond to climate change. In terms of coping strategies, she noted that women are more likely to look for wage labor close to home, while men are more inclined to migrate. She also highlighted the study’s findings that discrimination is more common on the basis of gender than caste or land ownership.

Cheryl Anderson, Social Science Research Institute, University of Hawaii, spoke about women’s knowledge and contribution to adaptation in the Pacific. She stressed women’s knowledge in identifying low-cost adaptation methods and women’s increased presence in technical fields such as meteorology. She also highlighted the importance of community outreach, institutional collaboration and education. She concluded that failure to acknowledge multiple knowledge systems could lead to a chronic and ongoing need for disaster relief, more welfare problems and displacement.

Angelina Mensah, Environmental Protection Agency of Ghana, observed that women play a significant role in agriculture and emphasized the social, economic and political effects of flooding, droughts, and conflicts. She highlighted

that women are most affected by migration and the health issues resulting from climate change, including sexual violence, increases in malaria, and constraints on education. She underlined the need to mainstream gender into climate change and development and called for gender-sensitive strategies in response to the climate crisis.

Participants then watched a short film from the Asian Farmers Association for Sustainable Rural Development and IFAD. The film showed that women comprise the majority of farmers in this region and declared sustainable agriculture to be a key solution to climate change for these small farmers. It illustrated how new weather conditions caused by climate change have increased the use of pesticides, which contribute to greenhouse gases (GHGs) and negatively impact long-term crop yields. The film called for a climate fund to assist with these issues.

Discussion: In the ensuing discussion, one participant highlighted work in the US on gender identity and agriculture that has led to alternative farming and local-level change. Yianna Lambrou highlighted cultural issues and “baggage” that needs to be considered. She also said solutions in one region may not be applicable in others.

Participants discussed bringing a gender perspective to the UNFCCC negotiations, displacement and migration, and experiences in an indigenous community. On how to balance concepts of women as both agents of change and a vulnerable group, Cheryl Anderson urged identifying and supporting women’s existing capacities as agents of change.

Participants also discussed how youth can be agents of change. Angelina Mensah said youth could rein in a tendency towards consumerism, suggesting that “one pair of Reeboks is enough, not two.” She added that youth can bring their vigor and voices to the debate. Yianna Lambrou said young women can be long-term agents of change, stressed the crucial role of education, and said times of crisis can create the “space for change.”

For more information, contact:
<cate@wedo.org>

CLIMATE CHANGE AND MIGRATION: This session was organized by SEI and the Climate Change, Environment and Migration Alliance (CEMA). It was chaired by SEI’s Tom Downing and Jenty Kirsch-Wood of the UN Office for Coordination of Humanitarian Affairs.

Presentations: Sujatha Byravan, Centre for Development Finance, raised the issue of political protection, legal issues and statelessness with respect to human rights, questioning whether migrants have protection and where such rights should be affirmed. She noted that sea-level rise was causing salt water intrusion, coastal erosion and forced displacement, and said 630 million people are expected to migrate as a result of sea-level rise. She emphasized the difference between “climate migrants” (those forced to migrate due to climate change impacts) and “climate exiles” (people rendered stateless with no possibility of returning).

Mohamed Hamza, SEI, underscored the need to move beyond the question of whether climate migration is happening and beyond the challenge of defining environmental migration, which focuses on debating whether people are actually forced to move. He observed that environment is one of many drivers for migration and that we need to know more about its relative impact. He also mentioned that lack of financial and social resources creates tenuous situations where people are unable to migrate.

Tina Acketoft, Member of Parliament of Sweden, noted the need for a legal toolbox and emphasized the gender perspective. She suggested that migration should not be viewed just as a “problem” but also as an opportunity. She

rejected the argument that legislation enshrining the right to a safe environment should not be considered because it would overwhelm the European Court of Human Rights.

Chella Rajan, Indian Institute of Technology, highlighted various options for addressing climate change migration, including bilateral arrangements, internal mechanisms, and an international treaty. He supported a new UN treaty or convention to protect climate migrants and exiles. He said such a treaty could confer political and legal rights on individuals and create a framework for host country responsibilities, noting that the European Union (EU) and US are historically responsible for most climate change.

Discussion: In the ensuing discussion, participants raised issues of cultural identity in the context of migration. They also discussed: a proposal to add migration as a fifth “pillar” in the climate talks in addition to adaptation, mitigation, finance, and technology; food insecurity; and temporary migration.

Responding to questions of legal rights and the appropriate body to address them, Mohamed Hamza and Sujatha Byravan suggested that it would not be appropriate to try to reopen the 1951 UN Convention Relating to the Status of Refugees. Sujatha Byravan said a separate treaty on the rights of stateless people could be needed.

In response to questions about obstacles to an international treaty and problems with definitions, Chella Rajan said these challenges may be complex but can be solved. He suggested that the principle of common but differentiated responsibilities is a sound starting point for resolving some of these issues.

On a question about definitions, Mohamed Hamza said migration is adaptation when it is voluntary, but not when it is forced. He also suggested that “internationalizing” the whole issue could play into the hands of groups seeking to switch the focus towards security in the North and away from the rights of displaced people.

Reflecting on the session, Jenty Kirsch-Wood identified the various approaches discussed, including treating migration primarily as a development challenge, developing a new treaty, or launching a new international court.

Participants also watched the short film, “Where is My Home?”

For more information, contact:
<tomdowning.sei@gmail.com>

ETHICAL AND HUMAN RIGHTS IMPLICATIONS OF ADAPTATION POLICY FORMATION: This session was organized by Penn State University and chaired by Nancy Tuana, Rock Ethics Institute at Penn State University. She observed that ethics had taken on a greater prominence at COP 15 than at earlier negotiations because people increasingly recognize climate change as a justice issue.

Presentations: Maxine Burkett, University of Hawaii, spoke about human rights and the justice implications of adaptation. She observed that countries with the fewest resources are likely to bear the greatest burden of climate change in terms of loss of life and relative effect on investment and economy. In terms of vulnerability and rights, she highlighted the need for improved monitoring and forecasting so that vulnerable groups have full access to information. She also advocated appropriate economic policies and exploring issues of community-based adaptation.

Sheila Watt-Cloutier, Inuit advocate, highlighted the objective of the UNFCCC, which is the “stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system.” She argued that, by allowing emissions growth to continue almost unchecked, the international community has already failed in this undertaking and allowed such dangerous interference. She said a human rights approach could shift the focus away from economic, scientific and

technical debates that often prove to be obstacles to action, and said a Copenhagen outcome must reflect the human rights perspective.

Petra Tschakert, Penn State University, highlighted the importance of the climate justice debate for the Adaptation Fund. She said the Fund should contain US\$75-100 billion each year, assuming 2°C warming. She emphasized the need both for compensation for climate impacts from those who are historically responsible for climate change, and for development assistance as part of the North’s “humanitarian duty.” She also highlighted the ethical, justice and risk implications of “quick fixes” such as geo-engineering.

Donald A. Brown, Penn State University, said the climate change debate does not give humanitarian issues a sufficient focus. He underscored the “no harm rule,” which he said is ignored by the UNFCCC. He also suggested that the IPCC focuses too heavily on cost-benefit analysis rather than a rights-based metric.

Discussion: In the ensuing discussion, Richard Klein, SEI, responded to Donald Brown’s comments about the IPCC, noting that both the Third and forthcoming Fifth Assessment Reports include a strong focus on equity issues.

Participants also discussed whether the “no harm” concept is actually attainable in the context of climate change, and how to enforce the obligation to protect human rights. Petra Tschakert said the Adaptation Fund Board has not yet adopted a rights-based approach.

Another focus of the discussions was the need to promote a sense of “entitlement” and “duty” rather than on approaches that identify those most affected by climate change as “victims.” Responding to a question about vulnerability, Maxine Burkett supported compensation for historical responsibility, rather than viewing such support as “charity.”

For more information, contact:
<dabrown57@gmail.com>

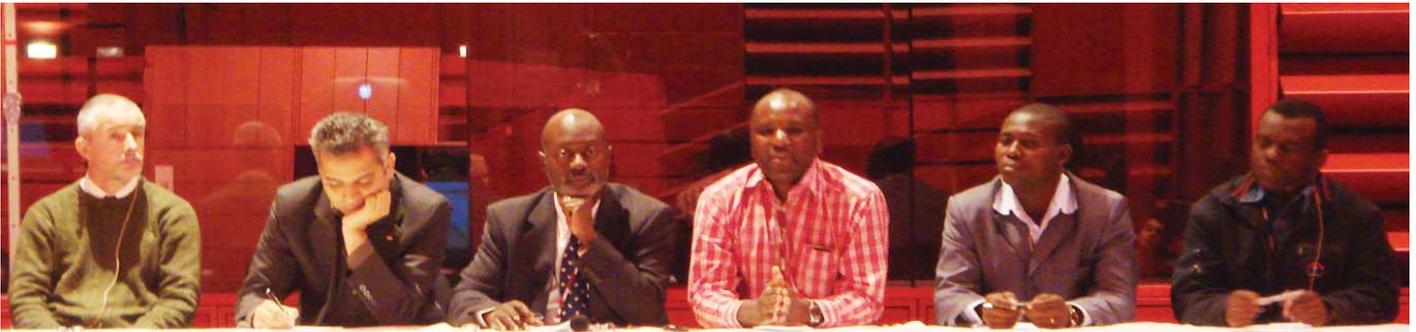
POPULATION DYNAMICS AND CLIMATE

CHANGE: This session was organized by UNFPA and moderated by Camilla Toulmin, IIED.

