

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17次締約國大會暨京都議定書第7次締約國會議 (COP17/CMP7)」與會情形報告

服務機關：行政院環境保護署

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出國地點：南非 德班 (Durban, South Africa)

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「聯合國氣候變化綱要公約第 17 次締約國大會(COP17)暨京都議定書第 7 次締約國會議(CMP7)」與會情形報告

壹、前言

「聯合國氣候變化綱要公約第 17 次締約國大會暨京都議定書第 7 次締約國會議(UNFCCC COP17/CMP7)」於 2011 年 11 月 28 日至 12 月 9 日在南非德班 (Durban, South Africa) 召開，此次德班會議湧入來自全球 194 個國家，包含政府、觀察員、媒體等約計超過一萬四千位代表齊聚一堂，共商後京都時期減量責任與全球暖化因應對策。

全球不同團體對其決議產出正反解讀不一，惟其政治諮商談判最終沒有破局，而達成此次雖不滿意、但尚能接受的結果，不致讓全世界長期投入溫室氣體減量人士 10 餘年的努力功虧一簣，已是不容易的成就，也堪稱是氣候談判重要的里程碑。

雖然各界大多把焦點集中在關鍵國家談判立場、京都議定書展延與否、納入中國、印度等主要開發中國家排放管制等政治層面觀點，但本次南非德班會議通過的決議文繁多且多樣化，共計通過 19 項 COP17 決議及 17 項 CMP7 決議，涵蓋未來新回合談判組織與推展時程、國家調適計畫、極端氣候災難衝擊與脆弱度、綠色基金財務機制、能力建構、技術移轉、森林與減少毀林、國家通訊與排放清冊、市場機制(排放交易、清潔發展機制)、碳捕捉封存等多面向專業議題，可說是產出

極為豐富且多元，對於氣候公約及議定書的後續推展，並落實歷年重要決議事項，特別是 2010 年坎昆協議衡平包裹決議內容，都有著深遠且正面的影響。

本次會議除了 UNFCCC 第 17 次締約國大會(COP17 及京都議定書第 7 次締約國會議(CMP7)外，並同時舉辦四個附屬機構會議，分別為第 35 次附屬科技諮詢機構會議(SBSTA35)、第 35 次附屬履行機構會議(SBI35)、第十四次公約長期合作行動特設工作小組會議(AWG-LCA14)、及第十六次京都議定書特設工作小組會議(AWG-KP 16)。此外，公約秘書處主辦之周邊會議 (Side Event) 約計 220 個場次。國際排放交易協會(IETA)亦於 2011 年 12 月 1-8 日在 Standard Bank，約計召開 60 個場次周邊會議。



圖 1、COP17 會場內情形 (照片載自 UNFCCC 網站)

貳、我國與會代表

我代表團係由本署張副署長子敬率外交部、經建會、交通部中央氣象局、農委會林務局/林試所及國安會等政府部會及中鋼、台綜院、綠基會、環科、工研院等產學研各界代表計 35 人共同與會，在工業技術研究院(ITRI)協助下向公約秘書處報名，仍以非政府組織(NGO)身分參加。而，外交部駐紐約聯工小組及駐南非代表處則以友邦代表團顧問身分與會。此外，台北市、台南市、高雄市等城市政府、臺灣永續能源研究基金會及環境品質文教基金會等單位亦派員與會。

我國代表團由環保署張副署長子敬擔任團長，並由張副署長、空保處簡副處長慧貞、工研院特聘專家楊日昌博士、童所長遷祥、清華大學科技法律研究所范教授建得、台北大學自然資源與環境管理研究所李堅明教授、我駐南非代表處呂秘書欽揚等人負責參與官方雙邊會談；全團主要任務如下：

- (一) 配合我政府 UNFCCC 推案工作，強化與友好國家之雙邊會談與交流，爭取助我量能；並就我因應氣候變遷能力建構之需求，洽詢相關國家或機構，尋求未來合作機會。
- (二) 延續我國每年派員出席氣候公約締約國會議活動，實地掌握 UNFCCC 諮商談判、相關議題之最新動態及各國因應立場作為。
- (三) 運用與會期間相關可能管道與機會向國際發聲，適時宣揚我國因應氣候變遷之努力與挑戰，提昇國際能見度與認同。



圖 2、COP17 場內展場、會議進行剪影（照片載自 UNFCCC 網站）



圖 3、COP17 會場內抗議情形 (照片載自 IISD 網站)



圖 4、COP17 場外不同團體展示活動 (照片載自 IISD 網站)

參、出國行程

- 2011.12.3~12.4 啟程至南非德班
- 2011.12.5~12.10 參加公約會議活動
- 2011.12.11~12.13 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) **南非總統 Jacob Zuma**：氣候對非洲的影響乃是促使各國政府採取行動的一個理由。鑑於情況緊迫，各國政府們需要努力在德班找到解決方案。變革和解決方案永遠是可能取得的，因此德班會議必須引導我們邁向可以在今日挽救未來的解決方案。

(二) **新任 COP17 主席南非國際關係與合作部長 Maite Nkoana Mashabane 女士**：針對以多邊規則為基礎之氣候制度，德班會議將是一個決定性時刻。在德班，我們需要向全世界展示，我們願意以務實態度來處理和解決非常現實問題。

(三) **聯合國秘書長潘基文**

關於在德班獲得突破性成果之期望，我們必須面對現實。許多國家面臨重大經濟困難、政治分歧以及對因應氣候變化優先事項和策略之衝突。要在德班達成一項全面性和具約束力氣候變化協議的最終目標，可能超出我們的能力，至少在現在。

在德班我們必須保持這一動量。我期望在這次會議中可以達成四項成果，以便將我們帶向未來。首先，我們必須實現在坎昆同意事項。第二，我們需要對短期和長期融資取得實質進展。第三，京都議定書未來。第四也是最後一點：我們絕對不能揚棄一項全面具約束力的氣候變化協議。

在德班會議，我們能夠而且必須採取具體步驟以邁向一個更強大氣候制度，並將此動量延續至明年卡達（Qatar）締約國大會。

(四) IPCC 主席 Rajendra Pachauri

政府間氣候變化專家委員會(IPCC)剛剛發布「管理極端氣候事件和災害風險以推動氣候變化調適(SREX)」最全面的科學分析報告，快速城市化和(特別是在開發中國家)超大型城市成長，將導致出現非常脆弱的城市社區。弱勢群體還包括難民、國內流離失所人民，和那些生活在邊遠地區民眾。

本次會議之討論，必須以 IPCC 獲致之科學知識作為指引。這些知識包括不採取減排作為之人力和經濟成本，以即儘早採取減排行動之直接和間接效益。在 AR5 中，我們將更加重視提供與考量與聯合國氣候變化綱要公約第 2 條相關之全面性和一致性科學資訊，包括關鍵性脆弱性和發展議題者。

總之我們需要牢記來自這個時代最偉大領袖之一所講的兩句警世名言，”教育是可以用來改變世界之最有力武器”，以及”我們已經知道需要做什麼，目前唯一缺少的乃是行動意志”。講這些話的偉大領袖乃是納爾遜曼德拉先生！

(五) 美國氣候特使 Todd Stern

追求一項具法律約束力協議的時機尚未成我們尚未見到任何主要新興經濟體同意這一點。如果所有主要排放國不能全部參與減排行動，全球排放量將無法減少到

必要水準。對美國來說，我們認為任何法律協議，都需要具備適用於所有主要經濟體之同等法律效力。我們可以同意磋商一個強大、以規則為基礎、多邊形式未來制度談判目標。但是不要讓我們因為對具法律形式未來協議之執著，就破壞德班會議。

我們認為有必要推動一套針對坎昆協議之平衡成果。這些協議代表在應對氣候變化之全球努力方面之重要一步。對我們來說，在德班取得之一套平衡成果包括：採納針對透明度和審查制度所需之必要指引；設立綠色氣候基金；建立新清潔技術中心和網路；建立調適委員會。

(六) G-77 和中國集團 (G77/China)

IPCC 發表 SREX 報告突顯出氣候相關事件死亡率和經濟損失占 GDP 比率，在開發中國家較高。我想再次強調我們需要解決這一問題之迫切性，因為對 77 國和中乃是一個生死存亡大事。調適對開發中國家乃是一個關鍵事項。

就我們而言，開發中國家締約國仍在努力消除貧困和實現永續發展。這些都是我們的第一優先事項。基於共同但有區別責任和各自能力原則之基礎，此項成果將要求建立京都議定書第二承諾期。京都議定書、其作用機制、其規則和遵約制度必須予以保留和加強，以作為當前以具法律約束力國際多邊貿易規則為基礎創立聯合國氣候變化綱要公約的重要組成部分。

(七) 歐盟

為能有效解決 21 世紀面臨挑戰，所有主要經濟體都需要提出承諾。我們需要決定未來路徑，以邁向一個全新、全面與具法律約束力的全球性氣候協議。如果有一件事是我們在歐洲學到的，那就是：設定目標有用；設定碳價格有用。這就是為什麼我們需要一個強有力的國際架構。只有這樣，我們才能使行動達到我們需要的規模與速度。

歐盟願意考量以京都議定書第二承諾期，作為前進至一項更廣泛制度之過渡階段。與此同時第二承諾期之環境完整性需要獲得保證，且體系結構必須進一步加強。同時具備有限締約國之第二承諾期，不能成為長期無所作為的藉口。如果取得一項孤立於世界各國參與之有限度結果，將不符合我們的環保目標，並在政治上無法被接受。

歐盟已經做好取得決議與進行交付之準備。我們的法律是建立在京都原則上。我們需要在 2015 年前建立這項協議，並使其儘快生效。

(八) 雨傘集團 (Umbrella Group)

雨傘集團承認我們有在這裡展示領導能力的責任，我們正以四種方式表示：

首先，一如先前承諾，我們已經開始提供氣候資金。在為期三年承諾期經過兩年之後，雨傘集團已經貢獻 300 億美元快速啟動資金中的 200 億美元。第二，我們正在德班會議努力工作以達成可協助開發中國家調適氣候變化、引進低排放技術和有取得資金之機制。所有傘型集

團國家都希望見到一個綠色氣候基金。第三，我們正在國內採取強有力行動，以減少我們國內排放量。傘型集團國家受到我們在坎昆取得重大進展之鼓勵，特別是在 90 個國家所提出減排目標和行動中所展現之全球性行動承諾。所有傘型集團國家都已經提出雄心勃勃的減排承諾，並打算堅持這些立場使我們一起往前邁進。第四，因為建立所有締約國信心至關重要，我們正領導其他國家工作，以建立一項新透明度制度，來確保我們可以知道各國是否實施先前承諾行動，並可以互相比較這些工作努力成果。

(九) 小島嶼國家聯盟(AOSIS)

我們小島嶼國家聯盟所以參與這些磋商，因為我們擔心我們生存受到威脅，且要採取行動的剩餘時間已經不多。我們極度關切京都議定書的發展。對於在德班會議無法達成第二個承諾期提案，我們不能接受。我們需要這個協議，我們也相信有必要制定一個補充京都議定書之協議，以涵蓋不是京都議定書締約國的國家。

達成此協議的指令在德班乃是一個優先事項，我們期待磋商達成結論。延遲不是一種選擇方案！我們還必須確保，我們同意實施坎昆協議，並解決綠色氣候基金、調適委員會、技術相關機構和協助低度開發國家和援助非洲國家等待決議題。我們也必須確保取得穩健程序來進行 2015 年審查。

二、大會結論

(一) COP17/CMP7 經過兩週諮商談判且密集召開非正式協商，並有史以來首度延長會期兩天後，終於於 12 月 11 日上午 6 時許取得共識，通過 19 項 COP17 決議及 17 項 CMP7 決議。

1. 各國同意達成一項法律協議，以約束遏制溫室氣體排放量成長，暫時結束自 Bali 會議以來的為期 4 年談判過程。
2. 這項被稱為「德班平台(Durban Platform)」的協議，雖然仍有許多細節須要決定，但乃是所有國家第一次同意重新磋商以達成一項具法律效力成果(an agreed outcome with legal force)，並約束所有國家減少溫室氣體排放量。
3. 「德班平台(Durban Platform)」要求於 2015 年底前應取得所有國家對該協定之同意，以使各國不遲於 2020 年底前開始削減溫室氣體排放量。

(二) 根據公約所提供之結論，本次會議重點略以，

1. 對於未來因應氣候變遷之回應，各國在南非德班會議上已經取得突破，並同時意識到迫切需要提高他們的溫室氣體減量之決心及目標水準，落實減少溫室氣體排放量，以確保全球平均增溫低於攝氏 2 度。
2. 在德班會議中，各國政府決定應盡快採納適用各國之因應氣候變遷之法律協議，至遲不得晚過 2015 年；並通過設立「強化行動德班平台特設工作組(Ad Hoc Working Group on the Durban Platform for Enhanced

Action)」，推動該項工作。

3. 多國政府(涵蓋 35 個工業化國家)同意從 2013 年 1 月 1 日起進入京都議定書將第二承諾期；為儘速釐清，締約國在第二承諾期時會將從現階段「總體經濟目標 (economy-wide target)」轉換為「量化排放限制或減量目標 (quantified emission limitation or reduction objectives)」，並在 2012 年 5 月 1 日前提出審閱。
4. 前項對於京都議定書的會計準則(accounting rules)、機制(mechanisms)和市場(markets)之發展非常重要，因為其均是影響落實全球氣候行動之有效工具，及促成未來協議之重要依據。
5. 本次會議通過去年墨西哥坎昆會議所通過支持開發中國家套案(package)，包括：成立 Green Climate Fund，成立一調適委員會協調全球行動，2012 年將全面展開技術轉移機制協助開發中國家建立減緩及調適技術等；在此結論中，特別強調透明且持續的重要性。
6. 對於目前各國承諾削減排放量幅度，無論是已開發國家和開發中國家的目標，尚不足夠將全球平均增溫控制於攝氏 2 度以下，因此各國政府亦決定須在公約協商過程強化採取行動之雄心，並以 IPCC 第五次氣候科學報告結果及 2013-2015 年進行之全球審查結果作為指導方針。
7. 在已設定之明確目標期程情形下，相信各國家、公民和企業將更有信心為投入因應氣候變遷行動，因為他們知道德班會議已經點亮一條邁向低排放及兼具因應氣候韌性之寬廣道路。

(三) 後續幾年締約國大會主辦國及時間：第 18 次締約國大會 (COP18/CMP8) 將由卡達杜哈主辦 (並與韓國密切合作)，時間在 2012 年 11 月 26 日至 12 月 7 日。

伍、我代表團參與公約周邊會議及展覽

一、首次在公約周邊會議會場內舉辦新聞說明會

我國代表團於 12 月 8 日上午首度在氣候公約會展場地「德班展覽中心(Durban Exhibition Centre, DEC)」主辦一場周邊會議，以「啟動企業邁向低碳經濟 (Mobilizing Business for the Low Carbon Economy)」作為主題，闡述我國以擴大綠能技術應用、建構減碳法規及導入市場機制等多面向策略，來推展綠色經濟成長及落實溫室氣體排放減量的具體作為，與國際友人進行經驗分享，藉由實質行動投入國際減碳的行列。

由永智顧問公司石信智總經理擔任活動司儀，工業技術研究院資深顧問楊日昌博士及清華大學范建得教授主講，並邀請國際碳排放交易協會 (International Emission Trading Association, IETA) 執行長 Mr. Henry Derwent、全球環境機構 (Global Environment Facility) Dr. Robert Dixon、國際銅業協會 (International Copper Association) 執行長 Mr. John R. Mollet 等人提供建言評論，約計超過 50 人參與(包括 10 餘位外籍人士)。



圖 5、COP17 公約周邊會議會場內主辦周邊會議活動情形

二、國際排放交易協會(IETA)周邊會議

- (一) Side Event (Number:39):「Topic: How to Increase Certainty of the CER Stream for Investors?」主題：本署簡慧貞副處長於12月6日下午應邀出席，介紹我國積極參與國際碳市場機制的具體減碳作法及願景，受到國際專業機構出席專家及代表們的熱烈迴響與一致肯定。該場周邊會議係由IETA國際政策主任Ms. Jenny Peetermans擔任引言主持，並邀請EcoSecurities之Paul Soffe、Alstom副總經理Helle Juhler-Verdoner、Camco策略發展部門主管Mile Bess、E.ON公司資深顧問Bill Kyte及本署簡副處長報告與談，探討未來「清潔發展機制(Clean Development Mechanism, CDM)」乃至國際碳市場，如何建構更具效率的運作機制，並就2012年後CERs(經認證的減量額度)的效力等議題廣泛進行討論。
- (二) Side Event (Number:49):「Topic: Are you a NAMA? Looking at NAMA MRV Developments and Possible Futures」主題。由清大科法所范教授建得應邀出席並探討探討NAMAs如何落實MRV國際間之作法、單一或多邊合作機制是否出現不同MRV之要求及相關可能共同利益為何等相關課題。





圖 6、本署空保處簡副處長慧貞報告 Taiwan is in the Trend of International Carbon Marker : A review on Taiwan's International Offset Plan

三、展覽攤位

本代表團第二次成功爭取在氣候公約展覽會場內（DEC）參與攤位展示活動，並依往年慣例在國際碳排放交易協會(IETA)所屬會場設置攤位，同步展示我積極具體作為及成果，攤位展示時間為期二週。現場提供近 500 份之隨身碟、紙本文宣及海報。



圖 7、我展覽攤位現場情形

四、國際交流互動情形

(一) 雙邊會談交流

- 澳洲代表團副團長 Mr. Gary Cowan
- 歐洲議會資深議員兼氣候議會(Climate Parliament)華生主席 Mr. Graham Waston、氣候議會秘書長 Mr. Nick Dunlop
- DG-CLIMA 總署長 Jos Delbeke 因出席公約 High level 部長會議，臨時由 Service europeee pour l'action exterieure 之二位代表與會
- 美國國務院 U.S. Department of State Office of Global Change (OES/EGC) Branch Chief : Mr. Richard J. Driscoll
- British High Commission Protoria 高級專員 Dame Nicola Brewer、氣候變遷團隊主管 John L Smith.
- 歐洲議會 ENVI 委員會主席 Jo Leinen
- 瑞士代表團首席談判代表 Dr. Jose Romero
- 德國 Lucia Puttrich (HESSEN)、Susanne Deuschel (HMUELV)



圖 8、英國代表團 British High Commission Protoria 高級專員 Dame Nicola Brewer、氣候變遷團隊主管 John L Smith



圖 9、歐洲議會 ENVI 委員會主席 Jo Leinen



圖 10、歐盟執委會氣候行動總署

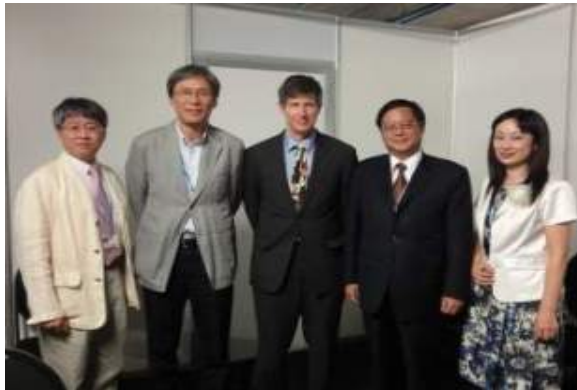


圖 11、美國國務院 Office of Global Change (OES/EGC) Mr. Richard J. Driscoll

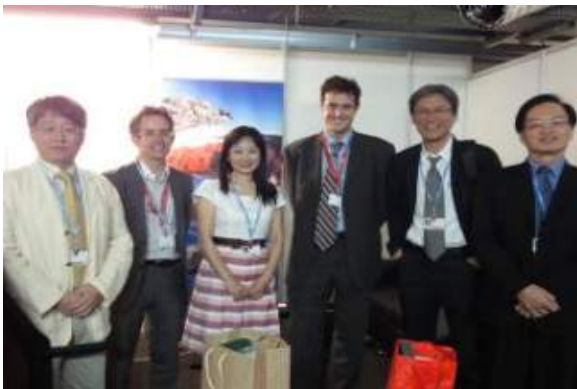


圖 12、澳洲代表團副團長 Mr. Gary Cowan



圖 13、歐洲氣候議會華生主席 Mr. Graham Weston



圖 14、瑞士代表團首席談判代表
Dr. Jose Romero



圖 15、德國 Lucia Puttrich (HESSEN)、
Susanne Deuschel (HMUELV)

(二) 友邦執言

計有 14 個友邦於 COP17/CMP7 為我執言，支持臺灣應以觀察員身分實質參與 UNFCCC。包括：宏都拉斯、甘比亞、貝里斯、馬紹爾群島、吐瓦魯、布吉納法索、史瓦濟蘭、薩爾瓦多、吉里巴斯、尼加拉瓜、聖克里斯多福及尼維斯、索羅門群島、巴拿馬、帛琉。



圖 16、布吉納法索發言現場實況

(三) 會見重要國際組織高階主管

- 全球環境機構 (The Global Environment Facility, GEF)
氣候變遷團隊主管 Dr. Robert Dixon
- 國際碳排放交易協會 (International Emission Trading Association, IETA) 執行長 Mr. Henry Derwent
- 亞洲開發銀行經濟顧問
呂學都博士(曾任京都議定書 CDM 執行理事會委員)



圖 17、全球環境機構 GEF
氣候變遷團隊主管 Dr. Robert Dixon



圖 18、IETA 執行長 Mr. Henry Derwent

(四) 會見德國看守協會 (Germanwatch)

會晤德國看守協會 (Germanwatch) 氣候變遷績效指標負責人Mr. Jan Burck，瞭解我國CCPI 2012評比成績詳細資訊，雙方交換意見，並提供我國最新具體因應行動相關資料，據以爭取對我最有利益之見解，強化交流管道。

德國看守協會 (Germanwatch) 與歐洲氣候行動網 (Climate Action Network Europe) 於12月6日公布2012年氣候變遷績效指標 (Climate Change Performance Index Results 2012, CCPI 2012)，針對58個受評比國家部門別溫室氣體排放趨勢、排放程度及氣候政策等三大面向進行評比，我國今年整體得分為49.0分，較前一年50.2分微幅降低1.2分，總排名第50名較去年降低3名(前3名皆為從缺)。今年度公布評比報告中，受評比國家增加埃及一國，共計58個國家；評比指標項目增加「人均二氧化碳排放趨勢」一項，共計13項。我國在所有評比指標項目中，計有「部門別趨勢-道路運輸」、「部門別趨勢-國際航空」、「部門別趨勢-住宅」、「再生能源趨勢」、「減量目標績效比較」、「能源-再生能源」、「每單位初級能源消耗所產生之CO₂量」、「人均初級能源消耗量」及「每單位GDP的初級能源消耗量等8個項目得分提升，其中「部門別趨勢-國際航空」得分提升12.5分，排名由第30名進步至第15名，提升15個名次。

另，若以溫室氣體排放趨勢、排放程度及氣候政策等三大面向進行評析，我國在排放趨勢及排放程度兩大面向名次變動不大，分別退後1名及進步2名，惟氣候政策面向(國際政策、國內政策)表現較為弱勢，主要為我國溫室氣減量

法尚未通過，以致氣候政策面向分數降低。另德國看守協會人員於南非氣候綱要公約會員國大會會場回答我國代表團人員提問時表示，日本2011年3月11日發生東北大地震後，世界各國多重新檢視其能源政策，德國隨即於5月底宣布2022年核能廠將完全除役即為其例，而台灣為制訂新的能源政策，雖然以非常縝密、謹慎的評斷進行通盤而全面性的考量，從上半年直到11月期間，歷經召開多次會議後，方才正式對外公開，但因時間遞延未能於該協會打分數的九月截止日前提供此項資訊而影響該面向之績效表現。

此外，德國看守協會(Germanwatch)另公布2012年全球氣候變遷風險指標(Global Climate Risk Index 2012)，評估我國易受極端氣候如洪水、暴風的衝擊影響，列為190個評比國家之第44名，屬於容易遭受天然災害風險之前25%，顯見我國地理環境位置所面對的高風險及脆弱度，更須正視全球氣候變遷與暖化所帶來之重大挑戰。

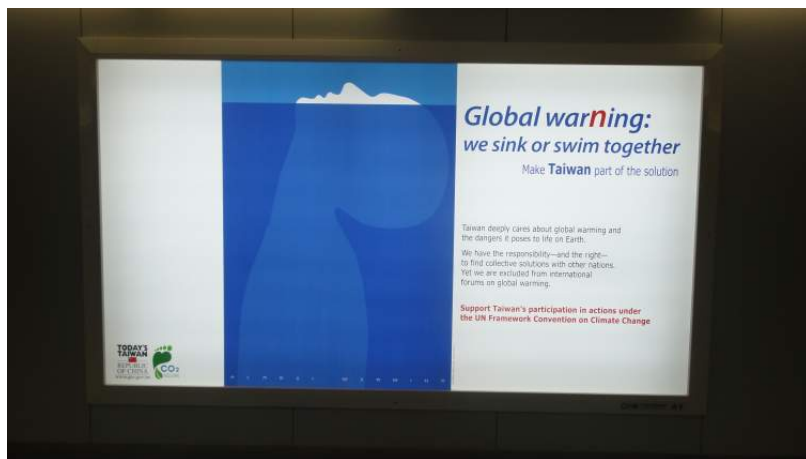


圖 19、2011.11.13 攝於桃園機場入境通道上的燈箱廣告

(本年度新聞局與本署協力製作之UNFCCC推案平面廣告，同步南非德班機場登載)
「Global Warming」師大林俊良副教授：2010年第89屆紐約藝術指導協會年度獎(ADC)
海報設計類銀獎作品 (金獎從缺)

陸、與會心得及建議

德班會議最重要的產出應該算是，通過設立「強化行動德班平台特設小組（Ad Hoc Working Group on the Durban Platform for Enhanced Action）」於明(2012)年上半年開啟運作，各國同意在公約架構且適用規範所有締約國的條件下，最遲應於2015年第21次締約國大會(COP21)前達成具有法律效力的共識產出（可能為protocol、legal instrument or agreed outcome with legal force），並能在2020年正式生效施行，同時於2012年亦將終結自2007年起已歷時4年的峇里行動計畫(Bali Action Plan)談判模式（長期合作行動特設工作組Long-term Cooperative Action, AWG-LCA）。在過去氣候公約談判歷程中較為類似的案例，應屬1995年第一次締約國大會(COP1)通過了「柏林授權（Berlin Mandate）」決議，當時成立特設小組討論，終促成1997年通過「京都議定書」。雖然「德班平台」未來談判期程是否能如期進展、如何在各方政治角力下取得所有締約國共識、如何納入主要開發中國家的減量義務等仍舊充滿不確定性，惟此次難得向前的一步，或許可視為氣候公約或議定書的重生再造工程，也讓各界充滿期待與想像。

其實德班會議的核心要素依然是回到UNFCCC的精神與原則，亦即各國應承擔「共同但差異」的減量責任，並依「最低成本」及「成本有效」的方式進行減量工作，以促進經濟永續發展。不過，歷經近20年的時空演變，排放大國排序與經濟強權角色互換下，讓美國、歐盟、中國、印度等關鍵國家在談判桌上角力更加複雜化。若觀察此次德班會議結果對我政策走向的影響與啟示，大致上可區分

為以下三點：

一、新的減量協議影響層面及時程擴大

(一) 新協議生效與執行係訂在 2020 年後，顯見國際氣候談判時程已經安排到 10 年以後，況且本協議內容將會涵蓋所有締約國，亦即已開發國家與開發中國家均可被納入。一般預計，後續談判工作將更加艱難；不過，國際對於開發中國家的減量責任要求的聲浪，將從此結論開始更加升高。

(二) 我國雖因國際政治因素無法成為公約締約國成員，現階段不致須立即承擔減量義務，惟為維繫我產業國際競爭力及促進國家永續發展，我國已主動向國際社會宣示自願減量行動與期程，並爭取實質參與 UNFCCC 的機會；惟國際談判變數頗高，而我國可著力的空間與時間亦相對拉大，但困難度亦日益升高。

(三) 另，宜以外國、國際組織或國際媒體角度來重新思考，如何強化我方若加入氣候公約後的優劣分析與國際貢獻，並以實際案例與國際法觀點來描述，據以增強 UNFCCC 推案的說服力。

二、整合式多軌化之氣候體制

(一) 未來國際氣候體制，可能是運用單一機制（議定書或協議）來整合不同減量模式。本次結論提及多國政府（涵蓋 35 個工業化國家）同意從 2013 年 1 月 1 日進入京都議定書第 2 承諾期；為儘速釐清，締約

國在第 2 承諾期時會將從現階段「總體經濟目標 (economy-wide target)」轉換為「量化排放限制或減量目標」，並在 2012 年 5 月 1 日前提出審閱。此一轉換為提供一新減量目標模式。

(二) 另，預料非附件一國家（開發中國家）減量責任，在締約國具有共同但程度差異的責任分擔（burden sharing）原則下，雖終將被提出討論，但預料不會比照原有工業國家減量目標做法；因此，各國未來在落實不同減量目標成效之申報及查核制度將是公約後續討論之重點。

(三) 如何落實與國際制度相互接軌之國內 MRV 機制，亦將是我國接續努力的方向與重點。

三、加強透明及持續性的溫室氣體減量工作

(一) 本次會議通過去年墨西哥坎昆會議所通過支持開發中國家套案(package)，包括：成立 Green Climate Fund，成立一調適委員會協調全球行動，2012 年將全面展開技術轉移機制協助開發中國家建立減緩及調適技術等。在此結論中，特別強調透明且持續的重要性。

(二) 我國未來若要彰顯自身減量績效，國內相關減量工作績效宜有明確紀錄與查核機制，以利對外、對內論述，其中最重要的也是其他國家在與我代表團雙邊會晤時，總會受到特別關切的就是儘速通過「溫室氣體減量法(草案)」，奠立法制基礎以利政府相關

部門依法行政，逐步建構階段性的溫室氣體減量管理機制，並適時導入市場機制，降低減量成本來維繫產業國際競爭力；相對於其他國家加緊創造低碳經濟的步伐，國內能源與產業結構的調整腳步總是跟不上，是該徹底改造行動的時候，否則國內企業的國際競爭力勢將折損在居高不下的產品碳足跡。

(三) 從 2009 年哥本哈根會議所提非附件一國家適當減緩行動(NAMAs)的創新概念、2010 年坎昆會議喊出的綠色氣候基金願景、一直到今(2011)年德班會議所設立的「德班平台」，在在即是要將開發中國家適時引入全球減量行列；然在要將前述願景或理想轉化為實務的機制與配套建構工程，在本次德班會議的談判過程即充分凸顯其政治複雜度與困難度。例如，大會會議期間，開發中國家批評工業化國家的技術移轉與資金協助，談了 20 年仍無法落實，目前僅先就透明會計及管理組織架構著眼，仍未觸及繳納義務與分配原則。

(四) 此外，綠色科技及市場機制仍然是公約面對氣候變遷挑戰不可或缺的兩大要素，此次德班會議同時釋出公約將持續強化碳市場確定性的訊息，讓全球企業界與投資者瞭解，低碳經濟轉型已是不能回頭的路。

捌、附件

- 附件一、聯合國氣候變化綱要公約 COP17/CMP7 會議議程
Provisional agenda and annotations
- 附件二、德班會議決議
Decisions adopted by COP17
- 附件三、聯合國氣候變化綱要公約第 17 次締約國大會報告
Report of the Conference of the Parties on its seventeenth session, held in Durban from 28 November to 9 December 2011
- 附件四、京都議定書第 7 次締約國會議報告
Report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its seventh session, held in Durban from 28 November to 9 December 2011
- 附件五、公約長期合作行動特設工作小組第 14 次會議報告
Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on the third and fourth parts of its fourteenth session, held in Panama City from 1 to 7 October 2011, and Durban from 29 November to 10 December 2011.
- 附件六、京都議定書特設工作小組第 16 次會議報告
Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on the third and fourth parts of its sixteenth session, held in Panama City from 1 to 7 October 2011, and Durban from 29 November to 10 December 2011.
- 附件七、第 35 次附屬履行機構會議(SBI 35)報告
Report of the Subsidiary Body for Implementation on its thirty-fifth session, held in Durban from 28

November to 3 December 2011.

- 附件八、第 35 次附屬科技諮詢機構會議(SBSTA 35)報告
Report of the Subsidiary Body for Scientific and
Technological Advice on its thirty-fifth session, held
in Durban from 28 November to 3 December 2011.
- 附件九、Earth Negotiation Bulletin:
The United Nations Climate Change Conference
in Durban from 28 November to 9 December
2011
- 附件十、其他

附件一

聯合國氣候變化綱要公約

COP17/CMP7 會議議程

Provisional agenda and annotations



United Nations
Framework Convention on
Climate Change

**United Nations Climate Change Conference
Durban, South Africa
28 November to 09 December 2011**

OVERVIEW SCHEDULE



**Seventeenth session of the
Conference of the Parties (COP 17)**

**Seventh session of the Conference of the Parties serving as the meeting of the
Parties to the Kyoto Protocol (CMP 7)**

Thirty-fifth session of the Subsidiary Body for Implementation (SBI 35)

**Thirty-fifth session of the Subsidiary Body for Scientific and Technological Advice
(SBSTA 35)**

**Sixteenth session of the Ad Hoc Working Group on Further Commitments for
Annex I Parties under the Kyoto Protocol (fourth part) (AWG-KP 16)**

**Fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action
(fourth part) (AWG-LCA 14)**

*This overview schedule is intended to assist participants with their planning prior to
the sessions. It should be considered as **indicative** and will be updated as new
information becomes available.*

*Once the sessions are underway on Monday, 28 November,
please consult the Daily Programme.*

Updated: 11 November 2011

PRE-SESSIONAL MEETINGS

- 65th meeting of the Clean Development Mechanism Executive Board (21 to 25 November)
- Least developed countries Preparatory Meetings (22 to 23 November)
- Small island developing States Preparatory Meetings (24 to 25 November)
- 27th meeting of the Joint Implementation Supervisory Committee (24 to 25 November)
- African Group Preparatory Meetings (24 to 25 November)
- G-77 & China Preparatory Meetings (26 to 27 November)

FIRST WEEK

Monday, 28 November	
10.00 a.m. to 1.00 p.m.	
Welcoming ceremony*	
COP	
Opening of the session	
CMP	
Opening of the session	
Lunch break	
<p><i>UNFCCC event: Joint Implementation Supervisory Committee: question and answer session - 1.15 to 2.45 p.m.</i></p> <p><i>UNFCCC event: Presentation on the Work of the Consultative Group of Experts (CGE) on national communications from non-Annex I Parties - 1.15 to 2.45 p.m.</i></p>	
3.00 p.m. to 6.00 p.m.	
SBI	SBSTA
Opening of the session	Opening of the session
Evening	
<p><i>Welcoming reception for all delegates hosted by the President of COP 17/CMP 7 - 6.00 p.m.</i></p>	

Tuesday, 29 November	
10.00 a.m. to 11.30 a.m.	
KP**	SBSTA
Opening of the session	Opening of the session (<i>as needed</i>)
11.30 a.m. to 13.00 p.m.	
AWG-LCA**	SBI
Opening of the session	Opening of the session (<i>as needed</i>)

* Delegates are asked to take their seats prior to 10.00 a.m.

** The closing date of the AWG sessions will be determined in Durban.

Tuesday, 29 November	
Lunch break	
<i>UNFCCC event: Clean Development Mechanism (CDM) Executive Board: question and answer session - 1.15 to 2.45 p.m.</i>	
<i>UNFCCC event: The UNFCCC finance portal - New modules on fast start finance and GEF managed funds - 1.15 to 2.45 p.m.</i>	
3.00 p.m. to 6.00 p.m.	
Informal groups of the Convention and Protocol bodies	
Evening	
<i>UNFCCC event: Least Developed Countries Expert Group (LEG) / Least Developed Countries (LDC) experience with National adaptation programmes of action (NAPAs) - 6.30 to 8.00 p.m.</i>	
<i>UNFCCC event: South Africa's landfill gas to energy CDM projects - lessons learnt and possibilities for dissemination in other African countries - 6.30 to 8.00 p.m.</i>	

Wednesday, 30 November	
10.00 a.m. to 1.00 p.m.	
CMP	Informal groups of the Convention and Protocol bodies
<i>Joint SB workshop on the Nairobi work programme - 10.00 to 1.00 p.m.</i>	
Lunch break	
<i>UNFCCC event: The new UNFCCC software for Greenhouse Gas inventories of non-Annex I Parties - 1.15 to 2.45 p.m.</i>	
<i>SBSTA-IPCC joint special event: The IPCC Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation (SREX) - 1.15 to 2.45 p.m.</i>	
3.00 p.m. to 6.00 p.m.	
COP	Informal groups of the Convention and Protocol bodies
Evening	
<i>UNFCCC event: Lessons Learned: Adaptation Fund - 6.30 to 8.00 p.m.</i>	
<i>UNFCCC event: Finalisation of the Intergovernmental Panel on Climate Change (IPCC) Software for the 2006 Guidelines, and Recent and Planned Work of the Task Force on National Greenhouse Gas Inventories (TFI) - 6.30 to 8.00 p.m.</i>	

Thursday, 1 December

10.00 a.m. to 11.30 a.m.

Informal groups of the Convention and Protocol bodies

11.30 a.m. to 1.00 p.m.

Lunch break

UNFCCC event: Adaptation, development and information and communication technology - 1.15 to 2.45 p.m.

UNFCCC event: Measurable, reportable and verifiable (MRV) - building on existing reporting and review processes and experiences - 1.15 to 2.45 p.m.

Informal groups of the Convention and Protocol bodies

3.00 p.m. to 6.00 p.m.

Informal groups of the Convention and Protocol bodies

Evening

Special event in the context of the Joint SBI/SBSTA forum on the impact of the implementation of response measures - 3.00 to 6.00 p.m.

UNFCCC event: Funding for climate observations - 6.30 to 8.00 p.m.

UNFCCC event: Intergenerational Inquiry - 6.30 to 8.00 p.m.

Friday, 2 December

10.00 a.m. to 1.00 p.m.

Informal groups of the Convention and Protocol bodies

Lunch break

UNFCCC event: Updates from climate change science - special focus: Africa - 1.15 to 2.45 p.m.

UNFCCC event: Standard related work of the CDM Executive Board to further enhance the regional distribution of CDM projects and their impact on sustainable development - 1.15 to 2.45 p.m.

3.00 p.m. to 6.00 p.m.

Informal groups of the Convention and Protocol bodies

Saturday, 3 December

10.00 a.m. to 1.00 p.m.

Informal groups of the Convention and Protocol bodies

Lunch break

UNFCCC event: Global Environment Facility (GEF) - 1.15 to 2.45 p.m.

3.00 p.m. to 6.00 p.m.

SBI

SBSTA

Closure of the session and adoption of conclusions

Closure of the session and adoption of conclusions

No meetings are scheduled for Sunday, 4 December

SECOND WEEK

Monday, 5 December

10.00 a.m. to 1.00 p.m.

Informal groups of the Convention and Protocol bodies

Lunch break

UNFCCC event: Evaluating Adaptation to Climate Change: Lessons and Experience from the GEF Support to Adaptation - 1.15 to 2.45 p.m.

UNFCCC event: Latest submissions of national communications from non-Annex I Parties - 1.15 to 2.45 p.m.

3.00 p.m. to 6.00 p.m.

Informal groups of the Convention and Protocol bodies

Evening

UNFCCC event: Launch of the Capacity-building Portal - 6.30 to 8.00 p.m.

SBI Special Event on observer organizations - 6.30 to 9.30 p.m.

Tuesday, 6 December

10.00 a.m. to 1.00 p.m.

Informal groups of the Convention and Protocol bodies

Lunch break

UNFCCC event: Results from Evaluating Investments in Mitigating Climate Change by Multilateral Development Banks - 1.15 to 2.45 p.m.

3.00 p.m. to 6.00 p.m.

Ceremonial opening of the high-level segment

Informal groups of the Convention and Protocol bodies

Evening

Launch of the Momentum for Change Programme - 6.30 to 8.00 p.m.

Wednesday, 7 December

10.00 a.m. to 1.00 p.m.

COP

CMP

Joint High-level segment of COP and CMP

National statements

Lunch break

3.00 p.m. to 6.00 p.m.

COP

CMP

Joint High-level segment of COP and CMP

National statements (continued)

Evening

UNFCCC event: Question and answer session with the GEF and its agencies - 6.30 to 8.00 p.m.

Reception hosted by the Government of South Africa for the opening of the high-level segment - 6:00 p.m.

Thursday, 8 December

10.00 a.m. to 1.00 p.m.

COP

CMP

Joint High-level segment of COP and CMP

National statements (continued)

Lunch break

Joint High-level segment of COP and CMP

National statements (continued)

3.00 p.m. to 6.00 p.m.

COP

CMP

Joint High-level segment of COP and CMP

National statements (continued)

Friday, 9 December

10.00 a.m. to 1.00 p.m.

COP

CMP

Joint High-level segment of COP and CMP

Statements from intergovernmental and non-governmental organizations

Lunch break

3.00 p.m. to 6.00 p.m.

COP

CMP

COP closing: adoption of decisions and conclusions

CMP closing: adoption of decisions and conclusions



Framework Convention on Climate Change

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Conference of the Parties

Seventeenth session

Durban, 28 November to 9 December 2011

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 seventeenth 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:
 - (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 proposals by Parties for amendments to the Convention under its Articles 15 and 16.

7. Technology Executive Committee – modalities and procedures.
8. Green Climate Fund – report of the Transitional Committee.
9. Second review of the adequacy of Article 4, paragraph 2(a) and (b), of the Convention.¹
10. Review of implementation of commitments and of other provisions of the Convention:
 - (a) Financial mechanism of the Convention:
 - (i) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility;
 - (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) 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;
 - (f) Other matters referred to the Conference of the Parties by the subsidiary bodies.
11. Accelerated access to critical mitigation and adaptation technologies and related intellectual property rights.
12. Equitable access to sustainable development.
13. Unilateral trade measures.
14. Administrative, financial and institutional matters:
 - (a) Budget performance for the biennium 2010–2011;
 - (b) Programme budget for the biennium 2012–2013.
15. High-level segment.
16. Statements by observer organizations.
17. Other matters.
18. Conclusion of the session:
 - (a) Adoption of the report of the Conference of the Parties on its seventeenth session;
 - (b) Closure of the session.

¹ The item was held in abeyance at COP 16, and in accordance with rule 16 of the draft rules of procedure being applied, it will be considered at COP 17. Detailed annotations can be found in paragraphs 55–57 below.

II. Proposed organization of the sessions: overview²

1. A welcoming ceremony will be held on the morning of Monday, 28 November 2011 to mark the opening of the United Nations Climate Change Conference in Durban.
2. The President of the Conference of the Parties (COP) at its sixteenth session will open COP 17. 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 17, 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 seventh 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 COP 17 and CMP 7:
 - (a) Thirty-fifth session of the Subsidiary Body for Implementation (SBI);
 - (b) Thirty-fifth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA);
 - (c) Fourth part of its sixteenth session or the seventeenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP);³
 - (d) Fourth part of its fourteenth session or the fifteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA).⁴
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 take into account any previous negotiations and/or conclusions.
6. Further information regarding the arrangements for COP 17 and CMP 7 may be provided in an addendum to this document.
7. The COP and the 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 subsidiary bodies.

² As the seventeenth session of the Conference of the Parties (COP) and the seventh 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 7 (FCCC/KP/CMP/2011/1). Further details may be made available via the UNFCCC website.

³ Decision on the suspension or conclusion of the sixteenth session of the AWG-KP will be taken by the AWG-KP during the third part of the sixteenth session of the AWG-KP.

⁴ Decision on the suspension or conclusion of the fourteenth session of the AWG-LCA will be taken by the AWG-LCA during the third part of the fourteenth session of the AWG-LCA.

8. The inauguration of the high-level segment will take place in the afternoon of Tuesday, 6 December. Ministers and other heads of delegation will be invited to deliver national statements to joint meetings of the COP and the CMP on 7–8 December. The high-level segment will continue until Friday, 9 December. 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, 9 December to adopt decisions and conclusions emerging from the current sessions.

9. In keeping with the conclusions adopted by the SBI at its thirty-second session,⁵ 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.

10. At its thirty-fourth session, the SBI also recalled its conclusions⁶ recommending that the secretariat, in organizing future sessional periods, follow the practice of holding no more than two meetings of plenary and/or contact groups concurrently, with the total number of meetings held concurrently, including informals, not exceeding six, to the extent possible.

III. Annotations to the provisional agenda

1. Opening of the session

11. COP 17 will be opened by the President of COP 16, Ms. Patricia Espinosa Cantellano, Secretary of Foreign Affairs for Mexico.

2. Organizational matters

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

12. *Background:* The President of COP 16 will call for the election of Ms. Maite Nkoana-Mashabane, Minister of International Relations and Cooperation of South Africa, as the President of COP 17. Ms. Nkoana-Mashabane was nominated by the African Group, in accordance with the rotation of the Presidency among regional groups. She will also serve as President of CMP 7.

(b) Adoption of the rules of procedure

13. *Background:* At COP 16, Parties decided that, as at previous sessions, the draft rules of procedure should continue to be applied, with exception of draft rule 42. At that session, the President announced that she would undertake consultations with Parties during the intersessional period and report to COP 17 in the event of any new developments.

14. *Action:* The COP may wish to decide to continue applying the draft rules of procedure and invite the President of COP 17 to undertake consultations to try to achieve adoption of the rules.

FCCC/CP/1996/2

Organizational matters: adoption of the rules of procedure. Note by the secretariat

⁵ FCCC/SBI/2010/10, paragraph 165.

⁶ FCCC/SBI/2011/7, paragraph 167.

(c) Adoption of the agenda

15. *Background:* The secretariat, in agreement with the President of COP 16, has drafted the provisional agenda for COP 17, taking into account views expressed by the Parties, the Bureau and items proposed by Parties to be included on the provisional agenda.

16. *Action:* The COP will be invited to adopt its agenda.

<i>FCCC/CP/2011/1</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
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(d) Election of officers other than the President

17. *Background:* At the request of the President of COP 16, consultations on nominations to the Bureau of COP 17 and CMP 7 were initiated at the thirty-fourth sessions of the subsidiary bodies with regional group coordinators. 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.

18. *Action:* The COP will be invited to elect the members of the Bureau of COP 17 and CMP 7 at the earliest opportunity following completion of consultations.

(e) Admission of organizations as observers

19. *Background:* The COP will have before it document FCCC/CP/2011/2 containing the list of organizations seeking admission as observers, following review and consideration by the Bureau.⁷

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

<i>FCCC/CP/2011/2</i>	<i>Admission of observers: organizations applying for admission as observers. Note by the secretariat</i>
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(f) Organization of work, including the sessions of the subsidiary bodies

21. *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. 1–10 above).

<i>FCCC/CP/2011/1</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/SBSTA/2011/3</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/SBI/2011/8</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/AWGLCA/2011/X⁸</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>

⁷ 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.

⁸ See paragraph 4(d) above.

(g) Dates and venues of future sessions

22. *Background:* At COP 17, a decision will be required on the date and venue of COP 18, which will be held in conjunction with CMP 8 (26 November to 7 December 2012). In keeping with the rotation among regional groups, the President of COP 18 would come from the Asian Group. The SBI, at its thirty-fourth session, noted the ongoing consultations with regard to hosting COP 18 and CMP 8.⁹

23. Regarding other future sessional periods, in keeping with the principle of rotation among regional groups, the President of COP 19 and CMP 9 will come from the Eastern European Group.

24. The SBI, at the same session, also recommended the dates of future sessional periods for adoption by the COP at its seventeenth session as follows:¹⁰

- Wednesday, 4 June to Sunday, 15 June, and Wednesday, 3 December to Sunday, 14 December, for the sessional periods in 2014;
- Wednesday, 3 June to Sunday, 14 June, and Wednesday, 2 December, to Sunday, 13 December, for the sessional periods in 2015;
- Wednesday, 18 May to Sunday, 29 May, and Wednesday, 30 November to Sunday, 11 December, for the sessional periods in 2016.

25. *Action:* The COP, at its seventeenth session, will need to decide on the host country for its eighteenth session. The COP will be invited to adopt a decision on the dates and venues of future sessions, including the venue of COP 18 and CMP 8. The COP may also consider any offers made to host COP 19 and CMP 9, and to take action as appropriate.

(h) Adoption of the report on credentials

26. *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 24 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 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. The COP will have before it for adoption the report on credentials to be submitted by the Bureau.

27. *Action:* The COP will be invited to adopt the report on credentials of the representatives of Parties attending COP 17. Representatives may participate provisionally, pending this action.

⁹ FCCC/SBI/2011/7, paragraph 163.

¹⁰ FCCC/SBI/2011/7, paragraph 165.

3. Reports of the subsidiary bodies

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

28. The COP will be invited to take note of the report of the SBSTA on its thirty-fourth session. The Chair of the SBSTA will also report back to the COP on the thirty-fifth session of the SBSTA.

29. The report by the Chair of the SBSTA on the thirty-fifth session of the SBSTA will include any recommendations of draft decisions or conclusions for adoption by the COP at its seventeenth session arising from the work conducted by the SBSTA based on the agendas adopted at the thirty-fourth (FCCC/SBSTA/2011/2) and thirty-fifth sessions of the SBSTA (FCCC/SBSTA/2011/3).

30. The report by the Chair of the SBSTA will address matters, inter alia, related to issues that have been mandated for consideration at COP 17.

FCCC/SBSTA/2011/2	<i>Report of the Subsidiary Body for Scientific and Technological Advice on its thirty-fourth session, held in Bonn from 6 to 16 June 2011</i>
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(b) Report of the Subsidiary Body for Implementation

31. The COP will be invited to take note of the report of the SBI on its thirty-fourth session. The Chair of the SBI will also report back to the COP on the thirty-fifth session of the SBI.

32. The report by the Chair of the SBI on the thirty-fifth session of the SBI will include any recommendations of draft decisions or conclusions for adoption by the COP at its seventeenth session arising from the work conducted by the SBI based on the agendas adopted at the thirty-fourth (FCCC/SBI/2011/7) and thirty-fifth sessions of the SBI (FCCC/SBI/2011/8).

33. The report by the Chair of the SBI will address matters, inter alia, related to issues that have been mandated for consideration at COP 17.

FCCC/SBI/2011/7 and Add.1	<i>Report of the Subsidiary Body for Implementation on its thirty-fourth session, held in Bonn from 6 to 17 June 2011</i>
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4. Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention

34. *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.¹¹

35. At its sixteenth session, the COP requested the AWG-LCA to continue its work, drawing on the documents under its consideration, with a view to carrying out the undertakings contained in that decision and present the results to the COP for consideration at its seventeenth session.¹²

¹¹ Decision 1/CP.13 (Bali Action Plan), paragraphs 1–2. At its fifteenth session, the COP decided to extend the mandate of the AWG-LCA to enable it to continue its work with a view to presenting the outcome of its work to the COP for adoption at its sixteenth session (decision 1/CP.15, para. 1).

¹² Decision 1/CP.16, paragraphs 143 and 144.

36. Throughout 2011, the AWG-LCA advanced its work on a comprehensive and balanced outcome to be presented to COP 17 for adoption, pursuant to the results of the thirteenth and sixteenth sessions of the COP and recognizing that the work of the AWG-LCA includes both implementation tasks and issues that are still to be concluded (item 3 of the agenda of the AWG-LCA at its fourteenth session, with respective sub-items).¹³

37. The report on the work of the AWG-LCA in 2011 is listed below. The AWG-LCA will meet again in Durban, South Africa, in conjunction with COP 17, and will present the results of its work to the COP for consideration.

38. *Action:* The COP will be invited to consider the results of the work of the AWG-LCA referred to in paragraph 35 above for adoption.

<i>FCCC/CP/2010/7/Add.1</i>	<i>Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010. Addendum. Part Two: Action taken by the Conference of the Parties at its sixteenth session</i>
<i>FCCC/AWGLCA/2010/18</i>	<i>Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its thirteenth session, held in Cancun from 29 November to 10 December 2010</i>
<i>FCCC/AWGLCA/2011/9</i>	<i>Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on the first and second parts of its fourteenth session, held in Bangkok from 5 to 8 April 2011, and Bonn, from 7 to 17 June 2011</i>

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

39. *Background:* Article 17 of the Convention contains procedures for the adoption of protocols to the Convention. Article 17, paragraph 1, states that “The Conference of the Parties 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.”

40. In accordance with Article 17, Parties have submitted six proposals. Five proposals were submitted in 2009 and were communicated to Parties and signatories to the Convention by 6 June 2009 and, for information, to the Depositary on 25 June 2009. One proposal was submitted in 2010 and communicated to Parties and signatories to the Convention on 28 May 2010 and, for information, to the Depositary on 17 June 2010.

41. COP 16 considered the six proposals and agreed to include this item on the provisional agenda for COP 17, pursuant to rules 10(c) and 16 of the draft rules of procedure being applied. In addition, by its decision 1/CP.16, the COP requested the AWG-LCA to continue discussing legal options with the aim of completing an agreed outcome based on decision 1/CP.13 (Bali Action Plan), the work done at the sixteenth session of the COP and proposals made by Parties under Article 17 of the Convention.¹⁴

¹³ Adopted at the first part of the fourteenth session of the AWG-LCA held from 3 to 8 April 2011 in Bangkok, Thailand (see FCCC/AWGLCA/2011/9, para. 13).

¹⁴ FCCC/CP/2010/7/Add. 1, paragraph 145.

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

<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>
<i>FCCC/CP/2009/5</i>	<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>
<i>FCCC/CP/2009/6</i>	<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>
<i>FCCC/CP/2009/7</i>	<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>
<i>FCCC/CP/2010/3</i>	<i>Proposed protocol to the Convention submitted by Grenada for adoption at the sixteenth session of the Conference of the Parties. Note by the secretariat</i>

6. Consideration of proposals by Parties for amendments to the Convention under its Articles 15 and 16

43. *Background:* The procedures for amending the Convention and its annexes are contained in its Articles 15 and 16. Article 15, paragraph 1, provides 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.”

44. Article 16, paragraph 2, provides 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, of the Convention stipulates 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.”

45. In accordance with Article 15, two proposals for amendments to the Convention were submitted and communicated by the secretariat to Parties and signatories to the Convention. By a letter dated 24 May 2011, the Russian Federation transmitted to the secretariat the text of a proposal for an amendment to Article 4, paragraph 2(f), of the Convention. Consequently, the secretariat communicated this proposal to all national focal points for climate change and permanent missions to the United Nations by a note verbale

on 3 June 2011. By a letter dated 26 May 2011, Papua New Guinea and Mexico transmitted to the secretariat the text of a proposal for amendments to Articles 7 and 18 of the Convention. Consequently, the secretariat communicated this proposal to all national focal points for climate change and permanent missions to the United Nations by a note verbale on 30 May 2011.

46. In accordance with Articles 15 and 16, one proposal for an amendment to Annex I to the Convention was submitted and communicated by the secretariat to Parties and signatories to the Convention. By a letter dated 18 May 2011, Cyprus and the European Union submitted a proposal to amend Annex I to the Convention with a view to adding the name of Cyprus to that annex as of 1 January 2013, or on a later date. Consequently, the secretariat transmitted this proposal to all national focal points for climate change and permanent missions to the United Nations by a note verbale on 3 June 2011.

47. The text of each of the proposals was sent, for information, to the Depositary on 22 June 2011.

48. *Action:* The COP will be invited to consider the proposals and take any action it deems appropriate.

<i>FCCC/CP/2011/5</i>	<i>Proposal from the Russian Federation to amend Article 4, paragraph 2(f), of the Convention. Note by the secretariat</i>
<i>FCCC/CP/2011/4</i>	<i>Proposal from Papua New Guinea and Mexico to amend Articles 7 and 18 of the Convention. Note by the secretariat</i>
<i>FCCC/CP/2011/3</i>	<i>Proposal from Cyprus and the European Union to amend Annex I to the Convention. Note by the secretariat</i>

7. Technology Executive Committee – modalities and procedures

49. *Background:* The COP, by its decision 1/CP.16, decided to establish a Technology Mechanism, comprising a Technology Executive Committee (TEC) and a Climate Technology Centre and Network (CTCN).¹⁵

50. By the same decision, the COP decided that the TEC shall convene its first meeting as soon as practicable following the election of its members and shall elaborate its modalities and procedures taking into account the need to achieve coherence and maintain interactions with other relevant institutional arrangements under and outside of the Convention, for consideration by the COP at its seventeenth session.¹⁶

51. *Action:* The COP will be invited to consider the report of the Technology Executive Committee below and to adopt a decision on the modalities and procedures of the Technology Executive Committee including taking any further action it deems appropriate.

<i>FCCC/CP/2011/8</i>	<i>Report on modalities and procedures of the Technology Executive Committee</i>
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¹⁵ Decision 1/CP.16, paragraph 117.

¹⁶ Decision 1/CP.16, paragraph 125.

8. Green Climate Fund – report of the Transitional Committee

52. *Background:* The COP at its sixteenth session decided that the Green Climate Fund shall be designed by a Transitional Committee in accordance with the terms of reference contained in appendix III of decision 1/CP.16.

53. At the same session, the COP decided that the Transitional Committee shall develop and recommend to the COP, for its approval at its seventeenth session, operational documents that address, inter alia, issues outlined in the terms of reference contained in appendix III of decision 1/CP.16.

54. *Action:* The COP will be invited to consider the report of the Transitional Committee for the design of the Green Climate Fund, including its recommendations, and to take a decision as it deems appropriate.

FCCC/CP/2011/6

Report of the Transitional Committee for the design of the Green Climate Fund. Note by the co-chairs of the Transitional Committee

9. Second review of the adequacy of Article 4, paragraph 2(a) and (b), of the Convention

55. *Background:* Article 4, paragraph 2(d), of the Convention provides that a second review of the adequacy of Article 4, paragraph 2(a) and (b), shall take place not later than 31 December 1998. At COP 4, the President informed the Parties that it had proved impossible to reach any agreed conclusions or decisions on this matter. During the consideration of the provisional agenda for COP 5, the Group of 77 and China proposed amending the item to read “Review of the adequacy of implementation of Article 4, paragraph 2(a) and (b), of the Convention”. There was no agreement on this, and the COP adopted the agenda of that session with the item held in abeyance. At subsequent sessions of the COP, with the exception of COP 15,¹⁷ the item was included on the provisional agenda of the COP with a footnote reflecting the amendment proposed by the Group of 77 and China at COP 5. At these previous sessions, the agenda was adopted with the item held in abeyance, and the President undertook consultations on the matter and reported back to the Parties on the outcome of his consultations.

56. The item was held in abeyance at COP 16, and in accordance with rule 16 of the draft rules of procedure being applied, it will be considered at COP 17.

57. *Action:* The COP will be invited to consider this agenda item and take any action it deems appropriate.

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

(a) Financial mechanism of the Convention

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

58. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/3).

¹⁷ At its fifteenth session the Conference of the Parties, on a proposal by the President, decided to defer consideration of this item to its sixteenth session (see FCCC/CP/2008/7, paragraphs 9–10).

59. *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 seventeenth session.

<i>FCCC/CP/2011/7</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>FCCC/CP/2011/MISC.1</i>	<i>Views and recommendations on elements to be taken into account in developing guidance to the Global Environment Facility. Submissions from Parties</i>

(b) National communications

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

60. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

61. *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 seventeenth session.

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

62. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

63. *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 seventeenth session.

(c) Development and transfer of technologies

64. *Background:* See the SBSTA 35 provisional agenda and annotations (FCCC/SBSTA/2011/3) and the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

65. *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 seventeenth session.

<i>FCCC/SB/2011/2</i>	<i>Report on activities and performance of the Technology Executive Committee for 2011</i>
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(d) Capacity-building under the Convention

66. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

67. *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 seventeenth session.

(e) 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)

68. *Background:* See the SBSTA 35 provisional agenda and annotations (FCCC/SBSTA/2011/3) and the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

69. *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 the adverse impacts of climate change and the impacts of the implementation of response measures.