Presentations: José Miguel Guzmán, UN Population Fund (UNFPA), highlighted the new publication from UNFPA and IIED, “Population Dynamics and Climate Change.” He underscored that most environmental challenges become more complex when population size changes rapidly. However, he added that it is not just population size, but also composition, age, sex, health status and other factors that are relevant. He made it clear that the UN is not trying to link climate change with population control. He also highlighted linkages between reproductive health, women’s empowerment and improved climate change adaptation.

George Martine, UNFPA, noted that climate change has re-ignited the population-environment debate. He disputed the widespread belief that birth control is a simple solution to both over-population and environmental problems, and suggested that attempts at population control without development are unlikely to succeed. He said access to sexual and reproductive health services are valuable, but have limitations as an intervention on climate change. Noting rapid urbanization, he proposed that a focus on urban growth could assist climate mitigation and reduce vulnerability if policies focus on the needs of the poor.

Clive Mutunga, Population Action International, noted that although National Adaptation Programmes of Action (NAPAs) consider population growth as a contributing factor to climate change, only six NAPAs explicitly recognize reproductive health and family planning as an adaptation strategy. He emphasized that 27 of the 49 least developed countries (LDCs) are projected to at least double their populations by 2050, and that there is a high correlation between unmet reproductive planning needs and low climate resilience.



Planning Adaptation session. L-R: Simon Mason, IFRC Climate Centre; Bhupinder Tomar, IFRC; Claude Jibidar, UN World Food Programme West Africa Regional Bureau; Boniface Mbilinyi, SOKOINE University-Tanzania; Said Hounkponou, PARBCC; and Paul Mapfumo, International Maize and Wheat Improvement Center.

Linda Eriksson Baca, International Organization for Migration, said there is a two-way relationship between population and environment, in that environmental change results in migration and migration also creates an environmental footprint. However, she emphasized that the impact of migration can be positive, especially in diversifying livelihoods. She referenced changing perceptions of migration and said migration should be a part of adaptation strategies.

Discussion: Responding to a question about reproductive health, José Miguel Guzmán said reproductive health is about empowering women and this has a direct link to climate adaptation, resilience and reducing vulnerability.

One participant noted the historical link between population growth rates and women's education, and asked how to break the cycle between improved education and increased resource consumption. In response, George Martine said it is a question of values and culture. He suggested that as long as we define happiness as the ownership of more goods and economic growth, we will have an ongoing problem. He proposed socializing future generations in a way that can save our planet.

Reflecting on the discussions, Camilla Toulmin noted observations on the importance of investing in reproductive health to build resilience and strengthen adaptation, and the potential positive role of urban areas in climate mitigation and resilience.

For more information, contact:
<schensul@unfpa.org>

REPORT LAUNCH – “OTHER WORLDS ARE POSSIBLE”: Following the formal sessions on 12 December, a new report was launched entitled, “Other Worlds are Possible: Human Progress in an Age of Climate Change.” The report was the sixth from the Working Group on Climate Change and Development.

DAY THREE: PLANNING ADAPTATION

Planning adaptation was the theme considered in four sessions held on 13 December. These sessions focused on: negotiating climate information needs for improved humanitarian response and rural livelihoods; community-based adaptation; national adaptation planning; and emerging themes on adaptation. Simon Anderson, IIED, served as master of ceremonies for the day's events.

NEGOTIATING CLIMATE INFORMATION NEEDS FOR IMPROVED HUMANITARIAN RESPONSE AND RURAL LIVELIHOODS

This session was organized by the International Development Research Center (IDRC), International Research Institute for Climate and Society (IRI) and International

Federation of Red Cross and Red Crescent (IFRC) Climate Centre. The session was chaired by Claude Jibidar, West Africa Regional Bureau, UN World Food Programme.

Presentations: Pablo Suarez, IFRC Climate Centre, opened the session with a role playing activity on forecasts and risk. The activity showed participants how difficult it can be to make decisions about humanitarian interventions based on existing climate forecasting.

Simon Mason and Bhupinder Tomar, IFRC Climate Centre, observed that it is difficult to make decisions about humanitarian interventions even when the forecast seems to be very clear. Bhupinder Tomar said that since “forecasts are made by forecasters for forecasters,” information is often “lost in translation” for those working in the humanitarian response sector. He explained that the service provided by forecasters is not what is needed by the humanitarian sector. He emphasized that early warning should mean lead times longer than just a few hours or even days. He also commented on the disconnect between the available science and local needs, indicating that the spatial scales for forecasts can be too large for what is needed and not necessarily useful for understanding impacts.

Simon Mason added that there are differences between what forecasters think is useful information and what those working in the humanitarian field find useful. He said clarity is needed to make climate information easier to understand. He explained that the IFRC is working to translate the language of climatologists so it can be understood by humanitarian professionals, and described a second effort that uses digital maps to provide qualitative data on relative forecast risk.

Said Hounkponou, Strengthening the Capacity to Adapt to Climate Change in Rural Benin (PARBCC), discussed national and local practices for addressing weather risk, noting that a national system and the meteorological service works in conjunction with agriculture and environment ministries, local institutions and other stakeholders. He emphasized the need to improve capacity by building trust between national services and their extension programmes.

Paul Mapfumo, University of Zimbabwe, spoke about the Climate Change Adaptation in Africa (CCA) initiative on resilience and the smallholder farmer aimed at enhancing the capacity of communities to adapt to climate change in Southern Africa. He identified a disconnect between those who produce seasonal forecasts and the consumers of this information (smallholder farmers). He suggested that a platform involving a range of stakeholders was needed for sharing such information with farmers. He also observed that farmers often feel that their local/indigenous knowledge is sidelined when official forecasts are delivered. While stressing that there are no silver bullet scenarios, he said that locally-relevant solutions are achievable.

Boniface Mbilinyi, Sokoine University of Agriculture, Tanzania, reported on a CCA project in Eastern Africa aimed at managing risk, reducing vulnerability and enhancing

productivity under a changing climate. Noting that this regional is vulnerable to drought and dependent on rainfed agriculture, he explained that the project sought to connect with communities and identify how climate information could be of use to farmers in their decision making. He stressed a stakeholder-based approach to help farmers assess risks and benefit from climate forecasting and other sources of information.

Discussion: Participants raised several concerns, including how to increase connections between weather forecasters and local communities, the structure of national planning teams and the role of local institutions. Bhupinder Tomar noted that humanitarian groups are less advanced when it comes to understanding urban risk and said involving local governments to share planning experiences is helpful.

Participants also questioned the trust between meteorologists and agricultural extension agents; the accountability of extension agents; the receptivity of communities to national information; and the cultural challenges involving traditional rainmakers. Claude Jibidar emphasized the need to boost all adaptation and mitigation work through the provision of appropriate forecasting information.

For more information, contact:
<scarter@idrc.ca>

COMMUNITY-BASED ADAPTATION: This session was organized by the Bangladesh Centre for Advanced Studies (BCAS) and IIED. It was chaired by Atiq Rahman, BCAS, who observed that adaptation is already happening, is context specific, and is primarily occurring at the community level. Noting that local communities are not waiting on “crazy discussions” at the multilateral level on the Adaptation Fund or for external support before taking adaptive measures, he said the challenge was to support local actions.

Presentations: Bertha Nherera, Participatory Ecological Land Use Management (PELUM) Zimbabwe, outlined experiences working with women in rural communities in Zimbabwe. She highlighted various adaptation challenges, including increased frequency and severity of droughts and water shortages. She also reported on adaptation policies, including the use of bore holes to access ground water, more suitable crops and seed varieties, timely planting to cope with changes in the seasons, infrastructure development to improve access to markets, and support for local businesses that are not dependent on agriculture.

Bettina Koelle, Indigo Development and Change, spoke about experiences in South Africa aimed at increasing resilience. She reported on a rooibos tea plant project that engaged with youth and women at the community level. She highlighted the “participatory action research approach,” which includes local-record keeping through a “climate diary” to help inform farmers’ decisions. On lessons learned, she said successful adaptation requires a pro-active approach that generates enthusiasm and a sense of local ownership. She stressed that there are no “quick fix” technical solutions and argued against a fear-based approach.

Tanjir Hossain, ActionAid Bangladesh, discussed community-based adaptation in Bangladesh. He highlighted work to strengthen community efforts to improve resilience to flooding, and emphasized the value of collaborative partnerships with other NGOs and stakeholders. He also noted the value of engaging with the landless as well as landowners. He suggested that adaptation projects only work if you address people’s immediate needs and take development and poverty concerns into account.

Thomas Tanner, IDS, highlighted the disaster risk reduction perspective and indicated that there is no “one-size-fits-all” approach. He identified the potential role of children as active

participants rather than simply passive victims. In this regard, he indicated that gender is critical, noting that girls and women are more likely to be aware of health risks, whereas boys and men are more likely to be concerned about livelihoods. He added that climate risks are closely associated with economic and social risks, and that children can often offer “out-of-the-box” solutions.

Angie Daze, CARE, spoke about a new CARE initiative, the “Adaptation Learning Programme for Africa.” She explained that the programme seeks to develop best practice models, empower local communities, influence decision makers and promote learning on community-based adaptation among adaptation professionals. She noted that the programme also seeks to ensure that vulnerable people have a voice in planning, policy making and funding decisions, as well as to link local communities to local and central governments, as well as to civil society.

Delfin Ganapin, UN Development Programme (UNDP) Small Grants Programme, outlined work to develop a global partnership on community-based adaptation that brings together UN agencies, the private sector, civil society and other stakeholders. He outlined work on an initial pilot project, which he said had been expanded with support from USAID. He expressed the hope that the initiative could be scaled-up based on lessons learned to date. He also noted with regret that NGOs and local communities have not been able to access the CDM, and urged steps to ensure this does not happen with adaptation initiatives now that more funding is likely.

Discussion: In the subsequent discussion, participants expressed concerns with the costs of coping mechanisms and community-level access to funding. They also discussed indicators used to monitor the effects of coping mechanisms, the ability to learn lessons from case studies, the role of cultural and religious institutions, and the role of health in community-based adaptation. One participant noted that 3-4°C warming is likely and wondered if other approaches were being considered if community-based adaptation is not sufficient. Atiq Rahman took note of comments on scaling-up and the role of local government.

For more information, contact:
<hannah.reid@iied.org>

NATIONAL ADAPTATION PLANNING: This session was organized by ISET and chaired by ISET’s Marcus Moench. He identified some core factors involved in national adaptation planning, including education, access to basic services, linkages between national strategies and the local ability to adapt, and allowing adaptation to be scaled-up.

Presentations: Ajaya Dixit, ISET-Nepal, discussed national and local adaptation planning in Nepal, emphasizing their combined top-down and bottom-up approach. He introduced the idea of the “adaptation iceberg” where the planned adaptation activities represent the tip of the iceberg and extensive autonomous adaptation is represented by the larger, sub-surface ice. He emphasized the need for more creative responses to the gap between planned and autonomous adaptation.

Shiraz Wajhi, Gorakhpur Environmental Action Group, discussed urban adaptation processes, which are a key goal of the Asian Climate Change Resilience Network. He emphasized the need for both preventive measures and responses, stressing natural, behavioral and policy levels of action. He said adaptation problems need proper political convergence and discussed weaknesses in current governance.

Pramita Harjati, Mercy Corps, presented three case studies on the national perspectives of urban adaptation planning in Indonesia. She described the components to national climate strategies, remarking that adaptation is a key part, particularly

for coastal zones, fisheries, small islands and marine life. However, she noted that urban adaptation is not yet included in this plan, although an informal urban network has started work in several cities.

Sajid Raihan, ActionAid Bangladesh, spoke about community-based adaptation and disaster risk reduction planning in Bangladesh. He emphasized pro-poor policies, suggested that disaster risk reduction planning would benefit from longer-term perspectives that take into account climate impact scenarios, and argued that the primary focus should be on building capacities rather than on developing or replicating models. He also underscored the need for political will, a belief in people's ability to adapt, and people's right to development.

Pius Yanda, Pan-African START Secretariat, discussed a project on capacity building for conserving biodiversity in the Albertine Rift region. He explained that this region is viewed as a biodiversity "hotspot" that provides vital ecosystem services to local communities. He identified threats to the region, including climate change and local drivers such as population growth and landscape change. He reported that the aim of the project is to build capacity by educating conservation professionals about strategies for conserving biodiversity and protecting ecosystems under a changing climate. He also outlined the project's focus on education and training programmes.

Marcus Moench, ISET, spoke about learning processes when developing effective local and national responses under conditions of uncertainty. He underscored the importance of linkages between action at the national and local levels, as well as the value of an iterative learning process. He supported efforts to understand the systemic sources of vulnerability, promote systemic awareness in order to reach solutions, and utilize economics as a source of power.

Ian Burton, University of Toronto, raised concerns about how to link international financing and institutions to adaptation efforts on the ground. Observing that a substantial amount of money may be about to come out of the current UNFCCC negotiations, he stated that the linkages are not yet in place to connect international donor support to the local and even national levels. He also drew attention to the role of sub-national level actors.

Discussion: In the ensuing discussion, participants discussed the level of synergies between national adaptation and national development plans, how national strategy planning is informed by local knowledge and resource access, and the role of technology.

For more information, contact:
moenchm@i-s-e-t.org

EMERGING THEMES ON ADAPTATION: This high-level, interactive panel session was organized by the World Resources Institute (WRI) and chaired by WRI President Jonathan Lash, who reported that the next World Resources Report is focused on adaptation. During the session, Jonathan Lash and other participants asked questions of a panel comprised of Veerle Vandeweerd (UNDP), Angela Cropper (UN Environment Programme (UNEP)), Atiq Rahman (BCAS), and Warren Evans (World Bank).

Veerle Vandeweerd answered a question on what are the most important, unresolved adaptation issues, listing urban adaptation, maladaptation (that is, not building with future climate trends in mind), and the failure to change how we approach development. On a question about governance, she said adaptation differs from mitigation because it is solely a local issue. However, she noted that because adaptation is unlikely to receive the estimated US\$96 billion it needs annually from the donor community, there must also be a focus on mobilizing domestic resources, because countries will

mostly have to pay for their own adaptation. On a question about making the existing architecture work well, she said an MRV system must include poverty eradication indicators.

Angela Cropper replied to a question about whether adaptation will become a focal area for UNEP, saying that UNEP is trying to systematize a body of knowledge and practice with a particular focus on ecosystem-based adaptation. Noting significant gaps in understanding on how to manage ecosystems sustainably, she said managing ecosystems for adaptation is even more challenging. Responding to a question on how operational decisions will be made, she said a governance framework for understanding and making local, national and regional decisions is needed.

Atiq Rahman, BCAS, answered a question about adaptation challenges for Bangladesh. He noted risks to 30% of the population and stressed that international funding is critical because the problem is too big for the country to tackle on its own. In response to a question on how to ensure that funding is forthcoming and does not end up in the wrong hands, he said it was imperative that world leaders demonstrate the political will and provide large-scale funding support. He did not accept the excuse that there was insufficient money available simply because of the losses made by "inefficient, incompetent bankers" in New York, London and other major cities. Answering a question about how NGOs can access future funds and not miss out, he said funding for NGOs was essential because they are often better placed to respond to immediate needs, and without them governments will not be able to deliver what is required. He also said NGOs must ensure that they are accountable and transparent.

Warren Evans, World Bank, responded to a question about whether large sums of adaptation funding can be spent effectively by indicating that climate change needs to be better understood and integrated by the development community. On a question about the distribution of funds, he stated that: high quality development requires good governance; the best adaptation measures are simply through direct policy reforms; a large portion of the funding is needed from the public sector; and it is necessary to have a regulatory framework. However, he suggested that the challenge would be greater if the US\$96 billion was on the table tomorrow.

One participant disagreed with comments that there is not sufficient knowledge and argued instead that it is a failure of international organizations to build the right architecture to tap into existing knowledge. Warren Evans agreed that there were some adaptation veterans, but argued that there was a broad gap in knowledge and that Bangladesh is one of the few countries to have made serious progress in integrating climate change with development. Responding to a question about whether developing countries will be able to integrate adaptation into their wider planning processes within the next five years, Warren Evans highlighted a pilot programme to help mainstream climate resilience into countries' Poverty Reduction Strategy Papers (PRSPs) and development programmes.

At the end of the session, Jonathan Lash asked each panelist what needs to be achieved at COP 15 and in the coming weeks. Veerle Vandeweerd said Copenhagen should be a "development deal" and international organizations should start to scale-up the tools and mechanisms needed. Warren Evans said international organizations could propose ideas to minimize new bureaucratic structures and transaction costs so that things can happen quickly and efficiently if the funding is forthcoming.

Angela Cropper highlighted the experience within the UN system on managing funds, and said efforts could also focus on providing the necessary information and technical support to ensure a prompt start. Atiq Rahman said Copenhagen must result in a commitment for major reductions in



L-R: Warren Evans, World Bank; Jonathan Lash, WRI; Atiq Rahman, BCAS; Angela Cropper, UNEP; and Veerle Vanderveeld, UNDP

GHG emissions, “serious money on the table,” and efforts by international agencies to improve and step up their performance so that recipient communities receive the support they need.

For more information, contact:
<klevin@wri.org>

DAY FOUR: MITIGATION, FINANCE AND THE PRIVATE SECTOR

Mitigation, finance and the private sector was the theme considered in four sessions held on 14 December – the fourth and final day of the meeting. These sessions focused on: moving to a low carbon pathway; alternative financing for adaptation; the role of the private sector in adaptation; and what the most vulnerable countries want from the negotiations. Saleemul Huq, IIED, served as master of ceremonies for the day’s events.

MOVING TO A LOW CARBON PATHWAY: This session was organized by IISD and chaired by IISD’s John Drexhage. He noted that the Development and Climate Days event has evolved and grown from its original adaptation focus several years ago, and welcomed the opportunity to also consider issues of mitigation and financing. He highlighted the opportunity provided by this event as a “safe haven” outside the formal negotiations to consider issues that may still be controversial, and thanked Ministry of Foreign Affairs of Denmark (Danida) in particular for its support that enabled this event to be extended from two days to four.

Presentations: Eric Haites, Margaree Consultants Inc., highlighted the need for major increases in investment and shifts in financial flows. He distinguished between investments (such as capital spending on a new wind turbine or irrigation scheme) and shifts in financial flows (such as through certified emission reductions or international grants). He explained that financial flows can influence investment, and added that since most investment comes from the private sector, we need to find ways to influence this. In terms of mitigation, he noted that energy efficiency offers large potential for emissions reductions, but is complicated since it requires small investments by many stakeholders such as homeowners and commercial building owners. Noting that CDM has not received much investment in energy efficiency, he said national appropriate mitigation actions (NAMAs) could be a good vehicle for this. He suggested that power generation may be another area for mitigation in developing countries, including carbon capture and storage.

Kim Chan-woo, Director-General of the International Cooperation Office, Ministry for Environment of the Republic of Korea, said his country had announced “green growth” strategies aimed at harmonizing environmental protection and economic development. He outlined strategies to move towards

a low-carbon society and energy security, create new engines for growth, enhance quality of life and provide international leadership. In the UNFCCC negotiations, he highlighted his country’s “bridging role” between developed and developing countries and its proposal for an international registry for registering NAMAs.