(ii) Matters relating to the least developed countries

70. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

71. *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 seventeenth session.

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

72. *Background:* Any other matters concerning the Convention referred by the subsidiary bodies to the COP may be taken up under this item, including draft decisions and conclusions completed at the thirty-fourth and thirty-fifth sessions of the SBSTA and the SBI.

73. *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 thirty-fourth and thirty-fifth sessions.

11. Accelerated access to critical mitigation and adaptation technologies and related intellectual property rights

74. *Background:* A proposal was received from India to include this item in the provisional agenda of the COP at its seventeenth session. Background information relating to the proposal has been provided by India and can be found in document FCCC/CP/2011/INF.2.

75. *Action:* The COP will be invited to consider this item and take any action it deems appropriate.

FCCC/CP/2011/INF.2

Proposals by India for inclusion of additional agenda items in the provisional agenda of the seventeenth session of the Conference of the Parties. Note by the secretariat

12. Equitable access to sustainable development

76. *Background:* A proposal was received from India to include this item in the provisional agenda of the COP at its seventeenth session. Background information relating to the proposal has been provided by India and can be found in document FCCC/CP/2011/INF.2.

77. *Action:* The COP will be invited to consider this item and take any action it deems appropriate.

FCCC/CP/2011/INF.2	<i>Proposals by India for inclusion of additional agenda items in the provisional agenda of the seventeenth session of the Conference of the Parties. Note by the secretariat</i>
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13. Unilateral trade measures

78. *Background:* A proposal was received from India to include this item in the provisional agenda of the COP at its seventeenth session. Background information relating to the proposal has been provided by India and can be found in document FCCC/CP/2011/INF.2.

79. *Action:* The COP will be invited to consider this item and take any action it deems appropriate.

FCCC/CP/2011/INF.2	<i>Proposals by India for inclusion of additional agenda items in the provisional agenda of the seventeenth session of the Conference of the Parties. Note by the secretariat</i>
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14. Administrative, financial and institutional matters:

(a) Budget performance for the biennium 2010–2011

80. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

81. *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 seventeenth session.

(b) Programme budget for the biennium 2012–2013

82. *Background:* The SBI, at its thirty-fourth session, recommended a draft decision on this issue for adoption by the COP at its seventeenth session (FCCC/SBI/2011/7/Add.1).

83. *Action:* The COP will be invited to adopt the recommended draft decision mentioned in paragraph 82 above.

15. High-level segment

84. The inauguration of the high-level segment will take place in the afternoon of Tuesday, 6 December 2011. National statements will be heard in joint meetings of the COP and the CMP during the high-level segment on 7–8 December. The high-level segment will continue until Friday, 9 December 2011.

85. The SBI, at its thirty-fourth session, agreed that arrangements be made for the delivery of concise national statements by ministers and other heads of delegation,¹⁸ with a recommended time limit of three minutes, and also concise statements by representatives of intergovernmental organizations and non-governmental organizations, with a recommended time limit of two minutes, in the joint meetings of the COP and the CMP during the high-level segment.¹⁹ Statements on behalf of groups, where the other members of the group do

¹⁸ Statements may also be made by other high-level representatives.

¹⁹ FCCC/SBI/2011/7, paragraph 159.

not speak, are strongly encouraged and additional time will be provided for these. The full texts of the official statements will be circulated in plenary if sufficient numbers of copies are provided to the secretariat in the course of the session. Statements will also be posted on the UNFCCC website if a scanned copy is provided to the secretariat in the course of the session.

86. The list of speakers will be open from Wednesday, 28 September to Friday, 11 November 2011.²⁰ Information about the list, including a registration form, will be included in the notification to Parties for the sessions.

87. Further information on the high-level segment may be made available in an addendum to this document after consideration by the Bureau and the host Government of COP 17 and CMP 7.

16. Statements by observer organizations

88. Representatives of intergovernmental and non-governmental organizations will be invited to address the joint meeting of the COP and the CMP during the high-level segment. Further information will be made available.

17. Other matters

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

18. Conclusion of the session

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

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

91. *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

92. The President will declare the session closed.

²⁰ Enquiries regarding this list may be directed to the Office of External Relations at the UNFCCC secretariat by telephone (+49 228 815 1611 or 1506), fax (+49 228 815 1999) or e-mail <sessions@unfccc.int>.

Annex

Documents before the Conference of the Parties at its seventeenth session

Documents prepared for the session

FCCC/CP/2011/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/CP/2011/2	Admission of observers: organizations applying for admission as observers. Note by the secretariat
FCCC/CP/2011/3	Proposal from Cyprus and the European Union to amend Annex I to the Convention. Note by the secretariat.
FCCC/CP/2011/4	Proposal from Papua New Guinea and Mexico to amend Articles 7 and 18 of the Convention. Note by the secretariat
FCCC/CP/2011/5	Proposal from the Russian Federation to amend Article 4, paragraph 2(f), of the Convention. Note by the secretariat
FCCC/CP/2011/6	Report of the Transitional Committee for the design of the Green Climate Fund. Note by the co-chairs of the Transitional Committee
FCCC/CP/2011/7	Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat
FCCC/CP/2011/8	Report on modalities and procedures of the Technology Executive Committee
FCCC/CP/2011/INF.1	Submissions on information from developed country Parties on the resources provided to fulfil the commitment referred to in decision 1/CP.16, paragraph 95. Note by the secretariat
FCCC/CP/2011/INF.2	Proposals by India for inclusion of additional agenda items in the provisional agenda of the seventeenth session of the Conference of the Parties. Note by the secretariat
FCCC/CP/2011/MISC.1	Views and recommendations on elements to be taken into account in developing guidance to the Global Environment Facility. Submissions from Parties

Other documents before the session

FCCC/CP/1996/2	Organizational matters: adoption of the rules of procedure. 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/2010/7/Add.1	Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010. Addendum. Part Two: Action taken by the Conference of the Parties at its sixteenth session
FCCC/CP/2010/3	Proposed protocol to the Convention submitted by Grenada for adoption at the sixteenth session of the Conference of the Parties. Note by the secretariat
FCCC/SB/2011/2	Report on activities and performance of the Technology Executive Committee for 2011
FCCC/SBSTA/2011/2	Report of the Subsidiary Body for Scientific and Technological Advice on its thirty-fourth session, held in Bonn from 6 to 16 June 2011
FCCC/SBSTA/2011/3	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2011/7 and Add.1	Report of the Subsidiary Body for Implementation on its thirty-fourth session, held in Bonn from 6 to 17 June 2011
FCCC/SBI/2011/8	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/AWGLCA/2010/18	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its thirteenth session, held in Cancun from 29 November to 10 December 2010
FCCC/AWGLCA/2011/9	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on the first and second parts of its fourteenth session, held in Bangkok from 5 to 8 April 2011, and Bonn from 7 to 17 June 2011
FCCC/AWGLCA/2011/X	Provisional agenda and annotations. Note by the Executive Secretary



Framework Convention on Climate Change

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Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol Seventh session Durban, 28 November to 9 December 2011

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:
 - (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. Proposal from Kazakhstan to amend Annex B to the Kyoto Protocol.
7. Issues relating to the clean development mechanism.
8. Issues relating to joint implementation:
 - (a) Guidance on joint implementation;
 - (b) Review of the joint implementation guidelines.

9. Matters relating to compliance under the Kyoto Protocol:
 - (a) Report of the Compliance Committee;
 - (b) Appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee in relation to the implementation of decision 7/CP.12;
 - (c) Amendment of the Kyoto Protocol in respect of procedures and mechanisms relating to compliance.
10. Adaptation Fund:
 - (a) Report of the Adaptation Fund Board;
 - (b) Review of the Adaptation Fund.
11. Issues relating to the international transaction log.
12. National communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol.
13. Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol.
14. Capacity-building under the Kyoto Protocol.
15. Matters relating to Article 2, paragraph 3, of the Kyoto Protocol.
16. Matters relating to Article 3, paragraph 14, of the Kyoto Protocol.
17. Other matters referred to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol by the subsidiary bodies.
18. Administrative, financial and institutional matters:
 - (a) Budget performance for the biennium 2010–2011;
 - (b) Programme budget for the biennium 2012–2013.
19. High-level segment.
20. Statements by observer organizations.
21. Other matters.
22. 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 seventh session;
 - (b) Closure of the session.

II. Proposed organization of the sessions: overview

1. A welcoming ceremony will be held on the morning of Monday, 28 November 2011 to mark the opening of the United Nations Climate Change Conference in Durban.
2. The President of the Conference of the Parties (COP) at its sixteenth session will open COP 17. 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 17, 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 seventh 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 COP 17 and CMP 7:
 - (a) Thirty-fifth session of the Subsidiary Body for Implementation (SBI);
 - (b) Thirty-fifth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA);
 - (c) Fourth part of its sixteenth session or the seventeenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP);¹
 - (d) Fourth part of its fourteenth session or the fifteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA).²
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 take into account any previous negotiations and/or conclusions.
6. Further information regarding the arrangements for COP 17 and CMP 7 may be provided in an addendum to this document.
7. The COP and the 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 subsidiary bodies.
8. The inauguration of the high-level segment will take place in the afternoon of Tuesday, 6 December. Ministers and other heads of delegation will be invited to deliver national statements to joint meetings of the COP and the CMP on 7–8 December. The high-level segment will continue until Friday, 9 December. Based on experience at previous sessions, a joint COP and CMP meeting is envisaged for statements from observer

¹ Decision on the suspension or conclusion of the sixteenth session of the AWG-KP will be taken by the AWG-KP during the third part of the sixteenth session of the AWG-KP.

² Decision on the suspension or conclusion of the fourteenth session of the AWG-LCA will be taken by the AWG-LCA during the third part of the fourteenth session of the AWG-LCA.

organizations. Separate meetings of the COP and the CMP will be held on Friday, 9 December to adopt decisions and conclusions emerging from the current sessions.

9. In keeping with the conclusions adopted by the SBI at its thirty-second session,³ 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.

10. At its thirty-fourth session, the SBI also recalled its conclusions⁴ recommending that the secretariat, in organizing future sessional periods, follows the practice of holding no more than two meetings of plenary and/or contact groups concurrently, with the total number of meetings held concurrently, including informals, not exceeding six, to the extent possible.

III. Annotations to the provisional agenda

1. Opening of the session

11. CMP 7 will be opened by the President of COP 17, Ms. Maite Nkoana-Mashabane, Minister of International Relations and Cooperation of South Africa, who will also serve as President of CMP 7. Ms. Nkoana-Mashabane was nominated by the African Group, in accordance with the rotation of the Presidency among regional groups.

2. Organizational matters

(a) Adoption of the agenda

12. *Background:* The secretariat, in agreement with the President of CMP 6, has drafted the provisional agenda for CMP 7, taking into account views expressed by the Parties and the Bureau.

13. *Action:* The CMP will be invited to adopt its agenda.

<p>FCCC/KP/CMP/2011/1 <i>Provisional agenda and annotations. Note by the Executive Secretary</i></p>

(b) Election of replacement officers

14. *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).

15. 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.

³ FCCC/SBI/2010/10, paragraph 165.

⁴ FCCC/SBI/2010/10, paragraph 164.

16. *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

17. The CMP will be invited to agree upon the organization of the work of the session, including the proposed schedule of meetings (see paras. 1–10 above).

<i>FCCC/KP/CMP/2011/1</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/SBSTA/2011/3</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/SBI/2011/8</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
<i>FCCC/KP/AWG/2011/X⁵</i>	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>

(d) Approval of the report on credentials

18. *Background:* The Bureau will examine the credentials submitted by Parties to the Convention and submit its report on credentials for adoption by the CMP.⁶ 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 aforementioned 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.

19. *Action:* The CMP will be invited to approve the report on credentials of the representatives of Parties attending CMP 7. Representatives may participate provisionally, pending this action.

3. Reports of the subsidiary bodies

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

20. The CMP will be invited to take note of the report of the SBSTA on its thirty-fourth session. The Chair of the SBSTA will also report back to the CMP on the thirty-fifth session of the SBSTA.

⁵ See paragraph 4(c) above.

⁶ 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.

21. The report by the Chair of the SBSTA on the thirty-fifth session of the SBSTA will include any recommendations of draft decisions or conclusions for adoption by the CMP at its seventh session arising from the work conducted by the SBSTA based on the agendas adopted at the thirty-fourth (FCCC/SBSTA/2011/2) and thirty-fifth sessions of the SBSTA (FCCC/SBSTA/2011/3).

22. The report by the Chair of the SBSTA will address matters, inter alia, related to issues that have been mandated for consideration at CMP 7.

FCCC/SBSTA/2011/2	<i>Report of the Subsidiary Body for Scientific and Technological Advice on its thirty-fourth session, held in Bonn from 6 to 16 June 2011</i>
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(b) Report of the Subsidiary Body for Implementation

23. The CMP will be invited to take note of the report of the SBI on its thirty-fourth session. The Chair of the SBI will also report back to the CMP on the thirty-fifth session of the SBI.

24. The report by the Chair of the SBI on the thirty-fifth session of the SBI will include any recommendations of draft decisions or conclusions for adoption by the CMP at its seventh session arising from the work conducted by the SBI based on the agendas adopted at the thirty-fourth (FCCC/SBI/2011/7) and thirty-fifth sessions of the SBI (FCCC/SBI/2011/8).

25. The report by the Chair of the SBI will address matters, inter alia, related to issues that have been mandated for consideration at CMP 7.

FCCC/SBI/2011/7 and Add.1	<i>Report of the Subsidiary Body for Implementation on its thirty-fourth session, held in Bonn from 6 to 17 June 2011</i>
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4. Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol

26. *Background:* The CMP, by its decision 1/CMP.1, established the AWG-KP to consider further commitments for Annex I Parties for the period beyond 2012 in accordance with Article 3, paragraph 9, of the Kyoto Protocol.

27. By its decision 1/CMP.6, the CMP reiterated that the AWG-KP should aim to complete its work pursuant to decision 1/CMP.1 and have its results adopted by the CMP as early as possible and in time to ensure that there is no gap between the first and second commitment periods. The report on AWG-KP work in 2011 is listed below. The AWG-KP will present the outcome of its work to the CMP at its seventh session for adoption.

28. The CMP, by its decision 2/CMP.6, decided to consider the outcomes of the technical assessment of the forest management reference level review at its next session. The AWG-KP will consider the report of the technical assessment at its session in Durban and will forward the outcomes to the CMP for its consideration, through the report of the AWG-KP.

29. *Action:* The CMP will be invited to consider the results of the work by the AWG-KP, including the outcomes of the technical assessment of the forest management reference level review, with a view to their adoption.

FCCC/KP/CMP/2010/12/Add.1	<i>Report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its</i>
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	<i>sixth session, held in Cancun from 29 November to 10 December 2010. Addendum. Part Two: Action taken by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its sixth session</i>
<i>FCCC/KP/AWG/2010/18 and Add.1</i>	<i>Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its fifteenth session, held in Cancun from 29 November to 10 December 2010</i>
<i>FCCC/KP/AWG/2011/4</i>	<i>Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on the first and second parts of its sixteenth session, held in Bangkok from 5 to 8 April 2011, and Bonn from 7 to 17 June 2011</i>
<i>FCCC/KP/AWG/2011/INF.X</i>	<i>Synthesis report of the technical assessments of the forest management reference level submissions</i>

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

30. *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.”

31. 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.”

32. In accordance with these provisions, Parties submitted 13 proposals to amend the Kyoto Protocol. Twelve proposals were submitted in 2009 and were communicated to Parties to the Kyoto Protocol and to Parties and signatories to the Convention on 17 June 2009 and sent, for information, to the Depositary on 25 June 2009. One proposal was submitted in 2010 and was communicated to Parties to the Kyoto Protocol and to Parties and signatories to the Convention on 28 May 2010. The text was also sent, for information, to the Depositary on 17 June 2010.

33. The CMP considered the proposals at its sixth session. It decided to keep the matter open and to include this item on the provisional agenda of CMP 7, pursuant to rules 10(c) and 16 of the draft rules of procedure being applied.

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

<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>
<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>
<i>FCCC/KP/CMP/2010/3</i>	<i>Proposal from Grenada for amendments to the Kyoto Protocol. Note by the secretariat</i>

6. Proposal from Kazakhstan to amend Annex B to the Kyoto Protocol

35. *Background:* The procedures for amending an annex to the Kyoto Protocol are contained in Article 21 of the Kyoto Protocol. Article 21, paragraph 2, states “Any Party may make proposals for an annex to this Protocol and may propose amendments to annexes to this Protocol.” Article 21, paragraph 3, stipulates 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 Depository.”

36. Kazakhstan, by a letter dated 18 September 2009, proposed an amendment to Annex B to the Kyoto Protocol. At its fifth session,⁷ the CMP noted the proposal and agreed to place it on the provisional agenda for its sixth session and requested the secretariat to communicate it to the Parties to the Kyoto Protocol, and to Parties and signatories to the Convention. The CMP also requested the SBI to consider the proposal at its thirty-second session and report the outcome to the CMP.

37. In accordance with Article 21, paragraph 3, of the Kyoto Protocol, and at the request of the CMP, the secretariat communicated the proposal to the Parties to the Kyoto Protocol and to Parties and signatories to the Convention in a notification dated 21 January 2010, and for information to the Depository by a letter dated 6 January 2010.

38. At its thirty-second session, the SBI considered the proposal from Kazakhstan; its conclusions on this issue are contained in document FCCC/SBI/2010/10, paragraphs 132–138.

39. The CMP considered the issue at its sixth session⁸ and agreed to include this item on the provisional agenda for its next session in order to continue its consideration of the proposal with a view to reaching an agreed outcome and adopting a decision at its seventh session.

40. *Action:* The CMP will be invited to consider the proposal from Kazakhstan to amend Annex B and to take any action it deems appropriate.

<p>FCCC/KP/CMP/2010/4 <i>Proposal from Kazakhstan to amend Annex B to the Kyoto Protocol. Note by the secretariat</i></p>
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7. Issues relating to the clean development mechanism

41. *Background:* In accordance with the provisions of the modalities and procedures of the clean development mechanism (CDM),⁹ 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.

42. The seventh report of the Board to the CMP provides information on progress made in the implementation of the CDM arising from action taken by the Board during its tenth

⁷ FCCC/KP/CMP/2009/21, paragraphs 84–94.

⁸ Decision 8/CMP.6.

⁹ Decision 3/CMP.1, annex, paragraphs 2–5.

year of operation.¹⁰ In addition, the report contains a number of recommendations for decisions to be taken by the CMP at its seventh session.

43. The Chair of the Board will provide an oral report, highlighting the tasks and achievements of the Board over the past year and the challenges ahead.

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

45. The CMP will also be invited to consider any other issues relating to the CDM resulting from the work of the subsidiary bodies.

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

<p><i>FCCC/KP/CMP/2011/3</i></p>	<p><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></p>
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8. Issues relating to joint implementation

(a) Guidance on joint implementation

47. *Background:* In accordance with paragraph 3 of the annex to decision 9/CMP.1 (JI guidelines), the Joint Implementation Supervisory Committee (JISC) shall report on its activities to each session of the CMP. In exercising its authority over joint implementation (JI), the CMP may review annual reports, provide guidance and take decisions, as appropriate.

48. The sixth 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 sixth year of operation.¹¹ The report also addresses governance issues, as well as the recommendations by the JISC on specific matters requested by the CMP at its sixth session.¹² In this context, the report contains recommendations on options for building on the approach embodied in JI for the consideration of the CMP as part of the first review of the JI guidelines in accordance with decision 9/CMP.1, paragraph 8.¹³

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

50. *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 consider this item and to recommend a draft decision for adoption by the CMP at its seventh session.

¹⁰ Following the requests by the CMP at its second and third sessions, the report of the Board to the CMP covers the period from the previous session of the CMP to the 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).

¹¹ 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.

¹² Decision 4/CMP.6.

¹³ See agenda item 8(b).

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

(b) Review of the joint implementation guidelines

52. *Background:* In accordance with decision 4/CMP.6, the CMP decided to initiate the first review of the JI guidelines in accordance with decision 9/CMP.1, paragraph 8, at its seventh session.

53. In addition, the CMP requested the JISC to make recommendations to the CMP, at its seventh session, on options for building on the approach embodied in JI, with a view to considering the recommendations of the JISC as part of the first review of the JI guidelines. The recommendations of the JISC build upon its report on experience with the verification procedure under the JISC and possible improvements to the future operation of JI, as contained in its annual report to the CMP in 2010.¹⁴

54. *Action:* The CMP will be invited to initiate the first review of the JI guidelines, including considering the recommendations of the JISC on options for building on the approach embodied by JI contained in its annual report and establishing a process and timeline for the review.

<i>FCCC/KP/CMP/2011/4</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</i>
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9. Matters relating to compliance under the Kyoto Protocol

(a) Report of the Compliance Committee

55. *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 sixth annual report of the Compliance Committee to the CMP provides information on the activities of the Compliance Committee during its sixth year of operation, from 19 September 2010 to 13 October 2011.

56. *Action:* The CMP will be invited to consider the report of the Compliance Committee below.

57. The CMP may wish to invite the President to undertake consultations on the nominations of members and alternate members of the Compliance Committee and to elect these members and alternate members. The CMP may wish to invite Parties to make contributions to the Trust Fund for Supplementary Activities for the biennium 2012–2013 to support the work of the Compliance Committee.

<i>FCCC/KP/CMP/2011/5</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>
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¹⁴ See documents FCCC/KP/CMP/2010/9, annex I.

(b) Appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee in relation to the implementation of decision 7/CP.12

58. *Background:* On 26 November 2009, the enforcement branch of the Compliance Committee adopted a final decision (document CC-2009-1-8/Croatia/EB),¹⁵ confirming that Croatia was not in compliance with Article 3, paragraphs 7 and 8, of the Kyoto Protocol and the modalities for the accounting of assigned amounts under Article 7, paragraph 4, of the Kyoto Protocol (decision 13/CMP.1). On 14 January 2010, the secretariat received an appeal by Croatia against the final decision of the enforcement branch (FCCC/KP/CMP/2010/2).

59. At its sixth session, the CMP concluded that a common understanding of the procedural and substantive aspects relating to Croatia's appeal was required to ensure fair and due consideration. Given the considerable importance attached by Parties to these issues, and the limited time available, the CMP was not able to complete its consideration of this item at the session. Consequently, in accordance with rule 16 of the draft rules of procedure being applied, it was decided that the item would be included on the provisional agenda for the seventh session of the CMP.

60. The CMP also requested the secretariat to prepare a technical paper outlining the procedural requirements and the scope and content of applicable law for the consideration of appeals under decision 27/CMP.1 and other relevant CMP decisions, as well as the approach taken by bodies constituted under other multilateral environmental agreements and other international bodies in relation to provisions for the consideration of denial of due process. Parties agreed that the findings of the secretariat would be used in their further discussions.

61. On 4 August 2011, the secretariat received a letter from the Minister of Environmental Protection, Physical Planning and Construction of Croatia declaring that Croatia withdraws its appeal against the final decision of the enforcement branch.

62. *Action:* The CMP is invited to consider the withdrawal by Croatia of its appeal and to take any action it deems appropriate with a view to completing the consideration of this item. The CMP is also invited to consider the technical paper referred to in paragraph 60 above and to take any action it deems appropriate.

<i>FCCC/KP/CMP/2010/2</i>	<i>Appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee. Note by the secretariat</i>
<i>FCCC/KP/CMP/2011/2</i>	<i>Withdrawal by Croatia of its appeal against a final decision of the enforcement branch of the Compliance Committee. Note by the secretariat</i>
<i>FCCC/TP/2011/6</i>	<i>Procedural requirements and the scope and content of applicable law for the consideration of appeals under decision 27/CMP.1 and other relevant decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, as well as the approach taken by other relevant bodies relating to denial of due process. Technical paper</i>

¹⁵ This decision is available in all six official languages of the United Nations at <http://unfccc.int/kyoto_protocol/compliance/enforcement_branch/items/5456.php>.

(c) Amendment of the Kyoto Protocol in respect of procedures and mechanisms relating to compliance

63. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

64. *Action:* The CMP will be invited to refer this item to the SBI for its consideration and for recommendation of a draft decision or conclusions for adoption by the CMP at its seventh session.

10. Adaptation Fund(a) Report of the Adaptation Fund Board

65. *Background:* The CMP decided at its third session¹⁶ that the Adaptation Fund Board shall report on its activities at each session of the CMP.

66. At its sixth session, the CMP continued to encourage¹⁷ Annex I Parties and international organizations to provide funding to the Adaptation Fund, which will be additional to the share of proceeds from CDM project activities.

67. At the same session, the CMP requested the secretariat, subject to the availability of resources, in consultation with the Adaptation Fund Board, and making use of the Adaptation Fund Accreditation Toolkit, lessons learned and best practices, to conduct up to three regional or subregional, as appropriate, workshops, with the possibility of another, as circumstances permit and as warranted, in order to familiarize Parties with the process and the requirements of the accreditation of national implementing entities. The CMP also requested the secretariat to report to the CMP at its eighth session on efforts to implement decision 5/CMP.6, paragraphs 8–10, and the outcomes of these workshops, in order for Parties to assess the efficiency and effectiveness of these workshops at that session.

68. *Action:* The CMP will be invited to consider the report of the Adaptation Fund Board, including an interim report on the status of the implementation of regional workshops, and to take any action it deems appropriate.

69. 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 and to elect these members and alternate members.

FCCC/KP/CMP/2011/6	<i>Report of the Adaptation Fund Board. Note by the Chair of the Adaptation Fund Board</i>
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(b) Review of the Adaptation Fund

70. *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 decision 1/CMP.3, paragraphs 32–34, 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.

71. The CMP, at its sixth session, decided¹⁸ that the review would be undertaken at its seventh session and every three years thereafter. The review will be undertaken in accordance with the terms of reference contained in the annex to decision 6/CMP.6.

¹⁶ Decision 1/CMP.3.

¹⁷ Decision 5/CMP.6.

¹⁸ Decision 6/CMP.6.

72. At the same session, the CMP requested the Adaptation Fund Board to make available, in its report to the CMP at its seventh session, the performance reviews of the interim secretariat and the interim trustee servicing the Adaptation Fund, in accordance with decision 1/CMP.3, paragraph 33. The CMP also invited Parties and international organizations and stakeholders to submit to the secretariat their views on the review of the Adaptation Fund based on the terms of reference annexed to decision 6/CMP.6.

73. *Action:* The CMP will be invited to consider the report of the Adaptation Fund Board on the outcomes of the performance reviews of the interim secretariat and interim trustee servicing the Adaptation Fund and submissions of Parties and interested international organizations and stakeholders on their views on the review of the Adaptation Fund. The CMP will also be invited to undertake the review based on the terms of reference annexed to decision 6/CMP.6 and to take any action it deems appropriate.

<i>FCCC/KP/CMP/2011/6</i>	<i>Report of the Adaptation Fund Board. Note by the Chair of the Adaptation Fund Board</i>
<i>FCCC/KP/CMP/2011/MISC.1</i>	<i>Views on the review of the Adaptation Fund. Submissions from Parties and interested international organizations and stakeholders</i>

11. Issues relating to the international transaction log

74. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

75. *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 seventh session.

<i>FCCC/KP/CMP/2011/7</i>	<i>Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat</i>
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12. National communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol

76. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

77. *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 seventh session.

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

78. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

79. *Action:* The CMP will be invited to refer the consideration of the 2011 compilation and accounting report to the SBI and to consider the outcome and take action as appropriate.

<i>FCCC/KP/CMP/2011/8 and</i>	<i>Annual compilation and accounting report for Annex</i>
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Add.1

B Parties under the Kyoto Protocol for 2011. Note by the secretariat

14. Capacity-building under the Kyoto Protocol

80. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

81. *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 seventh session.

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

82. *Background:* See the SBSTA 35 provisional agenda and annotations (FCCC/SBSTA/2011/3).

83. *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 seventh session.

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

84. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

85. *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 seventh session.

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

86. *Background:* Any other matters concerning the Kyoto Protocol referred by the subsidiary bodies to the CMP may be taken up under this item, including draft decisions and conclusions completed at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies.

87. *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 thirty-fourth and thirty-fifth sessions.

18. Administrative, financial and institutional matters

(a) Budget performance for the biennium 2010–2011

88. *Background:* See the SBI 35 provisional agenda and annotations (FCCC/SBI/2011/8).

89. *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 seventh session.

(b) Programme budget for the biennium 2012–2013

90. *Background:* The SBI, at its thirty-fourth session, recommended a draft decision on this issue for adoption by the CMP at its seventh session (FCCC/SBI/2011/7/Add.1).

91. *Action:* The CMP will be invited to adopt the recommended draft decision mentioned in paragraph 90 above.

19. High-level segment

92. The inauguration of the high-level segment will take place in the afternoon of Tuesday, 6 December 2011. National statements will be heard in joint meetings of the COP and the CMP during the high-level segment on 7–8 December. The high-level segment will continue until Friday, 9 December 2011.

93. The SBI, at its thirty-fourth session, agreed that arrangements be made for the delivery of concise national statements by ministers and other heads of delegation,¹⁹ with a recommended time limit of three minutes, and also concise statements by representatives of intergovernmental organizations and non-governmental organizations, with a recommended time limit of two minutes, in the joint meetings of the COP and the CMP during the high-level segment.²⁰ 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. The full texts of the official statements will be circulated in plenary if sufficient numbers of copies are provided to the secretariat in the course of the session. Statements will also be posted on the UNFCCC website if a scanned copy is provided to the secretariat in the course of the session.

94. The list of speakers will be open from Wednesday, 28 September to Friday, 11 November 2011.²¹ Information about the list, including a registration form, will be included in the notification to Parties for the sessions.

95. Further information on the high-level segment may be made available in an addendum to this document after consideration by the Bureau and the host Government of COP 17 and CMP 7.

20. Statements by observer organizations

96. Representatives of intergovernmental and non-governmental organizations will be invited to address the joint meeting of the COP and the CMP during the high-level segment. Further information will be made available.

21. Other matters

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

¹⁹ Statements may also be made by other high-level representatives.

²⁰ FCCC/SBI/2011/7, paragraph 159.

²¹ Enquiries regarding this list may be directed to the Office of External Relations at the UNFCCC secretariat by telephone (+49 228 815 1611 or 1506), fax (+49 228 815 1999) or e-mail <sessions@unfccc.int>.

22. 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 seventh session**

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

99. *Action:* The CMP will be invited to adopt the draft report and to 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

100. 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 seventh session

Documents prepared for the session

FCCC/KP/CMP/2011/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/CMP/2011/2	Withdrawal by Croatia of its appeal against a final decision of the enforcement branch of the Compliance Committee. Note by the secretariat
FCCC/KP/CMP/2011/3	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/2011/4	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/2011/5	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/2011/6	Report of the Adaptation Fund Board. Note by the Chair of the Adaptation Fund Board
FCCC/KP/CMP/2011/7	Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2011/8 and Add.1	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2011. Note by the secretariat
FCCC/TP/2011/6	Procedural requirements and the scope and content of applicable law for the consideration of appeals under decision 27/CMP.1 and other relevant decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, as well as the approach taken by other relevant bodies relating to denial of due process. Technical paper
FCCC/KP/CMP/2011/MISC.1	Views on the review of the Adaptation Fund. Submissions from Parties and interested international organizations and stakeholders

Other documents before the session

FCCC/CP/1996/2	Organizational matters: Adoption of the rules of procedure. Note by the secretariat
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/2010/2	Appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee. Note by the secretariat
FCCC/KP/CMP/2010/3	Proposal from Grenada for amendments to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2010/4	Proposal from Kazakhstan to amend Annex B to the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2010/12/Add.1	Report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its sixth session, held in Cancun from 29 November to 10 December 2010. Addendum. Part Two: Action taken by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its sixth session
FCCC/SBSTA/2011/2	Report of the Subsidiary Body for Scientific and Technological Advice on its thirty-fourth session, held in Bonn from 6 to 16 June 2011
FCCC/SBSTA/2011/3	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2011/7 and Add.1	Report of the Subsidiary Body for Implementation on its thirty-fourth session, held in Bonn from 6 to 17 June 2011
FCCC/SBI/2011/8	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/AWG/2010/18 and Add.1	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its fifteenth session, held in Cancun from 29 November to 10 December 2010
FCCC/KP/AWG/2011/4	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on the first and second parts of its sixteenth session, held in Bangkok from 5 to 8 April 2011, and Bonn from 7 to 17 June 2011
FCCC/KP/AWG/2011/X	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/AWG/2011/INF.X	Synthesis report of the technical assessments of the forest management reference level submissions



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Thirty-fifth session

Durban, 28 November to 3 December 2011

Item 2(a) of the provisional agenda

Organizational matters

Adoption of the agenda

Provisional agenda and annotations

Note by the Executive Secretary

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¹ At the thirty-fourth 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 for its thirty-fifth session.

² Decision 1/CP.16, paragraphs 15–18.

³ Decision 1/CP.16, paragraphs 15, 17, 18.

⁴ Decision 1/CP.16, paragraphs 15–18.

⁵ Decision 1/CP.16, paragraphs 26–29.

modalities for the operationalization of the work programme and a possible forum on response measures.⁶

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II. Annotations to the provisional agenda

1. Opening of the session

1. The thirty-fifth session of the Subsidiary Body for Implementation (SBI) will be opened by the Chair on Monday, 28 November 2011.

2. Organizational matters

(a) Adoption of the agenda

2. The provisional agenda, prepared by the Executive Secretary in consultation with the Chair, will be presented for adoption.

FCCC/SBI/2011/8	<i>Provisional agenda and annotations. Note by the Executive Secretary</i>
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(b) Organization of the work of the session

3. *Background:* The thirty-fifth session of the SBI will be held from 28 November to 3 December 2011 in conjunction with the seventeenth session of the Conference of the Parties (COP) and the seventh 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 six bodies will be meeting during the sessional period, the time available for contact groups and informal consultations will be limited. To maximize the use of

⁶ Decision 1/CP.16, paragraph 93.

meeting time, the Chairs may, in consultation with Parties, propose time-saving measures. To this end, the Chair suggests that only delegations speaking on behalf of a group of Parties make brief remarks during the opening plenary.

5. The session will be organized taking into account, to the extent possible, the related recommendations of the SBI at its previous sessions.⁷ 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 optimizing the 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 SBI for consideration at its thirty-sixth or thirty-seventh session.

6. The Subsidiary Body for Scientific and Technological Advice (SBSTA), at its thirty-fourth session, requested the secretariat to organize a joint SBSTA/SBI in-session workshop to consider the outcomes of the Nairobi work programme on impacts, vulnerability and adaptation to climate change in order to highlight the scientific, technical and socio-economic aspects most relevant to the SBI. This joint workshop will be held during the thirty-fifth sessions of the subsidiary bodies.

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, as well as for more information on mandated in-session events.

8. When considering relevant agenda items, Parties are further invited to take into account information contained in document FCCC/SB/2007/INF.2.

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

FCCC/SBI/2011/8

Provisional agenda and annotations. Note by the Executive Secretary

(c) Election of officers other than the Chair

10. *Background:* Pursuant to rule 27 of the draft rules of procedure⁸ being applied, the SBI shall elect its Vice-Chair and Rapporteur. At the request of the President of the COP, consultations on the nomination of officers of the SBI, together with consultations on the election of members of the other bodies of the Convention and its Kyoto Protocol, were initiated at SBI 34. If necessary, further consultations will be held during the thirty-fifth session. The current officers of the SBI will remain in office until their successors are elected. Parties are invited to recall decision 36/CP.7 and to give active consideration to the nomination of women for elective posts.

11. *Action:* The SBI will be invited to elect its officers at the earliest opportunity following the 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.

⁷ FCCC/SBI/2011/7, paragraph 167, and FCCC/SBI/2010/10, paragraphs 164 and 165.

⁸ FCCC/CP/1996/2.

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) Status of submission and review of fifth national communications from Parties included in Annex I to the Convention

14. *Background:* The COP, by decision 10/CP.13, requested Parties included in Annex I to the Convention (Annex I Parties) to submit to the secretariat a fifth national communication (NC5) by 1 January 2010 in accordance with Article 12, paragraphs 1 and 2, of the Convention. As of 19 September 2011, the secretariat had received 40 NC5s from Annex I Parties. The NC5 of Turkey had not yet been received.

15. In accordance with decision 9/CP.16, each national communication submitted by an Annex I Party is subject to an in-depth in-country review. In addition, the secretariat prepares a compilation and synthesis of these national communications, for consideration by the COP.

16. In accordance with decision 22/CMP.1, each national communication submitted under the Kyoto Protocol by an Annex I Party shall be subject to a scheduled in-country review. In addition, by decision 10/CMP.6, the CMP requested the secretariat to organize centralized reviews of the NC5s of Parties with total greenhouse gas (GHG) emissions of less than 50 million tonnes of carbon dioxide equivalent (excluding land use, land-use change and forestry) according to their most recent GHG inventory submission, with the exception of Parties included in Annex II to the Convention, for which the secretariat will organize in-country in-depth reviews, and with the exception of Parties that request an in-country in-depth review.

17. *Action:* The SBI will be invited to take note of document FCCC/SBI/2011/INF.8.

FCCC/SBI/2011/INF.8	<i>Status of submission and review of fifth national communications. Note by the secretariat</i>
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(b) Compilation and synthesis of fifth national communications from Parties included in Annex I to the Convention

18. *Background:* The COP, by decision 9/CP.16, requested the secretariat to prepare the compilation and synthesis of the NC5s submitted by Annex I Parties, for consideration by the COP at its seventeenth session.

19. The SBI initiated its consideration of the compilation and synthesis of the NC5s at its thirty-fourth session and agreed to continue its consideration of this matter at its thirty-fifth session.⁹

20. *Action:* The SBI will be invited to continue its consideration of the compilation and synthesis of the NC5s submitted by Annex I Parties, with a view to preparing a draft decision on this matter for adoption by the COP at its seventeenth session.

⁹ FCCC/SBI/2011/7, paragraph 18.

<i>FCCC/SBI/2011/INF.1</i>	<i>Compilation and synthesis of fifth national communications. Executive summary. Note by the secretariat</i>
<i>FCCC/SBI/2011/INF.1/Add.1</i>	<i>Compilation and synthesis of fifth national communications. Note by the secretariat. Addendum. Policies, measures, and past and projected future greenhouse gas emission trends of Parties included in Annex I to the Convention</i>
<i>FCCC/SBI/2011/INF.1/Add.2</i>	<i>Compilation and synthesis of fifth national communications. Note by the secretariat. Addendum. Financial resources, technology transfer, vulnerability, adaptation and other issues relating to the implementation of the Convention by Parties included in Annex I to the Convention</i>

- (c) Compilation and synthesis of supplementary information incorporated in fifth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol and submitted in accordance with Article 7, paragraph 2, of the Kyoto Protocol

21. *Background:* The CMP, by decision 22/CMP.1,¹⁰ requested the secretariat to prepare a compilation and synthesis of the national communications of all Annex I Parties that are also Parties to the Kyoto Protocol, in accordance with the relevant decisions of the COP and the CMP. The CMP, by decision 10/CMP.6, requested the secretariat to prepare the compilation and synthesis of supplementary information incorporated in the NC5s submitted in accordance with Article 7, paragraph 2, of the Kyoto Protocol, for consideration by the CMP at its seventh session.

22. The report prepared by the secretariat is contained in document FCCC/SBI/2011/INF.2. This document should be considered in conjunction with document FCCC/SBI/2011/INF.1 and Add.1 and 2, which compiles and synthesizes the NC5s submitted by Annex I Parties.

23. The SBI initiated its consideration of the compilation and synthesis of supplementary information incorporated in the NC5s at its thirty-fourth session and agreed to continue its consideration of this matter at its thirty-fifth session.¹¹

24. *Action:* The SBI will be invited to continue its consideration of the compilation and synthesis of supplementary information incorporated in the NC5s, with a view to preparing a draft decision on this matter for adoption by the CMP at its seventh session.

<i>FCCC/SBI/2011/INF.2</i>	<i>Compilation and synthesis of supplementary information incorporated in fifth national communications submitted in accordance with Article 7, paragraph 2, of the Kyoto Protocol. Note by the secretariat</i>
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- (d) Further implementation of Article 12, paragraph 5, of the Convention

25. *Background:* Article 12, paragraph 5, of the Convention refers in part to the frequency of submission of national communications. The SBI initiated its consideration of the further implementation of Article 12, paragraph 5, at its thirty-third session,¹² continued

¹⁰ Decision 22/CMP.1, annex, paragraph 146.

¹¹ FCCC/SBI/2011/7, paragraph 18.

¹² FCCC/SBI/2010/27, paragraph 19.

this consideration at its thirty-fourth session and agreed to continue its consideration of this matter at its thirty-fifth session.¹³

26. *Action:* The SBI will be invited to continue its consideration of this matter.

- (e) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2009

27. *Background:* The COP, by decision 19/CP.8,¹⁴ requested the secretariat to provide information relating to GHG inventory data submitted by 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. This year's document covers 1990–2009.

28. *Action:* The SBI will be invited to take note of document FCCC/SBI/2011/9.

FCCC/SBI/2011/9	<i>National greenhouse gas inventory data for the period 1990–2009. Note by the secretariat</i>
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- (f) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2011

29. *Background:* In accordance with decision 13/CMP.1, the secretariat has published annual compilation and accounting reports since 2008. These reports are forwarded to the CMP, the Compliance Committee and each Party concerned. The latest report is for 2011.

30. The CMP, at its sixth session, took note of the compilation and accounting reports for Annex B Parties under the Kyoto Protocol for 2009 and 2010.

31. *Action:* The SBI will be invited to consider the information contained in the 2011 report, with a view to forwarding the results of its consideration to the CMP at its seventh session.

FCCC/KP/CMP/2011/8 and Add.1	<i>Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2011. Note by the secretariat</i>
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4. National communications from Parties not included in Annex I to the Convention

- (a) Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

32. *Background:* The SBI, at its thirty-fourth session, welcomed the recommendations made by the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) in its progress report on elements to be considered in a future revision of the UNFCCC guidelines for the preparation of national communications from Parties not included in Annex I to the Convention (non-Annex I Parties) and encouraged Parties to take into account these recommendations in such a future revision.¹⁵

33. It also welcomed the technical report of the CGE on the common challenges, options and case studies/best practices available to countries and possible means of facilitating the

¹³ FCCC/SBI/2011/7, paragraph 23.

¹⁴ Annex to the decision, contained in FCCC/CP/2002/8, paragraphs 42 and 43.

¹⁵ FCCC/SBI/2011/7, paragraph 30.

development and long-term sustainability of processes for the preparation of national communications. It encouraged Parties and/or relevant organizations, as appropriate, in providing assistance to non-Annex I Parties, to take into consideration the recommendations provided in the report.¹⁶

34. The CGE will report on the outcomes of its workshop on facilitating the development and long-term sustainability of processes for the preparation of national communications, including GHG inventories, held in Bonn, Germany, in June 2011, and on its GHG inventory training workshop for the Latin America and Caribbean region, which was held in September 2011 in Santiago, Chile. It will also report on progress made in the implementation of its activities in 2011.

35. The SBI noted that the term and mandate of the CGE and the need for the continuation of the group shall be reviewed by the COP at its seventeenth session.¹⁷

36. *Action:* The SBI will be invited to consider the progress report on the work of the CGE with a view to making recommendations to the COP at its seventeenth session on the term and mandate of the CGE.

<i>FCCC/SBI/2011/10</i>	<i>Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat</i>
<i>FCCC/SBI/2011/10/Add.1</i>	<i>Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat. Addendum. Report on the workshop on facilitating the development and long-term sustainability of processes, and the establishment and maintenance of national technical teams, for the preparation of national communications, including greenhouse gas inventories</i>
<i>FCCC/SBI/2011/10/Add.2</i>	<i>Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat. Addendum. Report on the workshop on greenhouse gas inventory hands-on training for the Latin America and Caribbean region</i>

(b) Information contained in national communications from Parties not included in Annex I to the Convention¹⁸

37. *Background:* At SBI 24, some Parties proposed that, in accordance with the requirements of Article 10, paragraph 2, of the Convention, the SBI consider the information communicated by non-Annex I Parties in all of their national communications.¹⁹

38. *Action:* The SBI will be invited to provide guidance on how to further develop the process for considering the information contained in national communications from non-

¹⁶ FCCC/SBI/2011/7, paragraph 31.

¹⁷ Decision 5/CP.15, paragraph 6.

¹⁸ At the thirty-fourth 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 for its thirty-fifth session.

¹⁹ FCCC/SBI/2006/11, paragraph 32.

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

39. *Background:* The COP, by decision 8/CP.11, decided to discuss the further implementation of Article 12, paragraph 5, of the Convention at its fifteenth session. At its thirty-first session, the SBI agreed to defer its consideration of this sub-item to its next session,²⁰ at which it agreed to continue its consideration at its thirty-third session.²¹ At its thirty-third and thirty-fourth sessions, it could not reach agreement on this issue and agreed to continue its consideration at its thirty-fifth session.²²

40. *Action:* The SBI will be invited to continue its consideration of this matter.

(d) Provision of financial and technical support

41. *Background:* The COP, by decision 10/CP.2, paragraph 1(b), requested the secretariat to make available to the SBI, at each of its sessions, details of the financial support made available to non-Annex I Parties by the Global Environment Facility (GEF) for the preparation of their national communications. The SBI, at its thirty-fourth session, invited the GEF to continue to provide information on its activities relating to the preparation of national communications from non-Annex I Parties, including information on the dates of approval of funding and disbursement of funds, as well as on the approximate date of completion of the draft national communications and the approximate date of submission of the national communications.²³

42. The SBI also invited non-Annex I Parties to make submissions, by 19 September 2011, on the detailed costs incurred by non-Annex I Parties, including in-kind contributions, for the preparation of their most recent national communications and on the financial resources received through the GEF. The SBI requested the secretariat to compile these submissions in a document to be considered by the SBI at its thirty-fifth session.²⁴

43. *Action:* The SBI will be invited to consider the documents below, and to make recommendations thereon.

<i>FCCC/CP/2011/7</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>FCCC/SBI/2011/INF.9</i>	<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>
<i>FCCC/SBI/2011/MISC.4</i>	<i>Information by Parties not included in Annex I to the Convention on the detailed costs incurred, including in-kind contributions, for the preparation of their most recent national communications, and on the financial resources received through the Global Environment Facility. Submissions from Parties</i>

²⁰ FCCC/SBI/2009/15, paragraph 20.

²¹ FCCC/SBI/2010/10, paragraph 28.

²² FCCC/SBI/2011/7, paragraph 40.

²³ FCCC/SBI/2011/7, paragraph 45.

²⁴ FCCC/SBI/2011/7, paragraph 48.

5. Financial mechanism of the Convention

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

44. *Background:* The memorandum of understanding between the COP and the GEF Council, annexed to decision 12/CP.2, provides, inter alia, that the GEF will make available to the COP annual reports and other official public documentation on the implementation of COP guidance to the GEF. The COP, by decision 4/CP.14, requested the GEF to continue to provide, in its annual report to the COP, information responsive to guidance of the COP.

45. The COP, by decision 2/CP.16, invited Parties to submit to the secretariat annually views and recommendations on elements to be taken into account in developing guidance to the GEF. It also requested the GEF, in its regular report to the COP, to include information on the steps it has taken to implement the guidance it provided.

46. *Action:* The SBI will be invited to consider the documents below and to make recommendations thereon.

<i>FCCC/CP/2011/7</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>FCCC/SBI/2011/MISC.5</i>	<i>Views on elements to be taken into account in developing guidance to the Global Environment Facility. Submissions from Parties</i>

(b) Least Developed Countries Fund: support for the implementation of elements of the least developed countries work programme other than national adaptation programmes of action

47. *Background:* The COP, by decision 5/CP.14, provided further guidance to the GEF, as an operating entity of the financial mechanism of the Convention operating the Least Developed Countries Fund (LDCF), and requested it, in parallel to supporting the ongoing implementation of the national adaptation programmes of action (NAPA), to facilitate the implementation of the remaining elements of the least developed countries (LDCs) work programme. The COP reiterated this request by decision 5/CP.16. The SBI, at its thirty-fourth session, considered this issue. However, Parties were unable to conclude its consideration. It was requested, at the concluding plenary of SBI 34, that discussion on this issue be continued at SBI 35.²⁵

48. *Action:* The SBI will be invited to continue considering the request of the COP for the GEF to facilitate the implementation of the remaining elements of the LDC work programme and to recommend further guidance for the operation of the LDCF for adoption, as appropriate, by the COP at its seventeenth session.

<i>FCCC/CP/2011/7</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>FCCC/SBI/2010/26</i>	<i>Report on the eighteenth meeting of the Least Developed Countries Expert Group. Note by the secretariat</i>
<i>FCCC/SBI/2010/17</i>	<i>Synthesis report on the national adaptation programme of action process, including operation of the Least Developed Countries Fund. Note by the secretariat</i>
<i>FCCC/SBI/2010/MISC.9</i>	<i>Information on the preparation and implementation of national adaptation programmes of action, including on</i>

²⁵ FCCC/SBI/2011/7, paragraph 53.

accessing funds from the Least Developed Countries Fund. Submissions from Parties and relevant organizations

(c) Other matters

49. *Background:* The SBI, at its thirty-fourth session, noted the information related to additional funding needs identified in the 2010 updated Global Climate Observing System (GCOS) implementation plan and emphasized the importance of ensuring that these needs be taken into account in the future financial architecture of the Convention, recognizing that their funding is also being processed through multiple existing channels, including those under other specialized programmes, such as GCOS, and other conventions.²⁶

50. The SBI invited the GEF, as an operating entity of the financial mechanism, to clarify in its annual report to the COP at its seventeenth session whether the activities in decision 5/CP.7, paragraph 7(a)(iv), fall within its mandate.²⁷

51. The SBI also invited Parties to submit to the secretariat, by 19 September 2011, information on support provided to developing country Parties and activities undertaken to strengthen existing and, where needed, establish national and regional systematic observation and monitoring networks, for compilation into a miscellaneous document for consideration by the SBI at its thirty-fifth session.²⁸

52. The SBI also requested the secretariat to compile, into an information document, the information from national communications from Annex I Parties and the submissions from Parties referred to in paragraph 51 above.

53. *Action:* The SBI will be invited to consider the documents below and to make recommendations thereon.

<i>FCCC/SBI/2011/MISC.6</i>	<i>Information on the support provided to developing country Parties and on activities undertaken to strengthen existing, and to establish, national and regional systematic observation and monitoring networks. Submissions from Parties</i>
<i>FCCC/SBI/2011/INF.10</i>	<i>Support provided to developing country Parties and activities undertaken to strengthen existing and, where needed, establish national and regional systematic observation and monitoring networks. Note by the secretariat</i>
<i>FCCC/CP/2011/7</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>

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

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

54. *Background:* The SBI, at its thirty-fourth session, agreed to continue its consideration of the progress on the implementation of decision 1/CP.10 at its thirty-fifth session on the basis of the draft decision text contained in document FCCC/SBI/2010/10,

²⁶ FCCC/SBI/2011/7, paragraph 59.

²⁷ FCCC/SBI/2011/7, paragraph 60.

²⁸ FCCC/SBI/2011/7, paragraph 61.

annex IV, taking into account relevant decisions adopted by the COP at its sixteenth session, with a view to recommending a draft decision for adoption by the COP.²⁹

55. At its thirty-third session, the SBI agreed on interim actions, including the organization of two workshops.³⁰ The workshop on promoting risk management approaches on the specific needs and concerns of developing country Parties arising from the impact of the implementation of response measures will take place in Bonn on 21 September 2011, and will be held back to back with the joint workshop on Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol (see para. 73 below). The workshop to identify challenges and gaps in the implementation of risk management approaches to the adverse effects of climate change will take place in Lima, Peru, from 10 to 12 October 2011.

56. *Action:* The SBI will be invited to consider, including in the light of relevant decisions adopted by the COP at its sixteenth session, the draft decision text as referred to in paragraph 54 above, with a view to recommending a draft decision for adoption by the COP.

<i>FCCC/SBI/2011/INF.11</i>	<i>Report on the workshop to identify challenges and gaps in the implementation of risk management approaches to the adverse effects of climate change. Note by the secretariat</i>
<i>FCCC/SBI/2011/INF.12</i>	<i>Report on the workshop on promoting risk management approaches on the specific needs and concerns of developing country Parties arising from the impact of the implementation of response measures. Note by the secretariat</i>

(b) Matters relating to the least developed countries

57. *Background:* The SBI, at its thirty-fourth session, endorsed the work programme of the Least Developed Countries Expert Group (LEG) for 2011–2012 and requested the LEG to report on its work to the SBI at each of its sessions, in accordance with decision 6/CP.16.³¹

58. In accordance with its mandate, the LEG is scheduled to conduct its 20th meeting, in Vientiane, Lao People’s Democratic Republic, from 12 to 14 September 2011, where it will review progress in implementing its work programme for 2011–2012, taking into account further guidance provided on its work programme at SBI 34.³² At that meeting, the LEG will also consider the technical paper mandated under its work programme³³ on identification and implementation of medium- and long-term adaptation activities in LDCs, taking into account processes of integrating adaptation into national development planning, as well as sector-wide and programmatic approaches.

59. *Action:* The SBI will be invited to consider the documents below and to provide guidance thereon.

<i>FCCC/SBI/2011/11</i>	<i>Report on the twentieth meeting of the Least Developed Countries Expert Group. Note by the secretariat</i>
<i>FCCC/TP/2011/7</i>	<i>Identification and implementation of medium- and long-term adaptation activities in least developed countries. Technical paper</i>

²⁹ FCCC/SBI/2011/7, paragraph 77.

³⁰ FCCC/SBI/2010/27, paragraphs 86–90.

³¹ FCCC/SBI/2011/7, paragraph 88.

³² FCCC/SBI/2011/7, paragraph 88.

³³ FCCC/SBI/2011/4, paragraph 49(a).

7. National adaptation plans³⁴

- (a) A process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action³⁵
- (b) Modalities and guidelines for least developed country Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans³⁶

60. *Background:* The COP, by decision 1/CP.16, established the Cancun Adaptation Framework, with the objective of enhancing action on adaptation, including through international cooperation and coherent consideration of matters relating to adaptation under the Convention.³⁷

61. By the same decision, the COP invited all Parties to enhance action on adaptation under the Cancun Adaptation Framework, and decided to establish a process to enable LDC Parties to formulate and implement national adaptation plans, building upon the experience gained in preparing and implementing their NAPAs, as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs.³⁸

62. The COP invited other developing country Parties to employ the modalities formulated to support the national adaptation plans in the elaboration of their planning effort referred to in paragraph 61 above.³⁹

63. In addition, the COP requested the SBI to elaborate modalities and guidelines for the provisions of paragraphs 61 and 62 above, for adoption by the COP at its seventeenth session.⁴⁰

64. The SBI, at its thirty-fourth session, initiated its consideration of this matter and requested the secretariat to explore the possibility of convening an expert meeting, subject to the availability of resources, on the process as well as modalities and guidelines for the formulation and implementation of national adaptation plans.⁴¹ The expert meeting took place in Vientiane from 15 to 17 September 2011.

65. The SBI also requested the secretariat to prepare a report on the expert meeting referred to in paragraph 64 above.⁴²

66. It invited Parties and relevant organizations to submit to the secretariat, by 15 August 2011 and as input to the possible expert meeting mentioned in paragraph 64 above, their views on the process to enable LDC Parties to formulate and implement national adaptation plans, as well as the modalities and guidelines for LDC Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans.⁴³ It requested the secretariat to prepare a synthesis report based on these submissions.⁴⁴

³⁴ Decision 1/CP.16, paragraphs 15–18.

³⁵ Decision 1/CP.16, paragraphs 15, 17 and 18.

³⁶ Decision 1/CP.16, paragraphs 15–18.

³⁷ Decision 1/CP.16, paragraph 13.

³⁸ Decision 1/CP.16, paragraph 15.

³⁹ Decision 1/CP.16, paragraph 16.

⁴⁰ Decision 1/CP.16, paragraph 17.

⁴¹ FCCC/SBI/2011/7, paragraph 98.

⁴² FCCC/SBI/2011/7, paragraph 99.

⁴³ FCCC/SBI/2011/7, paragraph 100.

⁴⁴ FCCC/SBI/2011/7, paragraph 101.

67. *Action:* The SBI will be invited to consider the documents below, with a view to making recommendations to the COP at its seventeenth session.

<i>FCCC/SBI/2011/12</i>	<i>Report on the expert meeting on the process and the modalities and guidelines for the formulation and implementation of national adaptation plans. Note by the secretariat</i>
<i>FCCC/SBI/2011/MISC.7</i>	<i>Views on the process and the modalities and guidelines for national adaptation plans. Submissions from Parties and intergovernmental organizations</i>
<i>FCCC/SBI/2011/13</i>	<i>Synthesis report on the process and the modalities and guidelines for national adaptation plans. Note by the secretariat</i>

8. Approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change to enhance adaptive capacity⁴⁵

- Activities to be undertaken under the work programme

68. *Background:* By decision 1/CP.16, the COP decided to establish a work programme to consider approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change,⁴⁶ and requested the SBI to agree on activities to be undertaken under the work programme.⁴⁷

69. At its thirty-fourth session, the SBI agreed to implement the work programme in accordance with document FCCC/SBI/2011/7, paragraphs 109–116.

70. At the same session, the SBI further agreed:

(a) To consider additional activities, at subsequent sessions, including by taking into account, as appropriate:

(i) The outcomes of the workshop to identify challenges and gaps in the implementation of risk management approaches to the adverse effects of climate change referred to in document FCCC/SBI/2010/27, paragraph 86;

(ii) The outcomes of the initial activities undertaken in the context of the work programme;

(iii) Inputs from processes relevant to this issue;

(b) To continue to further elaborate on the details of the broad thematic areas mentioned in document FCCC/SBI/2011/7, paragraph 109, at its subsequent sessions, as appropriate, with a view to generating a knowledge base for making recommendations on loss and damage to the COP for consideration at its eighteenth session, including elaborating the elements set out in decision 1/CP.16, paragraph 28(a),(b),(c) and (d), and drawing upon the submissions mentioned in paragraph 71 below as well as those contained in document FCCC/SBI/2011/MISC.1, in the context of the work programme.⁴⁸

⁴⁵ Decision 1/CP.16, paragraphs 26–29.

⁴⁶ Decision 1/CP.16, paragraph 26.

⁴⁷ Decision 1/CP.16, paragraph 27.

⁴⁸ FCCC/SBI/2011/7, paragraph 112.

71. At the same session, the SBI invited Parties and relevant organizations to submit to the secretariat, by 15 August 2011, further views and information on the themes to be addressed in the thematic areas in the implementation of the work programme and requested the secretariat to compile these submissions into a miscellaneous document for consideration at its thirty-fifth session and to prepare a synthesis report based on the submissions and other relevant information before its thirty-fifth session.⁴⁹

72. *Action:* The SBI will be invited to consider additional activities, including by taking into account, as appropriate, the inputs mentioned in paragraph 70(a)(i–iii) above, and to continue to further elaborate on the details of the broad thematic areas, including elaborating the elements set out in decision 1/CP.16, paragraph 28(a–d), and drawing upon the inputs mentioned in paragraph 70(b) above.

<i>FCCC/SBI/2011/MISC.8</i>	<i>Views and information on the thematic areas in the implementation of the work programme. Submissions from Parties and relevant organizations</i>
<i>FCCC/SBI/2011/INF.13</i>	<i>Synthesis report on views and information on the thematic areas in the implementation of the work programme. Note by the secretariat</i>

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

73. *Background:* The SBI, at its thirty-third session, considered this agenda item together 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 requested the secretariat to organize a joint workshop to address matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol, before their thirty-fifth sessions.⁵⁰ This workshop will be held in Bonn on 19 and 20 September 2011, back to back with the workshop on promoting risk management approaches on the specific needs and concerns of developing country Parties arising from the impact of the implementation of response measures (see para. 55 above).