Syamsidar Thamrin, Ministry of National Development Planning, Indonesia, listed food security, energy, and environment and disaster management among the top national priorities in the 2010-2014 low-carbon road map. She proposed a 26% emissions reduction by 2020 from business-as-usual across five sectors, indicating that international support could further increase emissions reductions to 41%. She underlined that these reductions do not consider nuclear energy. She announced that a new international funding mechanism, the Indonesia Climate Change Trust Fund, will support projects on energy, forestry, peatlands and adaptation.

Karen Holm Olsen, UNEP Risoe Centre, presented “NAMAs and the Carbon Market,” a UNEP publication focused on scaling-up mitigation projects.

Discussion: Responding to a question about energy subsidy reform, participants noted significant subsidies in a number of countries and the difficulties involved in addressing this issue. Replying to a question about LDCs and NAMAs, John Drexhage said that if LDCs focus only on adaptation they will have few opportunities to integrate with the private sector.

For more information, contact:
<jboyle@iisd.ca>

ALTERNATIVE FINANCING FOR ADAPTATION:

This session was organized by ActionAid and IIED and was chaired by Benito Müller, Oxford Institute for Energy Studies.

Presentations: Martin Parry, Grantham Institute and Centre for Environmental Policy, highlighted the significant differences between UN and World Bank estimates of around US\$50-100 billion needed annually for adaptation by 2030, and alternative estimates of up to US\$400 billion. He suggested that the lower estimates only consider “climate-added trauma” and not the wider “adaptation deficit” or ecosystem-related costs. He also stressed that developed countries are currently offering much smaller figures of around US\$10 billion now, increasing to US\$100 billion later. Noting the North’s concerns over spending the money effectively and comments by UNEP and others on the need to prioritize spending, he said there had been a failure by UNEP and others to codify and systematize the process. He said UNEP is best placed to address this need.

Ilana Solomon, ActionAid, evaluated several existing funds against key principles for achieving equitable adaptation finance. Identifying these principles, she highlighted the need for: representative governance; participation of women and affected communities; sustainable and compensatory funding

that is new, additional and separate from Official Development Assistance (ODA); and the removal of any economic conditionalities. She argued that financing should be accessed by governments or national entities directly from a central fund, without being channeled through implementing agencies such as UNDP or UNEP. Reviewing two existing funds, she said the World Bank's Pilot Programme for Climate Resilience (PPCR), is not performing well in terms of governance, participation, conditionality or access. However, she praised the Adaptation Fund for being participatory, transparent, free of conditionality, and under the COP/MOP. She concluded with a call for a new global climate fund under the COP.

Simon Anderson, IIED, discussed governance and delivery of climate adaptation financing. He reported on an evaluation of the LDC Fund, which found that the Fund achieved the full cost of national adaptation programmes of action (NAPAs). However, he added that funding to implement priority projects identified under countries' NAPAs had been problematic. He suggested that heavy bureaucracy had delayed funding, international consultants had been used in favor of building local capacity, and women and gender considerations had been largely missing. He noted recent efforts by the Global Environment Facility (GEF) and its implementing agencies to streamline procedures to access funds. He also suggested that the Adaptation Fund had a better track record in terms of direct access, accountability and innovative funding.

Nanki Kaur, IIED, highlighted recent debates over project versus programmatic approaches, noting that programmatic approaches had been proposed to address concerns over national ownership, efficiency and more "fragmented" project-based funding. However, she noted developing country concerns that a focus on programmatic approaches now could delay implementation of short-term emergency response measures and would ignore the need to climate-proof existing projects. She suggested that completing the NAPA process could address some of these concerns, since many projects could then be scaled-up. She also noted work on project clustering.

Benito Müller argued for devolving decision making to the country level, noting that no donor agency or international institution had the capacity to manage a dramatic increase in funding.

Discussion: Several participants raised concerns over the equal distribution of funds. Ilana Solomon said distribution should be considered both among countries as well as within countries. She said support for the LDCs should be incorporated into a global climate fund and that they should receive priority. Alternatively, Simon Anderson felt that distribution should depend on absolute amounts available and should focus on equality first and equity second. Benito Müller said we should forget indices and establish a per country component that allows everyone to get some funding while also proportioning the rest to poor people, a formula he called "not being unreasonably unfair."

For more information, contact:
<simon.anderson@iied.org>

THE ROLE OF THE PRIVATE SECTOR IN

ADAPTATION: This session was organized by the Global Reporting Initiative (GRI) and chaired by GRI's Teresa Fogelberg.

Presentations: Lloyd Chingambo, Lloyds Financials Limited, identified the lack of finance and knowledge as two key constraints to the CDM in sub-Saharan Africa. He presented two innovative financing mechanisms that could address this gap: the Low Green Technology Credit Enrichment (GTCEF) and the Low Carbon Africa Fund. He said the GTCEF acts as a risk-sharing mechanism that also provides financial and moral guarantees to make people comfortable to lend, while being dynamic and adaptable.

Minh Cuong Le Quan, Renewable Energy, Environment, and Solidarity Group (GERES), discussed a case study on sustainable business in Cambodia. He highlighted local climate "solidarity," noted that cook stoves are selling without subsidies, and suggested that the private sector is keen to collaborate. He said GERES sells voluntary offsets in the French market, is working with heavily-polluting companies in industry and transportation as well as NGOs, and monitors the impacts felt by rural people.

Pablo Suarez, UNDP Environment Finance Group, emphasized that insurance can play a role in the adaptation process and has the potential to benefit poor people. He engaged in a role playing exercise which illustrated a crop-loss scenario, concluding that without insurance instruments poor farmers will suffer while waiting for adaptation funding to come through.

Tejas Ewing, New Economics Foundation, discussed voluntary offsets in the context of adaptation and the "AdMit" initiative that set standards for adaptation projects. He noted that adaptation is hugely underrepresented in the carbon market, which he said has not yet addressed the equity issue. Noting the private sector has found the most cost-effective locations for offsetting projects in large corporations and industries in China, India and Brazil, he said these are not the locations or groups that need funding most. He noted a demand for holistic solutions that target the most vulnerable and employ metrics and measurements that allow organizations to take responsibility for their emissions.

Discussion: In response to a question about insurance for smallholder farmers, Pablo Suarez said the problem was not just that we are asking them to pay for adaptation, but that such insurance is not even being offered. Regarding technical assistance for project design, he said UNDP is working on a new facility on climate risk for development. One participant observed that it is easier to identify mitigation projects than adaptation projects, since it can be hard to define how adaptation differs from mainstream development.

Responding to a comment that "offsetting is greenwash for the guilty conscience," Tejas Ewing said it is only greenwash when money is paid and success is claimed for poor projects that are not successful. He underscored that COP 15 is premised on the idea of paying for progress in other countries, and said setting standards and metrics will make it easier for effective work with clear results on adaptation.

Regarding a question on whether the financing mechanisms for Africa outlined by Lloyd Chingambo are similar to those that caused the economic crisis in the US, Lloyd Chingambo said these mechanisms are strictly regulated and do not resemble the US situation.

On a question about funding and scaling-up efforts, Pablo Suarez said processes that connect key stakeholders and sound projects that demonstrate benefits for the poor will achieve results.

For more information, contact:
<fogelberg@globalreporting.org>

WHAT DO THE MOST VULNERABLE COUNTRIES WANT FROM THE COPENHAGEN NEGOTIATIONS:

This high-level session brought together senior political figures to discuss what the most vulnerable countries sought from Copenhagen. The session was moderated by IIED Director Camilla Toulmin.

Presentations: President Mohamed Nasheed of the Maldives highlighted that the "frontline states" have committed to carbon neutrality and will die doing the right thing. He argued that it is cheaper, more sensible and more economically viable to be green. He underscored that after these negotiations, the Maldives will cease to exist if we continue with business-as-usual. He called for good governance and direct access to finance, including a fund that would start

promptly in 2010. He said many countries believe that more than 10% of funds should go to the top vulnerable countries, which he felt was desirable.

On a question about perspectives on migration, he said it requires leaving behind vital elements of a culture, but stressed that dry land is the bottom line.

When asked how his country is mainstreaming climate change and integrating it into development plans, he said local people have the ability to innovate and understand local problems more effectively and efficiently than foreign consultants. He argued that local people should devise the adaptation plans and then the international agencies can fine tune them.

Charity Kaluki Ngilu, Minister of Water and Irrigation of Kenya, voiced a long list of environment, development and justice needs. She called for financial support but underscored that the vulnerable states did not come to COP15 to "beg" and will not accept business as usual. She also highlighted the need for reproductive planning to address the health and population challenges. When asked how her country was mainstreaming climate change into development planning, she said they are focusing on ensuring that communities are involved in and obtaining ownership over projects.

Batilda Burian, Minister for Environment of Tanzania, stressed the need for a fair, ambitious and just COP decision that does not hinder Tanzania's development path. She said Tanzania is ready to work on adaptation and MRV should they be provided with technology, financing, and capacity building. In reference to ensuring a future where greenhouse gas concentrations are restricted to 350ppm, she urged delegates to "act not on what is profitable but on what is right."

Discussion: On a question about the impact on negotiations of African countries walking out of the talks on 14 December, Minister Ngilu said that in withdrawing from talks they hoped to "reconvene and re-strategize and come back to the negotiating table." Minister Burian said an outcome must be fair and inclusive. Reflecting on the Development and Climate Days event, she thanked IIED for its work in sensitizing the developed world on the challenges facing vulnerable countries.

Saleemul Huq, IIED, thanked everyone for participating in the event and declared the meeting closed at 5:00 pm.