74. The SBI and the SBSTA agreed to continue to discuss matters related to Article 3, paragraph 14, and Article 2, paragraph 3, of the Kyoto Protocol, including consideration of the workshop report, in a joint contact group to be established by them at their thirty-fifth sessions.⁵¹

75. *Action:* The SBI and the SBSTA will be invited to consider the document below, with a view to agreeing on further action, as appropriate.

<i>FCCC/SB/2011/INF.6</i>	<i>Report on the joint workshop on matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol. Note by the secretariat</i>
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⁴⁹ FCCC/SBI/2011/7, paragraph 110.

⁵⁰ FCCC/SBI/2010/27, paragraph 124.

⁵¹ FCCC/SBI/2011/7, paragraph 123.

10. Forum on the impact of the implementation of response measures at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with the objective of developing a work programme under the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to address these impacts, with a view to adopting, at the seventeenth session of the Conference of the Parties, modalities for the operationalization of the work programme and a possible forum on response measures⁵²

76. *Background:* The COP, by decision 1/CP.16, decided to provide a forum on the impact of the implementation of response measures, and to that end requested the Chairs of the SBI and the SBSTA to convene such a forum at the thirty-fourth and thirty-fifth sessions of these bodies, with the objective of developing a work programme under the subsidiary bodies to address this impact, with a view to the COP adopting, at its seventeenth session, modalities for the operationalization of the work programme and a possible forum on response measures.⁵³

77. During the thirty-fourth sessions of the SBI and the SBSTA, the Chairs convened such a forum. The SBI and the SBSTA agreed that the forum will continue at their thirty-fifth sessions, in order to carry out the work as agreed in decision 1/CP.16, paragraph 93.⁵⁴

78. Also at their thirty-fourth sessions, the SBI and the SBSTA invited Parties and relevant intergovernmental and non-governmental organizations to submit further views on the elements for the development of a work programme and a possible forum on response measures by 19 September 2011. They requested the secretariat to compile these views in a miscellaneous document for consideration by the SBI and the SBSTA at their thirty-fifth sessions.⁵⁵

79. The SBI and the SBSTA requested the secretariat, under the guidance of the Chairs of the SBI and the SBSTA, to prepare a report on the special event held in the context of the forum at their thirty-fourth sessions and make it available at the thirty-fifth sessions of the SBI and the SBSTA.⁵⁶

80. *Action:* The SBI and the SBSTA will be invited to consider the documents below, and the outcome of the forum on the impact of the implementation of response measures, held at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with a view to recommending a draft decision on modalities for the operationalization of the work programme and a possible forum on response measures, for consideration and adoption by the COP at its seventeenth session.

<i>FCCC/SB/2011/MISC.4</i>	<i>Further views on the elements for the development of a work programme and a possible forum on response measures. Submissions from Parties and relevant organizations</i>
<i>FCCC/SB/2011/INF.5</i>	<i>Report on the special event held in the context of the forum on the impact of the implementation of response measures at the thirty-fourth sessions of the subsidiary bodies. Note by the secretariat</i>

⁵² Decision 1/CP.16, paragraph 93.

⁵³ Decision 1/CP.16, paragraph 93.

⁵⁴ FCCC/SBSTA/2011/2, paragraph 62.

⁵⁵ FCCC/SBSTA/2011/2, paragraph 60.

⁵⁶ FCCC/SBSTA/2011/2, paragraph 61.

11. Development and transfer of technologies

81. *Background:* The COP, by decision 1/CP.16, decided to establish a Technology Mechanism, comprising a Technology Executive Committee (TEC) and a Climate Technology Centre and Network (CTCN),⁵⁷ and decided that the TEC and the CTCN shall report, on an interim basis, to the COP, through the subsidiary bodies, on their respective activities and the performance of their respective functions.⁵⁸

82. By the same decision, the COP decided that the TEC shall convene its first meeting as soon as practicable following the election of its members.⁵⁹ The first meeting of the TEC was held in Bonn from 1 to 3 September 2011.

83. The SBI, at its thirty-fourth session, recalled the conclusions of its thirty-second session inviting the GEF to provide half-yearly progress reports on the implementation of activities receiving support under the Poznan strategic programme on technology transfer.⁶⁰ It invited the GEF to provide reports on the progress made in carrying out its activities under the Poznan strategic programme, including its long-term implementation, for consideration by the SBI at its thirty-fifth and subsequent sessions, for the duration of the Poznan strategic programme.⁶¹

84. *Action:* The SBI will be invited to consider the documents below, with a view to determining any further action arising from them or recommending a draft decision on these matters for adoption by the COP at its seventeenth session, as appropriate.

<i>FCCC/SB/2011/2</i>	<i>Report on activities and performance of the Technology Executive Committee for 2011</i>
<i>FCCC/SBI/2011/14</i>	<i>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>

12. Capacity-building under the Convention

85. *Background:* Pursuant to decision 6/CP.14, the SBI considered the second comprehensive review of the implementation of the framework for capacity-building in developing countries established by decision 2/CP.7 (hereinafter referred to as the capacity-building framework) at its thirtieth, thirty-second, thirty-third and thirty-fourth sessions and was unable to complete its work on this matter.

86. At its thirty-fourth session, the SBI agreed to continue consideration of this item at its thirty-fifth session based on the draft text contained in annex II to document FCCC/SBI/2011/7.⁶²

87. *Action:* The SBI will be invited to continue consideration of this item with a view to recommending a draft decision on the outcome of the second comprehensive review for adoption by the COP at its seventeenth session.

⁵⁷ Decision 1/CP.16, paragraph 117.

⁵⁸ Decision 1/CP.16, paragraph 126.

⁵⁹ Decision 1/CP.16, paragraph 125.

⁶⁰ FCCC/SBI/2010/10, paragraph 102.

⁶¹ FCCC/SBI/2011/7, paragraph 137.

⁶² FCCC/SBI/2011/7, paragraph 140.

<i>FCCC/SBI/2011/MISC.9</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>
<i>FCCC/SBI/2011/15</i>	<i>Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat</i>
<i>FCCC/CP/2010/5 and Add.1</i>	<i>Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat</i>
<i>FCCC/SBI/2010/20</i>	<i>Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat</i>
<i>FCCC/SBI/2010/MISC.6</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>
<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 by Parties</i>
<i>FCCC/SBI/2009/MISC.12/Rev.1</i>	<i>Submissions from the United Republic of Tanzania on behalf of the Group of 77 and China and from Sweden on behalf of the European Union and its Member States on completion of the second comprehensive review of the capacity-building framework in developing countries under the Convention and the Kyoto Protocol</i>

13. Capacity-building under the Kyoto Protocol

88. *Background:* Pursuant to decision 6/CMP.4, the SBI considered the second comprehensive review of the implementation of the capacity-building framework as it relates to capacity-building for the implementation of the Kyoto Protocol at its thirtieth,

thirty-second, thirty-third and thirty-fourth sessions and was unable to complete its work on this matter.

89. At its thirty-fourth session, the SBI agreed to continue consideration of this item at its thirty-fifth session based on the draft text contained in annex III to document FCCC/SBI/2011/7.⁶³

90. *Action:* The SBI will be invited to continue consideration of this item with a view to recommending a draft decision on the outcome of the second comprehensive review for adoption by the CMP at its seventh session.

<i>FCCC/SBI/2011/MISC.9</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>
<i>FCCC/SBI/2011/15</i>	<i>Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat</i>
<i>FCCC/KP/CMP/2010/10</i>	<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>
<i>FCCC/SBI/2010/20</i>	<i>Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat</i>
<i>FCCC/SBI/2010/MISC.6</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>
<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 by Parties</i>

⁶³ FCCC/SBI/2011/7, paragraph 143.

FCCC/SBI/2009/MISC.12/Rev.1 Submissions from the United Republic of Tanzania on behalf of the Group of 77 and China and from Sweden on behalf of the European Union and its Member States on completion of the second comprehensive review of the capacity-building framework in developing countries under the Convention and the Kyoto Protocol

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

91. *Background:* The CMP, by decision 12/CMP.1, requested the SBI to consider, at its future sessions, the annual reports of the administrator of the international transaction log (ITL), with a view to requesting the CMP to provide guidance, as necessary, in relation to the operation of registry systems.

92. *Action:* The SBI will be invited to consider the 2011 report of the administrator of the ITL and to prepare conclusions or a draft decision for adoption by the CMP at its seventh session.

FCCC/KP/CMP/2011/7 Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat

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

93. *Background:* The SBI, at its thirty-fourth session, agreed to discuss this matter further at its thirty-fifth session.⁶⁴ The agenda item is based on a proposal from Saudi Arabia contained in document FCCC/KP/CMP/2005/2 and on decision 27/CMP.1.

94. *Action:* The SBI will be invited to continue its consideration of this matter.

FCCC/KP/CMP/2005/2 Proposal from Saudi Arabia to amend the Kyoto Protocol. Note by the secretariat

16. Procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism

95. *Background:* The CMP, by decision 3/CMP.6, requested the SBI to make recommendations to it with a view to its adopting a decision at its seventh session on procedures, mechanisms and institutional arrangements under the CMP to allow for appeals against decisions of the Executive Board of the clean development mechanism (CDM) based on decision 2/CMP.5, paragraph 42, taking into account the recommendations of the Executive Board contained in annex II to its annual report.⁶⁵

96. The SBI, at its thirty-fourth session,⁶⁶ took note of the submissions in document FCCC/SBI/2011/MISC.2 and the information provided in the document prepared by the

⁶⁴ FCCC/SBI/2011/7, paragraph 145.

⁶⁵ Decision 3/CMP.6, paragraph 18.

⁶⁶ FCCC/SBI/2011/7, paragraphs 149 and 150.

secretariat on procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the CDM.⁶⁷ The SBI noted the recommendations made by the Executive Board contained in annex II to its 2010 annual report.⁶⁸

97. At the same session, the SBI took note of the initial draft text,⁶⁹ as proposed by the co-chairs of the group, although there were divergent views among Parties. It agreed to continue consideration of the matter at its next session.

98. *Action:* The SBI will be invited to continue consideration of this matter with a view to preparing recommendations for consideration by the CMP at its seventh session.

<i>FCCC/SBI/2011/MISC.2</i>	<i>Views on procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism. Submissions from Parties and relevant organizations</i>
<i>FCCC/TP/2011/3</i>	<i>Procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism. Technical paper</i>
<i>FCCC/KP/CMP/2010/10</i>	<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>

17. Administrative, financial and institutional matters

(a) Budget performance for the biennium 2010–2011

99. *Background:* A performance report on income and expenditure for the first 18 months of the biennium has been prepared to inform Parties of income received, expenditure incurred and results achieved as at 30 June 2011. This report is contained in document FCCC/SBI/2011/16. Information on the latest status of contributions by Parties, as at 15 November 2011, is contained in document FCCC/SBI/2011/INF.14.

100. *Action:* The SBI will be invited to take note of the information presented in the documents and any additional relevant information provided orally by the Executive Secretary and to 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 seventeenth session and by the CMP at its seventh session.

<i>FCCC/SBI/2011/16</i>	<i>Budget performance for the biennium 2010–2011 as at 30 June 2011. Note by the Executive Secretary</i>
<i>FCCC/SBI/2011/INF.14</i>	<i>Status of contributions as at 15 November 2011. Note by the secretariat</i>

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

101. *Background:* The SBI, at its twenty-first session,⁷⁰ decided to review the functions and operations of the secretariat under this sub-item annually.

⁶⁷ FCCC/TP/2011/3.

⁶⁸ FCCC/KP/CMP/2010/10.

⁶⁹ FCCC/SBI/2011/7, annex IV.

⁷⁰ FCCC/SBI/2004/19, paragraph 105.

102. At its thirty-fourth session, the SBI requested the Executive Secretary to provide a report on planned efficiency gains for the biennium 2012–2013 for its consideration at its thirty-fifth session.⁷¹

103. *Action:* The SBI will be invited to take note of relevant information on the budget performance of the secretariat and the report of the Executive Secretary on planned efficiency gains for the biennium 2012–2013, and to make recommendations, as appropriate.

<i>FCCC/SBI/2011/16</i>	<i>Budget performance for the biennium 2010–2011 as at 30 June 2011. Note by the Executive Secretary</i>
<i>FCCC/SBI/2011/INF.15</i>	<i>Report on planned efficiency gains for the biennium 2012–2013. Note by the Executive Secretary</i>

(c) Implementation of the Headquarters Agreement

104. *Background:* The SBI, at its seventeenth session,⁷² requested the Host Government and the Executive Secretary to report, once a year, on progress regarding the implementation of the Headquarters Agreement.

105. The last report was provided to the SBI at its thirty-fourth session, at which the SBI noted that the completion of the new conference facilities in Bonn had been further delayed due to circumstances beyond the control of the German Government.⁷³ The SBI was also informed of delays in the completion of the new premises for the secretariat in Bonn.

106. At its thirty-fourth session, the SBI invited the Host Government and the Executive Secretary to report to it at its thirty-fifth session on further progress made on these and other aspects of the implementation of the Headquarters Agreement.

107. *Action:* The SBI will be invited to consider the statements and to take any action deemed necessary.

18. Other matters

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

19. Report on the session

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

110. *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.

⁷¹ FCCC/SBI/2011/7, paragraph 191.

⁷² FCCC/SBI/2002/17, paragraph 58.

⁷³ FCCC/SBI/2011/7, paragraph 199.

Annex

[English only]

Documents before the Subsidiary Body for Implementation at its thirty-fifth session

Documents prepared for the session

FCCC/SBI/2011/8	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2011/9	National greenhouse gas inventory data for the period 1990–2009. Note by the secretariat
FCCC/SBI/2011/10	Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat
FCCC/SBI/2011/10/Add.1	Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat. Addendum. Report on the workshop on facilitating the development and long-term sustainability of processes, and the establishment and maintenance of national technical teams, for the preparation of national communications, including greenhouse gas inventories.
FCCC/SBI/2011/10/Add.2	Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat. Addendum. Report on the workshop on greenhouse gas inventory hands-on training for the Latin America and Caribbean region.
FCCC/SBI/2011/11	Report on the twentieth meeting of the Least Developed Countries Expert Group. Note by the secretariat
FCCC/SBI/2011/12	Report on the expert meeting on the process and the modalities and guidelines for the formulation and implementation of national adaptation plans. Note by the secretariat
FCCC/SBI/2011/13	Synthesis report on the process and the modalities and guidelines for national adaptation plans. Note by the secretariat
FCCC/SBI/2011/14	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/2011/15	Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat
FCCC/SBI/2011/16	Budget performance for the biennium 2010–2011 as at 30 June 2011. Note by the Executive Secretary
FCCC/SBI/2011/INF.8	Status of submission and review of fifth national communications. Note by the secretariat
FCCC/SBI/2011/INF.9	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/2011/INF.10	Support provided to developing country Parties and activities undertaken to strengthen existing and, where needed, establish national and regional systematic observation and monitoring networks. Note by the secretariat
FCCC/SBI/2011/INF.11	Report on the workshop to identify challenges and gaps in the implementation of risk management approaches to the adverse effects of climate change. Note by the secretariat
FCCC/SBI/2011/INF.12	Report on the workshop on promoting risk management approaches on the specific needs and concerns of developing country Parties arising from the impact of the implementation of response measures. Note by the secretariat
FCCC/SBI/2011/INF.13	Synthesis report on views and information on the thematic areas in the implementation of the work programme. Note by the secretariat
FCCC/SBI/2011/INF.14	Status of contributions as at 15 November 2011. Note by the secretariat
FCCC/SBI/2011/INF.15	Report on planned efficiency gains for the biennium 2012–2013. Note by the Executive Secretary
FCCC/SBI/2011/MISC.4	Information by Parties not included in Annex I to the Convention on the detailed costs incurred, including in-kind contributions, for the preparation of their most recent national communications, and on the financial resources received through the Global Environment Facility. Submissions from Parties
FCCC/SBI/2011/MISC.5	Views on elements to be taken into account in developing guidance to the Global Environment Facility. Submissions from Parties
FCCC/SBI/2011/MISC.6	Information on the support provided to developing country Parties and on activities undertaken to strengthen existing, and to establish, national and regional systematic observation and monitoring networks. Submissions from Parties

FCCC/SBI/2011/MISC.7	Views on the process and the modalities and guidelines for national adaptation plans. Submissions from Parties and intergovernmental organizations
FCCC/SBI/2011/MISC.8	Views and information on the thematic areas in the implementation of the work programme. Submissions from Parties and relevant organizations
FCCC/SBI/2011/MISC.9	Activities to implement the framework for capacity-building in developing countries under decision 2/CP.7. Submissions from Parties and relevant organizations
FCCC/SB/2011/2	Report on activities and performance of the Technology Executive Committee for 2011
FCCC/SB/2011/INF.5	Report on the special event held in the context of the forum on the impact of the implementation of response measures at the thirty-fourth sessions of the subsidiary bodies. Note by the secretariat
FCCC/SB/2011/INF.6	Report on the joint workshop on matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol. Note by the secretariat
FCCC/SB/2011/MISC.4	Further views on the elements for the development of a work programme and a possible forum on response measures. Submissions from Parties and relevant organizations
FCCC/TP/2011/7	Identification and implementation of medium- and long-term adaptation activities in least developed countries. Technical paper

Other documents before the session

FCCC/CP/2011/7	Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat
FCCC/CP/2010/5 and Add.1	Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat
FCCC/KP/CMP/2011/7	Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2011/8 and Add.1	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2011. Note by the secretariat
FCCC/KP/CMP/2010/10	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/2005/2	Proposal from Saudi Arabia to amend the Kyoto Protocol. Note by the secretariat

FCCC/SBI/2011/7 and Add.1	Report of the Subsidiary Body for Implementation on its thirty-fourth session, held in Bonn from 6 to 17 June 2011
FCCC/SBI/2011/INF.1	Compilation and synthesis of fifth national communications. Executive summary. Note by the secretariat
FCCC/SBI/2011/INF.1/Add.1	Compilation and synthesis of fifth national communications. Note by the secretariat. Addendum. Policies, measures, and past and projected future greenhouse gas emission trends of Parties included in Annex I to the Convention
FCCC/SBI/2011/INF.1/Add.2	Compilation and synthesis of fifth national communications. Note by the secretariat. Addendum. Financial resources, technology transfer, vulnerability, adaptation and other issues relating to the implementation of the Convention by Parties included in Annex I to the Convention
FCCC/SBI/2011/INF.2	Compilation and synthesis of supplementary information incorporated in fifth national communications submitted in accordance with Article 7, paragraph 2, of the Kyoto Protocol. Note by the secretariat
FCCC/SBI/2011/MISC.2	Views on procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism. Submissions from Parties and relevant organizations
FCCC/SBI/2010/17	Synthesis report on the national adaptation programme of action process, including operation of the Least Developed Countries Fund. Note by the secretariat.
FCCC/SBI/2010/20	Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat
FCCC/SBI/2010/26	Report on the eighteenth meeting of the Least Developed Countries Expert Group. Note by the secretariat
FCCC/SBI/2010/MISC.6	Activities to implement the framework for capacity-building in developing countries under decision 2/CP.7. Submissions from Parties and relevant organizations
FCCC/SBI/2010/MISC.9	Information on the preparation and implementation of national adaptation programmes of action, including on accessing funds from the Least Developed Countries Fund. Submissions from Parties and relevant organizations

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 by Parties
FCCC/SBI/2009/MISC.12/Rev.1	Submissions from the United Republic of Tanzania on behalf of the Group of 77 and China and from Sweden on behalf of the European Union and its Member States on completion of the second comprehensive review of the capacity-building framework in developing countries under the Convention and the Kyoto Protocol
FCCC/TP/2011/3	Procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism. Technical paper



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Thirty-fifth session

Durban, 28 November to 3 December 2011

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

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2. Organizational matters:
 - (a) Adoption of the agenda;
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4. 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.
5. Development and transfer of technologies.
6. Research and systematic observation.
7. Forum on the impact of the implementation of response measures at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with the objective of developing a work programme under the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to address these impacts, with a view to adopting, at the seventeenth session of the Conference of the Parties,

modalities for the operationalization of the work programme and a possible forum on response measures.¹

8. Matters relating to Article 2, paragraph 3, of the Kyoto Protocol.
9. Methodological issues under the Convention:
 - (a) Emissions from fuel used for international aviation and maritime transport;
 - (b) Revision of the UNFCCC reporting guidelines on annual inventories for Parties included in Annex I to the Convention;
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10. Methodological issues under the Kyoto Protocol:
 - (a) Carbon dioxide capture and storage in geological formations as clean development mechanism project activities;
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 - (c) Implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities;
 - (d) Materiality standard under the clean development mechanism;
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11. Other matters.
12. Report on the session.

II. Annotations to the provisional agenda

1. Opening of the session

1. The thirty-fifth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) will be opened by the Chair on Monday, 28 November 2011.

2. Organizational matters

(a) Adoption of the agenda

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

<p><i>FCCC/SBSTA/2011/3</i></p>	<p><i>Provisional agenda and annotations. Note by the Executive Secretary</i></p>
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(b) Organization of the work of the session

¹ Decision 1/CP.16, paragraph 93.

3. *Background:* The thirty-fifth session of the SBSTA will be held from 28 November to 3 December 2011, in conjunction with the seventeenth session of the Conference of the Parties (COP) and the seventh 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 six 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 may, in consultation with Parties, propose time-saving measures. To this end, the Chair suggests that only delegations speaking on behalf of a group of Parties make brief remarks during the opening plenary. 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.

5. The session will be organized taking into account, to the extent possible, the related recommendations of the Subsidiary Body for Implementation (SBI) at its previous sessions.² 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 optimizing the 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-sixth or thirty-seventh session.

6. 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, as well as for more information on mandated in-session events.

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

FCCC/SBSTA/2011/3

*Provisional agenda and annotations. Note by the
Executive Secretary*

(c) Election of officers other than the Chair

8. *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, consultations on the nomination of officers of the SBSTA, together with consultations on the election of members of the other bodies of the Convention and its Kyoto Protocol, were initiated at SBSTA 34 with the coordinators and chairs of the regional groups and other constituencies. If necessary, further consultations will be held during the thirty-fifth session. The current officers of the SBSTA will remain in office until their successors are elected. Parties are invited to recall decision 36/CP.7 and to give active consideration to the nomination of women for elective posts for any body established under the Convention or its Kyoto Protocol.

9. *Action:* The SBSTA will be invited to elect its officers at the earliest opportunity following the completion of consultations.

(d) Election of replacement officers

10. *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

² FCCC/SBI/2011/7, paragraph 167, and FCCC/SBI/2010/10, paragraphs 164 and 165.

³ FCCC/CP/1996/2.

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.

11. *Action:* If necessary, the SBSTA will be invited to elect an additional officer to replace the Vice-Chair representing a State that is a Party to the Convention but not a Party to the Kyoto Protocol.

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

12. *Background:* At its twenty-eighth session, in accordance with decision 2/CP.11, the SBSTA requested the secretariat to provide a report, for consideration at each of its sessions, on progress made in implementing activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change, including calls for action.⁴ The latest report is contained in document FCCC/SBSTA/2011/INF.9.

13. The SBSTA, at its thirty-fourth session, requested the secretariat to undertake the following interim activities under the Nairobi work programme, subject to the availability of resources, until SBSTA 35:⁵

(a) Conduct a survey of national focal points to identify priority needs for the dissemination of products related to impacts, vulnerability and adaptation to climate change under the Nairobi work programme;

(b) Compile information on ecosystem-based approaches to adaptation;

(c) Prepare a technical paper on water and climate change impacts and adaptation strategies;

(d) Organize a joint SBSTA/SBI in-session workshop to consider the outcomes of the Nairobi work programme, to highlight the scientific, technical and socio-economic aspects of impacts, vulnerability and adaptation to climate change most relevant to the SBI.

14. Information on the survey referred to in paragraph 13(a) above will be included in the progress report prepared for this session (see para. 12 above). The compilation of information referred to in paragraph 13(b) above and the technical paper referred to in paragraph 13(c) above are contained in documents FCCC/SBSTA/2011/INF.8 and FCCC/TP/2011/5, respectively. The joint workshop referred to in paragraph 13(d) above will be held during the thirty-fifth sessions of the subsidiary bodies.

15. At the same session, the SBSTA agreed to consider, at its thirty-fifth session, possible areas of further work on impacts, vulnerability and adaptation to climate change under the Nairobi work programme, including, inter alia, potential activities as outlined in annex I to document FCCC/SBSTA/2011/2, with a view to defining the duration of and activities for its next phase. The SBSTA invited Parties and relevant organizations to submit to the secretariat, by 19 September 2011, their proposals for upcoming activities under the Nairobi work programme, taking into consideration the information included in annex I to document FCCC/SBSTA/2011/2.⁶ These submissions are contained in document FCCC/SBSTA/2011/MISC.6.

⁴ FCCC/SBSTA/2008/6, paragraph 18.

⁵ FCCC/SBSTA/2011/2, paragraph 23.

⁶ FCCC/SBSTA/2011/2, paragraphs 24 and 25.

16. The SBSTA also agreed to discuss the impacts of climate change on water resources and integrated water resource management under the agenda item on the Nairobi work programme.⁷

17. *Action:* The SBSTA will be invited to consider the information contained in the documents prepared for the session, with a view to defining the duration of and activities for the next phase of the Nairobi work programme.

<i>FCCC/SBSTA/2011/INF.8</i>	<i>Ecosystem-based approaches to adaptation: compilation of information. Note by the secretariat</i>
<i>FCCC/SBSTA/2011/INF.9</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/TP/2011/5</i>	<i>Water and climate change impacts and adaptation strategies. Technical paper</i>
<i>FCCC/SBSTA/2011/MISC.6</i>	<i>Proposals for upcoming activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change. Submissions from Parties and relevant organizations</i>

4. 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

18. *Background:* The SBSTA, at its thirty-fourth session, considered views on 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, taking into account issues identified in appendix II to decision 1/CP.16 and relevant issues.⁸

19. In considering methodological issues referred to in paragraph 18 above, Parties identified a range of issues, including guidance on systems for providing information on how the safeguards referred to in appendix I to decision 1/CP.16 are addressed and respected, modalities relating to forest reference emission levels and forest reference levels, and modalities for measuring, reporting and verifying, as referred to in appendix II to decision 1/CP.16.⁹

20. The SBSTA invited Parties and accredited observers to submit to the secretariat, by 19 September 2011, their views on the issues identified in paragraphs 18 and 19 above.¹⁰ These submissions are contained in document FCCC/SBSTA/2011/MISC.7.

21. The SBSTA requested the secretariat to organize, subject to the availability of supplementary funds, meetings of technical experts, including one before its thirty-fifth session, on the matters referred to in paragraphs 18 and 19 above.¹¹ The first expert meeting will be held in Panama City, Panama, on 8 and 9 October 2011. The second expert meeting is tentatively scheduled to take place from 3 to 4 November 2011. The reports on these two

⁷ FCCC/SBSTA/2011/2, paragraph 6.

⁸ FCCC/SBSTA/2011/2, paragraph 28.

⁹ FCCC/SBSTA/2011/2, paragraph 29.

¹⁰ FCCC/SBSTA/2011/2, paragraph 31.

¹¹ FCCC/SBSTA/2011/2, paragraph 31.

technical expert meetings are contained in documents FCCC/SBSTA/2011/INF.17 and FCCC/SBSTA/2011/INF.18, respectively.

22. The SBSTA also requested its Chair to continue to explore ways of facilitating the coordination of activities relating to decisions 2/CP.13, 4/CP.15 and 1/CP.16, and to report back to the SBSTA at its future sessions.¹²

23. *Action:* The SBSTA will be invited to continue its consideration of the methodological guidance referred to in paragraph 18 above, taking into account the information in the documents prepared for the session, with a view to completing its work on these matters and reporting to the COP, at its seventeenth session, on progress made, including any recommendations for draft decisions.

<i>FCCC/SBSTA/2011/MISC.7</i>	<i>Views on 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. Submissions from Parties</i>
<i>FCCC/SBSTA/2011/INF.17</i>	<i>Report on the expert meeting on guidance on systems for providing information on how safeguards for REDD-plus activities are addressed and respected. Note by the secretariat</i>
<i>FCCC/SBSTA/2011/INF.18</i>	<i>Report on the expert meeting on forest reference emission levels and forest reference levels for implementation of REDD-plus activities. Note by the secretariat</i>

5. Development and transfer of technologies

24. *Background:* The COP, by its decision 1/CP.16, decided to establish a Technology Mechanism, comprising a Technology Executive Committee (TEC) and a Climate Technology Centre and Network (CTCN),¹³ and decided that the TEC and the CTCN shall report, on an interim basis, to the COP, through the subsidiary bodies, on their respective activities and the performance of their respective functions.¹⁴

25. By the same decision, the COP decided that the TEC shall convene its first meeting as soon as practicable following the election of its members.¹⁵ The first meeting of the TEC was held in Bonn, Germany, from 1 to 3 September 2011. The report on the activities and performance of the TEC for 2011 is contained in document FCCC/SB/2011/2.

26. The SBSTA, at its thirty-fourth session, took note of the organization of a workshop on technology needs assessments, organized by the secretariat, in collaboration with the Global Environment Facility, the United Nations Development Programme, the United Nations Environment Programme and the Climate Technology Initiative, on 1 and 2 June 2011 in Bonn.¹⁶ The SBSTA further noted that the written report on the outcomes of this workshop would be made available for consideration by the SBSTA at its thirty-fifth session. The report on this workshop is contained in document FCCC/SBSTA/2011/INF.10.

¹² FCCC/SBSTA/2011/2, paragraph 32.

¹³ Decision 1/CP.16, paragraph 117.

¹⁴ Decision 1/CP.16, paragraph 126.

¹⁵ Decision 1/CP.16, paragraph 125.

¹⁶ FCCC/SBSTA/2011/2, paragraph 37.

27. *Action:* The SBSTA will be invited to consider the documents prepared for the session, with a view to determining any further action arising from them or recommending a draft decision on these matters for adoption by the COP at its seventeenth session, as appropriate.

<i>FCCC/SB/2011/2</i>	<i>Report on activities and performance of the Technology Executive Committee for 2011</i>
<i>FCCC/SBSTA/2011/INF.10</i>	<i>Report on the workshop on technology needs assessments. Note by the secretariat</i>

6. Research and systematic observation

28. *Background:* At its thirty-fourth session, the SBSTA requested the secretariat, subject to the availability of resources, to continue to support the SBSTA dialogue on developments in research activities relevant to the needs of the Convention being held in the context of decision 9/CP.11 (hereinafter referred to as the research dialogue), including organizing further workshops, as appropriate and to be agreed by the SBSTA, and enhancing the visibility of scientific information of relevance to the Convention on its website.¹⁷ The SBSTA invited Parties to provide, by 19 September 2011, their views on the research dialogue, including ongoing activities, associated modalities and ways to enhance the dialogue. The SBSTA requested the secretariat to compile these submissions into a miscellaneous document for consideration by the SBSTA at its thirty-fifth session.¹⁸ These submissions are contained in document FCCC/SBSTA/2011/MISC.8.

29. At its thirty-third session, the SBSTA invited the Global Terrestrial Observing System (GTOS) to report, at the thirty-fifth session of the SBSTA, on progress made on matters related to, inter alia, the development of methodologies for climate-related terrestrial observation and the implementation of the workplan, improvement of terrestrial networks and synergy with ongoing relevant initiatives.¹⁹ It is expected that the GTOS secretariat will provide information on these matters, which will be included in document FCCC/SBSTA/2011/MISC.14. At its thirty-fourth session,²⁰ the SBSTA agreed to defer its consideration of matters related to systematic observation, including issues related to the timing of the contributions of the Global Climate Observing System (GCOS) to the SBSTA, to its thirty-sixth session.²¹

30. *Action:* The SBSTA will be invited to take note of the documents prepared for the session and to consider the views on the research dialogue and determine further appropriate actions.

<i>FCCC/SBSTA/2011/MISC.8</i>	<i>Views on the research dialogue, including ongoing activities, associated modalities and ways to enhance it. Submissions from Parties</i>
<i>FCCC/SBSTA/2011/MISC.14</i>	<i>Summary on progress in the development of methodologies, standards and protocols for climate-related terrestrial observations and related matters. Submission from the secretariat of the Global Terrestrial Observing System</i>

¹⁷ FCCC/SBSTA/2011/2, paragraph 55(a) and (b).

¹⁸ FCCC/SBSTA/2011/2, paragraph 56.

¹⁹ FCCC/SBSTA/2010/13, paragraphs 47–50.

²⁰ FCCC/SBSTA/2011/2, paragraph 56.

²¹ At its thirty-third session, the SBSTA agreed to consider, at its thirty-fifth session, issues related to the timing of GCOS contributions to the SBSTA (FCCC/SBSTA/2010/13, para. 45).

7. Forum on the impact of the implementation of response measures at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with the objective of developing a work programme under the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to address these impacts, with a view to adopting, at the seventeenth session of the Conference of the Parties, modalities for the operationalization of the work programme and a possible forum on response measures²²

31. *Background:* The COP, by its decision 1/CP.16, decided to provide a forum on the impact of the implementation of response measures, and to that end requested the Chairs of the SBSTA and the SBI to convene such a forum at the thirty-fourth and thirty-fifth sessions of these bodies, with the objective of developing a work programme under the subsidiary bodies to address this impact, with a view to the COP adopting, at its seventeenth session, modalities for the operationalization of the work programme and a possible forum on response measures.²³

32. During the thirty-fourth sessions of the SBSTA and the SBI, the Chairs convened such a forum. The SBSTA and the SBI agreed that the forum will continue at their thirty-fifth sessions, in order to carry out the work as agreed in decision 1/CP.16, paragraph 93.²⁴

33. Also at their thirty-fourth sessions, the SBSTA and the SBI invited Parties and relevant intergovernmental and non-governmental organizations to submit further views on the elements for the development of a work programme and a possible forum on response measures by 19 September 2011. They requested the secretariat to compile these views into a miscellaneous document for consideration by the SBSTA and the SBI at their thirty-fifth sessions.²⁵ These submissions are contained in document FCCC/SB/2011/MISC.4.

34. The SBSTA and the SBI requested the secretariat, under the guidance of the Chairs of the SBSTA and the SBI, to prepare a report on the special event held in the context of the forum at their thirty-fourth sessions and make it available at the thirty-fifth sessions of the SBSTA and the SBI.²⁶ The report is contained in document FCCC/SB/2011/INF.5.

35. *Action:* The SBSTA and the SBI will be invited to consider the documents below, and the outcome of the forum on the impact of the implementation of response measures, held at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with a view to recommending a draft decision on modalities for the operationalization of the work programme and a possible forum on response measures, for consideration and adoption by the COP at its seventeenth session.

<i>FCCC/SB/2011/MISC.4</i>	<i>Further views on the elements for the development of a work programme and a possible forum on response measures. Submissions from Parties and relevant organizations</i>
<i>FCCC/SB/2011/INF.5</i>	<i>Report on the special event held in the context of the forum on the impact of the implementation of response measures at the thirty-fourth sessions of the subsidiary bodies. Note by the secretariat</i>

²² Decision 1/CP.16, paragraph 93.

²³ Decision 1/CP.16, paragraph 93.

²⁴ FCCC/SBSTA/2011/2, paragraph 62.

²⁵ FCCC/SBSTA/2011/2, paragraph 60.

²⁶ FCCC/SBSTA/2011/2, paragraph 61.

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

36. *Background:* The SBSTA, at its thirty-third session, considered this agenda item together 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 requested the secretariat to organize a joint workshop to address matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol, before their thirty-fifth sessions.²⁷ This workshop will be held in Bonn on 19 and 20 September 2011, and, with a view to maximizing participation, will be held back to back with the workshop on promoting risk management approaches on the specific needs and concerns of developing country Parties arising from the impact of the implementation of response measures (decision 1/CP.10).²⁸ The report on the workshop is contained in document FCCC/SB/2011/INF.6.

37. The SBSTA and the SBI agreed to continue to discuss matters related to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol, including consideration of the workshop report, in a joint contact group to be established by them at their thirty-fifth sessions.²⁹

38. *Action:* The SBSTA and the SBI will be invited to consider the document below, with a view to agreeing on further action, as appropriate.

<i>FCCC/SB/2011/INF.6</i>	<i>Report on the joint workshop on matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol. Note by the secretariat</i>
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9. Methodological issues under the Convention

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

39. *Background:* The SBSTA, at its thirty-fourth session, invited the secretariats of the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO) to continue to report, at its future sessions, on relevant work in relation to addressing emissions from fuel used for international aviation and maritime transport.³⁰ These reports are contained in document FCCC/SBSTA/2011/MISC.9.

40. *Action:* The SBSTA will be invited to take note of the information contained in the reports provided by the secretariats of ICAO and IMO.

<i>FCCC/SBSTA/2011/MISC.9</i>	<i>Information relevant to emissions from fuel used for international aviation and maritime transport. Submissions from international organizations</i>
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(b) Revision of the UNFCCC reporting guidelines on annual inventories for Parties included in Annex I to the Convention

41. *Background:* The SBSTA, at its thirtieth session,³¹ agreed that the process for Parties included in Annex I to the Convention (Annex I Parties) to implement the use of the 2006 IPCC Guidelines for National Greenhouse Gas Inventories (hereinafter referred to as the 2006 IPCC Guidelines), starting in 2015, should be through a revision of the “Guidelines

²⁷ FCCC/SBSTA/2010/13, paragraph 105.

²⁸ FCCC/SBI/2010/27, paragraph 90.

²⁹ FCCC/SBSTA/2011/2, paragraph 68.

³⁰ FCCC/SBSTA/2011/2, paragraph 73.

³¹ FCCC/SBSTA/2009/3, paragraph 99.

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).

42. At the same session, the SBSTA agreed to launch a work programme in 2010 for the revision of the UNFCCC Annex I reporting guidelines,³² in order to address issues relating to them and methodological issues related to reporting when using the 2006 IPCC Guidelines. At its thirty-second session, the SBSTA agreed on the process and timeline for this work programme.³³

43. At its thirty-fourth session, the SBSTA reiterated a request for the secretariat to organize, subject to the availability of resources, a fourth workshop under the work programme to address the annotated draft of the revised UNFCCC Annex I reporting guidelines.³⁴ The workshop is scheduled to take place in Bonn from 8 to 10 November 2011, and the report is contained in document FCCC/SBSTA/2011/INF.12.

44. At the same session, the SBSTA requested the secretariat to prepare a new version of the annotated draft of the revised UNFCCC Annex I reporting guidelines,³⁵ based on the outcomes of its thirty-fourth session, and to make it available in due time for the fourth workshop. It further requested the secretariat to prepare, after the fourth workshop and based on its outcomes, the new version of these guidelines, to be made available to the SBSTA at its thirty-fifth session.³⁶ This version of the guidelines is contained in document FCCC/SBSTA/2011/INF.11.

45. *Action:* The SBSTA will be invited to consider the documents prepared for the session, with a view to preparing a draft decision on this matter for adoption by the COP at its seventeenth session, in line with the work programme agreed to by the SBSTA at its thirty-second session.

<i>FCCC/SBSTA/2011/INF.11</i>	<i>Draft UNFCCC Annex I reporting guidelines. Note by the secretariat</i>
<i>FCCC/SBSTA/2011/INF.12</i>	<i>Report on the workshop on issues relating to the revision of the UNFCCC Annex I reporting guidelines. Note by the secretariat</i>

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

46. *Background:* The COP, by its decision 12/CP.9, requested the secretariat to prepare an annual report on inventory review activities, including any recommendations resulting from the lead reviewers’ meetings, for consideration by the SBSTA. The SBSTA, at its twenty-fourth session,³⁷ 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/2011/INF.13 and provides information on the review activities in 2011, recommendations from the lead reviewers’ meeting, details of training activities for inventory review experts under the Convention and its Kyoto Protocol and updated information on the roster of experts.

³² FCCC/SBSTA/2009/3, paragraph 101.

³³ FCCC/SBSTA/2010/6, paragraph 66 and annex II.

³⁴ FCCC/SBSTA/2011/2, paragraph 78.

³⁵ The annotated draft of the revised UNFCCC Annex I reporting guidelines prepared for the thirty-fourth session of the SBSTA can be found on the UNFCCC website at <<http://unfccc.int/5333.php>>.

³⁶ FCCC/SBSTA/2011/2, paragraph 79.

³⁷ FCCC/SBSTA/2006/5, paragraph 95.

47. *Action:* The SBSTA will be invited to take note of document FCCC/SBSTA/2011/INF.13.

<i>FCCC/SBSTA/2011/INF.13</i>	<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>
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10. Methodological issues under the Kyoto Protocol

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

48. *Background:* The CMP, by its decision 7/CMP.6, decided that carbon dioxide capture and storage in geological formations is eligible as project activities under the clean development mechanism (CDM), provided that the issues identified in decision 2/CMP.5, paragraph 29, are addressed and resolved in a satisfactory manner.

49. The CMP requested the SBSTA, at its thirty-fifth session, to elaborate modalities and procedures for the inclusion of carbon dioxide capture and storage in geological formations as CDM project activities, with a view to recommending a decision to the CMP at its seventh session, and decided that these modalities and procedures shall address the issues referred to in decision 7/CMP.6, paragraph 3.

50. The CMP invited Parties and admitted observer organizations to submit to the secretariat, by 21 February 2011, their views on how the issues referred to in decision 7/CMP.6, paragraph 3, can be addressed in the modalities and procedures, and requested the secretariat to prepare a synthesis report based on the submissions. The submissions from Parties are contained in document FCCC/SBSTA/2011/MISC.10, a list of relevant organizations that provided submissions is contained in document FCCC/SBSTA/2011/MISC.11 and the synthesis of views is contained in document FCCC/SBSTA/2011/INF.7.

51. The CMP also requested the secretariat to conduct a technical workshop with technical and legal experts, after the thirty-fourth session of the SBSTA but prior to its thirty-fifth session, to consider the submissions and the synthesis report and to discuss how the issues referred to in decision 7/CMP.6, paragraph 3, can be addressed in modalities and procedures. The workshop was held on 7 and 8 September 2011 in Abu Dhabi, United Arab Emirates, and the report on this workshop is contained in document FCCC/SBSTA/2011/INF.14.

52. The CMP further requested the secretariat to prepare draft modalities and procedures, based on the submissions and the technical workshop, for consideration by the SBSTA at its thirty-fifth session. The draft modalities are contained in document FCCC/SBSTA/2011/4.

53. *Action:* The SBSTA will be invited to consider the documents prepared for the session and elaborate modalities and procedures for the inclusion of carbon dioxide capture and storage in geological formations as CDM project activities, with a view to recommending a decision for adoption by the CMP at its seventh session.

<i>FCCC/SBSTA/2011/4</i>	<i>Draft modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat</i>
<i>FCCC/SBSTA/2011/MISC.10</i>	<i>Views on carbon dioxide capture and storage in geological formations as clean development mechanism</i>

	<i>project activities. Submissions from Parties</i>
<i>FCCC/SBSTA/2011/MISC.11</i>	<i>Views on carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Submissions from admitted observer organizations</i>
<i>FCCC/SBSTA/2011/INF.7</i>	<i>Synthesis of views on modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat</i>
<i>FCCC/SBSTA/2011/INF.14</i>	<i>Report on the workshop on modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat</i>

(b) 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)

54. *Background:* The SBSTA, at its thirty-fourth session, took note of the technical paper prepared by the secretariat,³⁸ its previous conclusions under this agenda sub-item and the views expressed by Parties during the session, and agreed to continue its consideration of the matter at its thirty-fifth session.³⁹

55. *Action:* The SBSTA will be invited to continue its consideration of this issue, with a view to determining any further action on this matter, as appropriate.

(c) Implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities

56. *Background:* The CMP, by its decision 2/CMP.5, requested 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 Executive Board to the CMP.⁴⁰

57. The SBSTA, at its thirty-third session, invited Parties and admitted observer organizations to submit to the secretariat, by 28 March 2011, their views on the implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation CDM project activities.⁴¹ These views are contained in document FCCC/SBSTA/2011/MISC.12.

58. It requested the secretariat to prepare a synthesis report based on the views submitted by Parties and admitted observer organizations, which is contained in document FCCC/SBSTA/2011/INF.15.

59. *Action:* The SBSTA will be invited to consider the documents prepared for the session and to decide on any further action, as appropriate.

<i>FCCC/SBSTA/2011/MISC.12</i>	<i>Views on the implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities. Submissions from Parties</i>
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³⁸ FCCC/TP/2011/2.

³⁹ FCCC/SBSTA/2011/2, paragraphs 88 and 89.

⁴⁰ FCCC/KP/CMP/2009/16.

⁴¹ FCCC/SBSTA/2010/13, paragraph 93.

<i>and relevant organizations</i>
<i>FCCC/SBSTA/2011/INF.15 Synthesis of views on the implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities. Note by the secretariat</i>

(d) Materiality standard under the clean development mechanism

60. *Background:* The CMP, by its decision 3/CMP.6, requested the SBSTA to consider the issue of materiality, with a view to recommending a draft decision on this matter for adoption by the CMP at its seventh session.

61. The SBSTA, at its thirty-fourth session, agreed to continue the consideration of this matter, at its thirty-fifth session, on the basis of a draft text contained in annex III to document FCCC/SBSTA/2011/2.

62. The SBSTA invited⁴² Parties, intergovernmental organizations, admitted observer organizations and designated operational entities to submit to the secretariat, by 19 September 2011, their views on:

- (a) Whether the concept of materiality could be applied in the context of the CDM;
- (b) If appropriate:
 - (i) How materiality should be defined in the context of the CDM;
 - (ii) The appropriate thresholds used to define the conditions under which a piece of information should be regarded as material;
 - (iii) The areas to which the concept of materiality should be applied;
- (c) The relationship, as well as the differences, between uncertainty and materiality.

63. The SBSTA requested the secretariat to compile the submissions referred to in paragraph 62 above into a miscellaneous document for consideration by the SBSTA at its thirty-fifth session. The submissions are contained in document FCCC/SBSTA/2011/MISC.13.

64. *Action:* The SBSTA will be invited to continue its consideration of this matter, based on the draft text contained in annex III to document FCCC/SBSTA/2011/2, and on the submissions referred to in paragraphs 62 and 63 above, with a view to recommending elements to be incorporated into a draft decision on further guidance relating to the CDM, for consideration and adoption by the CMP at its seventh session.

<i>FCCC/SBSTA/2011/MISC.13 Views on the materiality standard under the clean development mechanism. Submissions from Parties and relevant organizations</i>

(e) Annual report on the technical review of greenhouse gas inventories and other information reported by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol under Article 7, paragraph 1, of the Kyoto Protocol

65. *Background:* In accordance with decision 22/CMP.1, the secretariat shall prepare an annual report to the SBSTA on the composition of the expert review teams, including the

⁴² FCCC/SBSTA/2011/2, paragraph 94.

selection of experts for the review teams and the lead reviewers.⁴³ The lead reviewers collectively shall prepare an annual report to the SBSTA with suggestions on how to improve the review process and shall give advice on the standardized data comparisons of inventory information to be conducted by the secretariat based on the electronic common reporting format submissions to be used in the review process.⁴⁴ The report contained in document FCCC/SBSTA/2011/INF.16 provides information on the review activities in 2011 under the Kyoto Protocol, including information on the selection of experts for the review teams, and recommendations from the lead reviewers on how to improve the review process.

66. *Action:* The SBSTA will be invited to take note of document FCCC/SBSTA/2011/INF.16.

FCCC/SBSTA/2011/INF.16 Annual report on the technical review of greenhouse gas inventories and other information reported by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol under Article 7, paragraph 1, of the Kyoto Protocol. Note by the secretariat

11. Other matters

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

12. Report on the session

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

69. *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.

⁴³ Decision 22/CMP.1, annex, paragraph 35.

⁴⁴ Decision 22/CMP.1, annex, paragraph 40.

Annex

[English only]

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

FCCC/SBSTA/2011/3	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBSTA/2011/4	Draft modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat
FCCC/SBSTA/2011/INF.7	Synthesis of views on modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat
FCCC/SBSTA/2011/INF.8	Ecosystem-based approaches to adaptation: compilation of information. Note by the secretariat
FCCC/SBSTA/2011/INF.9	Progress made in implementing activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change. Note by the secretariat
FCCC/SBSTA/2011/INF.10	Report on the workshop on technology needs assessments. Note by the secretariat
FCCC/SBSTA/2011/INF.11	Draft UNFCCC Annex I reporting guidelines. Note by the secretariat
FCCC/SBSTA/2011/INF.12	Report on the workshop on issues relating to the revision of the UNFCCC Annex I reporting guidelines. Note by the secretariat
FCCC/SBSTA/2011/INF.13	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/2011/INF.14	Report on the workshop on modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat
FCCC/SBSTA/2011/INF.15	Synthesis of views on the implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities. Note by the secretariat

FCCC/SBSTA/2011/INF.16	Annual report on the technical review of greenhouse gas inventories and other information reported by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol under Article 7, paragraph 1, of the Kyoto Protocol. Note by the secretariat
FCCC/SBSTA/2011/INF.17	Report on the expert meeting on guidance on systems for providing information on how safeguards for REDD-plus activities are addressed and respected. Note by the secretariat
FCCC/SBSTA/2011/INF.18	Report on the expert meeting on forest reference emission levels and forest reference levels for implementation of REDD-plus activities. Note by the secretariat
FCCC/SBSTA/2011/MISC.6	Proposals for upcoming activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change. Submissions from Parties and relevant organizations
FCCC/SBSTA/2011/MISC.7	Views on 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. Submissions from Parties
FCCC/SBSTA/2011/MISC.8	Views on the research dialogue, including ongoing activities, associated modalities and ways to enhance it. Submissions from Parties
FCCC/SBSTA/2011/MISC.9	Information relevant to emissions from fuel used for international aviation and maritime transport. Submissions from international organizations
FCCC/SBSTA/2011/MISC.10	Views on carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Submissions from Parties
FCCC/SBSTA/2011/MISC.11	Views on carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Submissions from admitted observer organizations
FCCC/SBSTA/2011/MISC.12	Views on the implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities. Submissions from Parties and relevant organizations
FCCC/SBSTA/2011/MISC.13	Views on the materiality standard under the clean development mechanism. Submissions from Parties and relevant organizations

FCCC/SBSTA/2011/MISC.14	Summary on progress in the development of methodologies, standards and protocols for climate-related terrestrial observations and related matters. Submission from the secretariat of the Global Terrestrial Observing System
FCCC/SB/2011/2	Report on activities and performance of the Technology Executive Committee for 2011
FCCC/SB/2011/INF.5	Report on the special event held in the context of the forum on the impact of the implementation of response measures at the thirty-fourth sessions of the subsidiary bodies. Note by the secretariat
FCCC/SB/2011/INF.6	Report on the joint workshop on matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol. Note by the secretariat
FCCC/SB/2011/MISC.4	Further views on the elements for the development of a work programme and a possible forum on response measures. Submissions from Parties and relevant organizations
FCCC/TP/2011/5	Water and climate change impacts and adaptation strategies. Technical paper

Other documents before the session

FCCC/SBSTA/2011/2	Report of the Subsidiary Body for Scientific and Technological Advice on its thirty-fourth session, held in Bonn from 6 to 16 June 2011
FCCC/SBI/2011/7 and Add.1	Report of the Subsidiary Body for Implementation on its thirty-fourth session, held in Bonn from 6 to 17 June 2011
FCCC/CP/2010/7 and Add.1 and 2 and Corr.1	Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010
FCCC/KP/CMP/2010/12 and Add.1 and 2	Report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its sixth session, held in Cancun from 29 November to 10 December 2010
FCCC/CP/1996/2	Organizational matters: Adoption of the rules of procedure. Note by the secretariat

**Agenda for the sixteenth session of the Ad Hoc Working Group on Further
Commitments for Annex I Parties under the Kyoto Protocol**

Bangkok, Thailand, 5–8 April 2011
Bonn, Germany, 6–17 June 2011
Panama City, Panama, 1–7 October 2011
and
Durban, South Africa, 29 November 2011 – *

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.
3. Consideration of further commitments for Annex I Parties under the Kyoto Protocol.
4. Other matters.
5. Report on the session.

* The fourth part of the session will be held in conjunction with the seventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP). The Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP) will aim to complete its work and have its results adopted by the CMP as per decision 1/CMP.6, paragraph 1. The closing date of the session of the AWG-KP will be determined in Durban.

**Agenda of the
Ad Hoc Working Group on Long-term Cooperative Action under the
Convention
at its fourteenth session**

**Bangkok, Thailand, 5–8 April 2011, Bonn, Germany, 7–17 June 2011,
Panama City, Panama, 1–7 October 2011 and
Durban, South Africa, 29 November 2011 – ***

1. Opening of the session.
2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session.
3. Preparation of a comprehensive and balanced outcome to be presented to the Conference of the Parties for adoption at its seventeenth session to enable the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, pursuant to the results of the thirteenth and sixteenth sessions of the Conference of the Parties and recognizing that the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention includes both implementation tasks and issues that are still to be concluded:
 - 3.1. A shared vision for long-term cooperative action;
 - 3.2. Enhanced action on mitigation:
 - 3.2.1. Nationally appropriate mitigation commitments or actions by developed country Parties;
 - 3.2.2. Nationally appropriate mitigation actions by developing country Parties;
 - 3.2.3. 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;
 - 3.2.4. Cooperative sectoral approaches and sector-specific actions, in order to enhance the implementation of Article 4, paragraph 1(c), of the Convention;
 - 3.2.5. Various approaches, including opportunities for using markets, to enhance the cost-effectiveness of, and to promote, mitigation actions, bearing in mind

* The fourth part of the session will be held in conjunction with the seventeenth session of the Conference of the Parties (COP). The Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) will present the results of its work to the COP for consideration as per decision 1/CP.16, paragraph 143. The closing date of the session of the AWG-LCA will be determined in Durban.

different circumstances of developed and developing countries;

3.2.6. Economic and social consequences of response measures;

3.3. Enhanced action on adaptation;

3.4. Finance;

3.5. Technology development and transfer;

3.6. Capacity-building.

4. Review: further definition of its scope and development of its modalities.

5. Continued discussion of legal options with the aim of completing an agreed outcome based on decision 1/CP.13, the work done at the sixteenth session of the Conference of the Parties and proposals made by Parties under Article 17 of the Convention.

6. Other matters:

(a) Parties included in Annex I to the Convention undergoing the process of transition to a market economy;

(b) Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties.

7. Additional matters.

8. Report on the session.

附件二

德班會議決議

Decisions adopted by COP17

Decisions adopted by COP17/CMP7

Decisions adopted by COP17	Decisions adopted by CMP7
<ol style="list-style-type: none"> 1. Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention 2. Establishment of an Ad Hoc Working Group on the Durban Platform for Enhanced Action 3. Launching of the Green Climate Fund 4. Technology Executive Committee - modalities and procedures 5. National adaptation plans 6. Nairobi work programme on impacts, vulnerability and adaptation to climate change 7. Work programme on loss and damage 8. Forum on response measures 9. Financial mechanism of the Convention: LDCF: support for the implementation of elements of the LDC work programme other than NAPAs 10. Amendment to Annex I to the Convention 11. Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility 12. REDD+ : Safeguards and reference levels 13. Capacity-building under the Convention in developing countries 14. National communications from Parties not included in Annex I to the Convention - Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention 15. Revision of the UNFCCC reporting guidelines on annual inventories for Parties included in Annex I to the Convention 16. Research dialogue on developments in research activities relevant to the needs of the Convention 17. Administrative, financial and institutional matters 18. Programme budget for the biennium 2012–2013 19. Dates and venues of future sessions 	<ol style="list-style-type: none"> 1. Outcome of the work of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol at its sixteenth session 2. Land use, land-use change and forestry 3. Emissions trading and the project-based mechanisms 4. Greenhouse gases, sectors and source categories, common metrics to calculate carbon dioxide equivalence of anthropogenic emissions by sources and removals by sinks, and other methodological issues 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 6. Report of the Adaptation Fund Board 7. Review of the Adaptation Fund 8. Further guidance relating to the clean development mechanism 9. Materiality standard under the clean development mechanism 10. Modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities 11. Issues relating to joint implementation 12. Compliance Committee 13. Proposal from Kazakhstan to amend Annex B to the Kyoto Protocol 14. Appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee in relation to the implementation of decision 7/CP.12 15. Capacity-building under the Kyoto Protocol for developing countries 16. Administrative, financial and institutional matters 17. Programme budget for the biennium 2012–2013
Resolution adopted by COP 17 and CMP 7	
<p>Expression of gratitude to the Government of the Republic of South Africa, the province of KwaZulu-Natal and the people of the city of Durban</p>	

附件三

聯合國氣候變化綱要公約第 17 次締約國大會報告
Report of the Conference of the Parties on its
seventeenth session, held in Durban from 28
November to 9 December 2011



Framework Convention on Climate Change

Distr.: Limited
7 December 2011

Original: English

Conference of the Parties

Seventeenth session

Durban, 28 November to 9 December 2011

Agenda item 18(a)

Conclusion of the session

Adoption of the report of the Conference of the Parties on its seventeenth session

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

Rapporteur: Mr. Andrej Kranjc (Slovenia)

Part one: Proceedings

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- B. Closure of the session

Annexes

(To be completed)

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

(To be completed)

I. Opening of the session

(Agenda item 1)¹

1. The seventeenth session of the Conference of the Parties (COP), convened pursuant to Article 7, paragraph 4, of the Convention, was opened at the International Convention Centre and Durban Exhibition Centre in Durban, South Africa, on 28 November 2011, by Ms. Patricia Espinosa Cantellano, President of the COP at its sixteenth session.² She welcomed the presence of the President of South Africa, Mr. Jacob Gedleyihlekisa Zuma, the President of Chad, Chairperson of the Economic Community of Central African States (ECCAS), Mr. Idriss Déby Itno, and the Vice-President of Angola (representing the Southern African Development Community (SADC)), Mr. Fernando da Piedade Dias dos Santos.

2. The President then recalled the recent passing away on 13 November 2011 of Mr. Mama Konaté (Mali), Chair of the Subsidiary Body for Scientific and Technological Advice (SBSTA). In honour of his memory, the President invited all delegates to observe a minute of silence and then invited a representative of the Government of Mali to address the plenary in tribute. The President informed Parties that there would be several opportunities to pay tribute to Mr. Konaté, including through general statements and also in the SBSTA opening plenary.

3. The outgoing President, Ms. Espinosa, delivered a statement outlining the important steps taken during last year's meeting in Cancun, Mexico, and thanked all conference participants for the support extended to the Mexican Presidency.

Host Government welcoming ceremony

4. The formal opening included a welcoming ceremony organized by the Government of South Africa to mark the opening of the seventeenth session of the COP and the seventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP). Statements were made by the Executive Secretary, Ms. Christiana Figueres, the Vice-President of Angola (representing SADC), Mr. Fernando da Piedade Dias dos Santos, and the President of Chad, Chairperson of ECCAS, Mr. Idriss Déby Itno. The President of South Africa, Mr. Jacob Gedleyihlekisa Zuma, officially welcomed participants to the city of Durban and expressed his hope that this meeting would take us many steps forward towards a solution that saves tomorrow today.

¹ The Conference of the Parties agreed to work on the basis of the provisional agenda.

² The seventeenth session of the COP was held in conjunction with the seventh 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.

II. Organizational matters

(Agenda item 2)

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

(Agenda item 2(a))

5. At the 1st meeting³ of the COP, on 28 November, the President recalled that, in accordance with rule 22, paragraph 1, of the draft rules of procedure being applied, the office of President of the COP is subject to rotation among the five regional groups. She informed Parties that a nomination had been received from the African Group. Following her proposal, the COP elected by acclamation Ms. Maite Nkoana-Mashabane, Minister of International Relations and Cooperation of South Africa, as its President. The outgoing President, Ms. Espinosa, congratulated Ms. Nkoana-Mashabane on her election and wished her success in guiding the work of the COP at its seventeenth session. A statement was made by the newly elected President.