For more information, contact:
<hannah.reid@iied.org>

UPCOMING MEETINGS

FOURTH INTERNATIONAL CONFERENCE ON COMMUNITY-BASED ADAPTATION (CBA): This event will take place from 21-27 February 2010, in Dar es Salaam, Tanzania. The conference aims to share and consolidate the latest developments in CBA planning and practice in different sectors and countries amongst practitioners, policymakers, researchers, funders and the communities at risk. It will disseminate lessons learnt both at the conference and through conference proceedings. Ultimately the aim is to share knowledge and experiences to help those most vulnerable to climate change. For more information contact: Saleemul Huq, Hannah Reid; e-mails: saleemul.huq@iied.org or hannah.reid@iied.org.

UNFCCC SUBSIDIARY BODIES: These meetings will convene from 31 May to 11 June 2010, in Bonn, Germany. For more information contact: tel: +49-228-815-1000; fax: +49-228-815-1999; e-mail: secretariat@unfccc.int; Internet: http://unfccc.int/meetings/unfccc_calendar/items/2655.php?year=2010

2010 INTERNATIONAL CLIMATE CHANGE

ADAPTATION CONFERENCE: This event will be held from 29 June to 1 July 2010 on the Gold Coast, Australia. The event will focus on "preparing for the unavoidable impacts of climate change, and will be co-hosted by Australia's National Climate Change Adaptation Research Facility and the CSIRO Climate Adaptation Flagship. For more information contact: Conference Secretariat, tel: +61-7-3368-2422; fax: +61-7-3368-2433; e-mail: nccarf-conf2010@yrd.com.au; Internet: <http://www.nccarf.edu.au/conference2010>

DELHI INTERNATIONAL RENEWABLE ENERGY CONFERENCE (DIREC): This event will take place from 27-29 October 2010, in New Delhi, India. It will be the fourth global ministerial level conference on renewable energy, and will consist of a ministerial meeting, business-to-business and business-to-government meetings, side events and a trade show and exhibition. For more information contact: Rajneesh Khattar; tel: +91-11-4279-5054; fax: +91-11-4279-5098/99; e-mail: rajneeshk@eigroup.in; Internet: <http://direc2010.gov.in>

SIXTEENTH SESSION OF THE UNFCCC COP AND SIXTH MEETING OF THE COP SERVING AS THE MEETING OF THE PARTIES TO THE KYOTO PROTOCOL: This meeting is expected to convene at the end of 2010, in Mexico City, Mexico. For more information contact: tel: +49-228-815-1000; fax: +49-228-815-1999; e-mail: secretariat@unfccc.int; Internet: http://unfccc.int/meetings/unfccc_calendar/items/2655.php?year=2010

GLOSSARY

AFOLU	Agriculture, forestry and land use
BCAS	Bangladesh Centre for Advanced Studies
COP	Conference of the Parties to the UNFCCC
COP/MOP	Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol
CDM	Clean Development Mechanism
FAO	UN Food and Agriculture Organization
GHG	Greenhouse gas
GMOs	Genetically modified organisms
IDS	Institute for Development Studies
IIED	International Institute for Environment and Development
IISD	International Institute for Sustainable Development
IPCC	Intergovernmental Panel on Climate Change
ISET	Institute for Social and Environmental Transition
LDCs	Least developed countries
MRV	Measurable, reportable and verifiable
NAMA	Nationally Appropriate Mitigation Action
NGOs	non-governmental organizations
REDD	Reducing emissions from deforestation and forest degradation in developing countries
SEI	Stockholm Environment Institute
SLM	Sustainable land management
UNFCCC	UN Framework Convention on Climate Change



Forest Day Bulletin

A summary report of Forest Day 3

Published by the International Institute for Sustainable Development (IISD) in collaboration with the Center for International Forestry Research (CIFOR)

ONLINE AT [HTTP://WWW.IISD.CA/CLIMATE/COP15/FD/](http://www.iisd.ca/climate/cop15/fd/)
VOLUME 148, No. 3, TUESDAY, 15 DECEMBER 2009



SUMMARY OF FOREST DAY 3: 13 DECEMBER 2009

The third Forest Day event convened in Copenhagen, Denmark, on 13 December 2009, in parallel with the UN Copenhagen Climate Change Conference, which convened from 7-18 December 2009. The event was co-hosted by the Centre for International Forest Research (CIFOR), the Government of Denmark and the Collaborative Partnership on Forests (CPF), a partnership of 14 forest-related international organizations formed in 2000 to enhance cooperation on forest issues. The 1600 registered Forest Day 3 participants included government negotiators, researchers, and representatives from non-governmental and indigenous peoples organizations and the private sector.

The one-day event featured keynote statements by: Elinor Ostrom, Indiana University; Rajendra Pachauri, Chair, Intergovernmental Panel on Climate Change (IPCC); Gro Harlem Brundtland, United Nations Special Envoy on Climate Change; Nicholas Stern, London School of Economics; Ministers from Denmark, the UK and Viet Nam; and the Governor of the State of Amazonas, Brazil. Participants also convened in three sub-pleinary sessions to discuss mitigation, adaptation and degradation, respectively, as well as eight learning events. A summary statement from the event was developed based on participants' responses to a series of questions posed to the sub-pleinary sessions, and was presented to Yvo de Boer, Executive Secretary of the UN Framework Convention on Climate Change (UNFCCC), during the closing plenary. This report summarizes the presentations and discussions during Forest Day 3.

A BRIEF HISTORY OF FORESTS AND CLIMATE CHANGE

In its Fourth Assessment Report, the Intergovernmental Panel on Climate Change (IPCC) calculated that about 20% of anthropogenic carbon dioxide emissions during the 1990s resulted from land use change, primarily deforestation, although 25% of total emissions are also estimated to have been absorbed by terrestrial ecosystems. Depending on the age of the forest, the management regime, and other biotic and abiotic disturbances (insects, pests, forest fires), forests can act as reservoirs, sinks (removing greenhouse gases (GHGs) from the atmosphere) or as sources of GHGs. Forests also provide a number of vital services, notably as repositories of biodiversity and regulators of the hydrological cycle. Reducing deforestation and land degradation and improving forest cover are vital for both mitigation and adaptation. However, including emissions reduced from forest-related activities in a carbon accounting system is complex undertaking, given the non-



Seeing the forest through the trees at Forest Day 3

permanent nature of carbon uptake by trees and the potential for "leakage" as deforestation moves elsewhere. There are also critical environmental and social considerations that have to be taken into account.

Forests are addressed under the UNFCCC as both sinks and sources of emissions, and all countries are expected to count their emissions and removals from land use change and forestry in their national inventories. Under the Kyoto Protocol, industrialized countries with emission reduction commitments (known as Annex I countries) may count towards their reduction target the emissions and removals of GHGs deriving from certain direct human-induced land-use change and forestry activities, including removals from afforestation (defined as planting of new forests on lands that have not been forested for a period of at least 50 years); reforestation (limited in the first

IN THIS ISSUE

A Brief History of Forests And Climate Change	1
Report of Forest Day 3	2
Opening Plenary	2
Sub-Plenary	3
Global Views Of Forests And Climate Change	5
Parallel Learning Events	5
Closing Plenary	8
Upcoming Meetings	8

The *Forest Day Bulletin* is a publication of the International Institute for Sustainable Development (IISD) <info@iisd.ca>, publishers of the *Earth Negotiations Bulletin* © <enb@iisd.org>. This issue was written and edited by Deborah Davenport, Ph.D., Elisa Morgera, Ph.D., Lynn Wagner, Ph.D., and Simon Wolf. The Digital Editors are Kate Harris and Diego Noguera. The Editor is Robynne Boyd <robynne@iisd.org>. The Director of IISD Reporting Services is Langston James "Kimo" Goree VI <kimo@iisd.org>. Funding for coverage of this meeting has been provided by the Center for International Forestry Research (CIFOR). IISD can be contacted at 161 Portage Avenue East, 6th Floor, Winnipeg, Manitoba R3B 0Y4, Canada; tel: +1-204-958-7700; fax: +1-204-958-7710. The opinions expressed in the *Bulletin* are those of the authors and do not necessarily reflect the views of IISD. Excerpts from the *Bulletin* may be used in other publications with appropriate academic citation. Electronic versions of the *Bulletin* are sent to e-mail distribution lists (in HTML and PDF formats) and can be found on the Linkages WWW-server at <http://www.iisd.ca/>. For information on the *Bulletin*, including requests to provide reporting services, contact the Director of IISD Reporting Services at <kimo@iisd.org>, +1-646-536-7556 or 300 East 56th St., 11A, New York, New York 10022, United States of America.

commitment period to those lands that did not contain forest on 31 December 1989); emissions from deforestation; as well as possible emissions and removals from forest management, cropland management, grazing land management, and re-vegetation.

In addition, project-based activities under two flexible mechanisms created by the Kyoto Protocol – Joint Implementation and the Clean Development Mechanism (CDM) – may also result in removals by sinks that can count towards an industrialized country's reduction commitments. Joint Implementation refers to projects undertaken jointly by two Annex I countries; all projects undertaken in developing countries fall under the CDM. Afforestation and reforestation projects are allowed in the Protocol's first commitment period under the CDM, and project activities have to address a number of issues such as non-permanence, uncertainty, the risk of leakage and others. Moreover, there is a ceiling on the maximum number of credits that an Annex I party can gain in this way.

At COP 11 in Montreal, Canada, in 2005, forests were taken up under the UNFCCC itself under a new agenda item on "Reducing emissions from deforestation in developing countries: approaches to stimulate action," as proposed by Papua New Guinea, Costa Rica and eight other countries. Workshops were held on this issue, in August 2006 in Rome, Italy, and in March 2007 in Cairns, Australia. Discussions continued at COP 13, where parties adopted the Bali Action Plan, which addresses enhanced national and international action on climate change mitigation, including, *inter alia*, "consideration of policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries."

As negotiations have progressed on a financial mechanism to compensate developing countries for recovery and maintenance of forest carbon stocks, three labels have emerged for what such a financing mechanism should cover: reducing emissions from deforestation and forest degradation in developing countries (REDD); conservation, sustainable management of forests, and stock enhancement in addition to REDD (REDD+); and all terrestrial carbon in addition to REDD+ (REDD++).

Since COP 13, the Subsidiary Body for Scientific and Technological Advice (SBSTA) has undertaken a programme of work on methodological issues related to a range of policy approaches and positive incentives generally aimed at REDD. A UNFCCC workshop on methodological issues relating to REDD was held in Tokyo, Japan, in June 2008, generating general agreement that discussions on policy approaches and positive incentives could be initiated with current knowledge.

FOREST DAY 1: The first Forest Day was convened on 8 December 2007 in Bali, Indonesia, during UNFCCC COP 13, to reinforce the momentum and inform the discussions related to forests under negotiation at COP 13. It brought together over 800 participants and considered crosscutting themes including: methodological challenges in estimating forest carbon; markets and governance; equity versus efficiency; and adaptation. Participants took part in 25 side events exploring linkages between forests and climate change.

FOREST DAY 2: Forest Day 2 brought together nearly 900 participants in Poznan, Poland, on 6 December 2008, during COP 14, to discuss: adaptation of forests to climate



A local orchestra performed at the beginning of the opening plenary

change; addressing forest degradation through sustainable forest management (SFM); capacity building for REDD; and options for integrating REDD into the global climate regime. Participants also attended a poster exhibition and around 40 side events on themes related to REDD. A drafting committee representing CPF members produced a summary of key messages and forwarded it to the UNFCCC Secretariat.

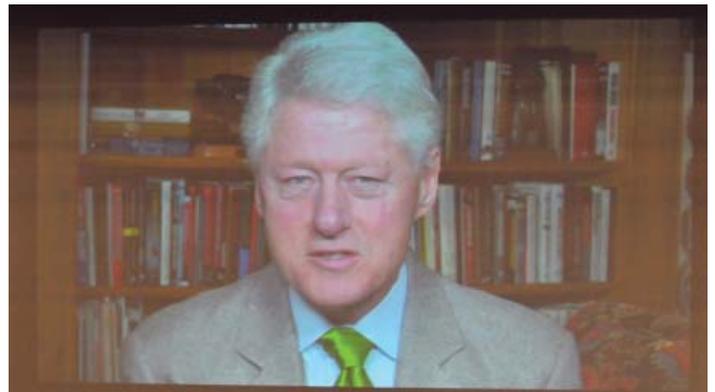
REPORT OF FOREST DAY 3

Frances Seymour, Director General, CIFOR, welcomed Forest Day 3 participants on behalf of CIFOR, the Government of Denmark, and the other members of the CPF. Noting the evolution of past Forest Day themes, from "whether" to "how" to include forests in climate change considerations, she said Forest Day 3 would focus on implementation and indicated that the co-hosts of the event would listen to participants' insights and incorporate them into their research, development and policy agendas.

Troels Lund Poulsen, Minister for the Environment, Denmark, welcomed participants, noting that global attention on the UN Copenhagen Climate Change Conference provides great opportunities to introduce new mechanisms that will provide finance for forests, thus making today possibly the most important day in history for the world's forests.

OPENING PLENARY

In a video message, former US President Bill Clinton, Clinton Foundation, praised Forest Day for showcasing research on forests and climate change, noting that policy-makers need to have access to facts, options and support from different constituencies in addressing REDD. He cautioned that new policies should not put the lives of forest-dependent people at risk, but rather support them in adaptation. He underscored the need to act quickly to conserve forests to achieve global and local benefits.



Former US President Bill Clinton spoke to the session via taped video

Elinor Ostrom, Indiana University, shared research findings pointing to a strong link between increased forest carbon storage and situations in which local communities have rule-making independence, harvesting rights and a role in monitoring. She called for a carefully designed and adaptive



Elinor Ostrom, Indiana University

REDD policy that can be adjusted to diverse local social and ecological conditions, and that assigns clear rights.

Rajendra Kumar Pachauri, IPCC Chair: said REDD is the most cost effective mitigation method; highlighted the disruptions that could occur if the goods and services that forests provide were to be lost; challenged the forestry profession to reclaim the space that it has yielded to

other disciplines over the years; and noted that carbon dioxide emissions would need to be removed from the atmosphere to keep global warming under 1.5 degrees Celsius, with forests being the most viable option for achieving this.

Gro Harlem Brundtland, UN Special Envoy on Climate Change, recalled that the World Commission on Environment and Development's report, entitled "Our Common Future," was one of the first international documents to address deforestation as an important cause of global warming. She emphasized forests' multiple contributions and the need for wise design and implementation of REDD+.

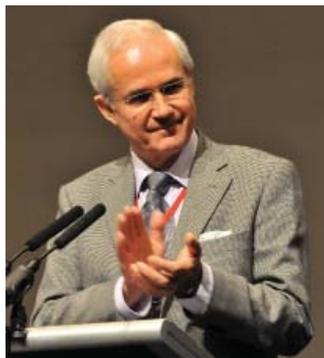
Jan Heino, Chair, CPF, recalled that the CPF Strategic Framework for Forest and Climate Change underscores SFM as an effective framework for forest-based adaptation and mitigation. He also recalled that the World Forestry



Rajendra Kumar Pachauri, IPCC Chair



Gro Harlem Brundtland, UN Special Envoy on Climate Change



Jan Heino, Chair, CPF

Congress' message to COP 15 identified as prerequisites for SFM: improving governance, increasing financing, empowering marginalized groups and providing better access to technology. He noted that climate change has created new opportunities for the forest sector, but solutions need to build on the knowledge and experience of stakeholders that manage and depend on forests.

SUB-PLENARY

Three sub-plenary sessions considered mitigation, adaptation and degradation during the morning. At the conclusion of each session, participants were asked to vote on a series of multiple-choice questions to inform the final statement from Forest Day 3.

MITIGATION: Natasha Loder, The Economist, moderated this sub-plenary. Arild Angelsen, Norwegian University of Life Sciences, identified challenges for REDD, including mobilizing sufficient funding and creating an effective, efficient and equitable mechanism. Victoria Tauli-Corpuz, Chair, UN Permanent Forum on Indigenous Issues, reported that ongoing negotiations on REDD have reached agreement on safeguards to ensure respect for the knowledge and rights of indigenous peoples and local communities. Agus Purnomo, National Council on Climate Change, Indonesia, emphasized the role of governments in realizing REDD, as costs associated with REDD are significant for small farmers and local and regional governments. Sara Kendall, Weyerhaeuser Company, stressed the climate-related benefits of expanding the global forest area and the use of harvested wood products.

In ensuing discussions, participants addressed: appropriate regulation in the face of multiple drivers of deforestation; corruption; gender in REDD; the disconnect between global and local-level efforts to address deforestation; the status of negotiations on REDD; possible returns for private investors; benefit-sharing versus elite capture of REDD revenue; the difficulty in shaping local or national agreements given a high diversity of actors; and the question of whether REDD can support forest management decentralization.

Participants then voted on a series of multiple-choice questions. On how much attention should be given to the role of forests in climate adaptation compared the role of forests in mitigation, 29% of participants responded "significantly more to the role of forest in mitigation" and 28% "about the same." When asked how forests should be included in the climate agreement, 56% responded: "REDD+ (including conservation, SFM and stock enhancement)." On identifying the greatest risk to successful implementation of REDD, 36% pointed to "lack of equity (rights of indigenous and local communities, inadequate benefit-sharing)," and 53% preferred "a combination of national and project levels for the foreseeable future," when asked at what level REDD should be implemented.

ADAPTATION: Heidi Cullen, The Weather Channel, moderated this sub-plenary. Phil Cottle, Managing Director, ForestRe, highlighted the need to: understand and price risk successfully; insist on policies that make forest projects a lower risk; and involve insurers. Bastiaan Louman, Tropical Agricultural Research and Higher Education Center, Costa Rica, said REDD should be considered part of adaptation and highlighted the need to shift from project to long-term programme funding. Martin Parry, Imperial College London, said "it is likely we will overshoot" a two degree Celsius increase by one to two degrees, and it may take 100 years to return to a one and one-half degree increase. He also: emphasized that alleviating poverty is the single best focus for adaptation; said the Group of 77 and China is right about the costs of adaptation; and encouraged the adaptation community to call for a "Marshall Plan, not a mouse" plan. Katherine



L-R: Moderator Heidi Cullen, The Weather Channel; Martin Parry, Imperial College London; Phil Cottle, ForestRe Ltd; Bastiaan Louman, Tropical Agricultural Research and Higher Education Center, Costa Rica; and Katherine Sierra, World Bank

Sierra, World Bank, emphasized the role of partnerships, particularly to involve local communities in adaptation strategies.

During the discussion, participants noted the need to: plant trees with shorter rotations and a greater diversity of tree species; focus research on the adaptive capacity of trees and landscape management; model local impacts of climate change and provide more concrete estimations for local decision-makers; have the UN Environment Programme lead a research programme on these issues; address agricultural productivity, food security and rural livelihoods to reduce pressure on the environment; and consider no-regret options, connectivity of forest corridors, and changing methodologies that could lead to a change in the direction of investments.