B. Adoption of the rules of procedure

(Agenda item 2(b))

6. The COP considered this sub-item at its 1st and x meetings, on 28 November and x December, respectively.

7. At the 1st meeting, on 28 November, the President recalled that the President of the COP at its sixteenth session had proposed, and Parties had agreed, that she would conduct intersessional consultations on this issue and inform the COP of any developments. As there continued to be no consensus on this matter, the President proposed 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.

8. In addition, the President requested Mr. Jerry Matjila (South Africa) to hold informal consultations on this issue.

9. Following the proposal of the President, a statement was made by a Party representative.⁴

(To be completed)

C. Adoption of the agenda

(Agenda item 2(c))

10. At the 1st meeting, on 28 November, the President drew the attention of the COP to the note by the Executive Secretary containing the provisional agenda and annotations (FCCC/CP/2011/1). The provisional agenda was prepared in agreement with the President of the COP at its sixteenth session, taking into account views expressed by Parties during the thirty-fourth session of the Subsidiary Body for Implementation (SBI) and by members of the Bureau of the COP.

³ Meetings of the COP referred to in this report are plenary meetings.

⁴ Statements are included in the webcasts of the plenary sessions and are available on the UNFCCC website at <http://unfccc.int/meetings/durban_nov_2011/meeting/6245.php>.

11. Regarding items 11, 12 and 13 of the provisional agenda, the President proposed to undertake inclusive consultations with Parties to determine how to address the items during this session.

12. The President further proposed to proceed with work on the basis of the provisional agenda with a view to formally adopting the agenda at a later meeting.

13. Statements were made by representatives of two Parties.⁵

(To be completed)

D. Election of officers other than the President

(Agenda item 2(d))

14. At the 1st meeting, on 28 November, the President informed the COP that Ms. Andrea Garcia Guerrero (Colombia) and Mr. Andrej Kranjc (Slovenia), members of the CMP 16/CMP 6 Bureau, had begun consultations on this matter but that nominations had not yet been received from all regional groups. The President requested Ms. Garcia Guerrero and Mr. Kranjc to continue their consultations during the session until all the nominations had been finalized.

15. On a proposal by the President, the COP decided to postpone the election of the other officers of the Bureau until all nominations were finalized.

(To be completed)

E. Admission of organizations as observers

(Agenda item 2(e))

16. At its 1st meeting, on 28 November, the COP considered a note by the secretariat on the admission of organizations as observers (FCCC/CP/2011/2), listing seven intergovernmental organizations and 133 non-governmental organizations that had asked to be admitted as observers.

17. In accordance with the recommendations of the Bureau, and upon a proposal by the President, the COP admitted the organizations listed in document FCCC/CP/2011/2.

18. A statement was made by a Party representative.

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

(Agenda item 2(f))

19. At the 1st meeting, on 28 November, the President drew the attention of the COP to the annotations to the provisional agenda contained in document FCCC/CP/2011/1. She noted that the subsidiary bodies would be convened with the aim of developing, before their sessions ended on 3 December, draft decisions and conclusions for submission to the COP. She also noted that the Ad Hoc Working Group on Long-term Cooperative Action

⁵ Under this agenda sub-item, a statement was made by a representative of Singapore explaining Singapore's procedural concerns related to the provisional agenda of the Conference of the Parties at its seventeenth session and Singapore's understanding on the adoption of this provisional agenda. Statements are included in the webcasts of the plenary sessions and are available on the UNFCCC website at <http://unfccc.int/meetings/durban_nov_2011/meeting/6245.php>.

under the Convention (AWG-LCA) would submit the results of its work before the end of its session.

20. 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 10(a)(i) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility
- Item 10(b)(i) National communications from Parties included in Annex I to the Convention
- Item 10(b)(ii) National communications from Parties not included in Annex I to the Convention
- Item 10(c) Development and transfer of technologies
- Item 10(d) Capacity-building under the Convention
- Item 10(e)(i) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10)
- Item 10(e)(ii) Matters relating to the least developed countries
- Item 14(a) Budget performance for the biennium 2010–2011

Subsidiary Body for Scientific and Technological Advice

- Item 10(c) Development and transfer of technologies
- Item 10(e)(i) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10)

21. Delegates were reminded that the SBI and the SBSTA would consider different aspects of sub-items 10(c) and 10(e)(i).

22. With regard to agenda item 15, “High-level segment”, the President informed delegates that the inauguration of the high-level segment would take place on the afternoon of 6 December, and that national statements would be heard on 7 and 8 December, and would continue until 9 December. 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 proposed a time limit of three minutes for each statement at the high-level segment. She also noted that brief statements from senior representatives of intergovernmental and non-governmental organizations would be heard on 9 December and that a time limit of two minutes per statement had been set.

23. At the 2nd meeting, on 28 November, 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.16, requested the AWG-LCA to report to the COP at its seventeenth session. She informed delegates that the Chair of the AWG-LCA, Mr. Daniel Reifsnyder (United States of America), would deliver the report of the working group to the COP at a subsequent meeting and invited Mr. Reifsnyder to briefly provide information about the organization of work of the AWG-LCA.

24. The President recalled the SBI recommendation regarding the participation of observers in informal sessions and proposed that at least the first and last meeting of informal consultations be opened to observer organizations where appropriate.⁶

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

26. General statements were made by the representatives of Argentina (on behalf of the Group of 77 and China), Australia (on behalf of the Umbrella Group), the European Union (on behalf of its member States), Switzerland (on behalf of the Environmental Integrity Group (EIG)), the Democratic Republic of the Congo (on behalf of the African Group), Grenada (on behalf of the Alliance of Small Island States (AOSIS)), the Gambia (on behalf of the least developed countries), Cuba (on behalf of the Bolivarian Alliance for the Peoples of Our America – Peoples' Trade Treaty), Egypt (on behalf of the Arab Group), Tajikistan (on behalf of the Group of Mountainous Landlocked Developing Countries), Papua New Guinea (on behalf of the Coalition for Rainforest Nations), China (on behalf of Brazil, China, India and South Africa) and El Salvador (on behalf of the Central American Integration System).⁷

27. At the close of the general statements, the President emphasized her personal commitment to working closely with the Chairs of all four subsidiary bodies and with the coordinators of the negotiating groups. To this end, on 3 and 6 December, the President convened stocktaking plenaries that had the goal of ensuring that open, inclusive and transparent progress in the negotiations is achieved.

28. Statements were made by representatives of four non-governmental organization constituencies (business and industry non-governmental organizations, local government and municipal authorities, trade union non-governmental organizations and youth non-governmental organizations).

29. At the 3rd meeting, on 30 November, the President noted the important work of the Intergovernmental Panel on Climate Change (IPCC) and invited Dr. Rajendra Pachauri, the Chairman of the IPCC, to address the plenary. Mr. Pachauri drew attention to two reports released by the IPCC in 2011, the *Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation*⁸ and the *Special Report on Renewable Energy Sources and Climate Change Mitigation*.⁹

(To be completed)

G. Dates and venues of future sessions

(Agenda item 2(g))

30. At the resumed 3rd meeting, on 30 November, the President recalled that the COP, by its decision 12/CP.16, took note of the offers of the Governments of Qatar and the Republic of Korea to host COP 18 and CMP 8.

31. At the invitation of the President, the representative of Qatar made a statement inviting delegates to COP 18 and CMP 8 in Qatar. This was followed by a statement by the representative of the Republic of Korea, who informed Parties that his country will host a

⁶ FCCC/SBI/2011/7, paragraph 167.

⁷ The full webcasts of the plenary sessions are available at <http://unfccc4.metafusion.com/kongresse/cop17/templ/ovw_onDemand.php?id_kongressmain=201>. This URL is temporary and will change upon publication of the final report.

⁸ The full report is available online at <<http://www.ipcc.ch/#>>.

⁹ The full report is available online at <<http://srren.ipcc-wg3.de/report>>.

ministerial meeting in 2012, noting that this meeting will play a central role in supporting Qatar to prepare for COP 18 and CMP 8.

32. The President thanked the Republic of Korea and Qatar for their efforts in coming to an agreement on the hosting of COP 18 and CMP 8 and invited the Chair of the Asian Group to make a statement.

33. The President noted that in keeping with the rotation among regional groups, the President of COP 19 and CMP 9 will come from the Eastern European Group. The President encouraged the Eastern European Group to continue its discussions, with a view to endorsing a candidature to host COP 19 and CMP 9 at the session. The President also invited interested Parties to come forward with offers to host COP 20 and CMP 10 and noted that, in keeping with the rotation among regional groups, the President of COP 20 and CMP 10 will come from the Latin America and Caribbean Group.

34. The President proposed to prepare a draft decision for consideration by the COP at its closing meeting.

(To be completed)

H. Adoption of the report on credentials

(Agenda item 2(h))

(To be completed)

III. Reports of the subsidiary bodies

(Agenda item 3)

A. Report of the Subsidiary Body for Scientific and Technological Advice

(Agenda item 3(a))

(To be completed)

B. Report of the Subsidiary Body for Implementation

(Agenda item 3(b))

(To be completed)

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

(Agenda item 4)

(To be completed)

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

(Agenda item 5)

35. At the resumed 3rd and x meetings, on 30 November and x December, respectively, the COP had before it documents FCCC/CP/2009/3, FCCC/CP/2009/4, FCCC/CP/2009/5, FCCC/CP/2009/6, FCCC/CP/2009/7 and FCCC/CP/2010/3.

36. In accordance with Article 17, paragraph 2, of the Convention, the proposals from Australia, Costa Rica, Japan, Tuvalu and the United States of America were communicated through notes verbales to Parties and signatories to the Convention six months before COP 15. However, as Parties were not able to reach consensus on how to proceed with these proposals at COP 15, the agenda item was included in the provisional agenda for COP 16.

37. In addition, on 28 May 2010, Grenada submitted a proposal for a new protocol. In accordance with Article 17, paragraph 2, of the Convention, the secretariat communicated the text of this proposal to Parties and signatories to the Convention six months before COP 16.

38. In introducing this item, the President recalled that proposals (as contained in the documents mentioned in para. 34 above) had been received from the following six Parties: Australia, Costa Rica, Grenada, Japan, Tuvalu and the United States of America.

39. The President opened the floor for statements. A representative of one Party made a statement on behalf of AOSIS.

40. On a proposal by the President, the COP decided to keep this item open and await the outcome of the AWG-LCA consideration of legal options.

(To be completed)

VI. Consideration of proposals by Parties for amendments to the Convention under its Articles 15 and 16

(Agenda item 6)

41. At the resumed 3rd and x meetings, on 30 November and x December, respectively, the COP had before it documents FCCC/CP/2011/5, FCCC/CP/2011/4 and FCCC/CP/2011/3.

42. In introducing this item, the President stated that three proposals for amendments to the Convention under its Articles 15 and 16 had been submitted by Parties for consideration at the seventeenth session of the COP. The Russian Federation, on 24 May 2011, submitted a proposal for an amendment to Article 4, paragraph 2(f); Papua New Guinea and Mexico, on 26 May 2011, submitted a proposal for amendments to Articles 7 and 18; and Cyprus and the European Union, on 3 June 2011, submitted a proposal to amend Annex I to the Convention.

43. In accordance with Articles 15 and 16 of the Convention, the proposals were communicated through notes verbales to Parties and signatories to the Convention six months before COP 17 and sent, for information, to the Depositary on 22 June 2011.

44. The President proposed to take up the three proposals separately and invited the proponents to introduce their proposals. On the proposal from Cyprus and the European Union to amend Annex I to the Convention, the President recalled that a similar proposal was made at the fifteenth session of the COP to add Malta to Annex I to the Convention. The amendment was adopted by the COP through its decision 3/CP.15.

45. A representative of a Party made a statement on behalf of the European Union and its member States on the proposal from Cyprus and the European Union to amend Annex I to the Convention.

46. Representatives of eight Parties made statements on the proposal of Papua New Guinea and Mexico for amendments to Articles 7 and 18, including one statement on behalf of the European Union and its member States.

47. Representatives of seven Parties made statements on the proposal of the Russian Federation for an amendment to Article 4, paragraph 2(f), including one statement on behalf of the European Union and its member States.

48. For the proposal from Cyprus and the European Union regarding the amendment of Annex I to the Convention, the President requested Mr. Stephen de Boer (Canada) to hold informal consultations on this issue.

49. On the joint proposal from Papua New Guinea and Mexico regarding amendments to Articles 7 and 18 of the Convention, the President requested Ms. Paula Caballero Gomez (Colombia) to hold informal consultations on this issue.

50. For the proposal from the Russian Federation, regarding an amendment to Article 4, paragraph 2(f), of the Convention, the President requested Mr. Javier Díaz Carmona (Costa Rica) to hold informal consultations on this issue.

(To be completed)

VII. Technology Executive Committee – modalities and procedures

(Agenda item 7)

51. At the resumed 3rd meeting, on 30 November, the COP had before it the report on the modalities and procedures of the Technology Executive Committee (TEC) (FCCC/CP/2011/8).

52. The President recalled that the establishment of the Technology Mechanism, comprising the TEC and the Climate Technology Centre and Network, was one of the landmark achievements of the United Nations Climate Change Conference in Cancun and she congratulated Mr. Gabriel Blanco (Argentina) and Mr. Antonio Pflüger (Germany) for their election to the positions of Chair and Vice-Chair of the TEC. She noted that the joint SBI and SBSTA item on the development and transfer of technology would consider the report of the TEC on activities and performance.

53. The President invited the Chair of the TEC, Mr. Blanco, to provide an oral report to the COP. Mr. Blanco outlined the work done by the TEC during its first year, including the elaboration of and agreement on the modalities and procedures to be considered by the COP at the session. He noted that the six elements considered by the TEC as the core of its modalities are the following: analysis and synthesis; policy recommendations; facilitation and catalysing; linkage with other institutional arrangements; engagement with stakeholders; and information and knowledge sharing. He expressed gratitude to all Parties for their commitment and efforts and underscored the importance of engaging stakeholders in the Technology Mechanism.

54. Representatives of eight Parties made statements, including one statement on behalf of the Group of 77 and China and one on behalf of the European Union and its member States.

55. On a proposal by the President, the COP decided to establish a contact group, co-chaired by Mr. Carlos Fuller (Belize) and Mr. Zitouni Ould-Dada (United Kingdom of Great Britain and Northern Ireland), to consider the report on modalities and procedures and to develop a draft decision for consideration by the COP at the session.

(To be completed)

VIII. Green Climate Fund – report of the Transitional Committee

(Agenda item 8)

56. At the resumed 3rd meeting, on 30 November, the COP had before it the report of the Transitional Committee for the design of the Green Climate Fund (GCF) (FCCC/CP/2011/6 and Add.1).

57. The President recalled that in decision 1/CP.16 the COP decided that the GCF would be designed by a Transitional Committee (TC). She thanked the Co-Chairs of the TC, Mr. Ernesto Cordero Arroyo (Mexico), Mr. Kjetil Lund (Norway) and Mr. Trevor Manuel (South Africa), for their dedication and hard work and requested Mr. Trevor Manuel to present the report.

58. Mr. Manuel presented the report on behalf of the TC, noting that its work had been guided by the principles of inclusiveness and transparency. During its final meeting the TC considered its report to the COP at its seventeenth session, including a draft governing instrument for the GCF and recommendations addressing transitional arrangements, and agreed to submit its report with a draft governing instrument and draft recommendations to the COP for its consideration and approval. He then pointed out that the draft governing instrument responds to all elements of the mandate given to the Committee and noted that, if adopted, the instrument would enable the GCF to be operationalized. He stressed that in his view the report is balanced and presents a good middle ground and a sound basis for launching the GCF in Durban. He concluded by thanking the members of the TC, the Co-Chairs and their deputies, the Parties that provided support through financial contributions or by hosting its meetings, the Technical Support Unit and the organizations that seconded staff to support the TC.

59. Statements were made by representatives of 28 Parties, including a statement made on behalf of the EIG, one on behalf of the European Union and its member States, one on behalf of AOSIS and one on behalf of the Latin America and Caribbean Group.

60. A statement was also made by a representative of a non-governmental organization constituency (indigenous peoples organizations).

61. The President proposed to hold transparent and inclusive informal consultations on the item, based on the draft recommendations contained in document FCCC/CP/2011/6 and Add.1.

62. Additional statements were made by representatives of 12 Parties.

63. The COP agreed on the proposal made by the President for her to hold transparent and inclusive informal consultations and to report back to the COP at a later meeting.

(To be completed)

IX. Second review of the adequacy of Article 4, paragraph 2(a) and (b), of the Convention¹⁰

(Agenda item 9)

(To be completed)

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

(Agenda item 10)

A. Financial mechanism of the Convention

(Agenda item 10(a))

(To be completed)

B. National communications

(Agenda item 10(b))

(To be completed)

C. Development and transfer of technologies

(Agenda item 10(c))

(To be completed)

D. Capacity-building under the Convention

(Agenda item 10(d))

(To be completed)

¹⁰ Parties may recall that at COP 4 it “proved impossible to reach any agreed conclusions or decisions” on this matter (FCCC/CP/1998/16, para. 64) and the item was therefore included in the provisional agenda for COP 5 in accordance with rules 10(c) and 16 of the draft rules of procedure being applied. The COP, at its fifth session, could not reach a conclusion on this matter (FCCC/CP/1999/6, para. 18) and, in accordance with rules 10(c) and 16 of the draft rules of procedure being applied, the item was included in the provisional agendas for the sixth and up to and including the twelfth sessions of the COP, with a footnote reflecting a proposal made by the Group of 77 and China to amend the item to read “Review of the adequacy of implementation of Article 4, paragraph 2(a) and (b), of the Convention”. The COP, at its thirteenth session, invited the Executive Secretary to come forward with a proposal to be considered by the SBI at its twenty-eighth session (FCCC/CP/2008/7, para. 10). On the basis of the recommendation of the SBI and following a proposal by the President, the COP, at its fourteenth session, decided to defer its consideration of this item, pursuant to rule 13 of the draft rules of procedure being applied, to the COP at its sixteenth session (FCCC/CP/2008/7, para. 10). The COP, at its sixteenth session, adopted its provisional agenda as contained in document FCCC/CP/2010/1, with the exception of item 6, “Second review of the adequacy of Article 4, paragraph 2(a) and (b), of the Convention”, which was held in abeyance.

E. Implementation of Article 4, paragraphs 8 and 9, of the Convention

(Agenda item 10(e))

(To be completed)

F. Other matters referred to the Conference of the Parties by the subsidiary bodies

(Agenda item 10(f))

(To be completed)

XI. Accelerated access to critical mitigation and adaptation technologies and related intellectual property rights¹¹

(Agenda 11)

(To be completed)

XII. Equitable access to sustainable development¹²

(Agenda 12)

(To be completed)

XIII. Unilateral trade measures¹³

(Agenda item 13)

(To be completed)

XIV. Administrative, financial and institutional matters

(Agenda item 14)

A. Budget performance for the biennium 2010–2011

(Agenda item 14(a))

(To be completed)

B. Programme budget for the biennium 2012–2013

(Agenda item 14(b))

(To be completed)

¹¹ At its 1st meeting, on 28 November, under agenda item 2(c), the President proposed to undertake inclusive consultations with Parties to determine how to address agenda items 11, 12 and 13 of the provisional agenda during this session.

¹² See footnote 9.

¹³ See footnote 9.

XV. High-level segment

(Agenda item 15)

A. Welcoming ceremony and opening of the high-level segment

64. A welcoming ceremony, attended by the President of South Africa, Mr. Jacob Zuma, the Secretary-General of the United Nations, Mr. BAN Ki-moon, the President of COP 17 and CMP 7, Ms. Nkoana-Mashabane, the Executive Secretary of the UNFCCC, Ms. Christiana Figueres, and other dignitaries, was held on 6 December.

65. The joint high-level segment of the COP at its seventeenth session and the CMP at its seventh session was opened by the President of the COP and the CMP at the 4th meeting of the COP and the 4th meeting of the CMP, on 6 December.

B. Statements by Parties

(To be completed)

C. Statements by United Nations officials

(To be completed)

XVI. Statements by observer organizations

(Agenda item 16)

(To be completed)

XVII. Other matters

(Agenda item 17)

(To be completed)

XVIII. Conclusion of the session

(Agenda item 18)

A. Adoption of the report of the Conference of the Parties on its seventeenth session

(Agenda item 18(a))

(To be completed)

B. Closure of the session

(Agenda item 18(b))

(To be completed)

Annexes

(To be completed)

附件四

京都議定書第 7 次締約國會議報告

Report of the Conference of the Parties serving as the
meeting of the Parties to the Kyoto Protocol on its
seventh session, held in Durban from 28
November to 9 December 2011



Framework Convention on Climate Change

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Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

Seventh session

Durban, 28 November to 9 December 2011

Agenda item 22(a)

Conclusion of the session

Adoption of the report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its seventh session

Draft report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its seventh session

Rapporteur: Mr. Andrej Kranjc (Slovenia)

Part one: Proceedings

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- B. Statements by Parties
- C. Statements by United Nations officials
- XX. Statements by observer organizations
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- A. Adoption of the report of the Conference of the Parties serving as the
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- B. Closure of the session

Annexes

(To be completed)

**Part two: Action taken by the Conference of the Parties
serving as the meeting of the Parties to the Kyoto
Protocol on its seventh session**

(To be completed)

I. Opening of the session

(Agenda item 1)

1. The seventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), convened pursuant to Article 13, paragraph 6, of the Kyoto Protocol, was opened at the International Convention Centre and Durban Exhibition Centre in Durban, South Africa, on 28 November 2011, by the Minister of International Relations and Co-operation of South Africa, Ms. Maite Nkoana-Mashabane, President of the CMP at its seventh session.¹

II. Organizational matters²

(Agenda item 2)

A. Adoption of the agenda

(Agenda item 2(a))

2. At its 1st meeting,³ on 28 November, the CMP had before it a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/KP/CMP/2011/1). The provisional agenda was prepared in agreement with the President of the CMP at its sixth session, taking into account views expressed by Parties during the thirty-fourth session of the Subsidiary Body for Implementation (SBI) and by members of the Bureau of the Conference of the Parties (COP).

3. Following the proposal of the President of the CMP at its seventh session, the CMP adopted the agenda as follows:

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:

¹ The seventh session of the CMP was held in conjunction with the seventeenth session of the Conference of the Parties (COP). The proceedings of the COP are contained in a separate report. References to statements and an address of welcome made at the opening of the United Nations Climate Change Conference are contained in the report of the COP. 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. All documentation and webcasts of the proceedings are available on the UNFCCC website at <http://unfccc.int/meetings/durban_nov_2011/meeting/6245.php>.

² During some meetings of the CMP, the President designated a Vice-President to act as President in accordance with rule 24 of the draft rules of procedure being applied (see document FCCC/CP/1996/2). However, for the sake of simplicity, the word "President" is used throughout this report.

³ Meetings of the CMP referred to in this report are plenary meetings.

- (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. Proposal from Kazakhstan to amend Annex B to the Kyoto Protocol.
7. Issues relating to the clean development mechanism.
8. Issues relating to joint implementation:
 - (a) Guidance on joint implementation;
 - (b) Review of the joint implementation guidelines.
9. Matters relating to compliance under the Kyoto Protocol:
 - (a) Report of the Compliance Committee;
 - (b) Appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee in relation to the implementation of decision 7/CP.12;
 - (c) Amendment of the Kyoto Protocol in respect of procedures and mechanisms relating to compliance.
10. Adaptation Fund:
 - (a) Report of the Adaptation Fund Board;
 - (b) Review of the Adaptation Fund.
11. Issues relating to the international transactional log.
12. National communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol.
13. Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol.
14. Capacity-building under the Kyoto Protocol.
15. Matters relating to Article 2, paragraph 3, of the Kyoto Protocol.
16. Matters relating to Article 3, paragraph 14, of the Kyoto Protocol.
17. Other matters referred to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol by the subsidiary bodies.
18. Administrative, financial and institutional matters:
 - (a) Budget performance for the biennium 2010–2011;
 - (b) Programme budget for the biennium 2012–2013.
19. High-level segment.
20. Statements by observer organizations.
21. Other matters.
22. 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 seventh session;
- (b) Closure of the session.

B. Election of replacement officers

(Agenda item 2(b))

4. At its 1st meeting, on 28 November, the President recalled that, under the Kyoto Protocol, any member of the Bureau representing 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 Kyoto Protocol.

5. The President proposed to return to this sub-item in due course during the session, once outstanding nominations were received and consultations were undertaken.

(To be completed)

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

(Agenda item 2(c))

6. At the 1st meeting, on 28 November, the President drew the attention of the CMP to the annotations to the provisional agenda contained in document FCCC/KP/CMP/2011/1. She noted that subsidiary bodies would be convened with the aim of developing, before their sessions ended on 3 December, draft decisions and conclusions for submission to the CMP. She also noted that the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP) would submit the results of its work before the session ended.

7. On a proposal by the President, the CMP 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 9(c) Amendment of the Kyoto Protocol in respect of procedures and mechanisms relating to compliance
- Item 11 Issues relating to the international transaction log
- Item 12 National communications from 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
- Item 14 Capacity-building under the Kyoto Protocol
- Item 16 Matters relating to Article 3, paragraph 14, of the Kyoto Protocol
- Item 18(a) Budget performance for the biennium 2010–2011

Subsidiary Body for Scientific and Technological Advice

- Item 15 Matters relating to Article 2, paragraph 3, of the Kyoto Protocol

8. With regard to agenda item 4, “Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol,” the President informed

delegates that the Chair of the AWG-KP, Mr. Adrian Macey (New Zealand), would report to the CMP on the work of the group upon its completion at a later meeting and invited Mr. Macey to provide information about the organization of the work of the AWG-KP.

9. The President recalled the SBI recommendation regarding the participation of observers in informal sessions and proposed that at least the first and last meeting of informal consultations be opened to observer organizations where appropriate.⁴

10. The CMP agreed to proceed on the basis of the proposals made by the President.

11. General statements were made by the representatives of Argentina (on behalf of the Group of 77 and China), Switzerland (on behalf of the Environmental Integrity Group), Australia (on behalf of the Umbrella Group), the European Union (on behalf of the European Union and its member States), the Democratic Republic of the Congo (on behalf of the African Group), Grenada (on behalf of the Alliance of Small Island States (AOSIS)), the Gambia (on behalf of the least developed countries (LDCs)), Saudi Arabia (on behalf of the Arab Group), China (on behalf of Brazil, South Africa, India and China), El Salvador (on behalf of the Central American Integration System), Papua New Guinea (on behalf of the Coalition for Rainforest Nations) and Venezuela (Bolivarian Republic of) (on behalf of the Bolivarian Alliance for the Peoples of Our America – Peoples' Trade Treaty).⁵

12. At the close of the general statements, the President emphasized her personal commitment to working closely with the Chairs of all four subsidiary bodies and with the coordinators of the negotiating groups. To this end, on 3 and 6 December, the President convened stocktaking plenaries that had the goal of ensuring that open, inclusive and transparent progress in the negotiations is achieved.

13. Statements by representatives of two non-governmental organization constituencies (environmental non-governmental organizations and indigenous peoples organizations) were distributed in the plenary.

D. Approval of the report on credentials

(Agenda item 2(d))

(To be completed)

III. Reports of the subsidiary bodies

(Agenda item 3)

A. Report of the Subsidiary Body for Scientific and Technological Advice

(Agenda item 3(a))

(To be completed)

B. Report of the Subsidiary Body for Implementation

(Agenda item 3(b))

(To be completed)

⁴ FCCC/SBI/2011/7, paragraph 167.

⁵ The full webcasts of the plenary sessions are available at <http://unfccc4.meta-fusion.com/kongresse/cop17/templ/ovw_onDemand.php?id_kongressmain=201>. This URL is temporary and will change upon publication of the final report.

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

(Agenda item 4)

(To be completed)

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

(Agenda item 5)

14. At its 3rd and x meetings, on 30 November and x December, respectively, the CMP had before it documents FCCC/KP/CMP/2009/2, FCCC/KP/CMP/2009/3, FCCC/KP/CMP/2009/4, FCCC/KP/CMP/2009/5, FCCC/KP/CMP/2009/6, FCCC/KP/CMP/2009/7, FCCC/KP/CMP/2009/8, FCCC/KP/CMP/2009/9, FCCC/KP/CMP/2009/10, FCCC/KP/CMP/2009/11, FCCC/KP/CMP/2009/12, FCCC/KP/CMP/2009/13 and FCCC/KP/CMP/2010/3.

15. The secretariat received 12 proposals for amendments to the Kyoto Protocol in 2009. In accordance with Articles 20 and 21 of the Kyoto Protocol, the secretariat communicated the text of each of the proposed amendments to Parties to the Kyoto Protocol and to Parties and signatories to the Convention on 17 June 2009 and sent them, for information, to the Depository on 25 June 2009. These proposals were considered at the fifth session of the CMP with no consensus reached on how to proceed.

16. An additional proposed amendment to the Kyoto Protocol was submitted by Grenada in 2010 and communicated to Parties to the Kyoto Protocol and to Parties and signatories to the Convention on 28 May 2010 and sent, for information, to the Depository on 17 June 2010. This proposal, along with the other 12 proposals, was considered at the sixth session of the CMP, with no consensus reached on how to proceed. The agenda item was included in the provisional agenda for the seventh session of the CMP.

17. In introducing this agenda item, the President recalled that 13 proposals to amend the Kyoto Protocol had been made by Parties (as contained in the documents listed in para. 14 above).

18. The President opened the floor for statements, upon which representatives of three Parties made statements, including one statement made on behalf of the European Union and its member States.

19. The President proposed to keep this item open and await the results of the work of the AWG-KP.

(To be completed)

VI. Proposal from Kazakhstan to amend Annex B to the Kyoto Protocol

(Agenda item 6)

20. At its 3rd meeting, on 30 November, the CMP considered this item, which was included in the agenda pursuant to a proposal from Kazakhstan (FCCC/KP/CMP/2010/4). The President gave the floor to the secretariat to provide information on this agenda item.

21. A proposal from Kazakhstan was made on 18 September 2009 to amend Annex B to the Kyoto Protocol to include the name of Kazakhstan with a quantified greenhouse gas emission limitation or reduction commitment of 100 per cent of the 1992 level.

22. At its fifth session, the CMP noted the proposal and agreed to place it on the provisional agenda for its sixth session. The CMP also requested the SBI to consider the proposal at its thirty-second session and to report on the outcome to the CMP at its sixth session.

23. The SBI, at its thirty-second session, considered the matter and its conclusions are contained in the report on that session.⁶

24. At its sixth session, the CMP, by its decision 8/CMP.6, noting the proposal from Kazakhstan, further noted that Kazakhstan was willing to demonstrate a flexible approach in relation to its base year and quantified greenhouse gas emission limitation or reduction commitments and agreed to include the item on the provisional agenda of the seventh session of the CMP.

25. Statements were made by representatives of two Parties.⁷

26. The President proposed to hold informal consultations on this matter. Following her proposal, the CMP agreed to hold informal consultations facilitated by Mr. Ositadinma Anaedu (Nigeria).

(To be completed)

VII. Issues relating to the clean development mechanism

(Agenda item 7)

27. At its 2nd meeting, on 30 November, the CMP had before it document FCCC/KP/CMP/2011/3 (Parts I and II) containing the annual report of the Executive Board of the clean development mechanism (CDM) to the CMP. The report covers activities in the period from 15 October 2010 to 26 October 2011.

28. In introducing this item, the President recalled that the CDM is a unique mechanism that has played a crucial role in contributing to the sustainable development goals of the developing countries that host CDM projects and in supporting the contributions to mitigation efforts of Parties included in Annex I to the Convention (Annex I Parties).

29. At the invitation of the President, the Chair of the Executive Board of the CDM, Mr. Martin Hession (United Kingdom of Great Britain and Northern Ireland), provided an overview of the Board's annual report to the CMP. He highlighted important milestones achieved in 2011 to improve the efficiency, effectiveness and equity of the mechanism, including the implementation of new review processes, consolidation of CDM requirements, improvements to additionality assessments and measures taken to improve the regional distribution of the mechanism. In pointing out the contribution of the CDM to sustainable development and technology transfer, the Chair stressed the importance of improving access to the mechanism and engaging stakeholders. He also announced that the United Nations Office for Project Services, with support from the United Nations Environment Programme's Risoe Centre, has been selected as the implementing agency for the loan scheme requested by the CMP at its sixth session.

⁶ FCCC/SBI/2010/10, paragraphs 132–138.

⁷ Statements are included in the webcasts of plenary sessions and are available on the UNFCCC website at <http://unfccc.int/meetings/durban_nov_2011/meeting/6245.php>.

30. The Chair also reported on the Board's initiative to launch the CDM policy dialogue, led by an independent, high-level panel, which will undertake consultations with civil society, policymakers and business and develop recommendations on how to ensure the effectiveness of the CDM in contributing to future global climate action.

31. Following the report by the Chair of the Executive Board of the CDM, representatives of 29 Parties made statements, including one speaking on behalf of the European Union and its member States and one speaking on behalf of the African Group.

32. A statement was made by a representative of one intergovernmental organization (World Bank) and by two non-governmental organization constituencies (local government and municipal authorities and youth non-governmental organizations).

33. The President noted that, in order to acknowledge the work of the Executive Board and to guide it further, the CMP would need to adopt a decision under this agenda item at its seventh session. Following her proposal, the CMP decided to establish a contact group, co-chaired by Ms. Carolina Fuentes Castellanos (Mexico) and Mr. Kunihiko Shimada (Japan).

34. The President reminded Parties that several members and alternate members of the CDM Executive Board needed to be elected by the CDM at the session.

(To be completed)

VIII. Issues relating to joint implementation

(Agenda item 8)

A. Guidance on joint implementation

(Agenda item 8(a))

B. Review of the joint implementation guidelines

(Agenda item 8(b))

35. At its 2nd meeting, on 30 November, the CMP had before it document FCCC/KP/CMP/2011/4 containing the sixth annual report of the Joint Implementation Supervisory Committee (JISC), which covers the activities of the JISC during the period from 24 October 2010 to 14 September 2011.

36. In introducing the two agenda sub-items together, the President recalled that joint implementation (JI) under Article 6 of the Kyoto Protocol provides an opportunity for Annex I Parties with a commitment inscribed in Annex B to the Kyoto Protocol to acquire emission reduction units resulting from projects hosted by any other such Party aimed at reducing emissions of greenhouse gases or enhancing removals by sinks. She noted that the JISC was established by decision 10/CMP.1.

37. At the invitation of the President, the Chair of the JISC, Mr. Muhammed Quamrul Chowdhury (Bangladesh), provided an overview of the annual report of the JISC to the CMP. He highlighted several key achievements in 2011, including increased investments in JI projects, streamlined and simplified accreditation procedures for independent third-party verifiers and progress made in the establishment of a Designated Focal Point Forum. The Chair also elaborated on the recommendations of the JISC to the CMP on how it may enhance JI and make it a more effective mechanism in the future.

38. Following the report of the Chair of the JISC, representatives of four Parties made statements, including one speaking on behalf of the European Union and its member States and one speaking on behalf of the LDCs.

39. The President noted that, in order to acknowledge the work accomplished and to provide further guidance on JI, the CMP would need to adopt a decision under this agenda item at its seventh session. Following her proposal, the CMP decided to establish a contact group, co-chaired by Mr. Balisi Gopolang (Botswana) and Mr. Helmut Hojesky (Austria).

40. The President also reminded Parties that several members and alternate members of the JISC needed to be elected by the CMP at the session.

(To be completed)

IX. Matters relating to compliance under the Kyoto Protocol

(Agenda item 9)

A. Report of the Compliance Committee

(Agenda item 9(a))

41. At its 3rd meeting, on 30 November, the CMP had before it document FCCC/KP/CMP/2011/5 and Corr.1 containing the sixth annual report of the Compliance Committee, which provides information on the activities of the Committee during its sixth year of operation, from 19 September 2010 to 13 October 2011.

42. The President invited the Co-Chair of the plenary of the Compliance Committee, Ms. Sandea De Wet (South Africa), to provide an overview of the report of the Compliance Committee to the seventh session of the CMP. Ms. De Wet reported that 2011 was a busy year for the enforcement branch with regard to questions of implementation relating to Bulgaria, Croatia, Lithuania, Romania and Ukraine, resulting in the adoption of 17 decisions. She noted the difficulties for the branch in the discharge of its functions in relation to the scheduling of its meetings and the achievement of a quorum at these meetings. Turning to the work of the facilitative branch, she highlighted discussions held within the branch on how to effectively exercise its mandate to provide advice and facilitation to Parties on implementing the Kyoto Protocol and the agreement to continue to develop its practice in this regard. She noted the work carried out by the facilitative branch relating to the reports on in-depth reviews of fifth national communications and the importance of applying the principles of due process and fair and equal treatment in the provision of advice and facilitation in connection with particular cases. She thanked those governments that contributed to the Trust Fund for Supplementary Activities to support the work of the Compliance Committee in the biennium 2010–2011.

43. The President then opened the floor for statements from Parties, of which there were none.

44. The President noted that a decision would need to be adopted by the CMP under this agenda sub-item at its seventh session. Following her proposal, the CMP agreed to hold informal consultations facilitated by Mr. Amjad Abdulla (Maldives) and Mr. Richard Tarasofsky (Canada). This contact group will also consider, following the President's proposal, agenda item 9(b).

(To be completed)

B. Appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee in relation to the implementation of decision 7/CP.12

(Agenda item 9(b))

45. At its 3rd meeting, on 30 November, the CMP had before it documents FCCC/KP/CMP/2010/2, FCCC/KP/CMP/2011/2 and FCCC/TP/2011/6 relating to an appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee in relation to the implementation of decision 7/CP.12.

46. The President noted that Croatia had withdrawn its appeal against the final decision of the enforcement branch, as indicated in document FCCC/KP/CMP/2011/2.

47. The President invited Croatia to make a statement and then opened the floor to statements by Parties, of which there were none.

48. The President noted that in order to provide further guidance a decision would need to be adopted by the CMP under this agenda sub-item at its seventh session. Following her proposal, the CMP agreed to hold informal consultations facilitated by Mr. Abdulla and Mr. Tarasofsky. This contact group will also consider, following the President's proposal, agenda item 9(a).

(To be completed)

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

(Agenda item 9(c))

(To be completed)

X. Adaptation Fund

(Agenda item 10)

A. Report of the Adaptation Fund Board

(Agenda item 10(a))

49. At its 2nd meeting, on 30 November, the CMP had before it document FCCC/KP/CMP/2011/6 and Add.1 containing the report of the Adaptation Fund Board, which covers activities in the period from December 2010 to September 2011.

50. The President recalled that the creation of the Adaptation Fund Board was one of the landmark achievements of the United Nations Climate Change Conference in Bali, Indonesia, in 2007. The Adaptation Fund Board is the operating entity of the Adaptation Fund, which is serviced by a secretariat and a trustee.

51. At the invitation of the President, the Chair of the Adaptation Fund Board, Ms. Ana Fornells de Frutos (Spain), provided an overview of the Board's activities, noting that during the reporting period nine proposals were approved for funding for a total amount of USD 55.4 million. She drew attention to the current amount of resources available for funding projects (USD 170 million) and the total amount in the trust fund (USD 230 million). She highlighted concerns about the market price of certified emission reduction units, which could affect resources available for the Adaptation Fund, and made a call to Annex I Parties to continue contributing to the Fund. She also highlighted the law enacted

by the German Parliament granting legal capacity to the Adaptation Fund Board and the report on the performance of the interim arrangements of the Adaptation Fund, which is to be considered in this session along with the report of the Adaptation Fund.

52. Following the report by Ms. Fornells de Frutos, representatives of 11 Parties made statements, including one speaking on behalf of the Group of 77 and China and one on behalf of AOSIS.

53. The President noted that, in order to acknowledge the work accomplished by the Adaptation Fund Board and to guide it further, the CMP would need to adopt a decision under this agenda item at its seventh session. On her proposal, the CMP decided to establish a contact group, co-chaired by Ms. Ruleta Camacho (Antigua and Barbuda) and Mr. Stefan Schwager (Switzerland). This contact group will also consider, following the President's proposal, agenda item 10(b).

54. The President also reminded Parties that the CMP needs to elect members and alternate members of the Adaptation Fund Board.

(To be completed)

B. Review of the Adaptation Fund

(Agenda item 10(b))

55. At its 3rd meeting, on 30 November, the President recalled that the CMP, at its third session, agreed to undertake the review of the Adaptation Fund and that the CMP would take measures at its sixth session to facilitate this process, including adoption of the terms of reference and initiation of the review. The President referred Parties to the draft terms of reference for the initial review contained in document FCCC/SBI/2010/10, annex VII.

56. The President then opened the floor for statements from Parties, of which there were none.

57. On the President's proposal on considering the review of the Adaptation Fund at this session, the CMP decided to establish a contact group, co-chaired by Ms. Camacho and Mr. Schwager. This contact group will also consider, following the President's proposal, agenda item 10(a).

XI. Issues relating to the international transaction log

(Agenda item 11)

(To be completed)

XII. National communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol

(Agenda item 12)

(To be completed)

XIII. Annual compilation and accounting reports for Annex B Parties under the Kyoto Protocol

(Agenda item 13)

(To be completed)

XIV. Capacity-building under the Kyoto Protocol

(Agenda item 14))

(To be completed)

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

(Agenda item 15)

(To be completed)

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

(Agenda item 16)

(To be completed)

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

(Agenda item 17)

(To be completed)

XVIII. Administrative, financial and institutional matters

(Agenda item 18)

A. Budget performance for the biennium 2010–2011

(Agenda item 18(a))

(To be completed)

B. Programme budget for the biennium 2012–2013

(Agenda item 18(b))

(To be completed)

XIX. High-level segment

(Agenda item 19)

A. Welcoming ceremony and opening of the high-level segment

58. A welcoming ceremony, attended by the President of South Africa, Mr. Jacob Zuma, the Secretary-General of the United Nations, Mr. BAN Ki-moon, the President of COP 17 and CMP 7, Ms. Nkoana-Mashabane, the Executive Secretary of the UNFCCC, Ms. Christiana Figueres, and other dignitaries, was held on 6 December.

59. The joint high-level segment of the COP at its seventeenth session and the CMP at its seventh session was opened by the President of the COP and the CMP at the 4th meeting of the COP and the 4th meeting of the CMP, on 6 December.

B. Statements by Parties

(To be completed)

C. Statements by United Nations officials

(To be completed)

XX. Statements by observer organizations

(Agenda item 20)

(To be completed)

XXI. Other matters

(Agenda item 21)

(To be completed)

XXII. Conclusion of the session

(Agenda item 22)

A. Adoption of the report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its seventh session

(Agenda item 22(a))

(To be completed)

B. Closure of the session

(Agenda item 22(b))

(To be completed)

Annexes

(To be completed)

附件五

公約長期合作行動特設工作小組第 14 次會議報告
Report of the Ad Hoc Working Group on Long-term
Cooperative Action under the Convention on the third
and fourth parts of its fourteenth session, held
in Panama City from 1 to 7 October 2011, and
Durban from 29 November to 10 December 2011.



**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 the third and
fourth parts of its fourteenth session, held in Panama City
from 1 to 7 October 2011, and Durban from 29 November to
10 December 2011**

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I. Opening of the session

(Agenda item 1)

1. The fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) was opened in Bangkok, Thailand, on 5 April 2011, and resumed in Bonn, Germany, on 7 June 2011, as reflected in the report on the first two parts of the session, contained in document FCCC/AWGLCA/2011/9.

A. Host Government welcoming ceremony

2. On Saturday, 1 October 2011, a welcoming ceremony organized by the Government of Panama was held in Panama City, Panama, to mark the opening of the third part of the fourteenth session of the AWG-LCA and the third part of the sixteenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol.

3. Statements were made by Ms. Christiana Figueres, Executive Secretary of the UNFCCC, and Mr. Roberto C. Henriquez, Minister of Foreign Affairs of Panama.

B. Opening and resumption of the session

4. The third part of the fourteenth session of the AWG-LCA was held at the ATLAPA Conference Centre in Panama City from 1 to 7 October 2011. The Chair of the AWG-LCA, Mr. Daniel A. Reifsnyder (United States of America), opened the third part of the session on 1 October and welcomed all Parties and observers, as well as the Vice-Chair of the AWG-LCA, Ms. Margaret Mukahanana-Sangarwe (Zimbabwe), to the 5th meeting of the AWG-LCA.

5. At the same meeting, the Chair invited the Executive Secretary to provide delegates with a brief overview of the activities of the Transitional Committee, launched in Cancun, Mexico, to design the Green Climate Fund, and to inform delegates of recent activities of the Technology Executive Committee, established in Cancun as part of the Technology Mechanism. The Executive Secretary provided delegates with information on the activities of these two bodies.

6. The Chair drew the attention of delegates to document FCCC/CP/2011/INF.1, containing information submitted by Parties on fast-start finance, and to an information event on the same topic organized during the third part of the session.

7. The Chair invited Parties to present the outcomes of initiatives taken by Parties that are of direct relevance to the negotiations under the AWG-LCA. Two Parties provided information on relevant initiatives, including South Africa, in its capacity as incoming Presidency of the seventeenth session of the Conference of the Parties (COP) and the seventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol. The Chair welcomed the intention of South Africa to continue holding the open-ended informal consultations started during the June session on the expectations of Parties and observers for the United Nations Climate Change Conference in Durban, South Africa.

8. At the same meeting, statements were made by representatives of 12 Parties, including statements on behalf of the Group of 77 and China, the Environmental Integrity Group (EIG), six Parties from the Bolivarian Alliance for the Peoples of Our America – Peoples' Trade Treaty, the African States, the European Union and its member States, the

Umbrella Group, the League of Arab States, the Alliance of Small Island States (AOSIS), 32 Parties from the Coalition for Rainforest Nations, the Central American Integration System, the least developed countries (LDCs) and four Parties undergoing the process of transition to a market economy.

9. At the opening of the 6th meeting, the Chair recalled the passing away on 25 September 2011 of Ms. Wangari Maathai, winner of the Nobel Peace Prize, and invited Ms. Christiana Figueres and a representative of the Government of Kenya to address the plenary in tribute. In honour of her memory, the Chair invited all delegates to observe a minute of silence.

10. The session was suspended on 7 October and was resumed at the International Convention Centre and Durban Exhibition Centre in Durban, from 29 November to 10 December 2011.

11. The Chair of the AWG-LCA opened the fourth part of the fourteenth session of the AWG-LCA on 29 November and welcomed all Parties and observers to the 7th plenary meeting of the session. The Chair expressed his appreciation to the Government of South Africa for the excellent arrangements made for the session.

12. The Chair recalled decision 1/CP.16, which extended the AWG-LCA for one year in order for it to continue its work with a view to carrying out the undertakings contained in the decision and to present the results to the COP for consideration at its seventeenth session.¹ The Chair underlined that the work conducted by the AWG-LCA in 2011 contributed to clarifying the elements of the outcome and encouraged Parties to continue to work in a focused manner towards a comprehensive, balanced and robust outcome to be presented to the COP.

13. At the same meeting, the Chair invited Parties to present the outcomes of initiatives taken that are of direct relevance to the negotiations under the AWG-LCA. Three Parties provided information on relevant initiatives.

14. Statements were made by representatives of 13 Parties, including statements on behalf of the Group of 77 and China, the European Union and its member States, the Umbrella Group, the EIG, three Parties, the League of Arab States, four Parties undergoing the process of transition to a market economy, 32 Parties from the Coalition of Rainforest Nations, AOSIS, the African States, the LDCs, six Parties from the Bolivarian Alliance for the Peoples of Our America – Peoples' Trade Treaty, and the Central American Integration System.

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda item 2(a))

15. The agenda for the fourteenth session of the AWG-LCA was adopted by the AWG-LCA at its 2nd meeting, on 8 April.²

¹ Decision 1/CP.16, paragraph 143.

² FCCC/AWGLCA/2011/9, paragraph 13.

B. Organization of the work of the session

(Agenda item 2(b))

16. The AWG-LCA considered this sub-item at its 5th and 7th meetings, on 1 October and 29 November, respectively. It had before it documents FCCC/AWGLCA/2011/10 and FCCC/AWGLCA/2011/13, respectively.

17. As agreed at the 4th meeting of the AWG-LCA,³ the contact group on agenda items 3, 4, 5 and 6, established at the 3rd meeting⁴ and chaired by the Chair of the AWG-LCA, resumed its work on all substantive items and sub-items of the agenda at the third part of the session. The contact group also held regular meetings to allow Parties and observer organizations to be informed of the work undertaken and to have an overview of the progress made.

18. The AWG-LCA, at its 6th meeting, agreed to a proposal by the Chair that the fourteenth session be suspended at the end of its 7th meeting and be resumed at its next meeting, with the same organization of the work as applied in the second and third parts of the session.

19. At its 7th meeting, the AWG-LCA confirmed that the contact group on agenda items 3, 4, 5 and 6, established at the 3rd meeting, would resume its work on all substantive items and sub-items of the agenda.⁵ The AWG-LCA further agreed that regular meetings of the contact group would be held throughout the fourth part of the session in order to provide delegates and observer organizations with an overview of the work being undertaken in the informal groups on the various items and sub-items of the AWG-LCA agenda.

20. The Chair referred to the overview of a possible structure and substantive elements of the outcome of the AWG-LCA presented in the annex to his scenario note on the fourth part of the fourteenth session.⁶ The Chair then outlined his proposed sequence of work for the session, including the issuance of an amalgamation of the draft texts emerging from the informal groups, the expected meetings of the contact group as well as a meeting of the plenary of the AWG-LCA to take place on 5 December. A statement was made by a representative of one Party.

21. At the same meeting, the Chair confirmed that the first and last meetings of the informal groups working under the contact group would be opened to observer organizations, as agreed by the contact group at the third part of the session and in accordance with the recommendation of the Subsidiary Body for Implementation regarding the participation of observer organizations in informal sessions.⁷

³ FCCC/AWGLCA/2011/9, paragraph 16.

⁴ FCCC/AWGLCA/2011/9, paragraph 15.

⁵ See paragraphs 17 and 18 above.

⁶ FCCC/AWGLCA/2011/13.

⁷ FCCC/SBI/2011/7, paragraph 167.

III. Preparation of a comprehensive and balanced outcome to be presented to the Conference of the Parties for adoption at its seventeenth session to enable the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, pursuant to the results of the thirteenth and sixteenth sessions of the Conference of the Parties and recognizing that the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention includes both implementation tasks and issues that are still to be concluded

(Agenda item 3)

Review: further definition of its scope and development of its modalities

(Agenda item 4)

Continued discussion of legal options with the aim of completing an agreed outcome based on decision 1/CP.13, the work done at the sixteenth session of the Conference of the Parties and proposals made by Parties under Article 17 of the Convention

(Agenda item 5)

Other matters

(Agenda item 6)

1. Proceedings

22. The AWG-LCA considered these items jointly at its 5th, 6th, 7th, 8th and 9th meetings, on 1 October, 7 October, 29 November, 5 December and 10 December, respectively.

23. At its 5th meeting, the AWG-LCA had before it documents FCCC/AWGLCA/2011/9, FCCC/AWGLCA/2011/10, FCCC/AWGLCA/2011/11, FCCC/AWGLCA/2011/12, FCCC/AWGLCA/2011/MISC.2/Add.4, FCCC/AWGLCA/2011/MISC.6/Add.3, FCCC/AWGLCA/2011/MISC.7/Add.3 and 4, FCCC/AWGLCA/2011/MISC.8, FCCC/AWGLCA/2011/MISC.9 and FCCC/AWGLCA/2011/CRP.2–13.

24. The Chair confirmed that, as agreed under item 2(b), these items would be taken up by the contact group referred to in paragraph 17 above.

25. At the 6th meeting, the Chair drew the attention of delegates to documents FCCC/AWGLCA/2011/MISC.6/Add.4, FCCC/AWGLCA/2011/MISC.7/Add.5 and 6 and FCCC/AWGLCA/2011/CRP.14–32, issued during the third part of the session.

26. The Chair informed Parties that the material related to the work of the AWG-LCA at the third part of its fourteenth session was available on the UNFCCC website.⁸

27. At the same meeting, the Chair invited a representative of South Africa to report on the results of the consultations referred to in paragraph 7 above.

28. At its 7th meeting, the AWG-LCA had before it documents FCCC/AWGLCA/2011/13, FCCC/AWGLCA/2011/MISC.6/Add.5, FCCC/AWGLCA/2011/MISC.7/Add.7, FCCC/AWGLCA/2011/MISC.9/Add.1, FCCC/AWGLCA/2011/MISC.10, FCCC/AWGLCA/2011/CRP.25/Rev.1 and FCCC/AWGLCA/2011/CRP.34 and 35.

29. The secretariat informed delegates that the material prepared prior to the fourth part of the session, including the revisions of draft texts and co-facilitators' summaries prepared at the request of Parties during the third part of the session, was available on the UNFCCC website.⁹

30. At the same meeting, the AWG-LCA agreed that the contact group referred to in paragraph 17 above would resume work on these items.

31. At its 8th meeting, the AWG-LCA had before it document FCCC/AWGLCA/2011/CRP.37 and Add.1.¹⁰

32. The Chair expressed his appreciation for the constructive work and the considerable progress made during the first week of the fourth part of the session. The Chair drew the attention of delegates to the document referred to in paragraph 31 above containing an amalgamation of draft texts in preparation of a comprehensive and balanced outcome to be presented to the COP for its consideration and adoption. The purpose of the document was to bring together the various texts emerging from the work of the informal groups under the AWG-LCA and to provide an overview of progress made.

33. The Chair shared his views on the way to move forward the work of the AWG-LCA in order to achieve an outcome to be presented to the COP for its consideration and adoption. He highlighted the need to produce an update of the amalgamation of the draft texts by 7 December, including suggestions on how to address any issues that remain outstanding.¹¹

34. The Chair then invited Parties to exchange views on how to focus and complete the work of the AWG-LCA.

35. Statements were made by representatives of 25 Parties, including statements on behalf of the Group of 77 and China, the European Union and its member States, AOSIS and the LDCs.

36. At the same meeting, the Chair informed delegates that the President of the COP had offered to support the work of the AWG-LCA in difficult areas as necessary and urged the AWG-LCA to resolve as many issues as possible for the President to be able to continue her efforts to find balance across all the elements of the Durban outcome.

37. At its 9th meeting, the AWG-LCA had before it documents FCCC/AWGLCA/2011/L.4 and FCCC/AWGLCA/2011/CRP.39.

⁸ <<http://unfccc.int/6189>>.

⁹ <<http://unfccc.int/6560>>.

¹⁰ The AWG-LCA also had before it document FCCC/AWGLCA/2011/CRP.36, issued subsequently to the 7th meeting.

¹¹ The update of the amalgamation of draft texts was issued as document FCCC/AWGLCA/CRP.38.

38. The Chair introduced the draft conclusions on the outcome of the work of the AWG-LCA to be presented to the COP for consideration and adoption at its seventeenth session contained in document FCCC/AWGLCA/2011/L.4.

39. The Chair also presented the AWG-LCA with amendments to document FCCC/AWGLCA/2011/L.4, which were proposed in order to address inaccuracies that occurred while preparing the document in the limited time available.

40. The Chair drew the attention of delegates to document FCCC/AWGLCA/2011/CRP.39, which contains texts reflecting the work undertaken at the fourth part of the fourteenth session of the AWG-LCA in order to carry forward ideas and proposals in areas in which continued discussions were envisaged in 2012.

41. The Chair expressed his appreciation to the President of the COP and her team for their efforts, support and guidance during the fourteenth session of the AWG-LCA.

42. The Chair also expressed his appreciation to the ministers who were involved in resolving a number of outstanding key political issues on the AWG-LCA agenda for their commitment and hard work. The Chair thanked the Vice-Chair of the AWG-LCA for her support and the delegates who facilitated the work of the informal groups.

43. The Chair underlined that the outcome of the AWG-LCA was only one component of the work carried out at the conference in Durban and expressed his hope that Parties would be able to adopt a comprehensive outcome, including the draft decision stemming from the work of the AWG-LCA.

44. The Chair proposed that the AWG-LCA recommend the draft decision contained in document FCCC/AWGLCA/2011/L.4 as orally amended by the Chair to the COP for its consideration and adoption.

45. Statements were made by representatives of 26 Parties, including one on behalf of the LDCs and one on behalf of the European Union and its member States.

46. A representative of Venezuela (Bolivarian Republic of) stated that it should be placed on the record that Venezuela (Bolivarian Republic of) did not believe that document FCCC/AWGLCA/2011/L.4 could be the basis for a future legally binding regime.

47. A representative of Bolivia (Plurinational State of) raised concerns with regard to the content of document FCCC/AWGLCA/2011/L.4 and stated that the document should not be adopted as it was, but could be considered as part of the discussions in 2012.

2. Conclusions

48. The Chair, in the light of the discussion held at the 9th meeting of the AWG-LCA, concluded that the AWG-LCA was not able to recommend the draft decision contained in FCCC/AWGLCA/2011/L.4 as orally amended by the Chair to the COP for its consideration and adoption. Nevertheless, he informed the AWG-LCA that, because there were too many positive aspects of the decision that should not be lost, he would present under his own authority the draft decision contained in document FCCC/AWGLCA/2011/L.4 as orally amended by the Chair to the COP for its consideration and adoption.

IV. Additional matters

(Agenda item 7)

49. The AWG-LCA considered this item at its 5th and 7th meetings. No additional matters were raised.

V. Report on the third and fourth parts of the session

(Agenda item 8)

50. At its closing meeting, on 10 December 2011, the AWG-LCA authorized the Chair to complete the report on the third and fourth parts of the session, with the assistance of the secretariat. At the same meeting, the AWG-LCA considered and adopted the draft report on the third and fourth parts of the session as orally amended in the course of the meeting.¹²

VI. Suspension and closure of the session

51. At its 6th meeting, the AWG-LCA agreed to the proposal by the Chair to suspend the fourteenth session.

52. The Chair thanked Parties for their submissions and the facilitators for their support. The Chair expressed his appreciation to the Government of Panama for the excellent arrangements made for the third part of the fourteenth session of the AWG-LCA.

53. Statements were made by representatives of 14 Parties, including statements on behalf of the Group of 77 and China, the Umbrella Group, the European Union and its member States, the EIG, six Parties from the Bolivarian Alliance for the Peoples of Our America – Peoples' Trade Treaty, the League of Arab States, the Central American Integration System, AOSIS, the LDCs, 31 Parties from the Coalition of Rainforest Nations, the African States, five Parties, and four Parties undergoing the process of transition to a market economy. In addition, statements were made on behalf of indigenous peoples' organizations, trade union non-governmental organizations (NGOs), women and gender NGOs and youth NGOs and by two representatives of environmental NGOs.

54. At the same meeting, the Chair declared the session suspended.

55. At the 9th meeting, the Chair expressed his appreciation to Parties for their work as well as to the ministers involved in the resolution of key outstanding political issues and the facilitators for their support of the work of the AWG-LCA.

56. A statement was made by a representative of one Party.

57. The Chair declared the fourteenth session of the AWG-LCA closed.

¹² Adopted as document FCCC/AWGLCA/2011/L.3.

Annex

Documents before the Ad Hoc Working Group on Long-term Cooperative Action under the Convention at its fourteenth session

Documents prepared for the session

FCCC/AWGLCA/2011/1 and Add.1–5	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/AWGLCA/2011/2	Scenario note on the fourteenth session. Note by the Chair
FCCC/AWGLCA/2011/3	Synthesis report on the composition of, and modalities and procedures for, the Adaptation Committee, including linkages with other relevant institutional arrangements. Note by the secretariat
FCCC/AWGLCA/2011/4	Synthesis report on information on various approaches in enhancing the cost-effectiveness of, and promoting, mitigation actions. Note by the secretariat
FCCC/AWGLCA/2011/5	Agenda and annotations. Note by the Executive Secretary
FCCC/AWGLCA/2011/6	Scenario note on the second part of the fourteenth session. Note by the Chair
FCCC/AWGLCA/2011/7	Workshop on assumptions and conditions related to the attainment of quantified economy-wide emission reduction targets by developed country Parties, as requested by decision 1/CP.16, paragraph 38. Report by the Co-Chairs of the workshop
FCCC/AWGLCA/2011/8	Workshop on nationally appropriate mitigation actions submitted by developing country Parties, underlying assumptions, and any support needed for implementation of these actions, as requested by decision 1/CP.16, paragraph 51. Report by the co-chairs of the workshop
FCCC/AWGLCA/2011/9	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on the first and second parts of its fourteenth session, held in Bangkok from 5 to 8 April 2011, and Bonn from 7 to 17 June 2011

FCCC/AWGLCA/2011/10	Scenario note on the third part of the fourteenth session. Note by the Chair
FCCC/AWGLCA/2011/11	Second workshop on assumptions and conditions related to the attainment of quantified economy-wide emission reduction targets by developed country Parties, as requested by decision 1/CP.16, paragraph 38. Report by the co-chairs of the workshop
FCCC/AWGLCA/2011/12	Second workshop on nationally appropriate mitigation actions submitted by developing country Parties, underlying assumptions, and any support needed for implementation of these actions, as requested by decision 1/CP.16, paragraph 51. Report by the co-chairs of the workshop
FCCC/AWGLCA/2011/13	Scenario note on the fourth part of the fourteenth session. Note by the Chair
FCCC/AWGLCA/2011/INF.1	Compilation of information on nationally appropriate mitigation actions to be implemented by Parties not included in Annex I to the Convention. Note by the secretariat
FCCC/AWGLCA/2011/INF.2	Expert workshop on the Technology Mechanism in conjunction with the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. Report by the Chair of the workshop
FCCC/TP/2011/1	Quantified economy-wide emission reduction targets by developed country Parties to the Convention: assumptions, conditions and comparison of the level of emission reduction efforts. Technical paper
FCCC/AWGLCA/2011/MISC.1 and Add.1 and 2	Views on the composition of, and modalities and procedures for, the Adaptation Committee, including linkages with other relevant institutional arrangements. Submissions from Parties
FCCC/AWGLCA/2011/MISC.2 and Add.1–4	Views on the elaboration of market-based mechanisms. Submissions from Parties
FCCC/AWGLCA/2011/MISC.3 and Corr.1 and Add.1 and 2	Views on the elaboration of non-market-based mechanisms. Submissions from Parties

FCCC/AWGLCA/2011/MISC.4 and Add.1	Views on the evaluation of various approaches in enhancing the cost-effectiveness of, and promoting, mitigation actions. Submissions from Parties
FCCC/AWGLCA/2011/MISC.5	Views on the elaboration of market-based and non-market-based mechanisms and the evaluation of various approaches in enhancing the cost-effectiveness of, and promoting, mitigation actions. Submissions from admitted observer organizations
FCCC/AWGLCA/2011/MISC.6 and Corr.1 and Add.1–5	Views on the items relating to a work programme for the development of modalities and guidelines listed in decision 1/CP.16, paragraph 46. Submissions from Parties
FCCC/AWGLCA/2011/MISC.7 and Add.1–7	Views on the items relating to a work programme for the development of modalities and guidelines listed in decision 1/CP.16, paragraph 66. Submissions from Parties
FCCC/AWGLCA/2011/MISC.8	Written inputs submitted by Parties during the second part of the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. Submissions from Parties
FCCC/AWGLCA/2011/MISC.9 and Add.1	Ideas and proposals on the elements contained in paragraph 1 of the Bali Action Plan. Submissions from Parties
FCCC/AWGLCA/2011/MISC.10	Ideas and proposals on the elements contained in paragraph 1 of the Bali Action Plan. Submissions from admitted observer organizations
FCCC/AWGLCA/2011/CRP.1	Proposal on the provisional agenda submitted by the Group of 77 and China
FCCC/AWGLCA/2011/CRP.2	Submission from the Philippines on behalf of the Group of 77 and China
FCCC/AWGLCA/2011/CRP.3	Submissions from Egypt on behalf of the African Group
FCCC/AWGLCA/2011/CRP.4	Submissions from India
FCCC/AWGLCA/2011/CRP.5	Submission from India on behalf of the African Group, Argentina, Brazil, China, India, Iran (Islamic Republic of), Lebanon, Malaysia, Philippines, Thailand and Uruguay
FCCC/AWGLCA/2011/CRP.6	Submission from Argentina on behalf of the Group of 77 and China
FCCC/AWGLCA/2011/CRP.7	Submissions from India

FCCC/AWGLCA/2011/CRP.8	Submission from Ecuador
FCCC/AWGLCA/2011/CRP.9	Submission from India on behalf of Brazil, China, Egypt, India, Malaysia, Philippines and Thailand
FCCC/AWGLCA/2011/CRP.10	Submission from Ecuador on behalf of Dominica, Ecuador, Nicaragua and Venezuela (Bolivarian Republic of)
FCCC/AWGLCA/2011/CRP.11	Submissions from India
FCCC/AWGLCA/2011/CRP.12	Submission from the Philippines
FCCC/AWGLCA/2011/CRP.13	Submissions from India
FCCC/AWGLCA/2011/CRP.14	Submission from India on behalf of Argentina, China, African Group, Organization of Petroleum Exporting Countries (OPEC), Arab Group, Thailand, Malaysia, Uruguay and Philippines on economic and social consequences of response measures
FCCC/AWGLCA/2011/CRP.15	Submission by Pakistan on the UNFCCC Standing Committee on the Financial Mechanism of the Convention
FCCC/AWGLCA/2011/CRP.16	Submission by the Alliance of Small Island States on sources of long-term finance
FCCC/AWGLCA/2011/CRP.17	Submission by Brazil, China, Egypt, India, Malaysia, Philippines and Thailand
FCCC/AWGLCA/2011/CRP.18	Submission by Australia, Canada, Japan, New Zealand and United States of America on the UNFCCC Standing Committee on the Financial Mechanism of the Convention
FCCC/AWGLCA/2011/CRP.19	Submissions by the African Group
FCCC/AWGLCA/2011/CRP.20	Submission from the African Group
FCCC/AWGLCA/2011/CRP.21	Submission by Switzerland on the UNFCCC Standing Committee on the Financial Mechanism of the Convention
FCCC/AWGLCA/2011/CRP.22	Submission by India, Brazil, China, South Africa, Argentina, Venezuela, Bolivia (Plurinational State of), Uruguay, Egypt, Thailand, Saudi Arabia, Ecuador, Nicaragua and Philippines on the general framework for cooperative sectoral approaches and sector specific actions in order to enhance the implementation of Article 4, paragraph 1(c), of the Convention

FCCC/AWGLCA/2011/CRP.23	Submission by the Plurinational State of Bolivia
FCCC/AWGLCA/2011/CRP.24	Submission by Switzerland
FCCC/AWGLCA/2011/CRP.25/Rev.1	Revised submission by Brazil, China and India
FCCC/AWGLCA/2011/CRP.26/Rev.1	Revised submission by Switzerland
FCCC/AWGLCA/2011/CRP.27	Submission by China, India, Malaysia, Philippines, and Thailand
FCCC/AWGLCA/2011/CRP.28	Submission by Switzerland
FCCC/AWGLCA/2011/CRP.29	Submission by India, Argentina, China, Iran, the Arab Group (Algeria, Bahrain, Comoros, Djibouti, Egypt, Iraq, Jordan, Kuwait, Lebanon, Libya, Mauritania, Morocco, Oman, Qatar, Saudi Arabia, Somalia, Sudan, Syria, Tunisia, United Arab Emirates, Yemen and Palestine) and member States of the Organization of the Petroleum Exporting Countries (Algeria, Angola, Ecuador, Iran (Islamic Republic of), Iraq, Kuwait, Libya, Nigeria, Qatar, Saudi Arabia, United Arab Emirates and Venezuela (Bolivarian Republic of)) on the economic and social consequences of response measures
FCCC/AWGLCA/2011/CRP.30	Submission by Singapore on the economic and social consequences of response measures
FCCC/AWGLCA/2011/CRP.31	Submission by the European Union on long-term finance
FCCC/AWGLCA/2011/CRP.32	Submission by Australia, Canada and Japan on long-term financing
FCCC/AWGLCA/2011/CRP.33	Submission by the Gambia on behalf of the Least Developed Countries Expert Group on long-term finance
FCCC/AWGLCA/2011/CRP.34	Submission by Lebanon
FCCC/AWGLCA/2011/CRP.35	Submission by the United States of America on long-term finance
FCCC/AWGLCA/2011/CRP.36	Submission from the Alliance of Small Island States (AOSIS)
FCCC/AWGLCA/2011/CRP.37 and Add.1	Amalgamation of draft texts in preparation of a comprehensive and balanced outcome to be presented to the Conference of the Parties for adoption at its seventeenth session. Note by the Chair

FCCC/AWGLCA/2011/CRP.38	Update of the amalgamation of draft texts in preparation of a comprehensive and balanced outcome to be presented to the Conference of the Parties for adoption at its seventeenth session. Note by the Chair
FCCC/AWGLCA/2011/CRP.39	Work undertaken in the informal groups in the preparation of a comprehensive and balanced outcome to be presented to the Conference of the Parties for adoption at its seventeenth session. Note by the Chair
FCCC/AWGLCA/2011/L.1	Provisional agenda. Proposal by the Chair
FCCC/AWGLCA/2011/L.2	Draft report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its fourteenth session
FCCC/AWGLCA/2011/L.3	Draft report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on the third and fourth parts of its fourteenth session held in Panama from 1 to 7 October 2011 and in Durban from 29 November to 7 December 2011
FCCC/AWGLCA/2011/L.4	Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to be presented to the Conference of the Parties for adoption at its seventeenth session. Draft conclusions proposed by the Chair

Other documents before the session

FCCC/AWGLCA/2010/18	Report of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention on its thirteenth session, held in Cancun from 29 November to 10 December 2010
FCCC/AWGLCA/2010/14	Negotiating text. Note by the secretariat
FCCC/AWGLCA/2010/INF.1	In-session draft texts and notes by the facilitators prepared at the twelfth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention. Note by the secretariat

FCCC/AWGLCA/2010/MISC.8	Preparation of an outcome to be presented to the Conference of the Parties for adoption at its sixteenth session to enable the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012. Submissions from Parties
FCCC/AWGLCA/2010/MISC.6/Add.2	Preparation of an outcome to be presented to the Conference of the Parties for adoption at its sixteenth session to enable the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012. Submissions from Parties. Addendum
FCCC/SB/2011/INF.1/Rev.1	Compilation of economy-wide emission reduction targets to be implemented by Parties included in Annex I to the Convention. Revised note by the secretariat
FCCC/CP/2010/7 and Corr.1 and Add.1	Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010
FCCC/CP/2010/3	Proposed protocol to the Convention submitted by Grenada for adoption at the sixteenth session of the Conference of the Parties. Note by the secretariat
FCCC/CP/2009/11 and Add.1	Report of the Conference of the Parties on its fifteenth session, held in Copenhagen from 7 to 19 December 2009
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/2009/6	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/2009/5	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/2009/4	Draft protocol to the Convention presented by the Government of Tuvalu under Article 17 of the Convention. Note by the secretariat
FCCC/CP/2009/3	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/2007/6 and Add.1

Report of the Conference of the Parties on its
thirteenth session, held in Bali from 3 to 15
December 2007

附件六

京都議定書特設工作小組第 16 次會議報告

Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on the third and fourth parts of its sixteenth session, held in Panama City from 1 to 7 October 2011, and Durban from 29 November to 10 December 2011.



**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 the third and fourth parts of its sixteenth session, held in
Panama City from 1 to 7 October 2011, and Durban from
29 November to 10 December 2011**

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I. Opening of the session

(Agenda item 1)

1. The sixteenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP) was opened in Bangkok, Thailand, on 5 April 2011, and resumed in Bonn, Germany, on 7 June 2011, as referred to in the report on the first two parts of the session, contained in document FCCC/KP/AWG/2011/4.

A. Host Government welcoming ceremony

2. On Saturday, 1 October 2011, a welcoming ceremony organized by the Government of Panama was held in Panama City, Panama, to mark the opening of the third part of the sixteenth session of the AWG-KP and the third part of the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.

3. Statements were made by Ms. Christiana Figueres, Executive Secretary of the UNFCCC, and Mr. Roberto C. Henriquez, Minister of Foreign Affairs of Panama.

B. Opening and resumption of the session

4. The third part of the sixteenth session of the AWG-KP was held at the Centro de Convenciones ATLAPA in Panama City from 1 to 7 October 2011. The Chair of the AWG-KP, Mr. Adrian Macey (New Zealand), opened the third part of the sixteenth session on 1 October. He welcomed all Parties and observers, and expressed his appreciation to the Government of Panama for hosting the third part of the sixteenth session of the AWG-KP.

5. The session was suspended on 7 October and was resumed at the International Convention Centre and Durban Exhibition Centre in Durban, South Africa, from 29 November to 10 December 2011.

6. The Chair opened the fourth part of the sixteenth session of the AWG-KP on 29 November and welcomed all Parties and observers to the seventh plenary meeting of the session.

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda item 2(a))

7. The agenda for the sixteenth session of the AWG-KP was adopted at its 1st meeting held on 5 April 2011 in Bangkok.¹

B. Organization of the work of the session

(Agenda item 2(b))

8. The AWG-KP considered this sub-item at its 5th meeting, on 1 October, and at its 7th meeting, on 29 November.

¹ FCCC/KP/AWG/2011/4, paragraph 7.

9. At the 5th meeting in Panama City, the Chair referred to the scenario note prepared for the third part of the session, contained in document FCCC/KP/AWG/2011/5. The Chair then outlined his proposed sequence of work for the session. The AWG-KP agreed to the proposed organization of the work.

10. At the 7th meeting in Durban, the AWG-KP agreed to the Chair's proposed sequence of work for the session as well as to his organization of work as per his scenario note contained in document FCCC/KP/AWG/2011/6.

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

(Agenda item 3)

1. Proceedings

11. The AWG-KP considered this item at its 5th, 6th, 7th and 8th meetings, on 1 and 7 October, 29 November and 10 December, respectively.

12. At its 5th meeting, the AWG-KP had before it documents FCCC/KP/AWG/2011/5 and FCCC/KP/AWG/2011/CRP.1.

13. At the same meeting, the Chair assured the AWG-KP of the recognition at the highest political level of the importance of the outcome on the Kyoto Protocol, and notably the question of the second commitment period in the Durban outcome. The Chair underlined this statement by quoting the President of the Republic of South Africa, Mr. Jacob Zuma, who said: "We cannot avoid addressing the end of the first commitment period of the Kyoto Protocol in 2012. The international community will therefore be once again at a crossroads in Durban. Any decision on the future of the Kyoto Protocol will inevitably be part of the broader question of the future and nature of the climate change regime".

14. The Chair acknowledged that the work of the AWG-KP on resolving the key political issues in 2011 had been helpful, and clarity had been gained in understanding Parties' concerns. He added, recalling decision 1/CMP.6, that there was a need to make progress at the third part of the session and find a zone of convergence to that end.

15. The Chair encouraged the AWG-KP to persist in its effort to streamline the text contained in document FCCC/KP/AWG/2011/CRP.1 so as to get as mature a text as possible for consideration at the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) in December.

16. A statement was made by the incoming Presidency of the CMP to report on the informal meetings that took place outside of, but that are relevant to, the AWG-KP process since the second part of the sixteenth session of the AWG-KP.

17. Statements were then made by representatives of 13 Parties, including statements on behalf of the Group of 77 and China, the African Group, the European Union (EU) and its 27 member States, the Umbrella Group, the least developed countries (LDCs), the Environmental Integrity Group (EIG), the Alliance of Small Island States (AOSIS), the Coalition for Rainforest Nations, the Arab Group, the Central American Integration System (SICA), the Bolivarian Alliance for the Peoples of Our America – Peoples' Trade Treaty (ALBA) and the Cartagena Dialogue. In addition, statements were made on behalf of business and industry non-governmental organizations (BINGOs), indigenous peoples' organizations (IPOs) and by two representatives of environmental non-governmental organizations (ENGOs).

18. At the 6th meeting the Chair reported on the progress made during the session and presented his revised proposal to facilitate negotiations contained in document FCCC/KP/AWG/2011/CRP.2/Rev.1.

19. He noted that some of the issues encompassed in the text still required technical work, whereas others were technically complete but awaited political decisions. He also observed that there was a strong wish by all Parties to complete the work of AWG-KP in Durban.

20. The Chair asked the AWG-KP to use the time before the COP 17/CMP 7 sessions to further develop ideas for convergence, and thanked Parties for their constructive engagement in the discussion.

21. In addition to a statement made by the incoming Presidency, statements were made by representatives of 15 Parties, including statements on behalf of the Group of 77 and China, EIG, the Umbrella Group, the EU and its 27 member States, AOSIS, the African Group, LDCs, the Arab Group, ALBA, the Coalition for Rainforest Nations, and SICA. Statements were also made on behalf of IPOs, the trade union non-governmental organizations (TUNGOS), the youth non-governmental organizations (YOUNGOS) and by two representatives of ENGOs.

22. At its 7th meeting on 29 November, the AWG-KP had before it the revised proposal by the Chair to facilitate negotiations as streamlined at the third part of its sixteenth session and the scenario note on the fourth part of the session, respectively, contained in documents FCCC/KP/AWG/2011/CRP.2/Rev.1 and FCCC/KP/AWG/2011/6.

23. The Chair recalled that the contact group established at the first part of the sixteenth session of the AWG-KP had proved to be helpful and proposed that it take a prominent role during the fourth part of the sixteenth session with a view to bringing together the elements of a possible AWG-KP package on all issues under discussion.

24. He also recognized the role of a substantive outcome under the AWG-KP in a broader Durban outcome, but noted that this was beyond the scope of the AWG-KP and may involve the COP 17/CMP 7 Presidency.

25. Statements were made by representatives of 13 Parties, including statements on behalf of the Group of 77 and China, the Umbrella Group, EIG, the EU and its 27 member States, the African Group, AOSIS, LDCs, SICA, ALBA, the Coalition for Rainforest Nations, and the Arab Group. Two Parties delivered statements with a view to providing the AWG-KP with updates on the meetings that took place before the Durban sessions and outside of the UNFCCC process. In addition, statements were made on behalf of BINGOs, IPOs, TUNGOS, YOUNGOS and by two representatives of ENGOs.

26. At its 8th meeting on 10 December, the AWG-KP had before it documents FCCC/KP/AWG/2011/L.3, FCCC/KP/AWG/2011/L.3/Add.1–5 that contained draft decisions prepared by the AWG-KP reflecting the outcome from the work of the group.

27. The Chair briefly presented the outcomes of the work conducted during the previous two weeks both at the technical level and at the political or ministerial level, and recalled that as mandated by decision 2/CMP.6, the AWG-KP had also considered the synthesis report of the technical assessments of the forest management reference level submissions contained in document FCCC/KP/AWG/2011/INF.2 in the context of its work on a draft decision on land use, land-use change and forestry. He informed the AWG-KP that he would forward the outcome of this work to the CMP through the Chair's report to the CMP.

28. Interventions were made by 18 Parties to propose changes to the draft decisions contained in the documents referred to in paragraph 26 above.

2. Conclusions

29. The Chair, in the light of the discussion held at the 8th plenary meeting, concluded that the AWG-KP was not able to agree on the draft decision texts to be forwarded to the CMP. He informed the AWG-KP that he would, under his own authority, and taking into account the discussion, forward the draft decision texts to the CMP for consideration. The texts, as forwarded by the Chair to the CMP, are contained in documents FCCC/KP/AWG/2011/L.3/Add.2–6.

IV. Other matters

(Agenda item 4)

30. This item was considered at the 5th and 7th meetings of the AWG-KP plenary.

31. No other matters were raised.

V. Report on the third and fourth parts of the session

(Agenda item 5)

32. At its 8th meeting, on 10 December, the AWG-KP considered the draft report contained in document FCCC/KP/AWG/2011/L.2.

33. At the same meeting, the AWG-KP adopted the draft report on the third and fourth parts of its sixteenth session.

34. In the absence of the Rapporteur, the AWG-KP agreed to the Chair authorizing the Rapporteur to complete the report on the third and fourth parts of the session under his guidance with the assistance of the secretariat and to make it available to Parties.

VI. Suspension and closure of the session

35. At the 6th meeting, on 7 October, the Chair reminded Parties of the agreement reached during the session to suspend it once more, so as to maximize the use of time in Durban. The AWG-KP, therefore, decided to proceed with the suspension of the session and the Chair then declared the sixteenth session of the AWG-KP suspended.

36. At the 8th and final meeting, the Chair thanked the Vice-Chair for her work throughout the year, as well as the team of co-facilitators who worked on the various issues. He also thanked the interpreters for their service throughout the session and the secretariat team that worked with him. The Chair finally thanked the CMP President and her team for their excellent collaboration during the session.

37. The Chair then declared the sixteenth session of the AWG-KP closed.

Annex

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

Documents prepared for the session

FCCC/KP/AWG/2011/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/AWG/2011/2	Scenario note on the sixteenth session. Note by the Chair
FCCC/KP/AWG/2011/3	Scenario note on the second part of the sixteenth session. Note by the Chair
FCCC/KP/AWG/2011/4	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on the first and second parts of its sixteenth session, held in Bangkok from 5 to 8 April 2011, and Bonn from 7 to 17 June 2011
FCCC/KP/AWG/2011/5	Scenario note on the third part of the sixteenth session. Note by the Chair
FCCC/KP/AWG/2011/6	Scenario note on the fourth part of the sixteenth session. Note by the Chair
FCCC/KP/AWG/2011/INF.1	Information on the report on the workshop on assumptions and conditions related to the attainment of economy-wide emission reduction targets by the developed country Parties. Note by the secretariat
FCCC/KP/AWG/2011/INF.2	Synthesis report of the technical assessments of the forest management reference level submissions. Note by the secretariat
FCCC/KP/AWG/2011/L.1	Draft report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its sixteenth session
FCCC/KP/AWG/2011/L.2	Draft report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on the third and fourth parts of its sixteenth session held in Panama from 1 to 7 October 2011 and in Durban from 29 November to x December 2011

FCCC/KP/AWG/2011/L.3	Consideration of further commitments for Annex I Parties under the Kyoto Protocol. Draft conclusions proposed by the Chair
FCCC/KP/AWG/2011/L.3/Add.1-6	Consideration of further commitments for Annex I Parties under the Kyoto Protocol
FCCC/KP/AWG/2011/CRP.1	Revised proposal by the Chair to facilitate negotiations
FCCC/KP/AWG/2011/CRP.2/Rev.1	Revised proposal by the Chair to facilitate negotiations
Other documents before the session	
FCCC/KP/AWG/2010/18 and Add.1	Report of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on its fifteenth session, held in Cancun from 29 November to 10 December 2010
FCCC/KP/CMP/2010/12/Add.1	Report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its sixth session, held in Cancun from 29 November to 10 December 2010. Part Two: Action taken by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its sixth session
FCCC/AWGLCA/2011/7	Workshop on assumptions and conditions related to the attainment of quantified economy-wide emission reduction targets by developed country Parties, as requested by decision 1/CP.16, paragraph 38. Report by the Co-Chairs of the workshop
FCCC/SB/2011/INF.1/Rev.1	Compilation of economy-wide emission reduction targets to be implemented by Parties included in Annex I to the Convention. Revised note by the secretariat

附件七

第 35 次附屬履行機構會議(SBI 35)報告

Report of the Subsidiary Body for Implementation on
its thirty-fifth session, held in Durban from 28
November to 3 December 2011.

**Subsidiary Body for Implementation****Report of the Subsidiary Body for Implementation on its
thirty-fifth session, held in Durban from 28 November to
3 December 2011**

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I. Opening of the session

(Agenda item 1)

1. The thirty-fifth session of the Subsidiary Body for Implementation (SBI) was held at the International Convention Centre and Durban Exhibition Centre in Durban, South Africa, from 28 November to 3 December 2011.

2. The Chair of the SBI, Mr. Robert Owen-Jones (Australia), opened the session and welcomed all Parties and observers. He also welcomed Mr. Samuel Ortiz Basualdo (Argentina) as Vice-Chair of the SBI and Mr. Petrus Muteyauli (Namibia) as Rapporteur.

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda item 2(a))

3. At its 1st meeting, on 28 November, the SBI considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/SBI/2011/8). At the same meeting, the SBI adopted the agenda as follows, with sub-item 4(b) held in abeyance:

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) Status of submission and review of fifth national communications from Parties included in Annex I to the Convention;
 - (b) Compilation and synthesis of fifth national communications from Parties included in Annex I to the Convention;
 - (c) Compilation and synthesis of supplementary information incorporated in fifth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol and submitted in accordance with Article 7, paragraph 2, of the Kyoto Protocol;
 - (d) Further implementation of Article 12, paragraph 5, of the Convention;
 - (e) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2009;
 - (f) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2011.

4. National communications from Parties not included in Annex I to the Convention:
 - (a) Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention;
 - (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;
 - (d) Provision of financial and technical support.
5. Financial mechanism of the Convention:
 - (a) Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility;
 - (b) Least Developed Countries Fund: support for the implementation of elements of the least developed countries work programme other than national adaptation programmes of action;
 - (c) Other matters.
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. National adaptation plans:²
 - (a) A process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action;³
 - (b) Modalities and guidelines for least developed country Parties, and other developing country Parties to employ the modalities formulated to support national adaptation plans.⁴
8. Approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change to enhance adaptive capacity⁵
 - Activities to be undertaken under the work programme.
9. Matters relating to Article 3, paragraph 14, of the Kyoto Protocol.
10. Forum on the impact of the implementation of response measures at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with the objective of developing a work programme under the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to address these impacts, with a view to adopting, at the

¹ As there was no consensus to include this sub-item on the agenda, it was held in abeyance. On a proposal by the Chair, the SBI decided to include this sub-item on the provisional agenda for its thirty-sixth session with an appropriate footnote.

² Decision 1/CP.16, paragraphs 15–18.

³ Decision 1/CP.16, paragraph 15, 17 and 18.

⁴ Decision 1/CP.16, paragraphs 15–18.

⁵ Decision 1/CP.16, paragraphs 26–29.

seventeenth session of the Conference of the Parties, modalities for the operationalization of the work programme and a possible forum on response measures.⁶

11. Development and transfer of technologies.
12. Capacity-building under the Convention.
13. Capacity-building under the Kyoto Protocol.
14. Report of the administrator of the international transaction log under the Kyoto Protocol.
15. Amendment of the Kyoto Protocol in respect of procedures and mechanisms relating to compliance.
16. Procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism.
17. Administrative, financial and institutional matters:
 - (a) Budget performance for the biennium 2010–2011;
 - (b) Continuing review of the functions and operations of the secretariat;
 - (c) Implementation of the Headquarters Agreement.
18. Other matters.
19. Report on the session.

4. The floor was opened for statements at the resumed 1st meeting of the SBI on 29 November. Statements were made on behalf of the European Union and its member States, the Group of 77 and China, the least developed countries (LDCs), the Alliance of Small Island States (AOSIS), Parties from the Central American Integration System (SICA) and the African Group. In addition, statements were made on behalf of business and industry non-governmental organizations (NGOs), indigenous peoples' organizations, trade union NGOs, women and gender NGOs, and youth NGOs.

B. Organization of the work of the session

(Agenda item 2(b))

5. The SBI considered this sub-item at the resumed session of its 1st meeting, at which the Chair drew attention to the proposed programme of work posted on the UNFCCC website. On a proposal by the Chair, the SBI agreed to proceed on the basis of that programme of work.

C. Election of officers other than the Chair

(Agenda item 2(c))

6. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting held on 3 December. At the resumed 1st meeting, the Chair recalled rule 27 of the draft rules of procedure being applied, whereby the SBI is expected to elect its Vice-Chair and Rapporteur.

7. At the 2nd meeting, as nominations for the post of Vice-Chair and Rapporteur had not yet been received, the SBI requested the Conference of the Parties (COP), as an

⁶ Decision 1/CP.16, paragraph 93.

exception to rule 27, paragraph 6, of the draft rules of procedure being applied, to elect the Vice-Chair and the Rapporteur of the SBI at the closing plenary of its seventeenth session on 9 December.⁷

D. Election of replacement officers

(Agenda item 2(d))

8. No election of replacement officers was held.

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

(Agenda item 3)

A. Status of submission and review of fifth national communications from Parties included in Annex I to the Convention

(Agenda item 3(a))

9. The SBI considered this sub-item at its resumed 1st meeting and took note of document FCCC/SBI/2011/INF.8.

B. Compilation and synthesis of fifth national communications from Parties included in Annex I to the Convention

(Agenda item 3(b))

Compilation and synthesis of supplementary information incorporated in fifth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol and submitted in accordance with Article 7, paragraph 2, of the Kyoto Protocol

(Agenda item 3(c))

Further implementation of Article 12, paragraph 5, of the Convention

(Agenda item 3(d))

10. The SBI considered sub-items 3(b–d) at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SBI/2011/INF.1 and Add.1 and 2, and FCCC/SBI/2011/INF.2.

11. At its resumed 1st meeting, the SBI agreed to consider these sub-items in a contact group co-chaired by Ms. Alma Jean (Saint Lucia) and Mr. Kiyoto Tanabe (Japan).

12. At the 2nd meeting, Ms. Jean reported on the contact group's consultations. As work could not be completed at this session, the SBI agreed to continue consideration of these

⁷ The COP elected Mr. Muteyauli as Rapporteur, who will serve for the thirty-sixth and thirty-seventh sessions of the SBI. The President of the COP urged groups to continue their consultations on the election of the Vice-Chair of the SBI. In accordance with rule 22, paragraph 2, of the draft rules of procedure being applied, the current Vice-Chair will remain in office until a successor is elected at the thirty-sixth session of the SBI.

sub-items at its thirty-sixth session and, in accordance with rule 16 of the draft rules of procedure being applied, to include these sub-items on the provisional agenda for that session.

C. Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2009
(Agenda item 3(e))

13. The SBI considered this sub-item at its resumed 1st meeting and took note of document FCCC/SBI/2011/9.

D. Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2011
(Agenda item 3(f))

1. Proceedings

14. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. At its resumed 1st meeting, the SBI took note of documents FCCC/KP/CMP/2011/8 and Add.1.

15. At its 2nd meeting, the SBI considered and adopted the conclusions below.⁸

2. Conclusions

16. The SBI, at its thirty-fifth session, agreed to recommend draft conclusions on this matter for adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its seventh session (for the text of the conclusions, see FCCC/SBI/2011/L.26).

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

(Agenda item 4)

A. Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

(Agenda item 4(a))

1. Proceedings

17. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SBI/2011/10 and Add.1 and 2. A statement was made on behalf of the Group of 77 and China.

18. At the resumed 1st meeting, the Chair invited Ms. Sangchan Limjirakan (Thailand), Chair of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE), to make a statement.

19. At the same meeting, the SBI agreed to consider this sub-item together with sub-items 4(c) and (d) in a contact group co-chaired by Ms. Jean and Mr. Tanabe.

⁸ Adopted as document FCCC/SBI/2011/L.26.

20. At the 2nd meeting, Mr. Tanabe reported on the contact group's consultations. At the same meeting, the SBI considered and adopted the conclusions below.⁹

2. Conclusions

21. The SBI welcomed the progress report on the work of the CGE.¹⁰

22. The SBI also welcomed the report of the CGE on the workshop on facilitating the development and long-term sustainability of processes, and the establishment and maintenance of national technical teams, for the preparation of national communications, including greenhouse gas (GHG) inventories, on a continuous basis, held on 20 and 21 June 2011, in Bonn, Germany. The SBI noted the importance of the matters under discussion and welcomed the recommendations from the workshop on the common challenges and best practices, options available to Parties and key elements for facilitating the development and long-term sustainability of the national communication processes.¹¹

23. The SBI expressed its gratitude to the Government of Chile for hosting the 5th meeting of the CGE and the CGE GHG inventory hands-on training workshop for the Latin America and Caribbean region, organized in collaboration with the National Communications Support Programme and the Technical Support Unit for the Intergovernmental Panel on Climate Change (IPCC) Task Force on National GHG Inventories, held in Santiago, Chile, on 5–9 September 2011.¹² It also welcomed the report on this workshop and the recommendations from the participants for the improvement of future training workshops and the training materials of the CGE. The SBI encouraged the CGE to take into account those recommendations in the conduct of the remaining CGE regional training workshops on national GHG inventories and the update of its GHG training materials.

24. The SBI encouraged Parties and/or relevant organizations, as appropriate, in providing assistance to Parties not included in Annex I to the Convention (non-Annex I Parties), to take into consideration the recommendations provided by the workshops, as contained in document FCCC/SBI/2011/10/Add.1 and 2.

25. The SBI reiterated its encouragement to Parties to take into account the recommendations made by the CGE on elements to be considered in a future revision of the "Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention" contained in its progress report¹³ submitted to the SBI at its thirty-fourth session.

26. The SBI welcomed the planned training activities¹⁴ to be organized by the CGE as part of its work programme and requested the CGE to make every effort to conduct the planned regional training workshops on GHG inventories, mitigation, and vulnerability and adaptation in 2012, subject to the availability of resources.

27. The SBI took note of the estimated budgetary implications to implement the ambitious work programme of the CGE, as provided by the secretariat.

28. The SBI thanked the European Union, Japan, the Technical Support Unit for the IPCC Task Force on National GHG Inventories and the National Communications Support Programme for their financial contribution to the work of the CGE, and also those Parties that committed to contributing financial support for the work of the CGE. The SBI urged

⁹ Adopted as document FCCC/SBI/2011/L.31.

¹⁰ FCCC/SBI/2011/10.

¹¹ FCCC/SBI/2011/10/Add.1.

¹² FCCC/SBI/2011/10/Add.2.

¹³ FCCC/SBI/2011/5/Rev.1 and FCCC/SBI/2011/5/Add.1.

¹⁴ FCCC/SBI/2011/10, paragraphs 16 and 17.

Parties included in Annex II to the Convention to provide financial resources to enable the CGE to implement its planned activities for 2012 as soon as possible. It also encouraged bilateral, multilateral and international organizations to support the work of the CGE.

29. The SBI reiterated the invitation to the CGE, in implementing its work programme, to take into account the current and future needs of non-Annex I Parties and to take into consideration the provisions under the Convention and the relevant decisions of the COP.¹⁵

30. In accordance with decision 5/CP.15, paragraph 6, the SBI initiated, but did not conclude, consideration on the review of the term and mandate of the CGE and the need for the continuation of the group, and decided to recommend a draft decision¹⁶ on this subject for adoption by the COP at its seventeenth session (for the text of the draft decision, see FCCC/SBI/2011/L.31/Add.1).

31. The SBI requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

B. Information contained in national communications from Parties not included in Annex I to the Convention

(Agenda item 4(b) *held in abeyance*)

C. Further implementation of Article 12, paragraph 5, of the Convention

(Agenda item 4(c))

1. Proceedings

32. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting (see para. 19 above). At its 2nd meeting, the SBI considered and adopted the conclusions below.¹⁷

2. Conclusions

33. The SBI agreed to continue consideration of this sub-item at its thirty-sixth session.

D. Provision of financial and technical support

(Agenda item 4(d))

1. Proceedings

34. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting (see para. 19 above). It had before it documents FCCC/CP/2011/7 and Corr.1 and Add.1 and 2, FCCC/SBI/2011/INF.9 and FCCC/SBI/2011/MISC.4. Representatives of four Parties made statements, including one on behalf of the Group of 77 and China.

35. At the resumed 1st meeting, the Chair of the SBI invited the representative of the secretariat of the Global Environment Facility (GEF) to make a statement.

36. At its 2nd meeting, the SBI considered and adopted the conclusions below.¹⁸

¹⁵ FCCC/SBI/2010/27, paragraph 33, and FCCC/SBI/2011/7, paragraph 36.

¹⁶ For the text as adopted, see decision 14/CP.17.

¹⁷ Adopted as document FCCC/SBI/2011/L.32.

¹⁸ Adopted as document FCCC/SBI/2011/L.33.

2. Conclusions

37. The SBI took note of the information provided by the secretariat of the GEF on financial support provided by the GEF for the preparation of national communications from non-Annex I Parties.¹⁹

38. The SBI invited the GEF to continue to provide detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, in accordance with decision 10/CP.2, paragraph 1(b), including information on the dates of approval of funding and disbursement of funds. It also invited the GEF to continue to provide information on the approximate date of completion of the draft national communications and an approximate date of submission of the national communications to the secretariat for consideration by the SBI at its thirty-sixth session.

39. The SBI noted the submission made by a non-Annex I Party on the detailed costs it incurred, including in-kind contributions, for the preparation of its most recent national communication and on the financial resources received through the GEF as invited by the SBI at its thirty-fourth session.²⁰ It invited other non-Annex I Parties that have not already done so to submit their views on this issue by 5 March 2012. The SBI requested the secretariat to compile these submissions into a miscellaneous document for consideration by the SBI at its thirty-sixth session.

40. The SBI encouraged non-Annex I Parties to submit project proposals for the funding of their subsequent national communications before completion of their current national communications, in order to avoid the lack of continuity in project financing.

41. The SBI reiterated its recommendation²¹ to the COP at its sixteenth session to request the GEF to continue to provide funds for technical support for the preparation of national communications of non-Annex I Parties, similar to that provided by the National Communications Support Programme, recognizing that the costs of such technical support are not deducted from the funds provided to non-Annex I Parties for the preparation of their national communications. It invited the GEF to report on this matter in its report to the COP at its eighteenth session.

42. The SBI recommended that the COP, at its seventeenth session, request the GEF to continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which non-Annex I Parties receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations and to avoid gaps between enabling activities of current and subsequent national communications, recognizing that the process of preparation of national communications is a continuous cycle.

43. The SBI acknowledged the usefulness of the national GHG inventory software for non-Annex I Parties, and requested the secretariat to upgrade the software and make it available to non-Annex I Parties by June 2013. The SBI took note of the estimated budgetary implications to implement this request as provided by the secretariat and requested that the actions of the secretariat be undertaken subject to the availability of financial resources.

¹⁹ FCCC/SBI/2011/INF.9 and FCCC/CP/2011/7 and Add.1.

²⁰ FCCC/SBI/2011/7, paragraph 48.

²¹ FCCC/SBI/2010/27, paragraph 49.

44. The SBI also noted with appreciation that, as at 2 December 2011, 141 initial, 60 second, two third and one fourth national communications from non-Annex I Parties had been submitted. It also noted that 66 non-Annex I Parties are expected to submit their second national communications by the end of 2012.

V. Financial mechanism of the Convention

(Agenda item 5)

A. Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility

(Agenda item 5(a))

1. Proceedings

45. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/CP/2011/7 and Corr.1 and Add.1 and 2 and FCCC/SBI/2011/MISC.5. Representatives of two Parties made a statement, including one on behalf of the LDCs.

46. At the resumed 1st meeting, the Chair of the SBI invited the representative of the secretariat of the GEF to make a statement. At the same meeting, the SBI agreed to consider this sub-item together with sub-items 5(b) and (c) in a contact group co-chaired by Ms. Ana Fornells de Frutos (Spain) and Mr. Lavaasa Malua (Samoa).

47. At the 2nd meeting, Mr. Malua reported on the contact group's consultations. At the same meeting, the SBI considered and adopted the conclusions below.²²

2. Conclusions

48. The SBI took note of the report²³ of the GEF to the COP. In addition, it considered the views submitted by Parties on elements to be taken into account in developing guidance to the GEF.²⁴

49. The SBI decided to recommend a draft decision²⁵ on this matter for adoption by the COP at its seventeenth session (for the text of the decision, see document FCCC/SBI/2011/L.41/Add.1).

B. Least Developed Countries Fund: support for the implementation of elements of the least developed countries work programme other than national adaptation programmes of action

(Agenda item 5(b))

1. Proceedings

50. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting (see para. 46 above). It had before it documents FCCC/CP/2011/7 and Corr.1 and Add.1 and 2, FCCC/SBI/2010/17, FCCC/SBI/2010/26 and FCCC/SBI/2010/MISC.9. A statement was made on behalf of the LDCs.

²² Adopted as document FCCC/SBI/2011/L.41.

²³ FCCC/CP/2011/7 and Add.1 and 2.

²⁴ FCCC/SBI/2011/MISC.5.

²⁵ For the text as adopted, see decision 11/CP.17.

51. At its 2nd meeting, the SBI considered and adopted the conclusions below.²⁶

2. Conclusions

52. The SBI continued its consideration of the request of the COP contained in decision 5/CP.14, and reiterated in decision 5/CP.16, for the GEF to facilitate the implementation of the remaining elements of the LDCs work programme.

53. The SBI took note of the report of the GEF to the COP containing information on support provided under the Least Developed Countries Fund (LDCF).²⁷

54. The SBI decided to recommend a draft decision²⁸ on this matter for adoption by the COP at its seventeenth session (for the text of the decision, see FCCC/SBI/2011/L.40/Add.1).

C. Other matters

(Agenda item 5(c))

1. Proceedings

55. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting (see para. 46 above). It had before it documents FCCC/CP/2011/7 and Corr.1 and Add.1 and 2, FCCC/SBI/2011/INF.10 and FCCC/SBI/2011/MISC.6 and Add.1. Representatives of two Parties made statements.

56. At its 2nd meeting, the SBI considered and adopted the conclusions below.²⁹

2. Conclusions

57. The SBI took note of the information submitted by Parties³⁰ and the information compiled by the secretariat³¹ on the support provided to developing country Parties on activities undertaken to strengthen existing and, where needed, establish national and regional systematic observation and monitoring networks.

58. The SBI also noted the report of the GEF³² to the COP affirming that its mandate under the LDCF and the Special Climate Change Fund (SCCF) covers the activities identified in decision 5/CP.7, paragraph 7(a)(iv), and providing information on projects it supported relating to systematic observation and monitoring networks.

59. The SBI recommended that the COP, at its seventeenth session, request the GEF, as an operating entity of the financial mechanism of the Convention, under its mandate for the LDCF and the SCCF, to continue to provide financial resources to developing countries to strengthen existing and, where needed, establish national and regional systematic observation and monitoring networks.

²⁶ Adopted as document FCCC/SBI/2011/L.40.

²⁷ FCCC/CP/2011/7.

²⁸ For the text as adopted, see decision 9/CP.17.

²⁹ Adopted as document FCCC/SBI/2011/L.39.

³⁰ FCCC/SBI/2011/MISC.6.

³¹ FCCC/SBI/2011/INF.10.

³² FCCC/CP/2011/7.

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

(Agenda item 6)

A. Progress on the implementation of decision 1/CP.10

(Agenda item 6(a))

60. The SBI considered this sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2011/INF.11 and FCCC/SBI/2011/INF.12. Representatives of five Parties made statements.

61. At its 1st meeting, the SBI agreed to consider this item in informal consultations facilitated by Mr. Ortiz Basualdo. At its 2nd meeting, Mr. Ortiz Basualdo reported on the consultations. As work could not be completed at this session, the SBI agreed to continue consideration of this sub-item at its thirty-sixth session and, in accordance with rule 16 of the draft rules of procedure being applied, to include this sub-item on the provisional agenda for that session.

B. Matters relating to the least developed countries

(Agenda item 6(b))

1. Proceedings

62. The SBI considered this sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2011/11 and FCCC/TP/2011/7. A representative of one Party made a statement on behalf of the LDCs.

63. At the 1st meeting, the Chair of the SBI invited Ms. Pepetua Latasi (Tuvalu), Chair of the Least Developed Countries Expert Group (LEG), to make a statement.

64. At the same meeting, the SBI agreed to consider this item in informal consultations facilitated by Mr. Rence Sore (Solomon Islands). As Mr. Sore was unable to attend the initial part of the session, Mr. Mamadou Honadia (Burkina Faso) was invited to facilitate these consultations and reported on them at the 2nd meeting of the SBI. At the same meeting, the SBI considered and adopted the conclusions below.³³

2. Conclusions

65. The SBI took note of the oral report by the Chair of the LEG, and welcomed the report on the twentieth meeting of the LEG, held in Vientiane, Lao People's Democratic Republic, from 12 to 14 September 2011.³⁴

66. The SBI thanked the Government of the Lao People's Democratic Republic for hosting the meeting and expressed its gratitude to the Governments of Canada and Norway for providing financial resources in support of the work of the LEG.

67. The SBI welcomed the submission of 46 national adaptation programmes of action (NAPAs) to the secretariat as at 3 December 2011. It noted the important role played by the LEG in assisting LDC Parties with the preparation of NAPAs, and invited the LEG to continue to assist the LDCs that have not yet completed their NAPAs to do so and submit these as soon as possible, in collaboration with the GEF and its agencies.

³³ Adopted as document FCCC/SBI/2011/L.22.

³⁴ FCCC/SBI/2011/11.

68. The SBI also welcomed the submission of NAPA projects to the GEF for the funding of implementation under the LDCF by the 46 countries that had completed the preparation of their NAPAs as at 3 December 2011.

69. The SBI expressed its appreciation to the LEG for the progress it has made under its work programme for 2011–2012.³⁵ It welcomed the technical paper on identification and implementation of medium- and long-term adaptation activities in LDCs,³⁶ and the publication of *Best Practices and Lessons Learned in Addressing Adaptation in the Least Developed Countries through the National Adaptation Programme of Action Process*,³⁷ as well as the other LEG outputs in 2011.

70. The SBI encouraged the LEG to organize the regional training workshops referred to in the work programme of the LEG in close collaboration with relevant organizations, agencies and regional centres, with the aim to, inter alia:

(a) Address key issues and share technical guidance and tools related to implementation, revision and update of NAPAs;

(b) Facilitate the application by LDCs of new approaches such as the programmatic approach in the implementation of NAPAs;

(c) Strengthen the capacity of LDCs to address medium- and long-term adaptation;

(d) Facilitate the integration of gender considerations and considerations regarding vulnerable communities in the implementation of NAPAs;

(e) Serve as a means of sharing the best practices and lessons learned at the regional level.

71. The SBI requested the LEG to keep it informed of the efforts of the LEG in implementing its work programme over the period 2011–2012.

72. The SBI invited Parties in a position to do so to continue to provide resources in support of the implementation of the work programme of the LEG, including resources for the training workshops mentioned in the work programme of the LEG for 2011–2012.

73. The SBI agreed to consider, at its thirty-sixth session, the matter of inviting the GEF, as an operating entity of the financial mechanism of the Convention operating the LDCF, to support, if sufficient voluntary funding has not been provided from bilateral sources, the organization, under the guidance of the LEG, of the regional training workshops mentioned in the work programme of the LEG for 2011–2012.

³⁵ FCCC/SBI/2011/4, annex I. A detailed version of the work programme, including specific objectives, expected outcomes and a timeline, is available on the UNFCCC website at <<http://www.unfccc.int/5977>>.

³⁶ FCCC/TP/2011/7.

³⁷ <http://unfccc.int/resource/docs/publications/ldc_publication_bbll_2011.pdf>.

VII. National adaptation plans³⁸

(Agenda item 7)

A process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action³⁹

(Agenda item 7(a))

Modalities and guidelines for least developed country Parties, and other developing country Parties to employ the modalities formulated to support national adaptation plans⁴⁰

(Agenda item 7(b))

1. Proceedings

74. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SBI/2011/12, FCCC/SBI/2011/13 and FCCC/SBI/2011/MISC.7. Representatives of 11 Parties made statements, including statements on behalf of the LDCs, the Group of 77 and China and the European Union and its member States.

75. At its resumed 1st meeting, the SBI agreed to consider this item in informal consultations facilitated by Mr. Owen-Jones.

76. At the 2nd meeting, Mr. Owen-Jones reported on the consultations. At the same meeting, the SBI considered and adopted the conclusions below, as amended.⁴¹

2. Conclusions

77. The SBI, at its thirty-fifth session, decided to recommend the draft decision as contained in the annex to document FCCC/SBI/2011/L.36, for consideration and finalization by the COP at its seventeenth session.⁴²

³⁸ Decision 1/CP.16, paragraphs 15–18.

³⁹ Decision 1/CP.16, paragraph 15, 17 and 18.

⁴⁰ Decision 1/CP.16, paragraphs 15–18.

⁴¹ Adopted as document FCCC/SBI/2011/L.36, as amended.

⁴² For the text as adopted, see decision 5/CP.17.

VIII. Approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change to enhance adaptive capacity⁴³

- Activities to be undertaken under the work programme

(Agenda item 8)

1. Proceedings

78. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SBI/2011/MISC.8 and Add.1 and FCCC/SBI/2011/INF.13. Statements were made on behalf of the African Group, AOSIS, the European Union and its member States, the Group of 77 and China, the LDCs, the SICA Parties and the Umbrella Group.

79. At its resumed 1st meeting, the SBI agreed to consider this item in informal consultations facilitated by Mr. Owen-Jones.

80. At the 2nd meeting, Mr. Owen-Jones reported on the consultations. At the same meeting, the SBI considered and adopted the conclusions below.⁴⁴

2. Conclusions

81. The SBI considered the documents prepared for the session⁴⁵ and noted that the outcomes of the workshop to identify challenges and gaps in the implementation of risk management approaches to the adverse effects of climate change, which took place in Lima, Peru, from 10 to 12 October 2011, provide useful inputs into the implementation of the work programme on loss and damage.⁴⁶

82. The SBI decided to recommend a draft decision⁴⁷ on the work programme on loss and damage for adoption by the COP at its seventeenth session (for the text of the decision, see FCCC/SBI/2011/L.35/Add.1).

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

(Agenda item 9)

1. Proceedings

83. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SB/2011/INF.6 and Corr.1. A representative of one Party made a statement.

84. At its resumed 1st meeting, the SBI agreed to consider this item together with a matter for discussion at the Subsidiary Body for Scientific and Technological Advice (SBSTA) at its thirty-fifth session, agenda item 8, "Matters relating to Article 2,

⁴³ Decision 1/CP.16, paragraphs 26–29.

⁴⁴ Adopted as document FCCC/SBI/2011/L.35.

⁴⁵ FCCC/SBI/2011/MISC.8 and Add.1 and FCCC/SBI/2011/INF.13.

⁴⁶ FCCC/SBI/2011/INF.11.

⁴⁷ For the text as adopted, see decision 7/CP.17.

paragraph 3, of the Kyoto Protocol”, in a joint contact group, co-chaired by Mr. José Romero (Switzerland) and Mr. Eduardo Calvo (Peru).

85. At the 2nd meeting, Mr. Calvo reported on the contact group’s consultations. At the same meeting, the SBI considered and adopted the conclusions below.⁴⁸

2. Conclusions

86. The SBSTA and the SBI, at their thirty-fifth sessions, welcomed with appreciation the organization of the joint workshop to address matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol, held on 19 and 20 September 2011 in Bonn.

87. The SBSTA and the SBI acknowledged the lessons learned from the joint workshop referred to in paragraph 86 above, as contained in documents FCCC/SB/2011/INF.6 and Corr.1.

88. The SBSTA and the SBI agreed to continue to discuss matters related to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol, in a joint contact group to be established by them at their thirty-sixth sessions.

X. Forum on the impact of the implementation of response measures at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with the objective of developing a work programme under the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to address these impacts, with a view to adopting, at the seventeenth session of the Conference of the Parties, modalities for the operationalization of the work programme and a possible forum on response measures⁴⁹

(Agenda item 10)

Proceedings

89. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SB/2011/MISC.4 and Add.1 and FCCC/SB/2011/INF.5. Representatives of six Parties made statements, including statements on behalf of the Group of 77 and China, the European Union and its member States, the Umbrella Group and AOSIS.

90. At the resumed session of its 1st meeting, the SBI agreed to consider this item, together with SBSTA 35 agenda item 7, in a joint SBI/SBSTA forum, co-chaired by Mr. Owen-Jones and Mr. Richard Muyungi (United Republic of Tanzania), Chair of the SBSTA, and co-facilitated by Mr. Romero and Mr. Crispin d’Auvergne (Saint Lucia).

91. At the 2nd meeting, Mr. d’Auvergne reported on the forum proceedings, including on a special event organized in the context of the forum. At the same meeting, the SBI agreed to bring this matter to the attention of the President of the COP for further guidance and finalization by the COP at its seventeenth session.⁵⁰

⁴⁸ Adopted as documents FCCC/SBSTA/2011/L.21–FCCC/SBI/2011/L.29.

⁴⁹ Decision 1/CP.16, paragraph 93.

⁵⁰ For the resulting text, as adopted, see decision 8/CP.17.

XI. Development and transfer of technologies

(Agenda item 11)

1. Proceedings

92. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SB/2011/2 and FCCC/SBI/2011/14.

93. At the resumed 1st meeting, the Chair of the SBI invited Mr. Antonio Pflüger (Germany), Vice-Chair of the Technology Executive Committee (TEC) to make a statement. At the same meeting, the SBI agreed to consider this item together with SBSTA 35 agenda item 5 in a joint contact group, co-chaired by Mr. Carlos Fuller (Belize) and Mr. Zitouni Ould-Dada (United Kingdom).

94. At the 2nd meeting, Mr. Ould-Dada reported on the group's consultations. At the same meeting, the SBI considered and adopted the conclusions below.⁵¹

2. Conclusions

95. The SBI noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer,⁵² including its long-term implementation, as invited by the SBI at its thirty-fourth session.

96. The SBI acknowledged the support provided by the GEF for the implementation of technology transfer pilot projects and for the conduct of technology needs assessments (TNAs). It further acknowledged the progress made in implementing the long-term programme on technology transfer. Furthermore, it urged the GEF and Parties to expedite the process for the early implementation of projects submitted before 30 September 2009.

97. The SBI encouraged non-Annex I Parties to develop and submit project proposals, particularly for technologies for adaptation, to the GEF in line with elements of the long-term programme on technology transfer described in document FCCC/SBI/2011/14, annex, paragraphs 46 and 47. The SBI invited the GEF to raise awareness of the long-term programme on technology transfer.

98. The SBI welcomed the results of the TNAs that are being prepared under the Poznan strategic programme in cooperation with the United Nations Environment Programme (UNEP). The SBI noted information provided orally by the Climate Technology Initiative's Private Financing Advisory Network on its collaboration with UNEP to assess any projects identified under the TNAs to determine their suitability for private-sector investment in order to accelerate implementation.

99. The SBI invited the GEF to support the operationalization and activities of the Climate Technology Centre and Network without prejudging any selection of the host.

100. Pursuant to decision 1/CP.16, paragraph 126, the SBI and the SBSTA considered the report on activities and performance of the TEC for 2011 and agreed to recommend elements for a draft decision on this matter for consideration and adoption by the COP at its seventeenth session. These elements for the draft decision are contained in the annex to document FCCC/SBI/2011/L.34.

⁵¹ Adopted as document FCCC/SBI/2011/L.34.

⁵² FCCC/SBI/2011/14.

XII. Capacity-building under the Convention

(Agenda item 12)

1. Proceedings

101. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/CP/2011/7 and Corr.1 and Add.1 and 2, FCCC/SBI/2011/15, FCCC/SBI/2011/MISC.9, FCCC/SBI/2009/4, FCCC/SBI/2010/20, FCCC/SBI/2010/MISC.6, FCCC/SBI/2009/5, FCCC/SBI/2009/MISC.1, FCCC/SBI/2009/MISC.2 and FCCC/SBI/2009/MISC.12/Rev.1. A statement was made on behalf of the Group of 77 and China.

102. At its resumed 1st meeting, the SBI agreed to consider this item in a contact group chaired by Mr. Owen-Jones with the assistance of Mr. Maas Goote (The Netherlands).

103. At the 2nd meeting, Mr. Goote reported on the group's consultations. At the same meeting, the SBI considered and adopted the conclusions below.⁵³

2. Conclusions

104. The SBI, at its thirty-fifth session, decided to recommend a draft decision⁵⁴ for adoption by the COP at its seventeenth session (for the text of the decision see FCCC/SBI/2011/L.37).

XIII. Capacity-building under the Kyoto Protocol

(Agenda item 13)

1. Proceedings

105. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/KP/CMP/2011/3, FCCC/SBI/2011/15, FCCC/SBI/2011/MISC.9, FCCC/SBI/2010/20, FCCC/SBI/2010/MISC.6, FCCC/SBI/2009/4, FCCC/SBI/2009/5, FCCC/SBI/2009/MISC.1, FCCC/SBI/2009/MISC.2 and FCCC/SBI/2009/MISC.12/Rev.1.

106. At its resumed 1st meeting, the SBI agreed to consider this item in a contact group chaired by Mr. Owen-Jones with the assistance of Mr. Goote.

107. At the 2nd meeting, Mr. Goote reported on the group's consultations. At the same meeting, the SBI considered and adopted the conclusions below.⁵⁵

2. Conclusions

108. The SBI, at its thirty-fifth session, decided to recommend a draft decision⁵⁶ on this matter for adoption by the CMP at its seventh session (for the text of the decision see FCCC/SBI/2011/L.38).

⁵³ Adopted as document FCCC/SBI/2011/L.37.

⁵⁴ For the text as adopted, see decision 13/CP.17.

⁵⁵ Adopted as document FCCC/SBI/2011/L.38.

⁵⁶ For the text as adopted, see decision 15/CMP.7.

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

(Agenda item 14)

1. Proceedings

109. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. At its resumed 1st meeting, the SBI took note of documents FCCC/KP/CMP/2011/7 and Corr.1.

110. At its 2nd meeting, the SBI considered and adopted the conclusions below.⁵⁷

2. Conclusions

111. The SBI, at its thirty-fifth session, agreed to recommend draft conclusions on this matter for adoption by the CMP at its seventh session (for the text of the conclusions, see FCCC/SBI/2011/L.23).

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

(Agenda item 15)

112. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. It had before it document FCCC/KP/CMP/2005/2.

113. At the resumed 1st meeting, the Chair of the SBI announced that he would consult with interested Parties and report on the outcome of these consultations to the SBI at its closing plenary. At the 2nd meeting, the Chair reported that there was agreement to continue to discuss this matter further at the thirty-sixth session of the SBI and to include this item on the provisional agenda for that session.

XVI. Procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism

(Agenda item 16)

1. Proceedings

114. The SBI considered this item at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SBI/2011/MISC.2, FCCC/TP/2011/3 and FCCC/KP/CMP/2010/10.

115. At its resumed 1st meeting, the SBI agreed to consider this item in a contact group co-chaired by Mr. Kunihito Shimada (Japan) and Mr. Yaw Bediako Osafo (Ghana).

116. At the 2nd meeting, Mr. Shimada reported on the contact group's consultations. At the same meeting, the SBI considered and adopted the conclusions below.⁵⁸

2. Conclusions

117. The SBI made progress in reaching an agreement with regard to the form and some of the features of the possible appeals body. However, Parties maintained different

⁵⁷ Adopted as document FCCC/SBI/2011/L.23.

⁵⁸ Adopted as document FCCC/SBI/2011/L.30.

interpretations of the mandate for the establishment of the appeals process currently being negotiated.

118. The SBI took note of the revised draft text, as proposed by the co-chairs of the contact group, contained in annex I, while noting that, for the time being, it remained the co-chairs' text. It agreed to continue the consideration of this matter at its next session with a view to forwarding a draft text for consideration by the CMP at its eighth session.

XVII. Administrative, financial and institutional matters

(Agenda item 17)

A. Budget performance for the biennium 2010–2011

(Agenda item 17(a))

Continuing review of the functions and operations of the secretariat

(Agenda item 17(b))

1. Proceedings

119. The SBI considered these sub-items at its resumed 1st meeting and at its 2nd meeting. It had before it documents FCCC/SBI/2011/16, FCCC/SBI/2011/INF.14 and FCCC/SBI/2011/INF.15. Statements were made by a representative of one Party and by the Executive Secretary.

120. At the resumed 1st meeting, the Chair proposed drafting conclusions on these sub-items, with the assistance of the secretariat and in consultation with interested Parties. At its 2nd meeting, the SBI considered and adopted the conclusions below.⁵⁹

2. Conclusions

121. The SBI decided to recommend draft decisions⁶⁰ on administrative, financial and institutional matters for adoption by the COP at its seventeenth session (for the text of the decision, see document FCCC/SBI/2011/L.27/Add.1) and by the CMP at its seventh session (for the text of the decision, see document FCCC/SBI/2011/L.27/Add.2).