Participants then voted on a series of multiple-choice questions. Fifty percent said the role of forests in climate adaptation should be given about the same attention as the role of forests in mitigation. Sixty-eight percent said there is “lots” of potential for synergy between the role of forests in climate adaptation and mitigation, and 67% cited “lots” of potential for ecosystem-based adaptation. The main barriers to adapting forests and people to climate change were found to be lack of appreciation among the public and policy-makers regarding the importance of forest adaptation (47%) and lack of funding (29%).

DEGRADATION: Eduardo Mansur, International Tropical Timber Organization (ITTO), moderated this sub-plenary discussion. Markku Simula, University of Helsinki, said degradation is defined but difficult to operationalize and called for SFM to enhance carbon storage capacity and ecosystem services. He said degradation and deforestation have different drivers, and methods for estimating emissions from degradation are underdeveloped. Sandra Brown, Winrock International, distinguished measurements of loss versus gain in carbon stock from measurements of affected land area and distinguished between the impacts of reduced-impact and community-scale logging from those of industrial-scale cutting. She said it takes commitment and resources to make new monitoring technologies available.

Estebancio Castro-Diaz, International Alliance of Indigenous and Tribal Peoples of Tropical Forests, called for: a better definition of degradation; recognition of rights to

ecosystem services; more mapping; inclusion of REDD in broad-based development strategies; improved accountability structures; and monitoring of all REDD impacts.

Peter Gardiner, Mondi, said everyone, including the private sector, should benefit from REDD. He said certified plantations on degraded lands can improve restoration, capture carbon and provide livelihoods, noting that 45% of tropical wood products come from plantations. Wangari Maathai, Goodwill Ambassador of the Congo Basin Forest, called for restoration of natural forests and forester retraining. She noted that local people are paid to plant native tree seedlings in Kenya and REDD should expand to cover hydropower for fuel in the Congo Basin. She said indigenous livelihoods cannot be sustained with monoculture exotic tree plantations.

Jorge Rodriguez, Minister of Environment, Energy, and Telecommunication, Costa Rica, advised taking economic, social and environmental benefits and risks as a guide for restoring forests. He reported on: Costa Rica’s forest reforms, which took place 25 years ago and included ecotourism, a system of protected areas, and prohibition of land-use changes.

During the discussion, panelists commented that: production forests are more sustainable than protected areas; monitoring must be connected to performance goals; monitoring costs can be borne by committed governments; open source technology is a powerful tool; restoration costs much less than reforestation; governments should invoke REDD to emulate Costa Rica; and low-carbon choices must be integrated into all aspects of society.

Participants then voted on a series of multiple-choice questions, with 86% favoring including forests in the climate agreement either through REDD+ or REDD++ and 40% favoring compensation for SFM for timber production when timber revenue is insufficient to cover costs. On the barriers to including avoided degradation and forest stock enhancement’s importance to mitigation in a REDD scheme, 28% said policy-maker appreciation of the problem is most significant, while 29% underscored the difficulty in achieving safeguards for indigenous peoples and local communities. Maathai closed by noting overwhelming support for action around REDD, REDD+ and REDD++.



L-R: Eduardo Mansur, ITTO; Sandra Brown, Winrock International; Wangari Maathai, Nobel Laureate, Goodwill Ambassador of the Congo Basin Forest, Kenya; Markuu Simula, University of Helsinki; Estebancio Castro-Diaz, International Alliance of Indigenous and Tribal Peoples of Tropical Forests, Panama; and Peter Gardiner, Mondi, South Africa

GLOBAL VIEWS OF FORESTS AND CLIMATE CHANGE

Troels Lund Poulsen, Minister for the Environment, Denmark, welcomed the opportunity to share views with participants from all over the world, suggesting that countries share a common vision but very different preconditions for action.

Nicholas Stern, London School of Economics, said stopping deforestation is one of the lowest cost ways of reducing climate change risks and has important development benefits. Regarding implementation, he emphasized that: policies will have to be designed by individual countries regarding their forests, but that costs should be shared globally; stopping deforestation must be coupled with economic development and poverty reduction; and market structures must build on these fundamentals. He said US\$15 billion per year will be needed by 2020 for measures such as adaptation and halting deforestation, using mainly public money in the beginning and increasing private investment in the long term.

Hilary Benn, UK Minister for Environment, Food and Rural Affairs, advocated including REDD+ in the Copenhagen agreement, as well as recognizing the importance of protecting biodiversity and fast-start financing. He also stressed the importance of developed countries' initiatives to stop purchasing unsustainably harvested or illegally traded timber. Pham Khoi Nguyen, Minister of Natural Resources and the Environment, Viet Nam, argued for a combination of land management, poverty reduction and integrated implementation of the Rio Conventions.

Eduardo Braga, Governor of Amazonas State, Brazil, reported on his state's programme to reward forest communities for protecting forests, stressing that poverty and poor standards of living need to be addressed to fight climate change. He also noted that forest-dependent people are often the victims of climate change impacts.

Representatives from the Congo Basin Forest Partnership, Colombia, and a group of rainforest nations organized as "Forestry 11," reported on knowledge and capacity building processes related to REDD, welcomed the prominent role given to rainforests through the REDD process, and urged disseminating more information on full costs and benefits of REDD in all languages and to all stakeholders.

Tony La Viña, chair of the REDD contact group, reported that a relatively good text was compiled, containing enough details and a generally clear structure. Emphasizing that parties agree that REDD+ will not work if it has negative repercussions on indigenous communities and biodiversity, he expressed optimism that there would be an agreement benefiting climate protection and local communities alike.

PARALLEL LEARNING EVENTS

SCOPE OF THE GLOBAL CLIMATE AGREEMENT: EMERGING LESSONS FROM CURRENT REDD

ACTIVITIES: This event was organized by the World Bank, Environmental Defense Fund and UN-REDD Programme. One panelist noted that readiness varies from one country to another, and that countries are slow in identifying funding needs for readiness. Another panelist highlighted as emerging issues for 2010: benefit distribution; monitoring, reporting and verification (MRV) for governance; and environmental and social principles to be designed specifically for REDD+.

A panelist reported on a participatory, transparent, scientifically robust and regionally integrated process for REDD+ in the Democratic Republic of Congo. Another panelist discussed benefit-sharing in the Amazon, stressing the importance of recognizing rights over lands and resources owned or traditionally occupied by indigenous peoples and local communities, and of setting voluntary state targets. The last panelist described the demand for REDD credits in the US.

In ensuing discussions, participants addressed: ongoing negotiations on preventing the conversion of natural forests; the impacts of the time lapse between investing in REDD and obtaining financing upon verification of emission reductions; coordination among different forest-related initiatives; the need for simple mechanisms for benefit-sharing; and the difference between consultation and participation.

WHAT ARE THE POTENTIAL SOCIAL EFFECTS OF REDD INITIATIVES, AND HOW CAN SUCH INITIATIVES RECOGNIZE THE RIGHTS AND ROLES OF INDIGENOUS AND LOCAL COMMUNITIES?:

This session was co-hosted by the UN Development Programme, Climate, Community and Biodiversity Alliance and The Energy and Resources Institute. Speakers discussed potential impacts of REDD+ on indigenous peoples and local communities, highlighting the need to, *inter alia*: recognize the role of rights in relation to REDD initiatives; monitor the status of rights and social impacts in addition to carbon when implementing

projects; ensure prior informed consent is secured; and adopt and use standards to mitigate risks. Participants also heard case studies from Bolivia, Indonesia, Cambodia and India, in which speakers highlighted: the possibility that intermediaries may prejudice the process of socialization; the need to present “no-regrets” strategies to communities; the need to tailor existing mechanisms to the local situation; the possibility of bundling carbon rights; the need for flexible financing options, including grants and private financing; and the need for project developers to include transition plans and exit strategies in project proposals.

FINANCING FOR FORESTS AND CLIMATE CHANGE: INTEGRATING THE SOCIAL, ECONOMIC AND ENVIRONMENTAL ASPECTS: This event was co-hosted by United Nations Forum on Forests, Global Environment Facility (GEF), ITTO, Ministry of the Environment, Norway, and International Institute for Environment and Development.

Panelists: explained that costs and benefits of REDD depend on design and implementation, suggesting that transaction costs will be higher if pro-poor effects are emphasized; said much more finance must be provided for REDD, with possible sources being national mechanisms such as carbon taxes or permit auctions, international levies on air and maritime travel, and the carbon market; reported on the effects of REDD+ on biodiversity conservation, proposing supplemental finance mechanisms or bundling payments for carbon and other environmental services; presented on the work of the ITTO, welcoming REDD as additional finance for sustainable management of tropical forests; and reported on a proposal of the Informal Working Group for Interim Financing for REDD, that has as its keystone a phased approach for flexibility and immediate action, and that suggests annual financial contributions by developed countries in the range of US\$15 to 25 billion between 2010 and 2015. Participants then discussed the links between food security and forest protection

policies; the potential role of private investments into REDD, emphasizing developing countries’ insistence on using public money; and the possibility of including peatlands in the REDD mechanism.

MEASURING AND MONITORING, BASELINES AND LEAKAGE: This event was hosted by the the Food and Agriculture Organization, ITTO, Norwegian Ministry of the Environment, Office National des Forêts, France, and UN-REDD Programme. Participants considered questions on MRV of past and future forest-related carbon emissions.

Speakers reported on: inclusion of MRV in a comprehensive national regulatory and policy framework; a comprehensive MRV system incorporating participatory processes in Vietnam; a REDD methodology and participatory biomass inventories on mosaic deforestation using remote sensing technology in Cambodia; using technology for low-cost community-based forest biomass monitoring in Peru; comparison of methods for deriving reference levels for REDD at the national policy level; and the conceptual and methodological challenges in developing a national reference scenario for Ecuador.

In response to questions, panelists noted, *inter alia*: little use of mosaic methodology, but possible wider applicability; the cost of capacity-building compared to the cost of technology; the possibility of tracking emissions from all forest ecosystem carbon pools; the need to avoid leakage by establishing a REDD framework that is attractive to all parties; the lack of historical data for creating degradation baselines; and the differences between top-down and bottom-up approaches to national reference levels.

BOREAL AND TEMPERATE FORESTS: WHAT WILL HAPPEN? WHAT ACTIONS SHOULD BE TAKEN?:

This event was co-hosted by the International Union of Forest Research Organizations and the European Forest Institute. Panelists presented a study by the Global Forest Expert Panel, pointing to the risk that forests might turn from carbon sinks to carbon sources through climate change-induced tree loss. They



Panel on “Financing for forests and climate change: integrating the social, economic and environmental aspects.” L-R: Per Fredrik Pharo, Norwegian Climate and Forest Initiative, acting as Secretariat for IWG IFR; Emmanuel Ze Meka, ITTO Executive Director; Jonah Busch, Conservation International/GEF; Andrew Mitchell, Global Canopy Program; and Maryanne Crieg-Gran, International Institute for Environment and Development.

also presented a study on the European Action Plan to tackle illegal logging and associated trade, that works together with partner countries like Ghana, Liberia, or the Congo, to enforce sustainable timber trade from the forest to the point of export.

One panelist discussed adaptation strategies for temporal forests, saying that: researchers need to understand the role of genetic diversity in adaptation; forest managers must protect, support and encourage genetic processes; and policy makers must apply a dynamic view of species and genetic origins. Another reported on the response strategy of a local community in Yukon, Canada, to changes in food and water quality, hunting grounds and ecosystems, focusing on best practice guidelines and a database combining traditional and scientific knowledge. Participants discussed the role of conservation and SFM for adaptation; the preservation and enhancement of genetic diversity through tree planting; strategies for reacting to increased invasion of pests and diseases; and best practices for mitigation.

GOVERNANCE AND INSTITUTIONAL CAPACITY FOR ADAPTATION AND MITIGATION: Participants in this session, which was organized by CIFOR, Transparency International and SNV Netherlands Development Organization, discussed institutional challenges of implementing REDD and presented recommendations for a negotiated decision on REDD. Speakers: emphasized involving indigenous peoples; insisted that policies must be transparent; said corruption should be stopped; suggested facilitating a process to develop a clear definition of forests; expressed concern that “carbon crime” would result if a REDD agreement does not include enforcement safeguards and monitoring provisions; suggested that enforcement officers should be involved in the negotiations; highlighted the need to provide civil

society with technical capacity and knowledge to participate in REDD; emphasized South-South cooperation funded by Annex I countries; and supported the call for monitoring and verification, stating “people do not do what you expect, they do what you inspect.” The necessity of good leaders to inspire successful programmes was also highlighted.

LANDSCAPE APPROACHES TO MITIGATION AND ADAPTATION: This learning event was co-hosted by the World Agroforestry Centre, the Nature Conservancy, and the World Bank. Panelists discussed: tools and dynamics of ecosystem-based approaches to maintain the resilience of intact natural ecosystems at landscape and seascape scale; a case study on wetlands for climate mitigation and adaptation and biodiversity protection; an ecosystem services-based approach for globally, nationally and locally appropriate mitigation actions (GAMAs, NAMAs, and LAMAs) in Kenya; and ecosystem management in landscape approaches for mitigation and adaptation in the Hindu Kush-Himalaya.

Ensuing comments highlighted: a successful wetlands carbon sequestration programme which re-greened Niger through engagement with farmers; the need to move from sectoral thinking to adaptable landscape solutions; the question of managing both uplands and lowlands as one system for their biodiversity values, which underpin forests’ carbon storage capacity; and the desirability of coupling community MRV with top-down approaches.

Participants also commented that: achieving global objectives must start from focusing on local-level costs and benefits; policy frameworks must allow community involvement at the local level; management approaches involving ecosystems are more cost-effective than addressing the consequences of climate change; the reduction of carbon



Panel on “Governance and institutional capacity for adaptation and mitigation.” L-R: Arild Angelsen, Norwegian University of Life Sciences; Abdon Nababan, National Alliance for Customary Law, Indonesia; Virgilio Viana, Amazonas Sustainable Foundation, Brazil; Pham Manh Cuong, Ministry of Agriculture and Rural Development, Viet Nam; Roz Reeve, Global Witness; and Wangari Maathai, Nobel Laureate, Goodwill Ambassador of the Congo Basin Forest

emissions is a co-benefit from projects targeting water and other local-level ecosystem services; governments must adapt their current sectoral thinking to the landscape approach; and, in 2010, Forest Day and Agriculture Day should be combined into two "rural landscape days."

BIODIVERSITY: This event was organized by the Secretariat of the Convention on Biological Diversity, the UN-REDD Programme, the GEF Secretariat and Conservation International. One panelist stressed that REDD biodiversity co-benefits depend on recognizing the contribution of diverse forests, particularly primary forests, respecting indigenous and local communities' rights and enhancing forest governance. Another addressed links between REDD+ and various forests activities. A panelist reported on successful combinations of biodiversity conservation and community-based mitigation, noting the need for national-level intervention to resolve conflicts over forest use and land tenure rights. Another panelist explained that indigenous peoples' resilience depends on their access to traditional land and resources, and called for the recognition of indigenous peoples' collective rights, including ownership of traditional knowledge and prior informed consent, as safeguards for REDD.

The last panelist stressed that protected areas (PAs) are an important, tested policy tool for addressing climate change and can be designed to be equitable. He called for adaptive PA management, expansion of PA networks, and assured sustainable financing. Discussion focused on the importance of micro-hydropower projects in the context of REDD and on channeling benefits to the local level.

CLOSING PLENARY

Frances Seymour noted that discussions during Forest Day 3 had focused equally on implementation issues and on the ongoing negotiations. She read a summary statement produced by a drafting committee representing members of the CPF, which focused on the results of the votes in the sub-plenary sessions and reviewed key points raised during the statements and events at Forest Day 3.

Yvo de Boer, UNFCCC Executive Secretary, called for capitalizing on the present historical moment, with 43,000 participants registered at COP 15 and 120 Heads of State and government scheduled to attend the high-level segment. He noted that with the adoption of the Kyoto Protocol, attention to climate change had shifted away from a broader agenda on sustainable development, biodiversity and food security, and added that the Bali Roadmap provides an opportunity to address other issues than industrialized country emission reduction targets. He suggested that, while politicians will focus on targets, finance and MRV, other relevant constituencies should ensure that attention is not diverted from the four building blocks (mitigation, adaptation, technology and finance), capacity building and REDD+, even "when the spotlight shifts elsewhere." He thus called on Forest Day 3 participants to contribute to ensuring the social and environmental integrity of the architecture of the Copenhagen outcome.

Minister Poulsen thanked participants for the engaging exchange of ideas and closed the meeting at 7:26 pm.



Yvo de Boer, UNFCCC Executive Secretary



L-R: Troels Lund Poulsen, Minister for the Environment, Denmark; and Frances Seymour, Director General, CIFOR

UPCOMING MEETINGS

UNFCCC SUBSIDIARY BODIES: These meetings will convene from 31 May-11 June 2010, in Bonn, Germany. For more information contact: UNFCCC Secretariat; tel: +49-228-815-1000; fax: +49-228-815-1999; e-mail: secretariat@unfccc.int; Internet: http://unfccc.int/meetings/unfccc_calendar/items/2655.php?year=2010

18TH COMMONWEALTH FORESTRY CONFERENCE: The conference will be held from 28 June-2 July 2010, in Edinburgh, Scotland. The theme of this conference is "Restoring the Commonwealth's Forests: Tackling Climate Change." For more information contact: tel: +44-131-339-9235; fax: +44-131-339-9798; e-mail: cfcc@in-conference.org.uk; Internet: <http://www.cfc2010.org/>

WORKSHOP ON FOREST GOVERNANCE, DECENTRALISATION AND REDD IN LATIN AMERICA: This meeting will convene from 30 August-3 September 2010, in Mexico City, Mexico. For more information contact: tel: +62-251-8622-622; fax: +62-251-8622-100; email: cifor@cgiar.org; Internet: <http://www.cifor.cgiar.org/Events/CIFOR/decentralisation-redd.htm>

TWENTIETH SESSION OF THE FAO COMMITTEE ON FORESTRY (COFO): The meeting is expected to convene at FAO headquarters in Rome, Italy, in October 2010. For more information contact: FAO Forestry Department; tel: +39-06-5705-3925; fax: +39-06-5705-31 52; e-mail: COFO2010@fao.org; Internet: <http://www.fao.org/forestry/57758/en/>

SIXTEENTH SESSION OF THE UNFCCC COP AND SIXTH MEETING OF THE COP SERVING AS THE MEETING OF THE PARTIES TO THE KYOTO PROTOCOL: This meeting is expected to convene at the end of 2010, in Mexico City, Mexico. For more information contact: UNFCCC Secretariat; tel: +49-228-815-1000; fax: +49-228-815-1999; e-mail: secretariat@unfccc.int; Internet: http://unfccc.int/meetings/unfccc_calendar/items/2655.php?year=2010

ITTC-46: The 46th meeting of the International Tropical Timber Council (ITTC-46) and associated sessions of the four committees are scheduled to convene in Yokohama, Japan, from 13-18 December 2010. For more information contact: ITTO; tel: +81-45-223-1110; fax: +81-45-223-1111; e-mail: itto@itto.int; Internet: <http://www.itto.int>