B. Implementation of the Headquarters Agreement

(Agenda item 17(c))

1. Proceedings

122. The SBI considered this sub-item at its resumed 1st meeting and at its 2nd meeting. Statements were made by representatives of two Parties as well as by a representative of the Host Government of the secretariat and by the Executive Secretary.

123. At the resumed 1st meeting, the Chair proposed drafting conclusions on this sub-item, with the assistance of the secretariat and in consultation with interested Parties. At its 2nd meeting, the SBI considered and adopted the conclusions below.⁶¹

⁵⁹ Adopted as document FCCC/SBI/2011/L.27.

⁶⁰ For the texts as adopted, see decision 17/CP.17 and 16/CMP.7.

⁶¹ Adopted as document FCCC/SBI/2011/L.28.

2. Conclusions

124. The SBI took note of the information provided by the representative of the Host Government of the secretariat that construction works on the new conference facilities in Bonn will be resumed and that their completion is still expected by the first negotiating session of 2013.

125. The SBI expressed its appreciation to the Host Government and the city of Bonn for their efforts and the investments made in this regard.

126. The SBI reiterated its request to the Host Government and the host city of the secretariat to maintain, in the interim, the arrangements to accommodate the Bonn sessions of the subsidiary bodies and to intensify their efforts to provide a permanent meeting space that is available and adequate to accommodate meetings under the UNFCCC process at present and in the future.

127. The SBI was informed by the representative of the Host Government and the Executive Secretary of the progress made in the completion of the new premises for the secretariat in Bonn, in particular that the first building is to be completed by mid-2012 and that the second building and additional meeting facilities are expected to be completed by 2017. The SBI also noted with concern the difficulties faced by the secretariat owing to the continued need to operate from different locations and encouraged the Host Government to provide office facilities that allow for evolving requirements.

128. The SBI invited the Host Government and the Executive Secretary to report to it at its thirty-sixth session on further progress made on these and other aspects of the implementation of the Headquarters Agreement.

XVIII. Other matters

(Agenda item 18)

129. No other matters were raised.

XIX. Report on the session

(Agenda item 19)

130. At its 2nd meeting, the SBI considered and adopted the draft report on its thirty-fifth session.⁶² At the same meeting, on a proposal by the Chair, the SBI authorized the Rapporteur to complete the report on the session, with the assistance of the secretariat and under the guidance of the Chair.

XX. Closure of the session

131. At the 2nd meeting, a representative of the Executive Secretary provided a preliminary evaluation of the administrative and budgetary implications of the conclusions adopted during the session. This follows decision 16/CP.9, paragraph 20, which requests the Executive Secretary to provide an indication of the administrative and budgetary implications of decisions⁶³ if these cannot be met from existing resources within the core budget.

⁶² Adopted as document FCCC/SBI/2011/L.24.

⁶³ While decision 16/CP.9 refers to “decisions”, it also has implications for conclusions of the subsidiary bodies.

132. The SBI, at its thirty-fifth session, requested a number of activities that require additional resources over and above the core budget for 2012–2013. These include the following:

(a) Under agenda sub-item 4(a), “Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention”, funding in the amount of EUR 1.7 million is required for seven planned regional training workshops on GHG inventories, mitigation, and vulnerability and adaptation in 2012;

(b) Under agenda sub-item 4(d), “Provision of financial and technical support”, the secretariat has been requested to upgrade the non-Annex I national GHG inventory software. The estimated costs for this upgrade is EUR 250,000;

(c) Under agenda item 8, “Approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change to enhance adaptive capacity - Activities to be undertaken under the work programme”, the secretariat has been requested to support and undertake many activities including organizing several expert meetings and preparing technical reports. The cost of these activities is estimated at EUR 1 million.

133. At the same meeting, closing statements were made by 10 Parties, including statements on behalf of the Group of 77 and China, the European Union and its member States, the Umbrella Group, the African Group, SICA Parties, AOSIS, and the LDCs. In addition, five statements were made on behalf of business and industry NGOs, local government and municipal authorities and youth NGOs, and by representatives of environmental NGOs.

134. Before closing the session, the Chair thanked delegates, the chairs of contact groups and convenors of informal consultations for their contributions. He also thanked the secretariat for its support.

Annex I

[English only]

Co-chair's proposed text

Appeals mechanism

[The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling decisions 2/CMP.5, paragraph 42, and 3/CMP.6, paragraph 18,

Recalling also decisions 2/CMP.1 and 3/CMP.1,

Cognizant of its decisions 4/CMP.1, 5/CMP.1, 6/CMP.1, 7/CMP.1, 1/CMP.2, 2/CMP.3 and 2/CMP.5,

Recognizing the importance of timely and effective decision-making by the Executive Board of the clean development mechanism on issues related to project activities,

Emphasizing the importance of consistency and correctness in the application of the modalities and procedures of the clean development mechanism,

Wishing to provide for an independent, impartial, fair, equitable, transparent and efficient mechanism to enable review of the decisions of the Executive Board of the clean development mechanism,

1. *Approves and adopts* the procedures and mechanisms relating to appeals against decisions of the Executive Board of the clean development mechanism, as contained in the appendix to this decision;
2. *Agrees* that appeals may be brought before the appeals body¹ at the earliest six calendar months following the adoption of this decision;
3. *Agrees also* that appeals may be brought before the appeals body only with regard to decisions of the Executive Board concluded following the adoption of this decision;
4. *Requests* the Subsidiary Body for Implementation to consider the experience gained with the appeals mechanism with a view to proposing recommendations for modifications or adjustments, if necessary, for consideration by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its tenth session.

¹ Name to be determined.

Appendix

Procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism

PART I: THE APPEALS BODY

I. Establishment and powers

1. An appeals body is hereby established that considers appeals against decisions of the Executive Board of the clean development mechanism (CDM) regarding the [approval,] rejection or alteration of requests for the registration of project activities and the issuance of certified emission reductions (CERs).
2. The appeals body shall report annually to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) on its deliberations.
3. Subject to the provisions of this decision, taking into account the recommendations made by the Executive Board in document FCCC/CMP/2010/10, the appeals body shall establish the procedure governing appeals, for consideration and approval by the CMP at its ninth session. The appeals body shall also develop its operational modalities on matters relating to the organization of its work, including procedures for the protection of proprietary or confidential information.

II. Membership

4. The CMP shall elect 30 members to the appeals body roster [as follows: [X] member[s] from each of the five United Nations regional groups, [X] member[s] from Parties included in Annex I to the Convention, [X] member[s] from Parties not included in Annex I to the Convention and [X] member[s] from small island developing States].
5. Members shall be elected for a period of four years [and shall be eligible to serve a maximum of [two][X] consecutive terms]. In order to ensure continuity, half of the members shall be elected initially for a term of [X] years and the remaining members shall be elected for the full term of office. Members of the appeals body shall remain in office until their successors are elected.
6. Each constituency referred to in paragraph 4 above shall endeavour to conduct a rigorous selection process in order to ensure that the nominees meet the criteria set out in paragraph 8 below.
7. In making nominations, Parties are invited to recall decision 36/CP.7 and give active consideration to the nomination of women.
8. To be eligible for election as a member, a person shall:
 - (a) Be of high standing and moral character;
 - (b) Possess at least 10 years of relevant experience in international law, administrative law [or in the field of the CDM];
 - (c) Be available at all times and at short notice to hear appeals[;]

[d] Be unaffiliated with any government].

9. A member of the appeals body shall not be a member of the Executive Board, a member or employee of its support structure, designated operational entity or designated national authority, and shall not have served on the Executive Board or in its support structure [for at least seven years] prior to his or her appointment to the appeals body. Members of the appeals body shall not be eligible to serve on the Executive Board of the CDM or in its support structure within for a minimum of [one] year[s] following the completion of their service on the appeal body.

10. A member of the appeals body may resign by notifying the CMP through the Executive Secretary. The resignation shall take effect 90 calendar days from the date of notification.

11. The appeals body may suspend a member in the event of incapacity or misconduct, including breach of the provisions related to conflict of interest as set out in chapter III below, breach of provisions related to confidentiality of information as set out in chapter IV below or a failure to attend two consecutive meetings without proper justification, pending consideration of the matter by the CMP.

12. A member of the appeals body may only be removed by the CMP for reasons outlined in paragraph 11 above.

13. In the event that a member becomes unable to serve on an appeal for which he or she was originally selected, another member shall be selected to replace him or her in accordance with the procedure set out in paragraph 21 below.

14. Members of the appeals body shall be remunerated for their time spent on consideration of appeals in the amount of [XXX].

III. Impartiality and independence

15. A member of the appeals body shall serve in his or her personal capacity and shall enjoy full independence.

16. A member of the appeals body shall swear an oath that he or she shall be independent and impartial, shall avoid direct or indirect conflicts of interest and shall respect the confidentiality of proceedings before the appeals body.

17. Should any direct or indirect conflict of interest arise, the member concerned shall immediately recuse himself or herself from the appeal in question.

IV. Internal management

18. Decisions, other than in the context of individual appeals, shall be made by the full membership of the appeals body. For such decisions, X members must be present to constitute a quorum. Decision shall be taken by consensus, whenever possible. If all efforts at reaching consensus have been exhausted and no agreement has been reached, decisions shall be taken by a majority vote of the members present and voting. Members abstaining from voting shall be considered as not voting.

19. The appeals body shall elect its own Chair and Vice-Chair for the term of [x] years.

20. Appeals shall normally be heard by a panel of three members and shall be decided by a majority vote.

21. The members constituting a panel shall be selected on a random basis.

22. The internal discussions, deliberations and voting on, and drafting of, the decision by a panel during an appeal proceeding shall be confidential.

V. Collegiality

23. The members shall remain informed of the decisions, modalities and procedures concerning an appeal as well as the relevant modalities and procedures of the CDM.

24. To ensure consistency and coherence in decision-making, and to draw on the individual and collective expertise of the members, the members of the appeals body shall convene at least once a year to discuss matters of policy, practice and procedure relating to appeals and to the modalities and procedures of the CDM generally. [The ad hoc panel responsible for an appeal shall share their reasoning with the other members of the appeals body after finalizing its decision.]

PART II: GENERAL ISSUES

VI. Transparency and confidential information

25. The decisions of the appeals body shall be issued in writing and shall state the reasons, facts and rules on which they are based.

26. Subject to the provisions of paragraphs 22 above and 27 below, the decisions of the appeals body with regard to individual appeals shall be communicated to the entities involved in the appeal and to the Executive Board of the CDM, and shall be made publicly available.

27. As a general rule, information obtained by the appeals body marked as proprietary or confidential shall not be disclosed without the written consent of the provider of the information, unless the appeals body determines that, in accordance with the CDM modalities and procedures, such information cannot be claimed proprietary or confidential. Provisions with regard to confidential information contained in decision 3/CMP.1, annex, paragraph 6, shall be applicable to the workings of the appeals body.

VII. Administrative and financial support

28. The secretariat of the United Nations Framework Convention on Climate Change shall make the administrative arrangements necessary for the functioning of the appeals mechanism.

29. Staff members of the secretariat assigned to assist the appeals body in the carrying out of its functions [related to the implementation of this decision] shall be independent and impartial, shall avoid direct or indirect conflicts of interest and shall respect the confidentiality of the proceedings before the appeals body.

30. [Reasonable expenses associated with the establishment and overhead costs of the appeals mechanism shall be borne out of the share of proceeds for the clean development mechanism and shall be allocated in a way that ensures the independence and impartiality of the mechanism [and on the basis of a management plan for the mechanism to be developed by the appeals body]. The expenses associated with the consideration of appeals shall be funded through the fees in accordance with paragraph 43 of this appendix.]

VIII. Working language

31. The working language of the appeals body shall be English.

PART III: CONSIDERATION OF APPEALS

IX. Grounds for appeal

32. The appeals body shall be competent to decide on an appeal within the scope of its powers, as set out in paragraph 1 above, on whether the Executive Board:

- (a) Exceeded its jurisdiction or competence;
- (b) Committed an error in procedure, such as to materially affect the decision in the case;
- (c) [Incorrectly] interpreted or applied one or more CDM modalities and procedures [in a way that [is unreasonable] and, if done differently, would have resulted in a materially different outcome];
- (d) [Clearly] erred on a question of fact available to the Executive Board at the time of it reaching its decision, [in a way that [is unreasonable] [and, if done differently, would have resulted in a materially different outcome];
- (e) In reconsidering its decision on remand pursuant to paragraph 34 below, rendered a decision that is inconsistent with the judgement of the appeals body [on the same request for registration or issuance or with the previous ruling of the Executive Board with regard to that request].

33. Subject to provisions of this decision, the appeals body shall establish, in a transparent manner, the criteria for admissibility of appeals.

X. Decisions and orders

- 34.

Option A:

With respect to decisions relating to the grounds of review stipulated in paragraph 33 above, the appeals body may affirm a decision of the Executive Board or remand it back to the Executive Board for reconsideration.

Option B:

With respect to decisions relating to the grounds of review stipulated in paragraphs (a), (b), and (c) of paragraph 32 above, the appeals body may affirm or reverse a decision of the Executive Board.

With respect to decisions relating to the grounds of review stipulated in paragraphs (d) and (e) of paragraph 32 above, the appeals body may affirm, reverse or remand a decision of the Executive Board.

35. Decisions of the appeals body shall be final and binding on the entities referred to in paragraph 38 below and on the Executive Board.

36. In the interests of fairness and orderly procedure, the appeals body may issue procedural orders as necessary and appropriate to assist the functioning of an appeal proceeding.

XI. The record

37. Any document or oral evidence that was available to the Executive Board in connection with its consideration of the decision being appealed shall constitute the record for the appeal in question. The complete record pertaining to the decision of the Executive Board being appealed shall be made available to the appeals body not later than seven calendar days following the receipt of the appeal by the secretariat.

XII. Commencement of an appeal

38. Any Party, project participant [or DOE] directly involved in [or stakeholder or organization referred to in decision 3/CMP.1, annex, paragraph 40(c), which has submitted comments with regard to] a CDM project activity or a proposed CDM project activity with respect to which the Executive Board has [registered or] made a rejection or alteration decision relating to the registration of such a project activity or the issuance of CERs (“petitioners”) may file, individually or jointly, a petition for appeal against such a decision.

39. Multiple appeals can be filed against the same decision, so long as no single petitioner is a signatory to more than one appeal.

40. A petition for appeal shall be filed no later than [45][60] calendar days after the decision of the Executive Board has been made publicly available.

XIII. Time limits

41. As a general rule, the appeals proceedings shall not exceed 90 calendar days from the date a petition is received by the appeals body to the date it issues its final decision.

42. The Executive Board shall reach a decision reconsidered on remand in accordance with the provisions of paragraph 34 above at its first meeting, which will take place at least after 21 calendar days following the receipt of the remand.

XIV. Filing fee

43. Taking into account the costs of the appeals process and the need to deter frivolous appeals, the filing of an appeal shall be subject to a reasonable and not prohibitively expensive fee.]

Annex II

[English only]

Documents before the Subsidiary Body for Implementation at its thirty-fifth session

Documents prepared for the session

FCCC/SBI/2011/8	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2011/9	National greenhouse gas inventory data for the period 1990–2009. Note by the secretariat
FCCC/SBI/2011/10	Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat
FCCC/SBI/2011/10/Add.1	Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat. Addendum. Report on the workshop on facilitating the development and long-term sustainability of processes, and the establishment and maintenance of national technical teams, for the preparation of national communications, including greenhouse gas inventories, on a continuous basis
FCCC/SBI/2011/10/Add.2	Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat. Addendum. Report on the workshop on greenhouse gas inventory hands-on training for the Latin America and Caribbean region
FCCC/SBI/2011/11	Report on the twentieth meeting of the Least Developed Countries Expert Group. Note by the secretariat
FCCC/SBI/2011/12	Report on the expert meeting on the process and the modalities and guidelines for the formulation and implementation of national adaptation plans. Note by the secretariat
FCCC/SBI/2011/13	Synthesis report on the process and the modalities and guidelines for national adaptation plans. Note by the secretariat
FCCC/SBI/2011/14	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/2011/15	Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat
FCCC/SBI/2011/16	Budget performance for the biennium 2010–2011 as at 30 June 2011. Note by the secretariat
FCCC/SBI/2011/INF.8	Status of submission and review of fifth national communications. Note by the secretariat
FCCC/SBI/2011/INF.9	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/2011/INF.10	Support provided to developing country Parties and activities undertaken to strengthen existing and, where needed, establish national and regional systematic observation and monitoring networks. Note by the secretariat
FCCC/SBI/2011/INF.11	Report on the workshop to identify challenges and gaps in the implementation of risk management approaches to the adverse effects of climate change. Note by the secretariat
FCCC/SBI/2011/INF.12	Report on the workshop on promoting risk management approaches on the specific needs and concerns of developing country Parties arising from the impact of the implementation of response measures. Note by the secretariat
FCCC/SBI/2011/INF.13	Synthesis report on views and information on the thematic areas in the implementation of the work programme. Note by the secretariat
FCCC/SBI/2011/INF.14	Status of contributions as at 15 November 2011. Note by the secretariat
FCCC/SBI/2011/INF.15	Report on planned efficiency gains for the biennium 2012–2013. Note by the Executive Secretary
FCCC/SBI/2011/MISC.4	Information by Parties not included in Annex I to the Convention on the detailed costs incurred, including in-kind contributions, for the preparation of their most recent national communications, and on the financial resources received through the Global Environment Facility. Submissions from Parties
FCCC/SBI/2011/MISC.5	Views on elements to be taken into account in developing guidance to the Global Environment Facility. Submissions from Parties
FCCC/SBI/2011/MISC.6 and Add.1	Information on the support provided to developing country Parties and on activities undertaken to strengthen existing, and to establish, national and regional systematic observation and monitoring networks. Submissions from Parties

FCCC/SBI/2011/MISC.7	Views on the process and the modalities and guidelines for national adaptation plans. Submissions from Parties and intergovernmental organizations
FCCC/SBI/2011/MISC.8 and Add.1	Views and information on the thematic areas in the implementation of the work programme. Submissions from Parties and relevant organizations
FCCC/SBI/2011/MISC.9	Activities to implement the framework for capacity-building in developing countries under decision 2/CP.7. Submissions from Parties and relevant organizations
FCCC/SB/2011/2	Report on activities and performance of the Technology Executive Committee for 2011
FCCC/SB/2011/INF.5	Report on the special event held in the context of the forum on the impact of the implementation of response measures at the thirty-fourth sessions of the subsidiary bodies. Note by the secretariat
FCCC/SB/2011/INF.6 and Corr.1	Report on the joint workshop on matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol. Note by the secretariat
FCCC/SB/2011/MISC.4 and Add.1	Further views on the elements for the development of a work programme and a possible forum on response measures. Submissions from Parties and relevant organizations
FCCC/TP/2011/7	Identification and implementation of medium- and long-term adaptation activities in least developed countries. Technical paper

Other documents before the session

FCCC/CP/2011/7 and Corr.1 and Add.1 and 2	Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat
FCCC/KP/CMP/2011/3	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/2011/7 and Corr.1	Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat
FCCC/KP/CMP/2011/8 and Add.1	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2011. Note by the secretariat
FCCC/KP/CMP/2010/10	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/2005/2	Proposal from Saudi Arabia to amend the Kyoto Protocol. Note by the secretariat
FCCC/SBI/2011/7 and Add.1	Report of the Subsidiary Body for Implementation on its thirty-fourth session, held in Bonn from 6 to 17 June 2011
FCCC/SBI/2011/INF.1	Compilation and synthesis of fifth national communications. Executive summary. Note by the secretariat
FCCC/SBI/2011/INF.1/Add.1	Compilation and synthesis of fifth national communications. Note by the secretariat. Addendum. Policies, measures, and past and projected future greenhouse gas emission trends of Parties included in Annex I to the Convention
FCCC/SBI/2011/INF.1/Add.2	Compilation and synthesis of fifth national communications. Note by the secretariat. Addendum. Financial resources, technology transfer, vulnerability, adaptation and other issues relating to the implementation of the Convention by Parties included in Annex I to the Convention
FCCC/SBI/2011/INF.2	Compilation and synthesis of supplementary information incorporated in fifth national communications submitted in accordance with Article 7, paragraph 2, of the Kyoto Protocol. Note by the secretariat
FCCC/SBI/2011/MISC.2	Views on procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism. Submissions from Parties and relevant organizations
FCCC/SBI/2010/17	Synthesis report on the national adaptation programme of action process, including operation of the Least Developed Countries Fund. Note by the secretariat
FCCC/SBI/2010/20	Synthesis report on the implementation of the framework for capacity-building in developing countries. Note by the secretariat
FCCC/SBI/2010/26	Report on the eighteenth meeting of the Least Developed Countries Expert Group. Note by the secretariat
FCCC/SBI/2010/MISC.6	Activities to implement the framework for capacity-building in developing countries under decision 2/CP.7. Submissions from Parties and relevant organizations
FCCC/SBI/2010/MISC.9	Information on the preparation and implementation of national adaptation programmes of action, including on accessing funds from the Least Developed

	Countries Fund. Submissions from Parties and relevant organizations
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 by Parties
FCCC/SBI/2009/MISC.12/Rev.1	Submissions from the United Republic of Tanzania on behalf of the Group of 77 and China and from Sweden on behalf of the European Union and its Member States on completion of the second comprehensive review of the capacity-building framework in developing countries under the Convention and the Kyoto Protocol
FCCC/TP/2011/3	Procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism. Technical paper

附件八

第 35 次附屬科技諮詢機構會議(SBSTA 35)報告
Report of the Subsidiary Body for Scientific and
Technological Advice on its thirty-fifth session, held in
Durban from 28 November to 3 December 2011.



Subsidiary Body for Scientific and Technological Advice**Report of the Subsidiary Body for Scientific and
Technological Advice on its thirty-fifth session, held in
Durban from 28 November to 3 December 2011****Contents**

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¹ Decision 1/CP.16, paragraph 93.

I. Opening of the session

(Agenda item 1)

1. The thirty-fifth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) was held at the International Convention Centre and Durban Exhibition Centre in Durban, South Africa, from 28 November to 3 December 2011.

2. The Chair of the SBSTA, Mr. Richard Muyungi (United Republic of Tanzania), opened the session and welcomed all Parties and observers. He expressed his condolences to the Government of Mali and the family of Mama Konaté, late chair of the SBSTA, who sadly passed away recently. Mr. Muyungi thanked the Government of Mali, which, with the support of the African States, had named him to complete Mr. Konaté's term of office in his spirit. The Executive Secretary then addressed the SBSTA to commemorate Mr. Konaté. A representative of the Government of Mali also made a statement in memorial of the late Chair of the SBSTA.

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda item 2(a))

3. At its 1st meeting, on 28 November, the SBSTA considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/SBSTA/2011/3).

4. At the same meeting, following the proposal of the Chair, the SBSTA adopted the agenda as follows:

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. 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.
5. Development and transfer of technologies.
6. Research and systematic observation.
7. Forum on the impact of the implementation of response measures at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with the objective of developing a work programme under the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to address

these impacts, with a view to adopting, at the seventeenth session of the Conference of the Parties, modalities for the operationalization of the work programme and a possible forum on response measures.²

8. Matters relating to Article 2, paragraph 3, of the Kyoto Protocol.
9. Methodological issues under the Convention:
 - (a) Emissions from fuel used for international aviation and maritime transport;
 - (b) Revision of the UNFCCC reporting guidelines on annual inventories for Parties included in Annex I to the Convention;
 - (c) Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention.
10. Methodological issues under the Kyoto Protocol:
 - (a) Carbon dioxide capture and storage in geological formations as clean development mechanism project activities;
 - (b) 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);
 - (c) Implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities;
 - (d) Materiality standard under the clean development mechanism;
 - (e) Annual report on the technical review of greenhouse gas inventories and other information reported by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol under Article 7, paragraph 1, of the Kyoto Protocol.
11. Other matters.
12. Report on the session.

5. General statements were made by representatives of 12 Parties, including representatives speaking on behalf of the Group of 77 and China, the European Union and its member States, the African States, the Environmental Integrity Group, the Alliance of Small Island States (AOSIS), the Umbrella Group, the least developed countries, the Coalition for Rainforest Nations and eight Parties from the Central American Integration System. Statements were also made on behalf of the United Nations Convention to Combat Desertification, business and industry non-governmental organizations (NGOs), indigenous peoples organizations and youth NGOs and by representatives of environmental NGOs.

B. Organization of the work of the session

(Agenda item 2(b))

6. The SBSTA considered this sub-item at its 1st meeting, on 28 November, at which the Chair drew attention to the proposed programme of work posted on the UNFCCC website. In addition, he encouraged Parties to consult the Daily Programme and CCTV regularly for any changes or updates of the work to be done under the SBSTA. The SBSTA

² Decision 1/CP.16, paragraph 93.

agreed to proceed on this basis. The secretariat informed the SBSTA of the status of documentation and other relevant issues.

C. Election of officers other than the Chair

(Agenda item 2(c))

7. The SBSTA considered this sub-item at its 1st and 2nd meetings, on 28 November and 3 December, respectively. At the 1st meeting, the Chair recalled rule 27 of the draft rules of procedure being applied, whereby the SBSTA is expected to elect its Vice-Chair and Rapporteur.

8. At its 2nd meeting, as no nominations for the Vice-Chair and Rapporteur had been received, the SBSTA requested the Conference of the Parties (COP), as an exception to rule 27, paragraph 6, of the draft rules of procedure being applied, to elect the Vice-Chair of the SBSTA at its closing plenary of its seventeenth session on 9 December.³

D. Election of replacement officers

(Agenda item 2(d))

9. No election of replacement officers was held.

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

(Agenda item 3)

1. Proceedings

10. The SBSTA considered this item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2011/INF.8, FCCC/SBSTA/2011/INF.9, FCCC/TP/2011/5 and FCCC/SBSTA/2011/MISC.6 and Add.1. A statement was made by a representative of one Party. In addition, a statement was made on behalf of the Intergovernmental Panel on Climate Change (IPCC).

11. At its 1st meeting, the SBSTA agreed to consider this item in informal consultations, co-facilitated by Mr. Kishan Kumarsingh (Trinidad and Tobago) and Ms. Marianne Karlsen (Norway). At the 2nd meeting, Ms. Karlsen reported on these consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁴

2. Conclusions

12. The SBSTA welcomed the following documents for the session, including the documents on the interim activities mandated by the SBSTA at its thirty-fourth session:⁵

(a) A report on progress made in implementing activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change;⁶

³ As no agreement was reached on the nomination at the closing plenary, the President of the COP urged groups to continue their consultations on the nomination of the Vice-Chair of the SBSTA. In accordance with rule 22, paragraph 2, of the draft rules of procedure being applied, the Vice-Chair will remain in office until the successor is elected at the thirty-sixth session of the SBSTA.

⁴ Adopted as document FCCC/SBSTA/2011/L.26.

⁵ FCCC/SBSTA/2011/2, paragraph 23.

⁶ FCCC/SBSTA/2011/INF.9.

(b) A compilation of submissions from Parties and relevant organizations on proposals for upcoming activities under the Nairobi work programme;⁷

(c) A technical paper on water and climate change impacts and adaptation strategies;⁸

(d) A compilation of information on ecosystem-based approaches to adaptation;⁹

(e) The report on the joint SBSTA/Subsidiary Body for Implementation (SBI) in-session workshop to consider those outcomes of the Nairobi work programme most relevant to the SBI;¹⁰

(f) The report on the survey of national focal points to identify priority needs for the dissemination of products related to impacts and vulnerability,¹¹ but noted the need to improve the dissemination of information on adaptation at the national and subnational levels.

13. The SBSTA also noted the presentation made by the IPCC on the *Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation*, and the seven regional outreach workshops to be held during the coming year, which may provide useful input into the future work under the Nairobi work programme.

14. The SBSTA decided to recommend a draft decision¹² on this item for adoption by the COP at its seventeenth session (for the text of the decision, see FCCC/SBSTA/2011/L.26/Add.1).

IV. 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

(Agenda item 4)

1. Proceedings

15. The SBSTA considered this item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2011/MISC.7 and Add.1–3, FCCC/SBSTA/2011/INF.17 and FCCC/SBSTA/2011/INF.18. Statements were made by representatives of two Parties, including one on behalf of the African States.

16. At its 1st meeting, the SBSTA agreed to consider this item in a contact group, co-chaired by Mr. Peter Graham (Canada) and Ms. Victoria Tauli-Corpuz (Philippines). At the 2nd meeting, Mr. Graham reported on the contact group's consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.¹³

⁷ FCCC/SBSTA/2011/MISC.6 and Add.1.

⁸ FCCC/TP/2011/5.

⁹ FCCC/SBSTA/2011/INF.8.

¹⁰ FCCC/SBSTA/2011/CRP.1.

¹¹ This survey was mandated by the SBSTA at its thirty-fourth session. The report on the survey is available at <<http://unfccc.int/4643>>.

¹² For the text as adopted, see decision 6/CP.17.

¹³ Adopted as document FCCC/SBSTA/2011/L.25.

2. Conclusions

17. The SBSTA took note of the report on the expert meeting on guidance on systems for providing information on how safeguards for REDD-plus¹⁴ activities are addressed and respected,¹⁵ held in Panama City, Panama, on 8 and 9 October 2011, and the report on the expert meeting on forest reference emission levels and forest reference levels for implementation of REDD-plus activities, held in Bonn, Germany, on 14 and 15 November 2011.¹⁶ It expressed its appreciation to the Governments of Australia, New Zealand, Norway, Spain, Switzerland and the United Kingdom of Great Britain and Northern Ireland for providing financial support for the expert meetings.

18. The SBSTA took note of the views submitted by Parties¹⁷ on the issues identified in document FCCC/SBSTA/2011/2, paragraphs 28–30. It also took note of the views submitted by accredited observers on those issues.¹⁸

19. The SBSTA continued its consideration of the 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, taking into consideration the outcomes of the expert meetings referred to in paragraph 17 above and the views submitted by Parties referred to in paragraph 18 above.

20. The SBSTA agreed to continue its work on guidance for the remaining issues as contained in annex I and those identified in decision 1/CP.16, appendix II, with the aim of completing its work on these matters at its thirty-seventh session and reporting to the COP at its eighteenth session on the progress made, including any recommendations for draft decisions on these matters.

21. The SBSTA invited Parties and accredited observers to submit to the secretariat, by 28 February 2012, their views on issues identified in decision 1/CP.16, paragraph 72 and appendix II, in particular on how to address drivers of deforestation and forest degradation and on robust and transparent national forest monitoring systems as referred to in its paragraph 71(c). It requested the secretariat to compile the submissions from Parties into a miscellaneous document for consideration by the SBSTA at its thirty-sixth session.

22. The SBSTA decided to recommend a draft decision¹⁹ on guidance on systems for providing information on how safeguards are addressed and respected and modalities relating to forest reference emission levels and forest reference levels as referred to in decision 1/CP.16 for adoption by the COP at its seventeenth session (the text of the draft decision is contained in FCCC/SBSTA/2011/L.25/Add.1).

¹⁴ REDD-plus refers to 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.

¹⁵ FCCC/SBSTA/2011/INF.17.

¹⁶ FCCC/SBSTA/2011/INF.18.

¹⁷ FCCC/SBSTA/2011/MISC.7 and Add.1–3.

¹⁸ Submissions by intergovernmental organizations are available at <<http://unfccc.int/3714>>. Submissions by NGOs are available at <<http://unfccc.int/3689>>.

¹⁹ For the text as adopted, see decision 12/CP.17.

V. Development and transfer of technologies

(Agenda item 5)

1. Proceedings

23. The SBSTA considered this item at its 1st and 2nd meetings. It had before it documents FCCC/SB/2011/2 and FCCC/SBSTA/2011/INF.10.

24. At its 1st meeting, the Chair of the SBSTA invited Mr. Gabriel Blanco (Argentina), Chair of the Technology Executive Committee (TEC), to report on the activities of the TEC. At the same meeting, the SBSTA agreed to consider this item together with SBI 35 agenda item 11 in a joint contact group, co-chaired by Mr. Carlos Fuller (Belize) and Mr. Zitouni Ould-Dada (United Kingdom). At the 2nd meeting, Mr. Fuller reported on these consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.²⁰

2. Conclusions

25. The SBSTA welcomed the report on the workshop on technology needs assessments (TNAs) held on 1 and 2 June 2011 in Bonn.²¹

26. The SBSTA noted that the workshop provided opportunities for Parties:

(a) To share good practices in, and lessons learned from, conducting TNAs with Parties not included in Annex I to the Convention;

(b) To identify specific needs and practical actions that could assist Parties in implementing the results of their TNAs, particularly actions that will facilitate and realize the actual transfer of technology to meet the priority needs of developing countries;

(c) To discuss the possible roles of TNAs in the context of the further implementation of the technology transfer framework²² and in the enhancement of technology development and transfer activities under the Convention to support action on mitigation and adaptation;

(d) To identify means for implementing the results of TNAs while ensuring a balance between mitigation and adaptation activities.

27. The SBSTA encouraged Parties to use the workshop results to consider ways to strengthen the role of TNAs in enhancing action on the development and transfer of technology, notably in the context of the Technology Mechanism.

28. The SBSTA welcomed the experiences gained and lessons learned from the TNA process and encouraged Parties to take these into account in the preparation of their nationally appropriate mitigation actions, national adaptation plans, low-carbon development strategies and technology road maps or action plans.

29. The SBSTA noted the information provided orally by the Climate Technology Initiative and at the workshop on TNAs on the role of the Climate Technology Initiative's Private Financing Advisory Network in helping clean energy project developers to access private capital and encourages other multilateral initiatives to promote the financing of projects, and to inform the SBSTA about such activities.

²⁰ Adopted as document FCCC/SBSTA/2011/L.22.

²¹ FCCC/SBSTA/2011/INF.10.

²² The framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention was adopted by decision 4/CP.7 and enhanced by decision 3/CP.13.

30. The SBSTA recalled the conclusion at its thirty-third session that requested the secretariat to organize two training workshops, in Spanish and French, subject to the availability of resources, on preparing technology transfer projects for financing and to report on progress in the implementation of a pilot online training course on the same matter.

31. The SBSTA requested the secretariat, in collaboration with interested organizations, to organize workshops, subject to the availability of resources, on TNAs in 2012 aimed at building capacities and sharing experiences, lessons learned, information and knowledge on opportunities and means for developing countries to prepare their TNAs and access funding for their implementation.

32. The SBSTA requested the secretariat to prepare an updated TNA synthesis report, including 'second-generation' TNAs through the updated *Handbook for Conducting Technology Needs Assessments for Climate Change*²³ and the Poznan strategic programme on technology transfer, to be presented at its thirty-seventh session.

33. Pursuant to decision 1/CP.16, paragraph 126, the SBSTA and the SBI considered the report on activities and performance of the TEC for 2011²⁴ and agreed to recommend elements for a draft decision on this matter for consideration and adoption by the COP at its seventeenth session (these elements for a draft decision are contained in the annex to FCCC/SBSTA/2011/L.22).²⁵

VI. Research and systematic observation

(Agenda item 6)

1. Proceedings

34. The SBSTA considered this item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2011/MISC.8 and Add.1 and FCCC/SBSTA/2011/MISC.14. A statement was made by a representative of the World Meteorological Organization (WMO).

35. At its 1st meeting, the SBSTA agreed to consider this item in informal consultations co-facilitated by Mr. Sergio Castellari (Italy) and Mr. David Lesolle (Botswana). At the 2nd meeting, Mr. Castellari reported on these consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.²⁶

2. Conclusions

36. The SBSTA considered the views submitted by Parties on the research dialogue, including ongoing activities, associated modalities and possible ways to enhance the dialogue.²⁷

37. In the light of the progress made in the implementation of decision 9/CP.11, and the success of the activities undertaken under the SBSTA research dialogue on developments in research activities relevant to the needs of the Convention, including the related workshop held in conjunction with the thirty-fourth session of the SBSTA, the SBSTA agreed that the research dialogue should continue, on a regular basis, at SBSTA 36 and beyond.

²³ United Nations Development Programme. 2009. *Handbook for Conducting Technology Needs Assessments for Climate Change*. Available at <http://unfccc.int/ttclear/pdf/TNAHandbook_9-15-2009.pdf>.

²⁴ FCCC/SB/2011/2.

²⁵ For the text as adopted see decision 4/CP.17, paragraphs 9–11.

²⁶ Adopted as document FCCC/SBSTA/2011/L.27.

²⁷ FCCC/SBSTA/2011/MISC.8 and Add.1.

38. The SBSTA encouraged Parties, in particular developing country Parties, and invited regional and international research programmes and organizations active in climate change research to utilize the research dialogue as a forum for:

- (a) Discussing needs for climate change research and research-related capacity-building, particularly those of developing countries, to support the work of the Convention;
- (b) Conveying research findings and lessons learned from activities undertaken by regional and international research programmes and organizations of relevance to the Convention.

39. The SBSTA invited Parties to submit, prior to a SBSTA session during which a research dialogue would be held, their views on specific themes to be addressed at the research dialogue meeting.²⁸ In this regard, the SBSTA invited Parties to submit, by 5 March 2012, their views for the upcoming research dialogue to be held in conjunction with the thirty-sixth session of the SBSTA.

40. The SBSTA invited relevant regional and international research programmes and organizations active in climate change research to provide, in the context of the research dialogue, submissions with information on developments in their research activities relevant to the Convention, including with respect to the long-term global goal referred to in decision 1/CP.16, paragraph 4, as appropriate.

41. The SBSTA recalled its conclusions at its thirty-fourth session, at which the SBSTA requested the secretariat, subject to the availability of resources, to continue to support the research dialogue, including organizing further workshops, as appropriate, in periodic consultation with the relevant research programmes and organizations and as agreed by the SBSTA. The objective of such workshops is to facilitate the in-depth consideration of issues considered under the research dialogue, with a view to providing information in support of the UNFCCC process.

42. The SBSTA requested the secretariat, taking into consideration information from relevant research programmes and organizations and the IPCC, to further enhance the availability and visibility of scientific information relevant to the Convention on the UNFCCC website, including through webcasts of the proceedings of any workshops under the research dialogue.

43. The SBSTA invited Parties and regional and international research programmes and organizations active in climate change research, including marine research, to provide information on the technical and scientific aspects of emissions by sources, removals by sinks, and reservoirs of all greenhouse gases, including emissions and removals from coastal and marine ecosystems such as mangroves, tidal salt marshes, wetlands and seagrass meadows, with a view to identifying and quantifying the impact of human activities. This information would be considered as a theme for the next research dialogue, also taking into account the submissions received in accordance with paragraph 39 above. At its thirty-sixth session, the SBSTA may consider the need for a workshop to give in-depth consideration to the themes considered in the research dialogue. The SBSTA noted the views of Parties regarding the importance of other ecosystems with high-carbon reservoirs, in particular terrestrial ecosystems, for example steppe, tundra and peatlands.

44. The SBSTA took note of the information provided by the secretariat of the Global Terrestrial Observing System (GTOS)²⁹ and agreed to consider this information, in conjunction with any updates received from GTOS on this matter, as well as matters related

²⁸ In line with the timeline for submissions from Parties for inclusion into a miscellaneous document of that respective session.

²⁹ FCCC/SBSTA/2011/MISC.14.

to the Global Climate Observing System, at its thirty-sixth session when considering matters related to systematic observation, in line with the conclusions of the SBSTA at its thirty-fourth session.³⁰

45. The SBSTA noted with appreciation the statement provided by WMO on the progress towards the implementation of the Global Framework for Climate Services (GFCS). The SBSTA recognized that the GFCS is an important initiative to underpin science-based adaptation and to support countries in meeting the challenges of climate variability and change.

46. The SBSTA invited WMO to provide, at the thirty-seventh session of the SBSTA, information on the outcome of the Extraordinary Session of the WMO Congress in October 2012 with respect to GFCS implementation. The SBSTA also invited WMO to provide information, when appropriate, on the progress in the implementation of the GFCS at future sessions in order to inform the work under the Convention.

47. The SBSTA welcomed the IPCC *Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation*, noting the importance of the underlying research and systematic observations enabling the production of that report.

48. The SBSTA took note of the estimated budgetary implications of implementing the provisions contained in these conclusions, as provided by the secretariat. The SBSTA requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

49. The SBSTA decided to recommend a draft decision³¹ on the research dialogue for adoption by the COP at its seventeenth session (for the text of the decision, see FCCC/SBSTA/2011/L.27/Add.1).

VII. Forum on the impact of the implementation of response measures at the thirty-fourth and thirty-fifth sessions of the subsidiary bodies, with the objective of developing a work programme under the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to address these impacts, with a view to adopting, at the seventeenth session of the Conference of the Parties, modalities for the operationalization of the work programme and a possible forum on response measures³²

(Agenda item 7)

Proceedings

50. The SBSTA considered this item at its 1st and 2nd meetings. It had before it documents FCCC/SB/2011/MISC.4 and Add.1 and FCCC/SB/2011/INF.5. A statement was made by a representative of one Party speaking on behalf of the Group of 77 and China.

51. At its 1st meeting, the SBSTA agreed to consider this item together with SBI item 10 in a joint SBSTA/SBI forum, co-chaired by Mr. Muyungi and Mr. Robert Owen-Jones (Australia), Chair of the SBI, and co-facilitated by Mr. José Romero (Switzerland) and Mr. Crispin d'Auvergne (Saint Lucia).

³⁰ FCCC/SBSTA/2011/2, paragraph 56.

³¹ For the text as adopted, see decision 16/CP.17.

³² Decision 1/CP.16, paragraph 93.

52. At the 2nd meeting, Mr. Romero reported on the forum proceedings, including on a special event organized in the context of the forum. At the same meeting, the SBSTA agreed to forward this matter to the President of the COP for further guidance and finalization by the COP at its seventeenth session.³³

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

(Agenda item 8)

1. Proceedings

53. The SBSTA considered this item at its 1st and 2nd meetings. It had before it document FCCC/SB/2011/INF.6 and Corr.1.

54. At its 1st meeting, the SBSTA agreed to consider this item together with SBI 34 agenda item 9, "Matters relating to Article 3, paragraph 14, of the Kyoto Protocol", in a joint contact group co-chaired by Mr. Romero and Mr. Eduardo Calvo (Peru). At the 2nd meeting, Mr. Romero reported on the contact group's consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.³⁴

2. Conclusions

55. The SBSTA and the SBI, at their thirty-fifth sessions, welcomed with appreciation the organization of the joint workshop to address matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol, held on 19 and 20 September 2011 in Bonn.

56. The SBSTA and the SBI acknowledged the lessons learned from the joint workshop referred to in paragraph 55 above, as contained in document FCCC/SB/2011/INF.6 and Corr.1.

57. The SBSTA and the SBI agreed to continue to discuss matters related to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol, in a joint contact group to be established by them at their thirty-sixth sessions.

IX. Methodological issues under the Convention

(Agenda item 9)

A. Emissions from fuel used for international aviation and maritime transport

(Agenda item 9(a))

1. Proceedings

58. The SBSTA considered this sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBSTA/2011/MISC.9. Statements were made by representatives of 11 Parties, including one on behalf of the European Union and its member States and one on behalf of nine Parties. Statements were also made by representatives of the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO).

³³ For the resulting text as adopted see decision 8/CP.17.

³⁴ Adopted as document FCCC/SBSTA/2011/L.21 – FCCC/SBI/2011/L.29.

59. At its 1st meeting, the SBSTA agreed that the Chair would consult with Parties on this issue and would present draft conclusions to the SBSTA at its 2nd meeting.

60. At its 2nd meeting, the SBSTA considered and adopted the conclusions below.³⁵

2. Conclusions

61. The SBSTA took note of the information received from and progress reported by the secretariats of ICAO and IMO on their ongoing work on addressing emissions from fuel used for international aviation and maritime transport,³⁶ and noted the views expressed by Parties on this information.

62. The SBSTA invited the secretariats of ICAO and IMO to continue to report, at future sessions of the SBSTA, on relevant work on this issue.

B. Revision of the UNFCCC reporting guidelines on annual inventories for Parties included in Annex I to the Convention

(Agenda item 9(b))

1. Proceedings

63. The SBSTA considered this sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2011/INF.11 and Corr.1 and FCCC/SBSTA/2011/INF.12. A statement was made by a representative of a Party speaking on behalf of three Parties.

64. At its 1st meeting, the SBSTA agreed to consider this sub-item in informal consultations, co-facilitated by Ms. Riitta Pipatti (Finland) and Mr. Nagmeldin Goutbi Elhassan (Sudan). At the 2nd meeting, Ms. Pipatti reported on these consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.³⁷

2. Conclusions

65. The SBSTA welcomed the report³⁸ on the fourth workshop of the work programme on revising 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”, held in Bonn from 8 to 10 November 2011, which was organized by the secretariat following a request made by the SBSTA at its thirty-fourth session.³⁹

66. The SBSTA acknowledged with appreciation that the IPCC had responded to the invitation made by the SBSTA at its thirty-third session to develop supplementary methodological guidance on wetlands and it invited the IPCC to report back to the SBSTA no later than at its thirty-ninth session.

67. The SBSTA advanced its work on the revision of 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”, but was not able to conclude its work on issues included in paragraphs 13, 20, 22–27, 28–30, 32–33, 37(b) and 37(f) of the draft guidelines contained in annex I to the draft decision contained in document FCCC/SBSTA/2011/L.23 relating to the use of tier 3 methods in the land use, land-use change and forestry sector for addressing disturbance events, national inventory arrangements, new gases (nitrogen trifluoride, hydrofluor ethers, perfluoropolyethers),

³⁵ Adopted as document FCCC/SBSTA/2011/L.19.

³⁶ FCCC/SBSTA/2011/MISC.9.

³⁷ Adopted as document FCCC/SBSTA/2011/L.23.

³⁸ FCCC/SBSTA/2011/INF.12.

³⁹ FCCC/SBSTA/2011/2, paragraph 78.

indirect carbon dioxide, a new notation key “considered insignificant”, supplementary information on the minimization of adverse impacts in annex 5 to the outline and general structure of the national inventory report and the reporting of emissions from urea application (table 3.G-H and related sectoral and summary tables of the common reporting format). The SBSTA agreed to invite the COP at its seventeenth session to provide further guidance in order to resolve these outstanding issues.

68. The SBSTA also agreed to forward a draft decision on the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories” for consideration and adoption by the COP at its seventeenth session (the text of the draft decision is contained in the annex to FCCC/SBSTA/2011/L.23).⁴⁰

C. Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention

(Agenda item 9(c))

Proceedings

69. The SBSTA considered this sub-item at its 1st meeting. It had before it and took note of document FCCC/SBSTA/2011/INF.13.

X. Methodological issues under the Kyoto Protocol

(Agenda item 10)

A. Carbon dioxide capture and storage in geological formations as clean development mechanism project activities

(Agenda item 10(a))

1. Proceedings

70. The SBSTA considered this sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2011/4, FCCC/SBSTA/2011/MISC.10, FCCC/SBSTA/2011/MISC.11, FCCC/SBSTA/2011/INF.7 and FCCC/SBSTA/2011/INF.14. Statements were made by representatives of three Parties.

71. At its 1st meeting, the SBSTA agreed to consider this sub-item in a contact group, co-chaired by Ms. Andrea Garcia Guerrero (Colombia) and Mr. Pedro Martins Barrata (Portugal). At the 2nd meeting, Mr. Barrata reported on these consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁴¹

2. Conclusions

72. The SBSTA took note of the views submitted by Parties⁴² and admitted observer organizations,⁴³ and the views expressed by Parties during its thirty-fifth session, on carbon dioxide capture and storage in geological formations as clean development mechanism (CDM) project activities.

73. The SBSTA also took note of the following documents prepared by the secretariat:

⁴⁰ For the text as adopted see decision 15/CP.17.

⁴¹ Adopted as document FCCC/SBSTA/2011/L.24.

⁴² FCCC/SBSTA/2011/MISC.10.

⁴³ FCCC/SBSTA/2011/MISC.11.

(a) The synthesis of views submitted by Parties and admitted observer organizations on modalities and procedures for carbon dioxide capture and storage in geological formations as CDM project activities;⁴⁴

(b) The report on the workshop on modalities and procedures for carbon dioxide capture and storage in geological formations as CDM project activities;⁴⁵

(c) The draft modalities and procedures for carbon dioxide capture and storage in geological formations as CDM project activities.⁴⁶

74. The SBSTA decided to recommend a draft decision on this matter, containing options on modalities and procedures, for consideration by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its seventh session (the text of the draft decision is contained in the annex to FCCC/SBSTA/2011/L.24).⁴⁷

B. 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)

(Agenda item 10(b))

Proceedings

75. The SBSTA considered this sub-item at its 1st and 2nd meetings.

76. At its 1st meeting, the SBSTA agreed to consider this sub-item in informal consultations, facilitated by Mr. Jeffery Spooner (Jamaica). At the 2nd meeting, Mr. Spooner reported on these consultations. At the same meeting, the SBSTA agreed to continue consideration of this sub-item at its thirty-seventh session.

C. Implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities

(Agenda item 10(c))

1. Proceedings

77. The SBSTA considered this sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2011/MISC.12 and FCCC/SBSTA/2011/INF.15.

78. At its 1st meeting, the SBSTA agreed to consider this sub-item in informal consultations facilitated by Mr. Eduardo Sanhueza (Chile). At 2nd meeting, Mr. Sanhueza reported on these consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁴⁸

2. Conclusions

79. The SBSTA took note of the synthesis report on the views submitted by Parties⁴⁹ prepared by the secretariat, as requested by the SBSTA at its thirty-third session.

⁴⁴ FCCC/SBSTA/2011/INF.7.

⁴⁵ FCCC/SBSTA/2011/INF.14.

⁴⁶ FCCC/SBSTA/2011/4.

⁴⁷ For the text as adopted see decision 10/CMP.7.

⁴⁸ Adopted as document FCCC/SBSTA/2011/L.20.

⁴⁹ FCCC/SBSTA/2011/INF.15.

80. The SBSTA agreed that the definition of forest in exhaustion (FiE) as contained in annex I of document FCCC/KP/CMP/2009/16 requires further clarification.

81. The SBSTA took note of Brazil's intention to organize an informal workshop, with a view to providing more clarity on the definition of FiE.

82. The SBSTA further agreed to continue the consideration of this matter at its thirty-sixth session.

D. Materiality standard under the clean development mechanism

(Agenda item 10(d))

1. Proceedings

83. The SBSTA considered this sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBSTA/2011/MISC.13.

84. At its 1st meeting, the SBSTA agreed to consider this sub-item in informal consultations facilitated by Mr. Peer Stiansen (Norway). At its 2nd meeting, Mr. Stiansen reported on these consultations. Also at its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁵⁰

2. Conclusions

85. The SBSTA took note of the views submitted by Parties and relevant organizations⁵¹ and the views expressed by Parties during this session on the development of a standard on materiality under the CDM.

86. The SBSTA recommended to the CMP that the elements contained in the annex to FCCC/SBSTA/2011/L.18 be incorporated into its decision on further guidance relating to the CDM, to be recommended for consideration and adoption by the CMP.⁵²

E. Annual report on the technical review of greenhouse gas inventories and other information reported by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol under Article 7, paragraph 1, of the Kyoto Protocol

(Agenda item 10(e))

Proceedings

87. The SBSTA considered this sub-item at its 1st meeting. It had before it and took note of document FCCC/SBSTA/2011/INF.16.

XI. Other matters

(Agenda item 11)

88. No other matters were raised.

⁵⁰ Adopted as document FCCC/SBSTA/2011/L.18.

⁵¹ FCCC/SBSTA/2011/MISC.13.

⁵² The CMP decided to adopt the text as a stand-alone decision. For the text as adopted, see decision 9/CMP.7.

XII. Report on the session

(Agenda item 12)

89. At its 2nd meeting, the SBSTA considered and adopted the draft report on its thirty-fifth session.⁵³ At the same meeting, the SBSTA authorized the Chair to complete the report on the session, with the assistance of the secretariat.

XIII. Closure of the session

90. At the 2nd meeting, a representative of the Executive Secretary provided a preliminary evaluation of the administrative and budgetary implications of the conclusions and draft decisions adopted during the session. This follows decision 16/CP.9, paragraph 20, which requests the Executive Secretary to provide an indication of the administrative and budgetary implications of decisions⁵⁴ if these cannot be met from existing resources within the core budget.

91. The SBSTA, at its thirty-fifth session, requested a number of activities that require additional resources over and above the core budget for 2012–2013. These include the following:

(a) Under agenda item 3, “Nairobi work programme on impacts, vulnerability and adaptation to climate change”, the secretariat was requested to support and undertake activities including organizing workshops and preparing technical reports. The cost of these activities is estimated at EUR 1.2 million;

(b) Under agenda item 5, “Development and transfer of technologies”, the secretariat was requested to organize two workshops on TNAs, as well as to prepare a synthesis report. The estimated costs amount to EUR 315,000;

(c) Under agenda sub-item 9(b), “Revision of the UNFCCC reporting guidelines on annual inventories for Parties included in Annex I to the Convention”, the secretariat was requested to provide an upgraded or new version of the CRF Reporter software, which is estimated to cost EUR 550,000.

92. At the same meeting, closing statements were made by eight Parties, including by representatives speaking on behalf of the Group of 77 and China, the European Union and its member States, the African States, the Umbrella Group, AOSIS, Parties from the Coalition of Rainforest Nations and eight Parties from the Central American Integration System.

93. Before closing the session, the Chair thanked delegates, the chairs of contact groups and facilitators of informal consultations for their contributions. He also thanked the observer organizations for their interest and support and the interpreters for their flexibility and efficiency.

⁵³ Adopted as document FCCC/SBSTA/2011/L.17.

⁵⁴ While decision 16/CP.9 refers to “decisions”, it also has implications for conclusions of the subsidiary bodies.

Annex I

[English only]

Issues for further consideration by the Subsidiary Body for Scientific and Technological Advice on 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

[Modalities for measuring, reporting and verifying]

x. Decides that measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks and forest-area changes resulting from the implementation of the activities referred to in decision 1/CP.16, paragraph 70, should be consistent with existing methodological guidance provided in decision 4/CP.15 and guidance on measuring, reporting and verifying nationally appropriate mitigation actions by developing country Parties agreed by the Conference of the Parties, without prejudging any future relevant decisions of the Conference of the Parties;

xx. Encourages Parties when developing a system for measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes resulting from the implementation of activities referred to in decision 1/CP.16, paragraph 70 to provide data and information that is transparent, complete, consistent, comparable and accurate;

xxx. Invites the Intergovernmental Panel on Climate Change to elaborate methods and provide good practice guidance on measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks and forest-area changes resulting from the implementation of the activities referred to in decision 1/CP.16, paragraph 70, to be submitted for consideration and possible adoption by the Conference of the Parties at a future session;

xxxx. Requests the Subsidiary Body for Scientific and Technological Advice to continue its consideration of modalities for measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks and forest-area changes resulting from the implementation of the activities referred to in decision 1/CP.16, paragraph 70, with the aim of completing its work on this matter at its thirty-seventh session and reporting to the Conference of the Parties at its eighteenth session on progress made, including any recommendation for a draft decision on this matter;

Modalities for national forest monitoring systems

xxx Decides that the development of national forest monitoring systems for the monitoring and reporting of activities referred to in decision 1/CP.16, paragraph 70, with, if appropriate, subnational monitoring and reporting as an interim measure, shall take into account the guidance provided in decision 4/CP.15 and be guided by the most recent Intergovernmental Panel on Climate Change guidance and guidelines, as adopted or encouraged by the Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest-related greenhouse gas emissions by sources, and removals by sinks, forest carbon stocks and forest area changes;

xxx Also decides that national forest monitoring systems should provide data and information that are transparent, consistent over time, robust, complete, comparable and be subject to quality assurance and quality control.]

Annex II

Documents before the Subsidiary Body for Scientific and Technological Advice at its thirty-fifth session

Documents prepared for the session

FCCC/SBSTA/2011/3	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBSTA/2011/4	Draft modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat
FCCC/SBSTA/2011/INF.7	Synthesis of views on modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat
FCCC/SBSTA/2011/INF.8	Ecosystem-based approaches to adaptation: compilation of information. Note by the secretariat
FCCC/SBSTA/2011/INF.9	Progress made in implementing activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change. Note by the secretariat
FCCC/SBSTA/2011/INF.10	Report on the workshop on technology needs assessments. Note by the secretariat
FCCC/SBSTA/2011/INF.11 and Corr.1	Draft UNFCCC Annex I reporting guidelines. Note by the secretariat
FCCC/SBSTA/2011/INF.12	Report on the workshop on issues relating to the revision of the UNFCCC Annex I reporting guidelines. Note by the secretariat
FCCC/SBSTA/2011/INF.13	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/2011/INF.14	Report on the workshop on modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Note by the secretariat
FCCC/SBSTA/2011/INF.15	Synthesis of views on the implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities. Note by the secretariat

FCCC/SBSTA/2011/INF.16	Annual report on the technical review of greenhouse gas inventories and other information reported by Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol under Article 7, paragraph 1, of the Kyoto Protocol. Note by the secretariat
FCCC/SBSTA/2011/INF.17	Report on the expert meeting on guidance on systems for providing information on how safeguards for REDD-plus activities are addressed and respected. Note by the secretariat
FCCC/SBSTA/2011/INF.18	Report on the expert meeting on forest reference emission levels and forest reference levels for implementation of REDD-plus activities. Note by the secretariat
FCCC/SBSTA/2011/MISC.6 and Add.1	Proposals for upcoming activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change. Submissions from Parties and relevant organizations
FCCC/SBSTA/2011/MISC.7 and Add.1–3	Views on 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. Submissions from Parties
FCCC/SBSTA/2011/MISC.8 and Add.1	Views on the research dialogue, including ongoing activities, associated modalities and ways to enhance it. Submissions from Parties
FCCC/SBSTA/2011/MISC.9	Information relevant to emissions from fuel used for international aviation and maritime transport. Submissions from international organizations
FCCC/SBSTA/2011/MISC.10	Views on carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Submissions from Parties
FCCC/SBSTA/2011/MISC.11	Views on carbon dioxide capture and storage in geological formations as clean development mechanism project activities. Submissions from admitted observer organizations
FCCC/SBSTA/2011/MISC.12	Views on the implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities. Submissions from Parties and relevant organizations
FCCC/SBSTA/2011/MISC.13	Views on the materiality standard under the clean development mechanism. Submissions from Parties

	and relevant organizations
FCCC/SBSTA/2011/MISC.14	Summary on progress in the development of methodologies, standards and protocols for climate-related terrestrial observations and related matters. Submission from the secretariat of the Global Terrestrial Observing System
FCCC/SB/2011/2	Report on activities and performance of the Technology Executive Committee for 2011
FCCC/SB/2011/INF.5	Report on the special event held in the context of the forum on the impact of the implementation of response measures at the thirty-fourth sessions of the subsidiary bodies. Note by the secretariat
FCCC/SB/2011/INF.6 and Corr.1	Report on the joint workshop on matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol. Note by the secretariat
FCCC/SB/2011/MISC.4 and Add.1	Further views on the elements for the development of a work programme and a possible forum on response measures. Submissions from Parties and relevant organizations
FCCC/TP/2011/5	Water and climate change impacts and adaptation strategies. Technical paper
FCCC/SBSTA/2011/L.17	Draft report of the Subsidiary Body for Scientific and Technological Advice on its thirty-fifth session
FCCC/SBSTA/2011/L.18	Materiality standard under the clean development mechanism. Draft conclusions proposed by the Chair
FCCC/SBSTA/2011/L.19	Emissions from fuel used for international aviation and maritime transport. Draft conclusions proposed by the Chair
FCCC/SBSTA/2011/L.20	Implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities. Draft conclusions proposed by the Chair
FCCC/SBSTA/2011/L.21 – FCCC/SBI/2011/L.29	Matters relating to Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol. Draft conclusions proposed by the Chairs of the subsidiary bodies
FCCC/SBSTA/2011/L.22	Development and transfer of technologies. Draft conclusions proposed by the Chair
FCCC/SBSTA/2011/L.23	Revision of the UNFCCC reporting guidelines on annual inventories for Parties included in Annex I to the Convention. Draft conclusions proposed by the Chair
FCCC/SBSTA/2011/L.24	Carbon dioxide capture and storage in geological formations as clean development mechanism project

	activities. Draft conclusions proposed by the Chair
FCCC/SBSTA/2011/L.25 and Add.1	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. Draft conclusions proposed by the Chair
FCCC/SBSTA/2011/L.26 and Add.1	Nairobi work programme on impacts, vulnerability and adaptation to climate change. Draft conclusions proposed by the Chair
FCCC/SBSTA/2011/L.27 and Add.1	Research and systematic observation. Draft conclusions proposed by the Chair

Other documents before the session

FCCC/SBSTA/2011/2	Report of the Subsidiary Body for Scientific and Technological Advice on its thirty-fourth session, held in Bonn from 6 to 16 June 2011
FCCC/SBI/2011/7 and Add.1	Report of the Subsidiary Body for Implementation on its thirty-fourth session, held in Bonn from 6 to 17 June 2011
FCCC/CP/2010/7 and Add.1 and 2 and Corr.1	Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010
FCCC/KP/CMP/2010/12 and Add.1 and 2	Report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its sixth session, held in Cancun from 29 November to 10 December 2010
FCCC/CP/1996/2	Organizational matters: Adoption of the rules of procedure. Note by the secretariat

附件九

Earth Negotiation Bulletin:
The United Nations Climate Change Conference in
Durban from 28 November to 19 December 2011

**SUMMARY OF THE DURBAN CLIMATE CHANGE CONFERENCE:
28 NOVEMBER - 11 DECEMBER 2011**

The United Nations Climate Change Conference in Durban, South Africa, was held from 28 November - 11 December 2011. The conference involved a series of events, including the seventeenth session of the Conference of the Parties (COP 17) to the UN Framework Convention on Climate Change (UNFCCC) and the seventh meeting of the Conference of the Parties serving as the Meeting of Parties to the Kyoto Protocol (CMP 7).

In support of these two main bodies, four other bodies convened: the resumed 14th session of the *Ad hoc* Working Group on Long-term Cooperative Action under the Convention (AWG-LCA); the resumed 16th session of the *Ad hoc* Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP); and the 35th sessions of the Subsidiary Body for Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice (SBSTA).

The Conference drew over 12,480 participants, including over 5400 government officials, 5800 representatives of UN bodies and agencies, intergovernmental organizations and civil society organizations, and more than 1200 members of the media.

The meetings resulted in the adoption of 19 COP decisions and 17 CMP decisions and the approval of a number of conclusions by the subsidiary bodies. These outcomes cover a wide range of topics, notably the establishment of a second commitment period under the Kyoto Protocol, a decision on long-term cooperative action under the Convention, the launch of a new process towards an agreed outcome with legal force applicable to all parties to the Convention, and the operationalization of the Green Climate Fund.

After the frustrations at the Copenhagen conference and the struggle to rescue the multilateral climate regime in Cancun, negotiators in Durban turned a corner and not only resuscitated the Kyoto Protocol but, in doing so, adopted a decision that will lead to negotiations on a more inclusive 21st century climate regime. There was a strong sense that elements of the Durban package, guided by a need to fulfill long overdue commitments that go back to the Bali Roadmap, restored sufficient momentum for a new negotiation process, one that will continue to witness a

series of differentiated interests across and within the traditional lines of division between developed and developing countries. Many welcomed the adoption decisions including on the Green Climate Fund, and the Durban Platform, as well as the process to launch an agreement with legal force, while others continued to insist on the urgent need to significantly scale up the level of ambition to address the gap between existing mitigation pledges and the needed emission reductions recommended by science.

This report summarizes the discussions, decisions and conclusions based on the agendas of the COP, CMP and the subsidiary bodies.

A BRIEF HISTORY OF THE UNFCCC AND THE KYOTO PROTOCOL

The international political response to climate change began with the adoption of the United Nations Framework Convention on Climate Change (UNFCCC) in 1992. The UNFCCC sets out a framework for action aimed at stabilizing atmospheric concentrations of greenhouse gases to avoid “dangerous

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anthropogenic interference” with the climate system. The Convention, which entered into force on 21 March 1994, now has 195 parties.

In December 1997, delegates to the third session of the Conference of the Parties (COP) in Kyoto, Japan, agreed to a Protocol to the UNFCCC that commits industrialized countries and countries in transition to a market economy to achieve emission reduction targets. These countries, known as Annex I parties under the UNFCCC, 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 now has 193 parties.

At the end of 2005, the first steps were taken to consider long-term issues. Convening in Montreal, Canada, the first session of the CMP decided to establish the AWG-KP on the basis of Protocol Article 3.9, which mandates consideration of Annex I parties’ further commitments at least seven years before the end of the first commitment period. COP 11 agreed 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 CMP 3 took place in December 2007 in Bali, Indonesia. Negotiations resulted in the adoption of the Bali Action Plan. Parties established the AWG-LCA with a mandate to focus on key elements of long-term cooperation identified during the Convention Dialogue: mitigation, adaptation, finance, technology and a shared vision for long-term cooperative action. The Bali conference also resulted in agreement on the Bali Roadmap. Based on two negotiating tracks under the Convention and the Protocol, the Roadmap set a deadline for concluding the negotiations in Copenhagen in December 2009.

COPENHAGEN CLIMATE CHANGE CONFERENCE: The UN Climate Change Conference in Copenhagen, Denmark, took place in December 2009. The event was marked by disputes over transparency and process. During the high-level segment, informal negotiations took place in a group consisting of major economies and representatives of regional and other negotiating groups. Late in the evening of 18 December, these talks resulted in a political agreement: the “Copenhagen Accord,” which was then presented to the COP plenary for adoption. Over the next 13 hours, delegates debated the Accord. Many supported adopting it as a step towards securing a “better” future agreement. However, some developing countries opposed the Accord, which they felt had been reached through an “untransparent” and “undemocratic” negotiating process. Ultimately, the COP agreed to “take note” of the Copenhagen Accord. It established a process for parties to indicate their support for the Accord and, during 2010, over 140 countries did so. More than 80 countries also provided information on their national emission reduction targets and other mitigation actions.

On the last day of the Copenhagen Climate Change Conference, parties also agreed to extend the mandates of the AWG-LCA and AWG-KP, requesting them to present their respective outcomes to COP 16 and COP/MOP 6.

CANCUN CLIMATE CHANGE CONFERENCE:

Following four preparatory meetings in 2010, the UN Climate Change Conference in Cancun, Mexico, took place from 29 November to 11 December 2010. By the end of the conference, parties had finalized the Cancun Agreements, which include decisions under both negotiating tracks. Under the Convention track, Decision 1/CP.16 recognized the need for deep cuts in global emissions in order to limit global average temperature rise to 2°C. Parties also agreed to consider strengthening the global long-term goal during a review by 2015, including in relation to a proposed 1.5°C target. They took note of emission reduction targets and nationally appropriate mitigation actions (NAMAs) communicated by developed and developing countries, respectively (FCCC/SB/2011/INF.1/Rev.1 and FCCC/AWGLCA/2011/INF.1, both issued after Cancun). Decision 1/CP.16 also addressed other aspects of mitigation, such as measuring, reporting and verification (MRV); 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 (REDD+).

Parties also agreed to establish several new institutions and processes, such as the Cancun Adaptation Framework and the Adaptation Committee, as well as the Technology Mechanism, which includes the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN). On finance, Decision 1/CP.16 created the Green Climate Fund (GCF), which was designated to be the new operating entity of the Convention’s financial mechanism and is to be governed by a board of 24 members. Parties agreed to set up a Transitional Committee tasked with the Fund’s detailed design, and established a Standing Committee to assist the COP with respect to the financial mechanism. They also recognized the commitment by developed countries to provide US\$30 billion of fast-start finance in 2010-2012, and to jointly mobilize US\$100 billion per year by 2020.

Under the Protocol track, Decision 1/CMP.6 included agreement to complete the work of the AWG-KP and have the results adopted by the CMP as soon as possible and in time to ensure there will be no gap between the first and second commitment periods. The CMP urged Annex I parties to raise the level of ambition of their emission reduction targets with a view to achieving aggregate emission reductions consistent with the range identified in the Fourth Assessment Report of the Intergovernmental Panel on Climate Change (IPCC). Parties also adopted Decision 2/CMP.6 on land use, land-use change and forestry (LULUCF).

The mandates of the two AWGs were extended to the UN Climate Change Conference in Durban.

UN CLIMATE CHANGE TALKS IN 2011: In 2011, three official UNFCCC negotiating sessions were held in the lead-up to Durban. In April, the two AWGs convened in Bangkok, Thailand. The AWG-LCA engaged in procedural discussions on its agenda, finally agreeing on an agenda for its subsequent work. Under the AWG-KP, parties focused on key policy issues hindering progress.

Two months later, negotiators gathered in Bonn, Germany, for sessions of the SBI, SBSTA, AWG-LCA and AWG-KP. SBSTA agreed to a new agenda item on impacts of climate

change on water and integrated water resources management under the Nairobi Work Programme. No agreement was reached on other proposed new items, such as blue carbon and rights of nature and the integrity of ecosystems, and a work programme on agriculture. Under the SBI, work was launched on national adaptation plans, and loss and damage, as mandated by the Cancun Agreements. The agenda item relating to MRV remained in abeyance. Proposed new items related to the impacts of the implementation of response measures also featured prominently.

The focus of the AWG-KP in Bonn was on outstanding political issues and conditionalities set by various Annex I countries for taking on new commitments during a second commitment period. Despite initial opposition from developing countries, parties also undertook technical work, including on LULUCF, the flexibility mechanisms and methodological issues. Under the AWG-LCA, substantive work began based on Decision 1/CP.16. Parties worked on adaptation, finance, technology, capacity building, shared vision, review of the global long-term goal, legal options, and diverse issues related to mitigation. Parties agreed that notes prepared by the facilitators of the AWG-LCA informal groups be carried forward to the third part of AWG-LCA 14 in Panama. While progress was reported on some issues, many felt that the outcomes were relatively modest.

The AWG-LCA and AWG-KP reconvened from 1-7 October 2011 in Panama City, Panama. The AWG-KP concentrated on outstanding issues and further clarifying options concerning mitigation targets, the possible nature and content of rules for a second commitment period, and the role of a possible second commitment period within a balanced outcome in Durban. Under the AWG-LCA, negotiators engaged in extended procedural discussions based on Decision 1/CP.16 and the Bali Action Plan. Parties worked on adaptation, finance, technology, capacity building, shared vision, review of the global long-term goal, legal options, and diverse issues related to mitigation. The outcome for most of the informal group discussions was some “form of text” forwarded to Durban as a basis for further discussions.

UNFCCC COP 17

The United Nations Climate Change Conference in Durban, South Africa, opened on Monday morning, 28 November 2011. Following a welcoming ceremony attended by South African President Jacob Zuma and other high-level dignitaries, delegates gathered for the opening plenary meetings of the COP, CMP, SBI and SBSTA. COP 16 President Patricia Espinosa, Minister of Foreign Affairs, Mexico, urged delegates to agree on, *inter alia*, full implementation of the Cancun Agreements, capitalizing the Green Climate Fund, and the future of the Kyoto Protocol, reaffirming the relevance of a rules-based system.

UNFCCC Executive Secretary Christiana Figueres stressed that two decisive steps must be taken in Durban: tasks from COP 16 must be completed and key political questions from Cancun answered. She highlighted launching the Adaptation Committee, operationalizing the Technology Mechanism in 2012, approving the Green Climate Fund (GCF), and providing more clarity on fast-start finance. She stressed the need for a fair and responsible process towards a multilateral rules-based system under the Convention.

Vice-President of Angola, Fernando de Piedade Dias dos Santos, representing the Southern African Development Community, stated that the Kyoto Protocol is the only suitable tool that can enable the international community to remain committed to reducing greenhouse gas emissions.

President of Chad, Idriss Déby Itno, representing the Economic Community of Central African States, said Africa needs the resources to mitigate and adapt to climate change.

Jacob Zuma, President of South Africa, emphasized the need for a balanced, fair and credible outcome in Durban. He highlighted the responsibility of affirming the multilateral rules-based system anchored by the Kyoto Protocol, as well as the need to provide funding to address climate change impacts by operationalizing the Green Climate Fund.

Delegates observed a minute of silence to honor SBSTA Chair Mama Konaté of Mali, who had recently passed away and had been a key actor in the climate change process for many years.

Maite Nkoana-Mashabane, South Africa’s Minister of International Relations and Cooperation, was elected COP 17 and CMP 7 President by acclamation. She said negotiations and outcomes in Durban should be transparent, inclusive, fair and equitable. She called for progress on key issues, such as legal options and the Green Climate Fund.

During opening statements, Argentina, for the Group of 77 and China (G-77/China), supported a second commitment period under the Kyoto Protocol as part of a balanced and comprehensive outcome for Durban, saying the Cancun Agreements should be fully operationalized. Australia, for the Umbrella Group, supported a transition towards a climate change framework including all major economies, taking into account countries’ respective capabilities. The European Union (EU) said Durban should address the gap in the level of ambition, a common international accounting system, and a process to deliver a new global comprehensive legally-binding framework to be completed by 2015.

Switzerland, for the Environmental Integrity Group (EIG), outlined three important steps for Durban: agreeing on key elements of an international regime after 2012; launching a process to further strengthen the regime in the mid-term; and agreeing on the key elements of a shared vision, including a long-term global goal for emission reductions and a date for peaking of global emissions.

Grenada, for the Alliance of Small Island States (AOSIS), supported: a process to scale up the ambition of mitigation pledges; a second commitment period; a Durban mandate for a legally-binding agreement in accordance with the Bali Action Plan; operationalizing the new institutions established in Cancun; and reviewing the adequacy of the long-term global goal for emission reductions.

Youth said Durban should not be the “burying ground for the Kyoto Protocol.”

ORGANIZATIONAL MATTERS: COP President Nkoana-Mashabane reminded parties of 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, which has remained unresolved since COP 1. Papua New Guinea expressed concerns, suggesting that lack of agreement on voting can mean “lowest common denominator” outcomes. Further consultations were held during COP 17. On Friday, 9 December, COP Vice-Chair

Andrej Kranjc (Slovenia) reported that no consensus was reached on this matter. Parties agreed that informal consultations would continue and agreed to apply provisionally the rules of procedure without rule 42.

The COP closing plenary also approved the credentials of parties' representatives (FCCC/CP/2011/L.10).

Adoption of the agenda: On 28 November, parties agreed to proceed with their work based on the provisional agenda (FCCC/CP/2011/1) with a view to its formal adoption at a later stage following informal consultations on three agenda items proposed by India (on accelerated access to critical technologies, equitable access to sustainable development and unilateral trade measures). Singapore expressed concern over this procedure, noting that it could open the door to more agenda items and make the workload unmanageable. Syria supported having discussions on India's proposals. The agenda was discussed during the week in informal consultations.

On 9 December, the COP's evening plenary considered the adoption of the agenda (FCCC/CP/2011/1). Vice-Chair Kranjc reported on consultations by the COP President regarding the three agenda items proposed by India. He said an agreement had been reached to consider the issue of equitable access to sustainable development through a workshop under a relevant agenda item. India requested that the body to hold the workshop be identified, while Australia said agreement was to bring back this item under a relevant agenda item, but not to identify the body at this COP. The President noted both comments in the report, and the COP then adopted the agenda for the meeting without items 11, 12 and 13 (proposals by India), as well as holding in abeyance the item on the second review of Convention Articles 4.2(a) and 4.2(b) (policies and measures on emissions and removals from sinks), as has been the practice since COP 4.

Election of officers: On Sunday, 11 December, the COP elected: Artur Runge-Metzger (Germany) as Vice President, Phillip Muller (Marshall Islands) as Vice President, Richard Muyungi (Tanzania) as SBSTA Chair, and Andrej Kranjc (Slovenia) as rapporteur. He said there were ongoing consultations on other nominations and noted once such nominations from regional groups are received, they will be deemed elected at COP 17.

Regarding SBI, the COP elected Kishan Kumarsingh (Trinidad and Tobago) as SBI Chair, Narcis Paulin Jeler (Romania) as SBI Vice-Chair and Petrus Muteyauli (Namibia) as SBI Rapporteur.

On AWG-LCA officers, the COP elected Aysar Ahmed Al Tayeb (Saudi Arabia) as Chair, Marc Pallemmaerts (Belgium) as Vice-Chair, and Valeria Gonzalez Posse (Argentina) as Rapporteur. The AWG KP officers remain same, except for the election of AWG-KP Vice-Chair Yukka Uosukainen (Finland).

Dates and venues of future sessions: On Sunday, 11 December the COP adopted a decision on the date and venue of future sessions (FCCC/CP/2011/L.4). The decision accepts the offer of Qatar to host COP 18 in Doha from 26 November - 7 December 2012. Qatar said his government will spare no efforts to ensure its success. The Republic of Korea said that, following lengthy discussions, his country would host the pre-COP

ministerial meeting. The COP President also confirmed that COP 19 will be in Eastern Europe and no offers have been received to date.

PROPOSALS UNDER CONVENTION ARTICLE 17

The COP plenary addressed this issue on 30 November. Parties noted proposals by Japan, Tuvalu, the US, Australia, Costa Rica and Grenada. Parties agreed to leave the issue open pending an outcome from the AWG-LCA consideration of legal options in its work. On Sunday, 11 December, during the closing plenary, the COP agreed that the item will be included in the provisional agenda of COP 18.

PROPOSALS FOR AMENDMENTS TO THE CONVENTION UNDER ARTICLES 15 AND 16.

PROPOSAL BY MEXICO AND PAPUA NEW GUINEA ON VOTING: This item was first considered during the COP plenary on 30 November. Mexico, supported by Colombia and others, introduced a proposal to allow a "last resort" vote in cases when every effort to reach consensus has failed on issues that carry broad support. Parties also discussed the matter during the week. He explained that this was in order to avoid "paralysis." Bolivia, Venezuela and Saudi Arabia said they could only support a consensus approach. Informal consultations were convened on this issue.

During informal consultations, many spoke in favor of this proposal stating it would improve the effectiveness of the Convention, including Costa Rica, Colombia, Guyana, Suriname and the EU. Saudi Arabia, Bolivia and Venezuela opposed any change to the consensus rule. During the COP 17 closing plenary, Mexico expressed satisfaction with the interest generated, noting that a revised version of the proposal had been introduced. Parties agreed to include the item on the provisional agenda for COP 18.

PROPOSAL BY THE RUSSIAN FEDERATION TO AMEND CONVENTION ARTICLE 4.2 (COMMITMENTS):

This item was first considered during the COP plenary on 30 November. The Russian Federation explained the need for periodic review of the list of countries in Annexes I and II. Belarus, Ukraine and Kazakhstan supported this proposal, while Saudi Arabia opposed it. Informal consultations facilitated by Amb. Javier Diaz (Costa Rica) were held. During the closing plenary, the Russian Federation sought clarification on the status of the proposal. COP President Nkoana-Mashabane observed that constructive discussions had been held on legal, political and other implications of the proposal, noting that additional time is required to consider the proposal. Parties agreed to include the item on the provisional agenda for COP 18.

PROPOSAL FROM CYPRUS AND THE EU TO AMEND ANNEX I TO THE CONVENTION:

Informal consultations were facilitated by Amb. Javier Diaz on a joint proposal from Cyprus and the EU to amend Annex I to the Convention to include Cyprus. On Sunday, 11 December the COP adopted a decision to include Cyprus in Annex I of the Convention.

COP Decision: The decision (FCCC/CP/2011/L.2) amends Annex I to the Convention to include Cyprus.

TECHNOLOGY EXECUTIVE COMMITTEE – MODALITIES AND PROCEDURES

On 28 November, SBSTA addressed this issue, pursuant to Decision 1/CP.16 to establish a Technology Mechanism comprising a Technology Executive Committee (TEC) and a Climate Technology Centre and Network (CTCN), and decided to establish a contact group chaired by Carlos Fuller (Belize) and Zitouni Ould-Dada (UK). Delegates considered a report from the TEC (FCCC/CP/2011/8). TEC Chair Gabriel Blanco (Argentina) presented a draft decision text for comment. The G-77/China called for the term of the TEC to be extended by one year and for the adoption of modalities and procedures as soon as possible. On 3 December, SBSTA adopted a draft decision, which was confirmed by the COP on 9 December.

COP Decision: The decision (FCCC/CP/2011/L.3) recalls Decision 1/CP.16 on the establishment of a Technology Mechanism, comprising a Technology Executive Committee and a Climate Technology Centre and Network to enhance action on technology development and transfer. It welcomes the report of the TEC (FCCC/CP/2011/8) and adopts the modalities and rules of procedure as contained in Annexes 1 and 2.

The modalities include: analysis and synthesis; policy recommendations; facilitation; linkage with other institutional arrangements; engagement with stakeholders; and information and knowledge sharing. The decision requests the TEC to further elaborate its modalities for consideration by COP 18 on linkage with other institutions.

GREEN CLIMATE FUND – REPORT OF THE TRANSITIONAL COMMITTEE

This item was considered in open-ended informal consultations presided over by COP President Nkoana-Mashabane. It was also the subject of high-level ministerial consultations. Informal consultations, facilitated by Zaheer Fakir (South Africa) on behalf of the COP 17 Presidency, also took place. The main issues for parties were: legal status; relationship to the COP; the role of private sector financing; establishing the Board; and elaborating a process to establish an interim secretariat to support the Board.

On 30 November, Transitional Committee Co-Chair Trevor Manuel (South Africa) presented the Committee’s report, which includes the GCF’s draft governing instrument. He explained that the report aims to present a middle ground as the basis for launching the GCF in Durban. The EIG and the African Group welcomed the report. The EU observed that the draft governing instrument is a compromise but agreement should be reached on it as part of a balanced package, and further discussions would be counterproductive. Zambia, for the Least Developed Countries (LDCs), said the draft governing instrument provides sufficient basis for a financial institutional arrangement. The Philippines, for the G-77/China, said the GCF is a crucial element of the solution. Barbados, for AOSIS, stressed that operationalizing the GCF cannot be delayed in spite of its shortcomings, which include lack of a dedicated small island developing states (SIDS) and LDC funding window, and the lack of provision for a replenishment process. He said the GCF should not be an empty shell. Venezuela, for the Bolivarian Alliance for the Peoples of Our America (ALBA), expressed “alarm over certain elements of the report, which would hinder democratic access to resources.”

She stressed that the GCF must possess international legal personality, work under the guidance of the COP and have no conflict of interest between the fiduciary and executive trustee functions.

Egypt said the draft governing instrument lacks crucial elements, including international legal personality, accountability to the COP and country ownership of projects. Acknowledging concerns with the draft governing instrument, Japan and Colombia (on behalf of Costa Rica, Chile, Honduras, the Dominican Republic, Peru and Panama), opposed reopening the document and requested the COP Presidency to conduct consultations. Australia expressed willingness to approve the document “as is.”

Japan acknowledged concerns over the Fund’s legal personality and ambiguity in the relationship between the Fund and the Convention, but said the newly established Board could address these concerns. Egypt, India, Namibia and the LDCs said the Fund should have full juridical personality to ensure direct access. Along with Kenya, Saudi Arabia and the Sudan, they also stressed the importance of ensuring the GCF’s accountability to the COP. Fiji called for complementarity with other funding instruments and institutions. Nigeria, Tanzania and Zambia warned against overreliance on the private sector.

The EU recognized concerns, but said he was confident the COP would be able to agree on the draft instrument and that parties should focus on interim arrangements to get things off the ground. Switzerland said countries with economies in transition should have access to the Fund. Nigeria identified a “strategic imbalance” in the negotiations, with mitigation discussions far ahead of those on adaptation.

During lengthy informal discussions, parties were able to agree on the legal personality, the host country selection process, and a process for conferring legal personality on the Fund. On the interim secretariat, parties agreed that it shall be fully accountable to the Board and shall function under its guidance and authority. Parties also agreed that the head of the secretariat should have experience working with developing countries. On the host of the interim secretariat, three options were presented (the UNFCCC Secretariat, the Global Environment Facility (GEF) Secretariat and the UN Office in Geneva), but parties were unable to agree on this. During closing COP plenary, COP President Nkoana-Mashabane noted the efforts made to resolve outstanding issues and welcomed the text as a basis for the GCF to “become the main global fund for climate finance.” She noted the letter received from the G-77/China regarding the composition of developing country membership of the GCF. The decision was then adopted.

COP Decision: The COP (FCCC/2011/CP/L.9) designates the GCF as an operating entity of the financial mechanism of the Convention, with arrangements to be concluded between the COP and the Fund at COP 18 to ensure that it is accountable to and functions under the guidance of the COP to support projects, programmes, policies and other activities in developing country parties. It also:

- provides guidance to the Board of the GCF, including on matters related to policies, programme priorities and eligibility criteria;

- requests the Board to develop a transparent no-objection procedure to be conducted through national designated authorities, in order to ensure consistency with national climate strategies and plans and a country-driven approach and to provide for effective direct and indirect public and private sector financing by the Green Climate Fund;
- stresses the need to secure funding for the GCF to facilitate its expeditious operationalization and requests the Board to establish necessary policies and procedures, which will enable an early and adequate replenishment process;
- invites parties, through their regional groupings and constituencies, to submit their nominations for the members of the Board to the interim secretariat by 31 March 2012;
- confers juridical personality and legal capacity to the GCF Board;
- invites parties to submit to the Board expressions of interest for hosting the GCF Fund by 15 April 2012;
- further requests the Board to establish the independent secretariat of the GCF in the host country in an expedited manner as soon as possible;
- invites the Board to select the trustee of the GCF through an open, transparent and competitive bidding process in a timely manner to ensure there is no discontinuity in trustee services; and
- selects the head of the interim secretariat based on, *inter alia*, expertise in the design or management of funds, relevant administrative and management experience, experience in or working with developing countries, and policy expertise.

REVIEW OF IMPLEMENTATION OF COMMITMENTS AND OTHER PROVISIONS OF THE CONVENTION

NATIONAL COMMUNICATIONS FROM ANNEX I

PARTIES: On 29 November, this issue was briefly considered in SBI plenary. SBI took note of the report on the status of submission and review of fifth national communications and the report on national greenhouse gas inventory data from Annex I parties for the period 1990-2009 (FCCC/SBI/2011/INF.8). A contact group, co-chaired by Alma Jean (Saint Lucia) and Kiyoto Tanabe (Japan), was established to address: compilation and synthesis of fifth national communications; compilation and synthesis of supplementary information; and further implementation of Article 12, paragraph 5, of the Convention, including consideration of Decision 1/CP.16, paragraphs 40 and 46. On 3 December, SBI adopted draft conclusions with no further discussion, which were confirmed by COP on 9 December.

SBI Conclusions: SBI took note of the annual compilation and accounting report (FCCC/SBI/2011/L.26).

NATIONAL COMMUNICATIONS FROM NON-

ANNEX I PARTIES: On 29 November, the issue was briefly considered in SBI plenary. A contact group, co-chaired by Alma Jean (Saint Lucia) and Kiyoto Tanabe (Japan), was established to address: work of the Consultative Group of Experts; further implementation of Article 12, paragraph 5, of the Convention; and provision of financial and technical support. On 3 December, SBI adopted conclusions and a draft COP decision on the work of the Consultative Group of Experts (CGE); and conclusions

on further implementation of Convention Article 12.5 and the provision of financial and technical support. On 9 December, the COP adopted the draft decision on the CGE.

SBI Conclusions: The CGE conclusions (FCCC/SBI/2011/L.31) welcome the progress report on its work. On further implementation of Convention Article 12.5 (FCCC/SBI/2011/L.32), SBI defers consideration of this sub-item to SBI 36. On the provision of financial and technical support (FCCC/SBI/2011/L.33), SBI, *inter alia*: invites the GEF to continue to provide information on its activities relating to the preparation of national communications by non-Annex I parties; and encourages non-Annex I parties to submit project proposals for the funding of their subsequent national communications.

COP Decision: The decision on the CGE (FCCC/SBI/2011/L.31 and Add.1): continues the Group's current mandate until the end of 2012; and invites parties to submit their views on its term and mandate with a view to address the issue in a draft decision at COP 18.

TECHNOLOGY TRANSFER: On 29 November, the SBI briefly addressed this agenda item and established a joint SBSTA/SBI contact group, co-chaired by Carlos Fuller (Belize) and Zitouni Ould-Dada (UK). On 3 December, SBI adopted draft conclusions on development and transfer of technologies.

SBI Conclusions: The SBI approved draft conclusions (FCCC/SBI/2011/L.34), together with SBSTA (FCCC/SBSTA/2011/L.22), encouraging parties not included in Annex I to the Convention to develop and submit project proposals, particularly for technologies for adaptation, to the GEF, and welcomes the results of the technology needs assessments that are being prepared in cooperation with the United Nations Environment Programme (UNEP). The conclusions also include an annex with elements for a draft decision on development and transfer of technologies, that: welcomes the elected members of the TEC, Gabriel Blanco (Argentina) and Antonio Pfluger (Germany); and sets out the duration of the terms of TEC members.

CAPACITY BUILDING: This issue was first addressed in the SBI plenary on 29 November. SBI Chair Owen-Jones noted that the review of the framework for capacity building for developing countries must be completed in Durban. During the SBI closing plenary, the SBI adopted a draft COP decision, which was then adopted by the COP on 9 December.

COP Decision: This decision (FCCC/SBI/2011/L.37) invites relevant UN agencies and intergovernmental organizations to continue providing support to developing countries and Annex II parties, the private sector and multilateral, bilateral and international agencies to support capacity-building activities. The decision, *inter alia*, invites parties to enhance reporting on best practices.

The decision also states that further implementation of the capacity-building framework in developing countries should be improved by:

- ensuring consultations with stakeholders throughout the entire process of activities;
- enhancing integration of climate change issues and capacity-building needs into national development strategies, plans and budgets;
- increasing country-driven coordination of capacity-building activities; and

- strengthening networking and information sharing among developing countries, especially through South-South and triangular cooperation.

Finally, the COP decides to conclude the second comprehensive review and to initiate the third comprehensive review of the implementation of the capacity-building framework, with a view to completing the review at COP 22.

IMPLEMENTATION OF THE BUENOS AIRES PROGRAMME OF WORK ON ADAPTATION AND RESPONSE MEASURES (DECISION 1/CP.10):

The issue was taken up under the SBI on 28 November. SBI Chair Owen-Jones provided parties with an update, including the organization of two workshops: the workshop on promoting risk management approaches on the specific needs and concerns of developing country parties arising from the impact of the implementation of response measures (21 September 2011, in Bonn, Germany); and the workshop to identify challenges and gaps in the implementation of risk management approaches to the adverse effects of climate change (10-12 October 2011, in Lima, Peru). Informal consultations were chaired by Samuel Ortiz Basualdo (Argentina). On the draft conclusions, the Gambia, for LDCs, sought to add reference to LDCs in one section. Saudi Arabia and Venezuela both raised concerns about the text. Parties agreed to hold further informal discussions on Saturday evening. However, these did not result in an agreement and parties agreed to take up the issue again at SBI 36.

SBI Conclusions: In its conclusions (FCCC/SBI/2011/L.25), the SBI, *inter alia*: agrees to continue consideration of this matter at SBI 36 and welcomes the report on the interim workshops to identify challenges and gaps in the implementation of risk management approaches to the adverse effects of climate change and on promoting risk management approaches on the specific needs and concerns of developing countries.

MATTERS RELATING TO THE LDCs: This issue (FCCC/SBI/2011/11, FCCC/TP/2011/7) was first taken up under the SBI on 28 November when a representative from the Least Developed Countries Expert Group (LEG) provided an update on the work of the LEG for 2011. Parties met twice in informal consultations and focused work on activities of the LEG in 2011 and activities planned for 2012 as part of its work programme for 2011-2012.

SBI Conclusions: In its conclusions (FCCC/SBI/2011/L.22), the SBI, *inter alia*: took note of the oral report by the Chair of the LEG, welcomes the submission of 46 national adaptation programmes of action (NAPAs), and expressed appreciation to the LEG for progress made under its 2011-2012 work programme.

FINANCIAL MECHANISM

On 29 November, the SBI addressed this agenda item, including the report of, and additional guidance to, the GEF, as well as the LDC Fund (support for the implementation of elements of the LDCs' work programme other than NAPAs), and forwarded it to a contact group co-chaired by Ana Fornells de Frutos (Spain) Lavaasa Malua (Samoa). The group prepared a set of draft decisions, which were adopted by the SBI on 3 December. The decisions were adopted by the COP on 11 December.

SBI Conclusions: The SBI takes note of information presented on support provided by the GEF (FCCC/SBI/2011/L.39 and FCCC/SBI/2011/L.41) and recommends that the COP request the GEF to continue to provide financial resources to developing countries through the LDC Fund and Special Climate Change Fund (SCCF). It also takes note on support provided through the LDC Fund and forwarded a decision to the COP.

COP Decision: The COP decisions (FCCC/SBI/2011/L.40 Add.1 and FCCC/SBI/2011/L.41/Add.1) request the GEF as operating entity of the LDC Fund to, *inter alia*:

- support the development of programmatic approaches for the implementation of NAPAs;
- further explore opportunities to streamline the LDC Fund project cycle;
- clarify the concept of additional costs as applied to different types of adaptation projects under the LDC Fund and SCCF; and
- continue to enhance the transparency of the project review process throughout the project cycle.

ADMINISTRATIVE, FINANCIAL AND

INSTITUTIONAL MATTERS: The SBI took up this agenda item on 29 November. The topic included three sub-items dealing with budget performance for the biennium 2010-2011 (FCCC/SBI/2011/16 and FCCC/SBI/2011/INF.14); continuing review of the functions and operations of the Secretariat (FCCC/SBI/2011/16 and FCCC/SBI/2011/INF.15); and implementation of the Headquarters Agreement. On the 2010-2011 budget, UNFCCC Executive Secretary Figueres noted that the majority of mandates and activities in the work programme for 2010-2011 had been completed but any additional activities would require further financial support. On the review of the Secretariat's functions, she highlighted planned efficiency gains for the biennium 2012-2013. The SBI adopted conclusions on these issues on 3 December, and the COP and CMP each adopted the following decision on 9 December.

COP/CMP Decision: In its decisions (FCCC/SBI/2011/L.27/ Add.1 and Add.2), the COP takes note of the information contained in the interim financial statements for the biennium 2010-2011, the report on budget performance for January 2010 to 30 June 2011 and the status of contributions to the Trust Fund for the Core Budget of the UNFCCC, the Trust Fund for Supplementary Activities and the Trust Fund for Participation in the UNFCCC Process.

The COP/CMP: takes note of the information relating to the functions and operations of the Secretariat and appreciates the report on planned efficiency gains for the biennium 2012-2013; and agrees that SBI 36 and SBI 38 should consider matters under this sub-item.

Implementation of the Headquarters Agreement: This item was introduced in the SBI plenary on 29 November. The SBI adopted draft conclusions on 3 December.

SBI Conclusions: The SBI (FCCC/SBI/2011/L.28) takes notes of the information provided by the Host Government of the Secretariat that construction works on the new conference facilities in Bonn will be resumed and that their completion is still expected by the first negotiating session of 2013.

The SBI was informed by the Host Government and the UNFCCC Executive Secretary of the progress made in the completion of the new premises for the Secretariat in Bonn and that the first building is to be completed by mid-2012 and that the second building and additional meeting facilities are expected to be completed by 2017.

OTHER MATTERS REFERRED BY THE SUBSIDIARY BODIES

REVISION OF THE UNFCCC REPORTING GUIDELINES ON ANNUAL INVENTORIES FOR ANNEX I PARTIES:

This item was first taken up by the SBSTA on 28 November. Informal consultations were facilitated by Riita Pipatti (Finland) and Nagmeldin Elhassan (Sudan). On Sunday morning, SBSTA Chair Richard Muyungi presented a draft decision to the COP regarding the revision of the UNFCCC reporting guidelines on annual inventories for parties included in Annex I to the Convention, which was adopted.

COP Decision: In the decision (FCCC/CP/2011/L.6), the COP, *inter alia*: adopts the UNFCCC Annex I inventory reporting guidelines; decides 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 shall be listed in Annex III to the decision; and invites Annex I parties to use the inventory reporting guidelines voluntarily during a trial period from October 2012 to May 2013.

NATIONAL ADAPTATION PLANS: This issue was first addressed during the opening SBI plenary on 29 November, and subsequently in an informal group, facilitated by SBI Chair Owen-Jones. During the closing SBI plenary on 3 December, Chair Owen-Jones said while progress was being made, more work was still needed on this issue, and parties adopted SBI conclusions (FCCC/SBI/2011/L.36), which recommended that the COP consider and finalize a draft decision on this issue.

During the discussions, the G-77/China said national adaptation plans should recognize that adaptation occurs at the local level, and be flexible and country-driven. LDCs said the national adaptation plan process was distinct and separate from the NAPA process. Much of the debate on this issue revolved around whether to broaden the national adaptation plans to include other vulnerable developing countries, with Colombia initially proposing development of a work programme to this end. Norway and others reiterated that national adaptation plans should only apply to the LDCs. Following informal consultations, Colombia presented compromise text on modalities for other developing countries that are not LDCs and on the provision of financial and technical support to those countries.

On reporting, monitoring and evaluation, delegates discussed using national communications as the primary tool for communicating progress and whether the Secretariat should establish a database, with some developed countries expressing concern over costs, and some developing countries specifying such a database should be on support provided, not on activities.

Another point of contention during the discussions related to the role of the GEF. Many countries stressed that GEF guidance should be clear, simple and operationally feasible to ensure the support that LDCs require will be provided. Colombia said the GEF would need to work through agencies with on-the-ground

experience and through one or two core programmes to ensure funds can be accessed quickly. The US opposed singling out specific organizations. The G-77/China stressed the need to ensure the provision of long-term support for the process. During the closing plenary on Sunday morning, 11 December, the COP adopted a decision on this issue.

COP Decision: The first section of this decision (FCCC/CP/2011/L.8/Add.1) addresses the framing of national adaptation plans. The COP agrees, *inter alia*, that the national adaptation plan process should not be prescriptive, nor result in the duplication of in-country efforts, but should rather facilitate country-owned, country-driven action.

The second section outlines the process to enable LDCs to formulate and implement national adaptation plans, and has subsections on: guidelines, modalities, and financial arrangements for the formulation and implementation of national adaptation plans.

On modalities, the COP requests the LEG to, *inter alia*, invite the Adaptation Committee and other relevant bodies under the Convention to contribute to its work in support of the national adaptation plan process. The decision also invites parties to strengthen their engagement with regional centers and networks, and requests developed country parties to provide LDCs with finance, technology and capacity building.

On financial arrangements, the decision, *inter alia*: requests the GEF, as an operating entity of the financial mechanism, through the LDC Fund, to consider how to enable activities for the preparation of national adaptation plans

The third section invites developing country parties that are not LDCs to employ the modalities for national adaptation plans. The decision requests the Adaptation Committee to consider in its workplan the relevant modalities for supporting interested developing countries that are not LDCs to plan, prioritize and implement their national adaptation planning measures, and invites operating entities of, *inter alia*, the financial mechanism of the Convention to provide financial and technical support

The final section addresses reporting, monitoring and evaluation and, *inter alia*:

- invites parties to provide information, through their national communications on which measures they have undertaken and on support provided or received relevant to the national adaptation plan process; and
- requests the Secretariat to utilize and enhance existing databases to include information on support and other activities under the national adaptation plan process.

The attached annex on initial guidelines for the formulation of national adaptation plans by the LDCs contains elements of national adaptation plans, including sections on: laying the groundwork and addressing gaps; preparatory elements; implementation strategies; and reporting, monitoring and review.

LOSS AND DAMAGE: This item was briefly taken up in the SBI plenary on 29 November and forwarded for further consideration to an informal group chaired by SBI Chair Owen-Jones. Further to consultations held during the week, the SBI adopted draft conclusions on 3 December and forwarded a draft decision to the COP, which was adopted on 9 December.

SBI Conclusions: The conclusions (FCCC/SBI/2011/L.35) note the outcomes of the workshop to identify challenges and gaps in the implementation of risk management approaches

to the adverse effects of climate change and recommend a draft decision on the work programme on loss and damage for adoption by the COP.

COP Decision: The decision on approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate to enhance adaptive capacity (FCCC/SBI/2011/L.35/Add.1) sets out a work programme on loss and damage. The decision requests SBI to: continue the implementation of the work programme on loss and damage; and take into account the questions mentioned in the annex to the decision on risk assessment, and approaches to, loss and damage.

The COP further invites parties and relevant organizations to, *inter alia*, take into account the three thematic areas on risk assessment and to engage a large and diverse representation of experts in undertaking work under the thematic areas. The decision recognizes the need to explore a range of possible approaches and potential mechanisms, including an international mechanism, to address loss and damage.

RESEARCH AND SYSTEMATIC OBSERVATION: This agenda item (FCCC/SBSTA/2011/MISC.8, FCCC/SBSTA/2011/MISC.8/Add.1 and FCCC/SBSTA/2011/MISC.14) was taken up in the SBSTA plenary on 29 November. SBSTA conclusions and a draft COP decision were adopted on 3 December. The COP adopted the decision on 9 December.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2011/L.27), the SBSTA welcomes the IPCC Special Report on Managing the Risks of Extreme Weather Events and Disasters to Advance Climate Change Adaptation and invites parties and international and regional research programmes to provide information on technical and scientific aspects of, *inter alia*, emissions by sources and removals by sinks.

COP Decision: In the decision (FCCC/SBSTA/2011/L.27/Add.1), the COP urges parties and invites regional and international research programmes to discuss needs, and convey findings from, climate change research.

REDD+ (Methodological guidance): This agenda item (FCCC/SBSTA/2011/MISC.7, Add.1, 2 and 3) was taken up in SBSTA plenary on 29 November and then addressed in a contact group co-chaired by Peter Graham (Canada) and Victoria Tauli-Corpus (Philippines). The issues addressed included: guidance on systems for providing information on how safeguards are addressed and respected, modalities for forest reference emission levels and forest reference levels and MRV. Discussions focused on, *inter alia*: how the information on safeguards to be provided by countries would be used and whether to identify the specific type of information to be provided in this context; and how to consider historical deforestation, projections and national circumstances in the context of reference levels.

On 3 December, the SBI forwarded a draft decision for adoption by the COP. The African Group, Australia and others welcomed progress on this issue. On 9 December, the COP adopted the decision.

COP Decision: In its decision (FCCC/SBSTA/2011/L.25/Add.1), the COP notes that guidance on systems for providing information on safeguards should be consistent with national sovereignty, national legislation and national circumstances,

and recognizes the importance and necessity of adequate and predictable financial and technology support for developing the elements referred to in Decision 1/CP.16, paragraph 71.

Under the section on guidance on systems for providing information on how safeguards are addressed and respected, the COP, *inter alia*:

- notes that the implementation of the safeguards referred to in Appendix I to Decision 1/CP.16, and information on how these safeguards are being addressed and respected, should support national strategies or action plans and be included in, where appropriate, all phases of implementation;
- agrees that systems for providing information on how the safeguards are addressed and respected should, among other things: provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis, be country-driven and implemented at the country level, and build upon existing systems, as appropriate;
- agrees that developing countries undertaking the activities referred, should provide a summary of information on how the safeguards referred to are being addressed and respected throughout the implementation of the activities; and
- decides that the summary of information referred should be provided periodically and included in national communications, consistent with relevant COP decisions on non-Annex I parties' national communications, or communication channels agreed by the COP.

The COP requests SBSTA 36 to consider the timing of the first and the frequency of subsequent presentations of the summary of information to be considered by COP 18, and the need for further guidance to the COP.

Under modalities for forest reference emission levels and forest reference levels, the COP, *inter alia*:

- agrees that forest reference emission levels and/or forest reference levels are benchmarks for assessing each country's performance in implementing the referred activities;
- decides that these shall be established considering Decision 4/CP.15, paragraph 7 and consistent with anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks as in each country's greenhouse gas inventories;
- invites parties to submit information and rationale on the development of their forest reference emission levels and/or forest reference levels including details of national circumstances, and if adjusted to national circumstances, including details in accordance with the guidelines contained in the annex;
- acknowledges that subnational forest reference emission and/or forest reference levels may be elaborated as an interim measure, while transitioning to a national level, and that interim reference levels may cover less than the national territory of forest area;
- agrees that developing parties should update forest emission reference levels and/or forest reference levels periodically, as appropriate, taking into account new knowledge, trends and any modification of scope and methodologies;
- requests the Secretariat to make information on forest reference levels, including submissions, available on the UNFCCC REDD web platform; and

- agrees to a process enabling technical assessment of the proposed forest reference levels when submitted or updated by parties in accordance with guidance to be developed by SBSTA 36.

The decision contains an annex that includes guidelines for submissions of information on reference levels.

NAIROBI WORK PROGRAMME: This issue was first addressed in the opening SBSTA plenary on 28 November. The EU supported making the Nairobi Work Programme (NWP) more relevant for practitioners. Delegates were briefed on the recent IPCC Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation. The issue was referred to an informal group, during which Bolivia supported future work on vulnerable stakeholder groups, including women, and highlighted indigenous knowledge and key sectors, such as water. The US urged taking full advantage of the knowledge and expertise of partners, and expanding into areas, such as agriculture, water and ecosystem-based approaches. AOSIS stressed coherence of action on adaptation under the Convention. Australia stressed links between the NWP and the Adaptation Committee that is being discussed under the AWG-LCA. During Saturday's SBSTA closing plenary, SBSTA adopted draft conclusions and a draft decision, which was then adopted by the COP on 9 December.

SBSTA Conclusions: The SBSTA (FCCC/SBSTA/2011/L.26) welcomes, *inter alia*:

- a compilation of submissions on proposals for upcoming activities under the NWP;
- a technical paper on water and climate change impacts and adaptation strategies;
- a compilation of information on ecosystem-based approaches to adaptation; and
- the report on the survey of national focal points to identify priority needs for disseminating products related to impacts and vulnerability.

COP Decision: This decision (FCCC/SBSTA/2011/L.26 Add.1) requests SBSTA 38 to reconsider the NWP work areas with a view to making recommendations to COP 19 on how to best support the objectives of the NWP. It invites parties and relevant organizations to submit to the Secretariat by 17 September 2012, their views on potential areas of future work under the NWP, and requests the Secretariat to compile those submissions by SBSTA 38.

The decision further requests the Secretariat to:

- organize workshops on water and climate change impacts and adaptation strategies and on ecosystem-based approaches;
- prepare a compilation of case studies on national adaptation planning processes by SBSTA 37; and
- continue developing user-friendly knowledge products and outputs, and engaging stakeholders, under the NWP.

The decision also, *inter alia*: encourages the NWP partner organizations to better align pledged actions with the needs of parties; and notes the value of the Focal Point Forum in facilitating information exchange and collaboration between partner organizations.

OTHER MATTERS

FORUM ON THE IMPACT OF RESPONSE

MEASURES: This joint SBI/SBSTA item was first addressed on

28 November, and was taken up under both bodies throughout the week. A joint SBSTA/SBI forum was co-chaired by SBSTA Chair Muyungi and SBI Chair Owen-Jones.

On 1 December, a special event was held on the joint SBI/SBSTA forum, with presentations made by several parties and organizations, and parties convened in a contact group to review the report on the special event (FCCC/SB/2011/INF.5). Parties continued to meet throughout the week with views diverging on, *inter alia*: the interpretation of mandates from the AWG-LCA and the subsidiary bodies (SBs), and on the role and inclusion of trade issues; language regarding positive and negative aspects of response measures; language regarding the duration of the work programme; and modalities and operationalization of the work programme.

COP Decision: On 11 December, the COP adopted a decision (FCCC/CP/2011/L.7) that contains, *inter alia*:

- the adoption of a work programme;
- the adoption of modalities for the operationalization of the work programme, which could include convening workshops and meetings, receiving input from experts and preparing reports and technical papers;
- the establishment of a forum on the impact of the implementation of response measures;
- a decision that the forum will be convened under a joint agenda item of the SBs; and
- a request for the SBs to review the work of the forum at SB 39.

KYOTO PROTOCOL CMP 7

The seventh meeting of the Conference of the Parties serving as the Meeting of Parties to the Kyoto Protocol (CMP 7) opened on Monday morning, 28 November, with Maite Nkoana-Mashabane elected CMP 7 President by acclamation. Parties adopted the agenda and agreed to the organization of work (FCCC/KP/CMP/2011/1), and referred a number of issues to the subsidiary bodies (FCCC/SBSTA/2011/3 and FCCC/SBI/2011/8).

In opening statements, Argentina, for the G-77/China, reaffirmed the need for a second commitment period under the Kyoto Protocol, calling for a higher level of ambition by Annex I parties.

Switzerland, for the EIG, called for, *inter alia*: further clarity on the AWG-LCA outcome; maintaining a rules-based system; and enhancing the environmental integrity of the regime in areas such as land use, land-use change and forestry (LULUCF) and the flexible mechanisms.

Australia, for the Umbrella Group, supported a new climate change framework that builds on the Kyoto Protocol, when appropriate, and takes operationalizing the Cancun Agreements as a foundation for future action.

The EU supported a multilateral, ambitious rules-based system with broad participation, notably from major economies. He said a second commitment period of the Kyoto Protocol could be considered as part of a transition to a wider legally-binding framework, provided there is an agreement for a robust roadmap for a new legally-binding framework with a clear timeline and engaging all parties.

The Democratic Republic of the Congo, for the African Group, said the two negotiating tracks should remain separate

and expressed concern over countries not willing to commit to a second commitment period. Grenada, for AOSIS, said the Protocol is central to the future of the climate change regime.

The Gambia, for LDCs, called for a second commitment period under the Kyoto Protocol and on Annex I parties to reduce their greenhouse gas emissions by at least 45% below 1990 levels by 2020 and at least 95% below 1990 levels by 2050. Saudi Arabia, for the Arab Group, rejected attempts to marginalize the Kyoto Protocol.

China, for the BASIC countries, said defining a second commitment period should be the main priority for Durban. He opposed “unilateral measures” on international aviation under the EU’s Emissions Trading Scheme.

Papua New Guinea, for the Coalition of Rainforest Nations, supported an agreement on a second commitment period, the introduction of a REDD+ mechanism on a voluntary basis, and eliminating loopholes in the rules on LULUCF.

Venezuela, for ALBA, condemned the “selfishness” of predatory economies that are destroying the existing climate regime to replace it with a voluntary approach that will be lethal for the planet.

ELECTION OF OFFICERS

On Sunday, 11 December, the CMP elected officers to the Clean Development Mechanism (CDM), Adaptation Fund, Compliance Committee (facilitative branch and enforcement branch) and Joint Implementation Supervisory Committee. They also elected Madeleine Diouf (Senegal) and Yukka Uosukainen (Finland) as Chair and Vice-Chair of the AWG-KP.

PROPOSALS FOR AMENDMENTS TO THE KP

This item (FCCC/KP/CMP/2010/3 and FCCC/KP/CMP/2009/2-13) was first addressed by the CMP plenary on 30 November. India said it will not agree to changes to Annex B unless a second commitment period is agreed. Belarus, the EU and Ukraine favored simplifying amendment procedures. During the 11 December closing plenary, the CMP decided consideration of this item will continue at CMP 8. This issue is also addressed under the AWG-KP Outcome Document (FCCC/KP/CMP/2011/L.3 Add.1) Annexes II and III, which include proposed amendments to the Kyoto Protocol.

KAZAKHSTAN’S PROPOSAL TO AMEND ANNEX B

On 30 November, the issue was briefly considered in CMP plenary. An informal group co-chaired by Philip Gwage (Uganda) and Ositadinma Anaedu (Nigeria) was established to address the item. The CMP adopted a draft decision on 11 December.

CMP Decision: In the decision (FCCC/KP/CMP/2011/L.9), the CMP agrees to include this item on the provisional agenda for its next session in order to continue its consideration of this proposal.

CLEAN DEVELOPMENT MECHANISM

On 30 November, the issue was considered in the CMP plenary. CDM Executive Board Chair Martin Hession (UK) reported on efforts to improve the Board’s work, including strengthening additionality guidance and standardized baselines, as well as guidelines on “suppressed demand,” and urged a clear signal on the CDM’s future. The item was referred to a contact

group co-chaired by Carolina Fuentes Castellanos (Mexico) and Kunihiko Shimada (Japan).

During informal consultations, some developing countries sought to specifically link participation in the CDM after 2012 to accepting a target under the Kyoto Protocol, which proved to be a major point of discussion. Other contentious issues included: governance-related issues; an appeals process; monitoring methodologies; ways to improve the current approach to assessment of additionality; and public and private sector CDM projects. Following lengthy consultations, parties were unable to agree on: supplementarity of the mechanism; transition to a second commitment period; review of CDM modalities and procedures; stakeholder consultations; and share of proceeds for certified emission reduction (CER) issuance.

The bracketed text was forwarded to the CMP plenary. On 11 December, parties agreed to delete bracketed text and adopted the decision as amended.

CMP Decision: The decision on further guidance relating to the CDM (FCCC/KP/CMP/2011/L.11), *inter alia*: takes note of the annual report for 2010-2011 of the CDM Executive Board; welcomes the launch of the CDM policy dialogue; designates operational entities to carry out sector-specific validation specified in an annex; and requests the Executive Board to develop appropriate voluntary measures, and to continue its work to improve the procedures on programmes of activities.

On governance, the decision, *inter alia*: encourages the Executive Board to make technical reports publicly available; and requests the Board to continue its work on improving the consistency, efficiency and transparency of its decision-making, and to revise the draft procedure.

On baseline and monitoring methodologies and additionality, the decision, *inter alia*: encourages the Executive Board to extend the simplified modalities for the demonstration of additionality to a wider scope of project activities; requests the Board to continue ensuring environmental integrity when developing and revising baseline and monitoring methodologies, and to conduct further work to develop simplified top-down baseline and monitoring methodologies, tools and standardized baselines. The decision also contains some provisions on registration of CDM project activities and issuance of CERs; and regional and subregional distribution and capacity building.

APPEALS AGAINST CDM EXECUTIVE BOARD

DECISIONS: On 29 November this agenda item was briefly considered in SBI plenary and forwarded for further consideration to a contact group co-chaired by Yaw Bediako Osafo (Ghana) and Kunihiko Shimada (Japan). The contact group addressed procedures, mechanisms and institutional arrangements for appeals against the decisions of the CDM Executive Board. Parties made progress on the form but did not agree on the mandate to establish an appeals process. On 3 December, SBI adopted conclusions on the item.

SBI Conclusions: SBI conclusions (FCCC/SBI/2011/L.30) take note of: the progress on reaching an agreement on the form and some of the features of the possible appeals body, and the revised Co-Chairs’ text annexed to the conclusions. SBI agreed to continue the consideration of this item at SBI 36, with a view to forwarding a draft text to CMP 8.

JOINT IMPLEMENTATION

On 30 November, the issue was considered in the CMP plenary. Muhammed Quamrul Chowdhury (Bangladesh), Chair of the Joint Implementation Supervisory Committee (JISC), noted substantial progress since Cancun. He said the JISC recommended: replacing the current two-track approach with a single, unified verification process; establishing a new governing body to oversee this verification process; and providing clarity on how joint implementation should continue after 2012. A contact group co-chaired by Balisi Gopolang (Botswana) and Helmut Hojesky (Austria) was established to address issues relating to joint implementation. The CMP adopted a draft decision on 11 December.

CMP Decision: The decision on guidance on the implementation of Article 6 of the Kyoto Protocol (FCCC/KP/CMP/2011/L.7), *inter alia*: encourages the JISC to continue to streamline the process of accrediting independent entities, including efforts to align the joint implementation accreditation process with the CDM accreditation process, and to continue enhancing the implementation of the verification procedure under the Committee; agrees to consider at CMP 8 the issuance of emission reduction units (ERUs) for projects considered by the JISC; and requests the JISC to draft a revised set of key attributes and transitional measures dealing with the possible changes to the joint implementation guidelines with a view to develop revised joint implementation guidelines for adoption at CMP 9. The decision also contains some provisions on governance and resources for the work on joint implementation.

COMPLIANCE

On 30 November, this issue was briefly considered in the CMP plenary, which established an informal group co-chaired by Amjad Abdulla (Maldives) and Richard Tarasofsky (Canada) to address the report of the Compliance Committee and the appeal by Croatia against a final decision of the enforcement branch of the Compliance Committee in relation to the implementation of Decision 7/CP.12 (level of emissions for Croatia's base year). Parties agreed on two draft decisions on the two sub-items to be forwarded to the CMP for adoption. On 11 December the CMP adopted the two decisions.

CMP Decisions: The decision on the Compliance Committee (FCCC/KP/CMP/2011/L.2) notes the continued interest of the Compliance Committee in ensuring privileges and immunities for its members and alternate members, and takes note of the Committee's proposal to extend the eligibility for funding related to the costs of travel and participation in the Committee's meetings to all its members and alternate members.

The decision on the appeal by Croatia (FCCC/KP/CMP/2011/L.3) takes note of: the withdrawal by Croatia of its appeal and the termination of the appeal's consideration by the Compliance Committee.

ADAPTATION FUND BOARD

The Report of the Adaptation Fund Board (AFB) and Review of the Adaptation Fund (FCCC/KP/CMP/2011/6 and FCCC/KP/CMP/2011/MISC.1) were first addressed in the CMP plenary on 30 November. A contact group was established, co-chaired by Ruleto Camacho (Antigua and Barbuda) and Stefan Schwager (Switzerland). Addressing the CMP, Adaptation Fund Board Chair Ana Fornells de Frutos (Spain) provided an update on

the work of the Adaptation Fund, indicating that institutional progress has been overshadowed by falling prices of CERs. Bahamas, for the G-77/China, stressed the comparatively small amount of money made available for adaptation. Several others said the accreditation process should be simplified to facilitate access. Throughout the week, parties addressed aspects of the Report of the Adaptation Fund Board and Review of the Adaptation Fund jointly.

On the Report of the Adaptation Fund Board, a group of countries said that the operationalization of the Adaptation Fund has proceeded with agreed plans and with the available level of funding. Parties noted the regional workshops held recently in Senegal and Panama were viewed as "very productive" and two remaining workshops were noted for 2012, one in Asia and the other in the Pacific. Several countries expressed concern over the fallen price of CERs.

On the Review of the Adaptation Fund, one country requested greater independence of the Adaptation Fund Board Secretariat. Parties agreed to forward the initial review of the Adaptation Fund to SBI 36, with a view to recommending a draft decision for adoption by CMP 8. On 9 December, the CMP adopted decision on this matter and Bahamas expressed his satisfaction with the decisions adopted under this agenda item.

CMP Decisions: The decision on the report of the Adaptation Fund Board (FCCC/KP/CMP/2011/L.5) looks forward to the organization of the two regional workshops to assist in the accreditation of national implementation entities.

The decision on the review of the Adaptation Fund (FCCC/KP/CMP/2011/L.6): requests the Adaptation Fund Board to submit to the Secretariat, as soon as possible, after its first meeting in March 2012, its views on the report on the Review of the Interim Arrangements of the Adaptation Fund for inclusion in an information document; requests SBI 36 to consider the initial review of the Adaptation Fund; and decides to complete at CMP 8 the initial review of the Adaptation Fund.

INTERNATIONAL TRANSACTION LOG

This matter was first considered in the SBI plenary on 29 November. The SBI adopted draft conclusions on 3 December, which were confirmed by the CMP on 11 December.

SBI Conclusions: In the conclusions (FCCC/SBI/2011/L.23), the SBI takes note of the annual report of the administrator of the International Transaction Log under the Kyoto Protocol for 2011.

COMPILATION AND ACCOUNTING REPORT FOR ANNEX B PARTIES

This agenda item was considered by the SBI. On 3 December, SBI adopted draft conclusions, which were confirmed by the CMP on 11 December.

SBI Conclusions: In the conclusions (FCCC/SBI/2011/L.26), SBI takes note of the annual compilation and accounting report for Annex B parties under the Kyoto Protocol for 2011.

CAPACITY BUILDING

This issue was first addressed in the SBI plenary on 29 November. During Saturday's closing plenary, the SBI forwarded a draft CMP decision, which was then adopted by the CMP on 9 December.

CMP Decision: This decision (FCCC/SBI/2011/L.38) refers to the importance of taking into account gender aspects and

acknowledging the role and needs of youth and persons with disabilities in capacity-building activities. The CMP invites continued provision of financial and technical resources to support capacity-building activities for the implementation of the Kyoto Protocol, addressing the following challenges:

- geographical distribution of CDM project activities;
- lack of technical expertise to estimate changes in carbon stock in soils; and
- the need to train and retain experts to plan and implement project activities.

The CMP, *inter alia*, decides that further implementation of the capacity-building framework should be improved at the systematic, institutional and individual levels by:

- ensuring consultations with stakeholders;
- enhancing integration of climate change issues and capacity-building needs into national development strategies, plans and budgets;
- increasing country-driven coordination of capacity-building activities; and
- strengthening networking and information sharing among developing countries, through South-South and triangular cooperation.

The CMP further:

- encourages cooperative efforts between developed and developing country parties to implement capacity-building activities relating to participation in the CDM;
- encourages relevant intergovernmental and non-governmental organizations to continue enhancing and coordinating their capacity-building activities under the Nairobi Framework; and
- decides to conclude the second comprehensive review and to initiate the third comprehensive review of the implementation of the capacity-building framework, with a view to completing the review at CMP 12.

ARTICLES 2.3 AND 3.14

Article 3.14 was first taken up under the SBI on 29 November, and Article 2.3 was first taken up under the SBSTA on 28 November. This issue (FCCC/SB/2011/INF.6) concerns the adverse impacts of response measures. Parties established a joint contact-group for Article 2.3 and Article 3.14 under both subsidiary bodies, co-chaired by Eduardo Calvo Buendia (Peru) and José Romero (Switzerland). SBSTA adopted conclusions and agreed to further consideration of the issue at SBSTA 36. The SBI adopted draft conclusions on the item and agreed to continue discussions of the item at SBI 36. The CMP took note of the conclusions on 9 December.

SBI/SBSTA Conclusions: The conclusions of the SBI and SBSTA (FCCC/SBI/2011/L.29, FCCC/SBSTA/2011/L.21) welcome the organization of the joint workshop to address matters relating to Article 2.3 and Article 3.14; acknowledge the lessons learned from the joint workshop; and agree to continue to discuss related matters.

OTHER MATTERS REFERRED TO THE CMP BY THE SBS MATERIALITY STANDARD UNDER THE CLEAN DEVELOPMENT MECHANISM:

This issue (FCCC/SBSTA/2011/MISC.13) was first taken up in the SBSTA plenary on 29 November and in informal consultations facilitated by Peer Stiansen (Norway). On 3 December, SBSTA adopted conclusions and forwarded a draft decision to the CMP.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2011/L.18), SBSTA recommends that the elements contained in the annex of its decision be incorporated into a decision on further guidance relating to the CDM for consideration and adoption by the COP/MOP.

CMP Decision: In its decision (FCCC/KP/CMP/2011/L.10), the CMP, *inter alia*: decides that the concept of materiality should be applied in a consistent manner under the CDM; defines material information; decides on elements under the scope of materiality; and decides that the scope of the concept of materiality and the materiality thresholds shall be reviewed, based on data reported, by the Executive Board of the CDM, no later than one year after their implementation.

CARBON DIOXIDE CAPTURE AND STORAGE IN THE CDM: This agenda item (FCCC/SBSTA/2011/4, FCCC/SBSTA/2011/MISC.10 and 11) was taken up in the SBSTA plenary on 29 November and then addressed in a contact group co-chaired by Pedro Martins Barata (Portugal) and Andrea García Guerrero (Colombia). On 3 December, the SBSTA adopted conclusions and forwarded a draft decision for consideration by CMP. On 8 December, during an informal stocktaking plenary, SBSTA Chair Muyungi said that after consultations, compromise had been reached on carbon capture and storage (CCS) in the CDM, while project-specific reserve and transboundary issues were referred to SBSTA 36. On 9 December the CMP adopted a decision.

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2011/L.24), the SBSTA takes note of the views submitted on CCS and of the related documents prepared by the Secretariat.

CMP Decision: In its decision (FCCC/SBSTA/2011/L.4), the CMP, *inter alia*:

- adopts the modalities and procedures for CCS as CDM project activities, to be reviewed no later than five years after the adoption of this decision;
- agrees to consider at CMP 8 the eligibility of CCS involving the transport of carbon dioxide from one country to another or which involves geological storage sites that are located in more than one country;
- requests SBSTA 36 to consider provisions for the type of project activities referred, including a possible dispute resolution mechanism with a view to forwarding a draft decision for consideration by CMP 8; and
- invites submissions by 5 March 2012 on views by parties and observers and requests the Secretariat to compile the submissions into a miscellaneous document.

An annex contains modalities and procedures for CSS in geological formations under the CDM. Appendix A contains additional requirements for the CDM registry to address CCS and Appendix B includes additional requirements for CCS.

ADMINISTRATIVE, FINANCIAL AND INSTITUTIONAL MATTERS

On 29 November, this item was taken up in SBI plenary for the first time. Discussions were held throughout the week and a decision was adopted by the CMP on 11 December.

CMP Decision: The CMP Decision (FCCC/SBI/2011/L.27/Add.2), *inter alia*, calls upon parties that have not made contributions to the core budget and the international transaction

log to do so without delay and expresses appreciation for contributions received from parties to the Trust Fund for Participation and the Trust Fund for Supplementary Activities.

REPORTS OF THE SUBSIDIARY BODIES

Conclusions and decisions pertaining to COP agenda items are summarized in the relevant parts of this report. However, there were also several items on which conclusions were adopted by the subsidiary bodies, but not directly addressed by the COP. These items include: the SBSTA and SBI opening and closing plenaries, as well as their organization of work; and methodological issues. This section provides details on issues taken up in the report of the SBSTA and SBI that were not taken up by the COP.

SBI 35: Organization of Work: SBI Chair Robert Owen-Jones (Australia) opened the meeting on 28 November, and delegates adopted the SBI agenda and organization of work (FCCC/SBI/2011/8). Many speakers urged progress on national adaptation plans and loss and damage.

Amendment of the Protocol Relating to Compliance: This agenda item (FCCC/KP/CMP/2005/2) was first taken up in SBI plenary on Tuesday, 29 November. SBI Chair Owen-Jones conducted consultations with interested parties. On 3 December, parties agreed to resume discussions of the item at SBI 36. On Sunday, 11 December, the CMP took note of it.

Closing Plenary: On 3 December, the SBI adopted its report (FCCC/SBI/2011/L.24). In their closing remarks, delegates applauded the decision on loss and damage and urged conclusions on national adaptation plans to ensure the process can be launched as soon as possible. SBI Chair Owen-Jones thanked participants and closed SBI 35 at 12:22 am on 4 December.

SBSTA 35: Organization of Work: SBSTA Chair Richard Muyungi (Tanzania) opened the meeting on Monday afternoon, 28 November, and parties made opening remarks and approved the agenda and organization of work (FCCC/SBSTA/2011/3). Parties highlighted the need to conclude work on the Technology Executive Committee (TEC), the Nairobi Work Programme (NWP), and MRV for REDD+.

Methodological Issues under the Convention: Bunker Fuels: This issue (FCCC/SBSTA/2011/MISC.9), on emissions from fuel used for international aviation and maritime transport, was first taken up by SBSTA on 28 November. Parties heard reports from the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO). ICAO highlighted recent developments in respect to civil aviation on climate change through state action plans and assistance to states; sustainable alternative fuels for aviation; market-based measures; and global aspirational goals. The IMO reported on improvements made to energy efficiency of maritime transport and the corresponding reduction of emissions from ships regarding air pollution and greenhouse gases. He noted the July 2011 “breakthrough” at the IMO when 30 parties listed in Annex I of the Convention, and 19 non-Annex I parties, adopted amendments to MARPOL Annex VI to reduce greenhouse gas emissions.

Several countries said work to address sectoral emissions under the IMO and ICAO should be guided by the principles of the UNFCCC, while several others welcomed progress achieved

in ICAO and IMO. Panama said the IMO, not the UNFCCC, is the correct forum to discuss maritime emissions.

Informal consultations were facilitated by Riita Pipatti (Finland) and Nagmeldin Elhassan (Sudan).

SBSTA Conclusions: On 3 December, the SBSTA adopted conclusions (FCCC/SBSTA/2011/L.19), which note the information received from, and progress reported by, the secretariats of the ICAO and IMO on their ongoing work on addressing emissions from fuel used for international aviation and maritime transport, and invite the secretariats to continue to report at future SBSTAs.

Annual report on the technical review of greenhouse gas inventories from parties included in Annex I to the Convention: This issue (FCCC/SBSTA/2011/INF.13) was first taken up by the SBSTA on 28 November. SBSTA took note of the report.

Methodological Issues under the Kyoto Protocol: 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): This agenda item was taken up in SBSTA plenary on 29 November. Parties agreed to resume their discussions at SBSTA 36.

Implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation Clean Development Mechanism project activities: This issue (FCCC/SBSTA/2011/MISC.12, FCCC/SBSTA/2011/INF.15) was taken up in the SBSTA plenary on 29 November and in informal consultations, facilitated by Eduardo Sanhueza (Chile).

SBSTA Conclusions: In its conclusions (FCCC/SBSTA/2011/L.20), the SBSTA agrees that the definition of forest in exhaustion, as contained in FCCC/KP/CMP/2009/16 Annex I, requires further clarification, and further agrees to continue consideration of the issue at SBSTA 36.

Annual report on the technical review of greenhouse gas inventories and other information reported by parties included in Annex I to the Convention that are also parties to the Kyoto Protocol: This issue (FCCC/SBSTA/2011/INF.16) was first taken up in SBSTA plenary on 29 November. On 3 December, SBSTA took note of the report.

SBSTA 35 CLOSING PLENARY: On 3 December, SBSTA 36 adopted its report (FCCC/SBSTA/2011/L.17) and SBSTA Chair Muyungi thanked participants and closed SBSTA 35 at 11:23 pm.

RESUMED 14TH SESSION OF THE AWG-LCA

AWG-LCA Chair Daniel Reifsnnyder (US) opened the resumed fourteenth session of the *Ad hoc* Working Group on Long-term Cooperative Action under the Convention, recalling the goal of forwarding a comprehensive, balanced and robust outcome to the COP.

During opening statements, Argentina, for the G-77/China, said Durban must deliver an outcome that ensures the fulfillment of the Convention’s ultimate objective. On the Adaptation Committee, she said it should have a majority of developing country members. She urged a decision on, *inter alia*, developed country public funds for long-term finance, and defining the governance structure of the Technology Mechanism.

The EU called for a process to deliver a new global, comprehensive and legally-binding framework, to be completed by 2015. He reaffirmed his commitment to jointly mobilize US\$100 billion annually by 2020.

The Republic of Korea, for the EIG, expressed a commitment to a strengthened, comprehensive and ambitious international climate change regime.

Papua New Guinea, for the Coalition for Rainforest Nations, called for the Green Climate Fund to include a dedicated window for REDD+ and a new market mechanism to be established and shared by both the AWG-LCA and the AWG-KP.

Grenada, for AOSIS, called for the AWG-LCA to deliver on a mandate to negotiate a parallel protocol, to be completed by December 2012, which provides for comparable mitigation commitments for developed countries that do not have mitigation commitments under the Kyoto Protocol. She called for an agreement to pursue options for all developed countries to immediately increase their level of mitigation ambition, and initiation of the 2015 Review.

The Gambia, for LDCs, called for operationalizing a more efficient and equitable international financial mechanism. Nicaragua, for ALBA, stressed that the Green Climate Fund must not become an “empty basket” of false promises and called on developed countries to contribute with 1.5% of their GDP.

Australia reported on its clean energy future package, which she said will drive “the biggest expansion in the clean energy sector in Australia’s history.”

Parties agreed to resume substantive work under the previously established AWG-LCA contact group. Chair Reifsnyder said a limited number of meetings would be convened to provide an overview of work being conducted in the informal groups on: mitigation and its sub-groups; adaptation; finance; technology transfer; review; legal options; and other matters. He indicated that an “amalgamation document” bringing together all elements of the work would provide the basis for negotiations.

The AWG-LCA considered Agenda Items 3, 4 5 and 6 on: preparation of an outcome to be presented to COP 17; review of the long-term global goal; legal options; and other matters, including Annex I parties undergoing the process of transition to a market economy and Annex I parties whose special circumstances have been recognized by the COP. Early Sunday morning, 11 December, Chair Reifsnyder presented to the COP Plenary a draft decision on “Outcome of the work of the *Ad Hoc* Working Group on Long-term Cooperative Action under the Convention” (FCCC/AWGLCA/2011/L.4), which was adopted by the COP early on Sunday morning, 11 December. The following summarizes the discussions in the informal groups and the relevant parts of this decision that emerged from each group.

SHARED VISION

This issue was addressed in an informal group, facilitated by Margaret Mukahanana-Sangarwe (Zimbabwe). Parties shared their views on whether the text should stress a peak emissions year and a global goal or if it should be more holistic. A group of countries tabled a new proposal for a draft decision on shared vision, calling on SBSTA, *inter alia*, to initiate a process to articulate the meaning, implications and operationalization of equitable access to sustainable development in the climate

change regime, and to initiate a process to study the implications of the elaboration of a long-term global goal for emissions reductions by 2050 and a timeframe for global peaking.

Parties discussed four possible options for consideration by Ministers: a first option to agree on “the numbers” identifying the global goal for emission reductions and the timeframe for global peaking of greenhouse gas emissions and then discussing other issues; a second option to first consider the context for the adoption of “the numbers;” a third option to propose a process to make a decision on the issue and possible steps forward; or a fourth option to drop the issue owing to lack of agreement. Many parties supported presenting the four options to the Ministers and indicated their preferences.

While many developing country parties supported the third option to set up a process, some developed countries supported the two first options to discuss “the numbers.” A group of developing countries cautioned against the third option, urging for the establishment of numbers to ensure peaking by 2015.

Facilitator Mukahanana-Sangarwe continued bilateral consultations and encouraged parties to consult informally. The issue was finally considered at the ministerial level and a decision was adopted by the COP plenary on 11 December as part of the AWG-LCA outcome. Outstanding text on shared vision was incorporated in the note by the Chair on work undertaken in the informal groups in the preparation of a comprehensive and balanced outcome to be presented to the Conference of the Parties for adoption at its seventeenth session (FCCC/AWGLCA/2011/CRP.39, hereinafter CRP.39) for further consideration, including different options on preambular text and different options on the global goal for substantially reducing global greenhouse gas emissions by 2050. Other options for further consideration included in CRP.39 include: timeframe for global peaking of greenhouse gas emissions, equity, historical responsibility, establishment of global goals for finance, establishment of global goals for technology, establishment of global goals for adaptation, establishment of global goals for capacity building, trade, response measures, intellectual property issues in relation to technology, low-carbon and climate-resilient society, human rights, rights of mother earth, right to survive, an international climate court of justice, and warfare.

COP Decision: In Section I of the decision (FCCC/AWGLCA/2011/L.4), the COP agrees:

- to continue to work towards identifying a global goal for substantially reducing global emissions by 2050 to be considered at COP 18;
- to continue to work towards identifying a timeframe for the global peaking of greenhouse gas emissions based on the best available scientific knowledge and equitable access to sustainable development, and consider it at COP 18; and
- that consideration of a global goal cannot be undertaken in the abstract and will necessarily involve matters related to the context.

The COP also requests the AWG-LCA to consider the issue of equitable access to sustainable development, as contained in Decision 1/CP.16, through a workshop at its next session and to report on it to the COP.

ENHANCED ACTION ON MITIGATION

DEVELOPED COUNTRY MITIGATION: This item was considered during informal consultations co-facilitated by Karine Hertzberg (Norway) and José Alberto Garibaldi Fernandez (Dominican Republic). The issues discussed were: the level of ambition, biennial reports, and international assessment and review (IAR). Many parties expressed willingness to begin drafting on the basis of the non-papers from Panama. The EU suggested that the decision focus on: recognizing and establishing a process to narrow the ambition gap; an international, common rules-based accounting system; and a process to understand the assumptions underlying current pledges.

On ambition, Switzerland, for the EIG, suggested a process to increase ambition, technical workshops, and further consideration at COP 18. The US said the Cancun Agreements do not establish a process for narrowing the ambition gap and this should be considered in the context of the 2013-2015 Review. New Zealand, supported by Australia and Norway, proposed a template as a flexible tool to capture information on pledges, including on sectors, metrics, gases and timeframes covered. Parties discussed whether or not to clarify pledges, assumptions and conditions, with several saying it was useful to do so. Guidance was sought from Ministers on clarification of pledges and whether they should be translated into other forms.

On accounting, Australia supported a common accounting framework for all parties. The EU said common accounting rules are key to increasing ambition and ensuring transparency. The US said the development of such rules was not mandated by the Cancun Agreements and suggested they be based on IPCC methodologies.

On biennial reports, some developed countries suggested bracketing text on the update of guidelines for national communications for Annex I parties, saying this should be acceptable only if also considered in the case of non-Annex I parties. A developing country highlighted that the Cancun Agreements mandate the update of guidelines for Annex I parties, but not for non-Annex I parties, suggesting the former be completed for consideration by COP 19, rather than COP 20. Some parties suggested retaining only general references to finance to avoid prejudging outcomes of other discussions.

On IAR, Bolivia called for a compliance system and a set of penalties. Mali, for the African Group, suggested a robust compliance mechanism. One developed country said that emerging developing countries should be subject to a similar regime, and that IAR is for emission reduction targets and not for reporting on the provision of support to developing countries. China said discussions on developed and developing countries' mitigation efforts should remain separate. Parties also considered options for, *inter alia*: comparability; the timeframe for the adoption of modalities and procedures; frequency of IAR; and compliance. Parties further discussed the objectives of IAR, technical review and multilateral assessment.

COP Decision: In Section II.A of the decision (FCCC/AWGLCA/2011/L.4) **on ambition**, the COP:

- decides to continue in 2012 the process of clarifying developed country parties' quantified economy-wide emission reduction targets contained in document FCCC/SB/2011/INF.1/Rev.1, with the objective of understanding assumptions

and conditions related to individual targets, in particular in relation to the base year, global warming potential values, coverage of gases, coverage of sectors, expected emission reductions, the role of LULUCF and forestry and carbon credits from market-based mechanisms, and associated assumptions and conditions related to the ambition of the pledges; and

- decides to hold workshops to explore the assumptions and conditions related to targets, and requests the Secretariat to produce a technical paper exploring the commonalities and differences of approaches.

The COP decision on the establishment of an AWG on the Durban Platform (FCCC/CP/2011/L.10) contains further provisions on the level of ambition, including the launching of a work-plan on enhancing the mitigation ambition and a request for submissions on ways for further increasing of the level of ambition.

On **biennial reports**, the COP, *inter alia*:

- adopts the guidelines contained in Annex I on the preparation of biennial reports by developed countries;
- decides that developed countries shall use the mentioned UNFCCC biennial reporting guidelines for the preparation of their first biennial reports, taking into account their national circumstances; and submit their first biennial reports to the Secretariat by 1 January 2014, and their second and subsequent biennial reports two years after the due date of a full national communication (i.e., in 2016, 2020);
- decides also that Annex I parties shall submit a full national communication every four years, noting that the next due date after adoption of this decision is 1 January 2014 according to Decision 9/CP.16;
- decides further that in the years when the full national communications are submitted, developed countries should present the biennial reports as an annex to the national communication or as a separate report;
- decides to establish a work programme under the SBSTA on development of a common tabular format for electronic reporting of information according to the reporting guidelines referred above, with the view to adopting the format by COP 18;
- requests the SBI 40 to begin the revision of the UNFCCC reporting guidelines on national communications, based on the experiences gained in preparing the first biennial reports and other information, with a view to adopting the guidelines by COP 20; and
- requests the SBSTA to develop, taking into account existing international methodologies, and based on the experiences gained in preparing the first biennial reports, methodologies for reporting financial information with a view of recommending a decision to COP 20 on this matter.

On **IAR** the COP:

- decides that the IAR process will be conducted through a technical review of information and a multilateral assessment of the implementation of quantified economy-wide emission reduction targets;
- adopts the modalities and procedures for IAR as contained in Annex II, and decides to use them until any revisions are decided upon by the COP;
- agrees that the first round of IAR should commence two

months after the submission of the first round of biennial reports by developed countries;

- decides to revise the modalities and procedures prescribed herein on the basis of experience gained in the first round of IAR, no later than 2016;
- also decides that the review of annual national greenhouse gas inventories will continue on an annual basis, and that IAR will be conducted every two years for the biennial reports, whether independently or in conjunction with a national communication;
- further decides to establish a work programme under the SBSTA, with a view to concluding the revision of the guidelines for the review of biennial report, and national communications, including national inventory review to be concluded no later than COP 19;
- requests the Secretariat to enhance coordination between different review processes to ensure effective and efficient processes and procedures;
- agrees that the outputs of the multilateral assessment will comprise, for each party, a record prepared by the Secretariat, which will include in-depth review reports, the summary report of the SBI, questions submitted by parties and responses provided, and any other observations of the party under review that are submitted within two months of the working group session; and
- also agrees that any revision of the modalities and procedures for IAR should take into account any future agreement on a compliance regime for mitigation targets under the Convention.

The decision contains Annex I on UNFCCC biennial reporting guidelines for developed countries and Annex II on modalities and procedures for IAR.

DEVELOPING COUNTRY MITIGATION: During informal consultations on developing country mitigation the main issues discussed were: the level of ambition; biennial update reports; international consultation and analysis (ICA); and the Registry. Many parties expressed support for the non-papers from Panama as a basis for further discussions. Bolivia expressed concern that requirements being imposed on developed and developing countries are too similar. The EU reiterated that progress on these issues is a key part of the Durban package and suggested that text for a decision focus on the same areas identified for developed countries' mitigation issues. Switzerland, for the EIG, highlighted: ambition and the need for information on the ambition gap; and common accounting rules.

On *ambition*, many developing parties emphasized the need to respect the diversity of developing country pledges, and that increasing the level of ambition for developing countries is closely linked with support. The issue of ambition for developing countries was extensively discussed during high-level consultations.

On *biennial update reports*, the US said the Cancun Agreements set their frequency at every two years and the information should be consistent with national communications. India said biennial update reports should be: less onerous than biennial reports for developed countries; updates of the latest national communications; and contingent on financing from Annex I parties.

New Zealand, supported by Australia and Canada, proposed including a template for understanding underlying assumptions for nationally appropriate mitigation actions (NAMAs). Pakistan said a common reporting format is not applicable and expressed preference for a graduated model.

On *ICA*, the US highlighted that, according to the Cancun agreements, a technical analysis should be followed by consultations and suggested these be held in the subsidiary bodies for the sake of transparency and in a non-intrusive and non-punitive manner. India stressed that ICA should be less onerous than IAR. Indonesia and Brazil said ICA should not be burdensome.

On the *Registry*, Australia supported a simple and accessible web platform, but stressed that it should not replace the need to clarify the pledges. South Africa said the Registry could help raise developing countries' ambition. On inviting developing country parties to submit information to the Registry, some parties suggested that all parties should provide information, while others added that information should also come from agencies and other entities. A developing country suggested possible future linkages between the Registry, the Standing Committee and the GCF, supporting a reference to ensuring that information is taken into account by the relevant financial mechanism. Some parties supported management of the Registry by the Secretariat but one highlighted it is premature to determine further details.

COP Decision: In Section II.B of the decision (FCCC/AWGLCA/2011/L.4), on *ambition*, the COP, *inter alia*:

- encourages developing countries who have yet to submit information on NAMAs pursuant to Decision 1/CP.16, paragraph 50 to do so, noting the need to extend flexibility to SIDS and LDCs;
- decides to continue in 2012 workshops, in a structured manner, to further the understanding of the diversity of mitigation actions as communicated and contained in FCCC/AWGLCA/2011/INF.1, underlying assumptions and any support needed for the implementation of these actions, noting different national circumstances and the respective capabilities of developing country parties;
- invites developing countries, to submit, subject to availability, more information relating to NAMAs, including underlying assumptions and methodologies, sectors and gases covered, global warming potential values used, support needs for implementation of NAMAs and estimated mitigation outcomes;
- requests the Secretariat to organize the in-session workshops referred to in conjunction with SB 36 and prepare written workshop summary reports; and
- requests SBSTA to develop general guidelines for domestic MRV of domestically-supported NAMAs.

On *biennial update reports*, the COP:

- adopts the guidelines, contained in Annex III to this decision, for the preparation of biennial update reports by non-Annex I parties, (hereinafter referred to as the Guidelines);
- affirms that the Guidelines shall respect the diversity of mitigation actions and provide flexibility for non-Annex I parties to report information, while providing an understanding of actions taken;
- decides that non-Annex I parties, consistent with their

capabilities and level of support provided for reporting, should submit their first biennial update report by December 2014; LDCs and SIDS may submit biennial update reports at their discretion;

- decides that these guidelines should be reviewed and revised as appropriate, in accordance with decisions of the COP;
- requests the Secretariat to facilitate assistance to non-Annex I parties, on request, in the preparation of their biennial update reports; and
- requests the GEF to make available support to non-Annex I parties preparing their first biennial update reports as early as possible in 2012 and on the basis of agreed full cost funding.

On the **Registry**, the COP:

- decides the Registry should be developed as a dynamic, web-based platform managed by a dedicated team in the Secretariat;
- invites developing countries to submit, as appropriate, to the Secretariat the information on individual NAMAs seeking international support;
- also invites developing countries to submit to the Secretariat information on other individual NAMAs, to be recorded in a separate section of the Registry, for their recognition;
- further invites parties, the entity or entities entrusted with the operation of the financial mechanism, including the GEF and the GCF, multilateral, bilateral and other public donors, and private and non-governmental organizations that are in position to do so, to submit to the Secretariat, as appropriate, information on financial, technological and capacity-building support available and/or provided for the preparation and/or implementation of NAMAs;
- decides that the Registry will facilitate the matching of actions seeking international support with support available by providing and directing information to parties that submitted information on NAMAs seeking support, and parties and entities that have submitted information on support available;
- requests the Secretariat to develop a prototype of the Registry by SBI 36 in order to present the prototype to parties for their consideration; and
- requests the Secretariat, if applicable, to improve the design of the prototype based on the views expressed by parties at SBI 36, in order to enable parties to start using the prototype of the registry as soon as possible.

On **ICA**, the COP:

- decides that the first round of ICA will be conducted for developing countries, commencing within six months of the submission of the first round of biennial update reports;
- urges developed countries and other developed parties included in Annex II to provide new and additional financial resources at the agreed full cost with a view to supporting any reporting needed for ICA; and
- invites parties to submit to the Secretariat, by 5 March 2012, their views on the composition, modalities and procedures of the team of technical experts referred to in paragraph 1 of Annex IV.

Annex III of the decision contains the UNFCCC biennial update reporting guidelines for parties not included in Annex I to the Convention. Annex IV contains modalities and guidelines for ICA.

REDD+: This issue was addressed in an informal group facilitated by Tony La Viña (Philippines). Discussions mainly focused on: sources of financing for REDD+, the role of markets and non-markets and the potential use of offsets. Underscoring ongoing REDD+ initiatives, many parties agreed to the preparation of a non-paper containing, *inter alia*: elements on linkages among forest reference levels and/or forest emission reference levels, safeguards, MRV and financing; language on markets that could provide the funding for results-based actions; and a request to the Secretariat to provide a technical paper on financing. On the basis of a non-paper prepared by the facilitator, parties engaged in drafting and met frequently throughout the meeting.

Discussions focused on the controversial issue of sources of financing for REDD+ and the use of offsetting. On REDD+ sources of financing, many parties highlighted the need for flexibility on financing sources and that it should be up to each party to decide what sources to use. Some parties supported referring to private and public funding, others suggested linking REDD+ phase one and two to public sources and phase three also to private sources. Some parties supported that appropriate market-based approaches be developed and that the SBSTA could develop modalities and procedures. Some other developing country parties considered that results-based finance provided to developing countries may come from a wide variety of sources, including alternative sources, considering appropriate market and non-market based approaches under the Convention. Disagreement emerged around a proposal by some developing countries to include a footnote explaining that “appropriate” means exclusion of offsetting mechanisms and/or carbon markets. An ALBA country strongly supported developing non-market based approaches focusing on the multiple functions and values of forests.

On the way forward and the work for the coming year, some parties proposed requesting the Secretariat to prepare a technical paper exploring the sources, potential scale and efficient and effective use of financing, while others suggested the prior request for submissions by parties. Some parties suggested this paper be reported to the SBSTA and that discussions continue in that body, with some initially opposing merging AWG-LCA and SBSTA work. One party suggested moving the work on REDD+ to the SBI, rather than to SBSTA, while others said forwarding the discussions to a subsidiary body will result in losing a political space for REDD+. Other parties suggested that discussions continue under the AWG-LCA, if extended, or under the body that may replace it. Different views also emerged on issues to be addressed in a workshop on possible elements for modalities and procedures for financing results-based actions to be held before SBSTA 39.

The agreed text on REDD+ was incorporated as part of the Outcome of work of the AWG-LCA, while text in brackets remains in document CRP.39 for further consideration. Outstanding text includes seven options on REDD+ financing and different approaches to the use of market and non-market based approaches and the possibility of considering offsetting in the context of REDD+ activities.

COP Decision: In Section II.C of the decision (FCCC/AWGLCA/2011/L.4), the COP:

- agrees that, regardless of the source or type of financing, the activities referred to in Decision 1/CP.16, paragraph 70, should be consistent with the relevant provisions included in Decision 1/CP.16, including the safeguards in its Appendix I;
- agrees that results-based finance provided to developing parties that is new, additional and predictable may come from a wide variety of sources, public and private, bilateral and multilateral, including alternative sources;
- considers that, in the light of the experience gained from current and future demonstration activities, appropriate market-based approaches could be developed by the COP to support results-based actions by developing countries; and
- invites parties and observers to submit by 5 March 2012 their views on modalities and procedures for financing results-based actions.

The COP further requests the Secretariat to:

- compile the submissions for consideration by AWG-LCA in conjunction with SBSTA 36;
- prepare, subject to the availability of supplementary resources, a technical paper, based on parties and observers' submissions;
- organize, subject to the availability of supplementary resources, a workshop; and
- requests the AWG-LCA to consider the submissions, the technical paper and the report of the outcomes of the workshops with the aim of reporting on progress made and any recommendations to COP 18.

SECTORAL APPROACHES: This issue was addressed throughout the week in a contact group facilitated by George Wamukoya (Kenya). Based on the facilitator's note from Panama, parties focused discussion on three main areas of the text: the general framework, agriculture, and international aviation and maritime transport.

Parties' views diverged on the language contained in, and possible need for, a general framework, and the extent to which it should detail language on agriculture and bunker fuels. Discussions addressed how the application of common but differentiated responsibilities across sectors is both a "legal and a political issue," upon which guidance must be provided and must therefore be taken up by Ministers.

On agriculture, parties considered food security, trade, and economic development and poverty eradication. Some developed countries emphasized the relevance of a SBSTA programme of work on agriculture. On bunker fuels, divergent views were expressed on, *inter alia*: the scope of measures, principles and directed guidance for the work of ICAO and IMO, ambition of action, and market-based instruments. However, there was broad agreement on defining a role for ICAO and IMO to regulate greenhouse gas emissions from international aviation and maritime transport, respectively.

COP Decision: In Section II.D of the decision (FCCC/AWGLCA/2011/L.4), the COP, *inter alia*:

- agrees to continue considering a general framework for cooperative sectoral approaches and sector-specific actions with a view to adopting a decision on this matter at COP 18;
- requests that SBSTA 36 consider issues relating to agriculture; and
- agrees to continue consideration of issues related to addressing emissions from international aviation and maritime transport.

MARKET AND NON-MARKET APPROACHES: This issue was addressed in an informal group facilitated by Giza Gaspar Martins (Angola). Parties discussed, *inter alia*, the role of the Convention in the development of, and the need to, establish a work programme to address various approaches. Developed countries urged for the establishment of a new market mechanism, whereas some developing countries raised concerns over the lack of consideration of non-market approaches.

COP Decision: In Section II.E of the decision (FCCC/AWGLCA/2001/L.4), the COP: emphasizes that various approaches, including opportunities for using markets, must meet standards that deliver real mitigation outcomes; requests the AWG-LCA to conduct a work programme to consider a framework for such approaches with a view to forwarding a decision to COP 18; and requests the AWG-LCA to conduct a work programme to elaborate modalities and procedures for that mechanism.

ECONOMIC AND SOCIAL CONSEQUENCES OF RESPONSE MEASURES: This issue was addressed in an informal group facilitated by Crispin d'Auvergne (Saint Lucia) with discussions carried over from the previous meeting in Panama and focused on: whether the group has a mandate to discuss trade issues; the interpretation of mandates from the AWG-LCA and the subsidiary bodies; and language regarding positive and negative aspects of response measures.

Saudi Arabia stressed the need for text on response measures that reflects progress across all areas of the negotiations and, supported by Iraq, expressed concern that response measures have not received as much attention as mitigation under the AWG-LCA.

During the second week, parties considered a consolidated text based on parties' submissions, language on response measures within the Chair's amalgamation document (FCCC/AWGLCA/2011/CRP.37/Add.1), and other relevant documents. At the end of the meeting, outstanding items were incorporated in CRP.39, including three options for text on trade.

COP Decision: Section II.F of the decision (FCCC/AWGLCA/2011/L.4), *inter alia*, recognizes that social and economic development and poverty eradication are the first and overriding priorities of developing countries; urges parties in implementing policies to promote a just transition of the workforce; urges developed country parties to assist developing country parties to promote economic diversification in the context of sustainable development; urges parties to give full consideration to the positive and negative impacts of the implementation of response measures on society; and recognizes the decision that establishes the Forum to Implement the Work Programme on the Impact of the Implementation of Response Measures, and consolidates all progressive discussions related to response measures under the Convention.

ENHANCED ACTION ON ADAPTATION

During the AWG-LCA opening plenary on 29 November, parties agreed to: resume substantive work under the previously established informal group on enhanced action on adaptation, facilitated by Kishan Kumarsingh (Trinidad and Tobago) and base discussions on the text forwarded from Panama.

The G-77/China stressed the Adaptation Committee should report directly to the COP, and linkages with other institutional

arrangements. Delegates also raised the following issues: progress in other areas related to adaptation has provided more clarity for the work of the Adaptation Committee; the need for linkages to regional centers and work with other organizations outside the Convention; and the need for prioritizing activities that should be undertaken by the Committee during its first year. Stressing the need for an achievable and realistic work programme, some delegates said the proposed Adaptation Committee's work programme for the first year was far too ambitious. While one delegate supported a preambular paragraph reference to the adverse impacts of response measures, many others opposed such a reference, and it was subsequently not included.

Remaining outstanding issues on the Adaptation Committee related to, *inter alia*, composition of the Committee and linkages with other adaptation-related work programmes, bodies and institutions under the Convention. Ministerial-led consultations took these issues up during the final days in Durban. The COP adopted the decision and decided that nominations for the Committee should be submitted by 31 March 2012.

COP Decision: Part III of the decision (FCCC/AWGLCA/2011/L.4) recalls Decision 1/CP.16, which established the Cancun Adaptation Framework and the Adaptation Committee. The COP decides that the Adaptation Committee should make use of the following modalities in exercising its functions:

- workshops and meetings;
- expert groups;
- compilation, review, synthesis, analysis reports of information, knowledge, experience and good practice;
- channels for sharing information, knowledge and expertise; and
- coordination and linkages with all relevant bodies, programmes, institutions and networks, within and outside the Convention.

The COP also decides that the Adaptation Committee shall operate under the authority of, and be accountable to, the COP, and requests the Committee to:

- report annually to the COP;
- during its first year, develop a three-year plan for its work, and initiate some of the activities contained in Annex V to this decision;
- engage and develop linkages with all adaptation-related work programmes, bodies and institutions under the Convention, including, *inter alia*, the LEG, the NWP, the work programme on loss and damage, and the operating entities of the financial mechanism of the Convention; and
- engage with relevant institutions, organizations, frameworks, networks and centers outside the Convention.

Regarding composition, the decision decides the Committee shall comprise 16 members, to be elected by the COP, as follows:

- two members for each of the five UN regional groups;
- one member from a small island developing state;
- one member from an LDC;
- two Annex I party members; and
- two non-Annex I party members.

Annex V outlines an indicative list of activities for the Adaptation Committee, *inter alia*:

- considering relevant information and providing

recommendations to the COP on ways to rationalize and strengthen coherence among adaptation bodies, programmes and activities under Convention;

- preparing an overview of the capacities of regional centers and networks working on adaptation issues, and recommending to parties ways that their role can be enhanced;
- preparing periodic overview reports synthesizing information and knowledge relating to, *inter alia*, implementation of adaptation activities and good adaptation practices; and
- upon request, considering technical support and guidance to parties as they develop national adaptation plans, and work in support of the work programme on loss and damage.

FINANCE

During informal discussions facilitated by Georg Børsting (Norway) and Suzanty Sitorus (Indonesia), parties focused on the Standing Committee of the financial mechanism of the Convention and on long-term finance. Several iterations of draft text on these items were considered.

On the Standing Committee, parties considered whether it should be a subsidiary body of the Convention and make recommendations directly to the COP or whether it should report to the SBI. Functions of the Standing Committee regarding assistance to be provided to the COP were also addressed. Proposed functions include: improving coherence and coordination in the delivery of climate financing; developing recommendations to rationalize the financial mechanism; and MRV of support provided to developing countries.

On long-term finance, parties made proposals for streamlining the text, with several parties cautioning against going back on what was agreed in Cancun in proposals presented, for example, on a burden sharing mechanism to identify the flows of financial support. However, parties agreed on an option whereby each country will determine the mode and source of its contributions in support of the goal of mobilizing US\$100 billion.

On capitalization of the GCF, some parties emphasized the need to clarify what was pledged in terms of long-term financing. Others said issues relating to the GCF were being considered elsewhere. Parties also exchanged views on the feasibility of convening workshops on sources of long-term finance including an annexed indicative schedule of activities on sources of long-term financing. They also addressed operational paragraphs on options for adequacy and predictability, and on continuity and scaling up of financing.

On the issue of long-term finance for adaptation, many developing countries emphasized the need to focus on ground-based adaptation, both in the form of grants and with direct access to overcome current barriers to investments in adaptation. Delegates also discussed whether public sources constitute the main funding source. During discussions on new and innovative sources of finance, a group of developed countries observed that it is premature to discuss the establishment of a mechanism to assess the incidence of sources of finance.

On bunker fuels, they proposed language noting that alternative sources such as carbon pricing of global aviation and maritime transportation have the potential to generate significant funds and will also generate the price signal necessary to achieve emission reductions in these sectors and inviting IMO and ICAO to develop instruments including market-based instruments.

Other developed countries preferred to delete all the paragraphs relating to incidence.

COP Decision: Section IV of the decision (FCCC/AWGLCA/2011/L.4) includes subsections on the Standing Committee and long-term finance. The COP decides that the Standing Committee shall:

- report and make recommendations to the COP, for its consideration, at each ordinary session of the COP on all aspects of its work;
- assist the COP in exercising its functions with respect to the financial mechanism of the Convention in terms of improving coherence and coordination in the delivery of climate change financing, rationalization of the financial mechanism, mobilization of financial resources, and MRV of support provided to developing countries;
- perform any other functions that may be assigned to it by the COP; and
- develop a work programme for presentation to COP 18.

The decision includes Annex VI with the composition and working modalities of the Standing Committee.

On long-term finance, the COP, *inter alia*: affirms the importance of continuing to provide ongoing support beyond 2012; decides to undertake a work programme on long-term finance in 2012, including workshops, to progress on long-term finance; decides that the aim of this work programme is to contribute to the on-going efforts to scale up the mobilization of climate change finance after 2012; and notes the information provided by developed countries on the fast-start finance they have provided and urges them to continue to enhance the transparency of their reporting on the fulfillment of their fast-start finance commitments.

TECHNOLOGY DEVELOPMENT AND TRANSFER

This issue was first taken up in the opening AWG-LCA plenary on 29 November and discussed throughout the conference in an informal group, facilitated by Jukka Uosukainen (Finland), and in informal consultations. The G-77/China urged defining the governance structure of the Technology Mechanism. Bolivia stressed the need for discussing intellectual property rights in the context of the TEC. Parties focused on: possible gaps in the overall call for proposals and selection process to host the Climate Technology Center and Network (CTCN), including financial arrangements and eligibility criteria; and possible gaps in evaluation criteria and information requirements. On criteria to evaluate and select the host of the Climate Technology Center (CTC), delegates addressed: the selection timeline and the possible involvement of an intermediary body, finance, the role of the GEF, and governance.

Unresolved issues are contained in CRP.39 and will be addressed at a later stage. They relate to, *inter alia*, intellectual property rights related to the development and transfer of technologies, and composition of the “board” or “advisory committee” of the CTCN.

COP Decision: In Section V of the decision (FCCC/AWGLCA/2011/L.4), the COP, *inter alia*:

- requests the CTCN, once it is operational, to elaborate its modalities and procedures based on the terms of reference; and
- decides that the selection process for the host of the CTC shall

be launched upon conclusion of COP 17, in order to make the Technology Mechanism fully operational in 2012.

The COP further, *inter alia*:

- outlines the procedure for selecting the host of the CTC for approval at COP 18;
- decides that the costs associated with the CTC and the mobilization of services of the Network should be funded from various sources, including the financial mechanism, the private sector and philanthropic sources;
- requests the GEF to support the operationalization and activities of the CTCN without prejudging the selection of the host; and
- requests the TEC and the CTC to establish procedures for preparing a joint annual report.

Two annexes are associated with this decision. Annex VII on the Terms of Reference of the CTCN includes sections on: mission; functions; roles and responsibilities; governance of the CTCN; organizational structure of the CTC; reporting and review; and term of agreement.

Annex VIII to the decision is on criteria to be used to evaluate and select the host of the CTCN and information required to be included in the proposals. Under criteria, there are sections on: technical capabilities; technical approach; existing governance and management structures; the CTCN management plan; past performance; budget proposal for the CTCN; and example budget scenarios and activities of the CTCN. The last two sections are on methodology and information to be included in the proposals.

CAPACITY BUILDING

During the opening AWG-LCA plenary, parties agreed to resume substantive work under the informal group on capacity building, facilitated by Maas Goote (Netherlands). Delegates based discussions on the text forwarded from Panama, focusing on paragraphs related to, *inter alia*: enhancing monitoring and review of the effectiveness of capacity building; and modalities regarding institutional arrangements for capacity building.

Some countries cautioned against creating stand-alone capacity-building institutions, noting capacity building was best considered as an integrative component under mitigation and adaptation. After almost 30 hours of negotiations, outstanding issues in the final informal group related to whether to call an in-session body, a “forum,” or an “in-depth discussion,” and whether it should meet annually or biennially. However, the G-77/China expressed concern with the lack of clarity on institutional arrangements and an absence of reference to performance indicators. Facilitator Goote said he would send the text to the AWG-LCA Chair with the recommendation that a “forum for in-depth discussion” meet annually, at least initially.

COP Decision: Part VI of the decision (FCCC/AWGLCA/2011/L.4) recalls Decision 1/CP.16 on further enhancing the monitoring and review of the effectiveness of capacity building, and reaffirms:

- that capacity building should be a continuous, progressive and iterative process that is participatory, country-driven and consistent with national priorities and circumstances; and
- the importance of taking into account gender aspects and acknowledging the role and needs of youth and persons with disabilities in capacity-building activities.

The decision, *inter alia*:

- requests the SBI to organize an annual in-session Durban Forum for in-depth discussion on capacity building, with a view to sharing experiences, and exchanging ideas, best practices and lessons learned regarding the implementation of capacity-building activities;
- decides that the Durban Forum should include as inputs, *inter alia*, any capacity building contained in the reports prepared since the most recent session of the Forum;
- requests the Secretariat to compile and synthesize the reports and to prepare a summary report for consideration by the SBI;
- requests the Secretariat to continue to compile and synthesize information;
- encourages the relevant bodies under the Convention, including, *inter alia*, the CGE, the LEG and the GEF, to continue to elaborate and to carry out work on capacity building in an integrated manner within their respective mandates;
- decides that the first meeting of the Durban Forum during SBI 36 explore potential ways to further enhance monitoring and review of the effectiveness of capacity building;
- decides that the financial resources should be provided by Annex II parties and other parties in a position to do so through, *inter alia*, current and any future operating entities of the financial mechanism; and
- requests that the actions called for be undertaken subject to the availability of financial resources.

REVIEW

Consideration of the further definition of the scope and development of the Review of the adequacy of the long-term global goal, in the light of the ultimate objective of the Convention, and the overall progress made towards achieving it, was taken up in a contact group facilitated by Margaret Mukahanana-Sangarwe (Zimbabwe). Parties considered a number of options for streamlining a non-paper referred from the last AWG-LCA meeting in Panama. Parties discussed the scope and modalities of the Review. Mukahanana-Sangarwe distributed a revised draft text on the further definition of the scope and development of the modalities of the Review, characterizing the key options as “Cancun,” “Cancun+” and an option covering elements of both. The scope of the Review was one of several issues referred to Ministers for political resolution.

COP Decision: Section VII of the decision (FCCC/AWGLCA/2011/L.4) recalls Decision 1/CP.16 on the Review: reaffirms that it should periodically assess the adequacy of the long-term global goal, in the light of the ultimate objective of the UNFCCC, confirms the first review should start in 2013 and conclude by 2015; agrees that parties continue to work on scope, and agrees that the Review should be guided by, *inter alia*, equity and common but differentiated responsibilities (CBDR), best available scientific knowledge, climate change observations, and submissions from parties. It further decides that the Review be concluded with the assistance of SBSTA and the SBI and further define expert consideration of inputs by COP 18.

OTHER MATTERS

MATTERS RELATED TO ANNEX I PARTIES WITH ECONOMIES IN TRANSITION AND OTHERS: This item was addressed under a previously established AWG-LCA contact

group. An informal group facilitated by Kunihiko Shimada (Japan) was established to address matters related to Annex I parties with economies in transition (EIT) and matters related to Annex I parties whose special circumstances are recognized by the COP.

COP Decision: In Section VIII of the decision (FCCC/AWGLCA/2011/L.4), the COP invites Annex I parties, that are in a position to do so, to make available the capacity-building, financial, technical and technology transfer assistance for Annex I parties with EIT; and agrees to continue with the discussion on modalities for the provision of support for mitigation, adaptation, technology development and transfer, capacity-building and finance to parties whose special circumstances are recognized by the COP.

LEGAL OPTIONS

This issue was addressed in an informal group facilitated by Maria del Socorro Flores (Mexico). Discussions mainly focused on: linkages between the legal form of the AWG-LCA outcome and the possible adoption of a second commitment period under the Kyoto Protocol and narrowing down key legal options for a possible AWG-LCA outcome.

Grenada, for AOSIS, said he supported adoption of a second commitment period under the Kyoto Protocol and a legally-binding framework. He said legal form and level of ambition are mutually reinforcing. Bolivia said he does not “trust” voluntary pledges, and suggested a compliance system particularly in consideration of countries that are not party to the Protocol. With Trinidad and Tobago, he opposed a “facilitative and non-punitive framework,” saying this would hamper implementation. Saudi Arabia said form should follow content and opposed discussing any proposals in detail. The Gambia, for LDCs, favored a legally-binding agreement encompassing the Bali Action Plan, contingent on adoption of a ratifiable second commitment period.

The EU supported a multilateral, rules-based, legally-binding treaty. He said empirical evidence indicates that treaties are superior to voluntary commitments in terms of ensuring compliance, stressing that they inspire confidence in governments and markets to act. Australia supported a new legally-binding instrument, with specific obligations for a broad set of parties, while Palau called for a new protocol. Japan supported a new, single, legally-binding instrument with participation of all major economies. The US supported a legally-binding agreement including commitments from all major economies. He suggested that this is not the appropriate venue to discuss a mandate for a process for a post-2020 regime, and said common but differentiated responsibilities is a concept with “evolving applicability.” Climate Action Network requested adoption of a mandate for a legally-binding instrument by 2015, stressing that “the world cannot afford a dead decade on climate change.”

Facilitator Flores prepared a non-paper containing options based on parties’ discussions, which was subsequently revised based on inputs. On 6 December parties discussed a revised non-paper presented by the facilitator with options for an AWG-LCA outcome. The non-paper contained four options to be considered by Ministers: (1) to develop and finalize a protocol pursuant to Convention Article 17 (protocols); (2) to request the AWG-LCA to complete the agreed outcome based on Decisions 1/CP.13

and 1/CP.16 through a legally-binding instrument/outcome or, in a second option, through a series of decisions; (3) to request the AWG-LCA to continue discussing legal options to complete an agreed outcome based on Decisions 1/CP.13 and 1/CP.16, the work done at COP 17 and 18, and proposals made under Convention Article 17; or (4) making no decision on the issue.

The US suggested an additional option, to develop a series of decisions based on Decision 1/CP.16 alone and not on Decision 1/CP.13.

The first option deciding to develop a protocol under Convention Article 17 included elements on the content. The EU said that addressing the principle of CBDR “in a contemporary and dynamic manner” is an essential component and suggested its inclusion. India, supported by China, suggested this option should be based on, and under, the UNFCCC and not involve reinterpretation or amendment of the Convention, with China suggesting that “dynamic” interpretation of the principle may entail amendment.

On 7 December in the AWG-LCA Contact Group, Chair Reifsnnyder said the issue of legal options would be taken up in the ministerial process. During the Indaba ministerial consultations, the options were revised. When COP/CMP President Nkoana-Mashabane presented draft decision FCCC/AWGLCA/2011/L.10 in a joint informal COP/CMP plenary on Sunday morning, 11 December, delegates expressed diverging views regarding the option for a “legal outcome.” President Nkoana-Mashabane invited parties to form a “huddle” to reach a compromise and thirty minutes later parties reconvened to replace the phrase with “agreed outcome with legal force.”

COP Decision: In the decision on the establishment of an *Ad Hoc* Working Group on the Durban Platform for Enhanced Action (FCCC/AWGLCA/2011/L.10), the COP decides to launch a process to develop: a protocol, another legal instrument or an agreed outcome with legal force” under the UNFCCC applicable to all parties, through a subsidiary body under the Convention established and known as the *Ad Hoc* Working Group on the Durban Platform for Enhanced Action.

RESUMED 16TH SESSION OF THE AWG-KP

Opening the resumed 16th session of the *Ad Hoc* Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol on 29 November, AWG-KP Chair Adrian Macey (New Zealand) discussed the need for a decisive outcome that completes the work of the AWG-KP. On challenges, he noted bridging differences, especially over the fundamental issue of the commitment period and the need for a major political decision. Chair Macey proposed that the AWG-KP continue to work in a single contact group on Annex I parties’ further commitments, with spin-off groups on numbers and LULUCF.

In opening statements, Argentina, for the G-77/China, stressed the need for developed countries to put forward ambitious quantified emission reduction commitments under the AWG-KP and lamented that current pledges are insufficient.

Australia, for the Umbrella Group, said pledges and actions from Copenhagen and Cancun should set the groundwork for future efforts.

Switzerland, for the EIG, urged agreement on LULUCF accounting rules, flexible mechanisms, length of commitment period after 2012, transformation of pledges into quantified

emission limitation and reduction objectives (QELROs), and the basket of gases.

Contingent on an agreement to develop a new legally-binding framework engaging all parties, the EU said he is “open to” a second commitment period, which should end by 2020.

The African Group, G-77/China, AOSIS and the LDCs urged a second commitment period. The African Group added that carbon markets would collapse without an agreement, and said African soil should not become the Protocol’s “graveyard.”

AOSIS said a credible outcome in Durban must consist of: a second commitment period of no longer than five years; ratifiable amendments to the Protocol and its Annex B; binding commitments in the form of QELROs; closing loopholes in LULUCF accounting rules; and increased mitigation ambition by Annex I parties.

The Gambia, for LDCs, supported by AOSIS, said those aiming to leave the Kyoto Protocol are doing so because they want to do less. She urged the elimination of loopholes, such as carryover of surplus assigned amount units (AAUs) and in accounting rules for LULUCF.

Spain reported on an informal meeting jointly organized with Mexico and South Africa to discuss the legal form of the AWG-LCA outcome. She highlighted that progress on the legal form is a key part of a balanced package in Durban for a number of Annex I parties, building on the Bali Action Plan, the UNFCCC, the Kyoto Protocol and the Cancun Agreements.

Business and Industry NGOs called for clear and positive signals in Durban on the climate change structure to encourage the private sector to keep investing in clean development. Environment NGOs called for closing loopholes, such as in LULUCF rules. Indigenous Peoples representatives supported strengthening the Kyoto Protocol provisions and developing alternatives to market mechanisms for adaptation and mitigation funding.

ANNEX I FURTHER COMMITMENTS

The issue of further commitments under the Kyoto Protocol was addressed throughout the meeting, and constituted the basis of the document issued on the final day of CMP 7 as part of the Durban Outcome. This document was discussed in the final plenary and adopted on Sunday, 11 December, with brackets around the length of the second commitment period.

AMENDMENTS/NUMBERS: This issue was first addressed in a contact group on Tuesday, with AWG-KP Chair Macey calling for countries to explore middle ground and compromise solutions. The spin-off groups were co-facilitated by Leon Charles (Grenada) and Jürgen Lefevere (EU) and focused on: the need to consider the transformation of pledges into QELROs; carryover of surplus AAUs; and whether to discuss option B (consequential amendments).

Initial discussions focused primarily on QELROs, with associated text on assumptions. Delegates established five issues needing resolution before the QELROs discussion can be finalized: measurement rules; baselines or “starting points;” whether QELROs should consist of a single number or a range; how to ensure comparability; and the length of a second commitment period.

Delegates also discussed a submission by the EU regarding the Chair’s negotiating text (FCCC/KP/AWG/2011/CRP.2/Rev.1)

with many countries expressing concerns that the option to increase levels of ambition was not strong enough. Submissions were made by Brazil on QELROs and by AOSIS, Brazil and the African Group on carryover of surplus AAUs.

During the second week, Co-Facilitator Lefevere (EU) reported that parties identified options for the conversion of pledges to QELROs: the mid-point for the first commitment period; the current level of emissions; case-by-case selection for each party; and no definition, since the conversion of pledges to QELROs is a political decision. He noted that the “limits of our technical work have been reached,” and required political signals.

In the final AWG-KP plenary, parties could not agree on the length of the commitment period, with the EU requesting that the period should be until 2020 to maintain coherence with the Convention track, and the Chair decided to forward the text to the CMP for adoption, with brackets around the length of the commitment period. On Sunday, 11 December, the CMP approved the decision, including the brackets, which are expected to be resolved during COP 18.

CMP Decision: The decision on consideration of further commitments for Annex I parties under the Kyoto Protocol (FCCC/KP/AWG/2011/L.3), and the Outcome of the work of AWG-KP 16 (FCCC/KP/AWG/2011/L.3/Add.1) includes, *inter alia*:

- proposed amendments to Annex B to the Kyoto Protocol (Annex I);
- proposed amendments to the Kyoto Protocol (Annex III);
- an aim to ensure the aggregate emissions of greenhouse gases by parties included in Annex I are reduced by at least 25-40 percent below 1990 levels by 2020;
- notes the quantified economy-wide emission reduction targets to be implemented by parties included in Annex I as communicated by them, and presented in Annex I to the decision, and of the intention to convert these targets to QELROs for the second commitment period under the Kyoto Protocol;
- an invitation to parties listed in Annex I to the decision to submit information on their QELROs for the second commitment period under the Kyoto Protocol by 1 May 2012; and
- a request to the AWG-KP to assess the implications of the carryover of AAUs to the second commitment period.

The document includes brackets around the extension of the second commitment period under the Kyoto Protocol, that shall begin on 1 January 2013 and end on 31 December 2017.

FLEXIBILITY MECHANISMS: This issue is addressed in a CMP decision on emissions trading and project-based mechanisms adopted on Sunday, 11 December.

CMP Decision: The decision (FCCC/AWG/2011/L.3/Add.3) reconfirms that the use of the mechanisms shall be supplemental to domestic action; decides to review at CMP 8, and revise as appropriate, the design of the commitment period reserve for the subsequent commitment period to support the effective operation of emissions trading; and requests SBI 36 to consider the issue.

LULUCF: The issue was addressed in a spin-off group co-chaired by Peter Iversen (Denmark) and Marcelo Rocha (Brazil). Discussions focused on identifying key areas for

streamlining text and narrowing down technical options for a political decision by Ministers.

The African Group presented a revised proposal on the baseline approach to forest management accounting, which was included in the text.

Parties also addressed “disturbances” with some expressing concerns over the definition and the importance of distinguishing anthropogenic from natural disturbances, and others stressing the importance of operationalizing the concept. Other parties also introduced a revised version of harvested wood products.

One party discussed his proposal on a definition on forests, noting that this would introduce a comprehensive vision of forests as systems of life that have multiple functions. One party noted that changing the definition of forests for a second commitment period could bring difficulties in terms of implementation and accounting. Eventually parties agreed to integrate reference to forests as systems of life that have multiple and integral functions in the preamble of the decision.

One party questioned the participation of parties that had indicated that they would not be part of a second commitment period under the Kyoto Protocol, and expressed concern about parties working under the assumption that LULUCF rules could be “transferred” to the AWG-LCA track, noting the different nature of commitments. He noted that LULUCF rules would depend on QELROs adopted and questioned how to deal with the fact that many parties said they are not ready to adopt QELROs.

Parties met in diverse fora to address outstanding text, and on 11 December the CMP closing plenary adopted a decision.

CMP Decision: In its decision (FCCC/KP/AWG/2011/L.3/Add.2) the CMP, *inter alia*:

- decides that anthropogenic greenhouse gas emissions by sources and removals by sinks shall be accounted with the principles and definitions referred to in paragraphs 1 and 2 of Decision 2/CMP.6 and in accordance with the annex to the decision;
- invites the IPCC to review and, if necessary, update supplementary methodologies for estimating anthropogenic greenhouse gas emissions; and
- agrees to consider the need to revise decisions of the CMP relevant to the annex contained, including those related to reporting and review.

The COP also requests SBSTA to initiate a work programme to:

- explore more comprehensive accounting from LULUCF and to report on the outcomes to CMP 9;
- consider, develop and recommend modalities for alternative approaches to addressing the risk of non-permanence under the CDM with a view to forwarding a draft decision for adoption by CMP 9; and
- develop and recommend modalities and procedures for applying the concept of additionality, with a view to forward a draft decision for adoption by CMP 9.

The annex to the decision includes definitions, modalities, rules and guidelines relating to LULUCF under the Kyoto Protocol.

POTENTIAL CONSEQUENCES OF RESPONSE

MEASURES: This issue was addressed in a CMP decision on consideration of information on potential environmental,

economic and social consequences, including spillover effects, of tools, policies, measures and methodologies available to Annex I parties.

CMP Decision: The decision (FCCC/KP/AWG/2011/L.3/Add.5) urges Annex I parties to support the efforts of non-Annex I parties in strengthening institutional capacities and regulatory frameworks. It also recognizes the need to deepen the understanding of potential consequences and any observed impacts that can be achieved, *inter alia*, through the provision of relevant information, assessment of potential consequences and observed impacts, and relevant information from work being carried out by other UNFCCC bodies.

JOINT HIGH-LEVEL SEGMENT

COP/CMP President Nkoana-Mashabane opened the Joint High-Level Segment of the COP and CMP on Tuesday afternoon, 7 December. UNFCCC Executive Secretary Christiana Figueres reflected on topics where progress is being made in Durban. United Nations Secretary-General Ban Ki-moon said economic troubles should not distract from the ultimate goal of a binding comprehensive agreement, adding that although this objective may be unattainable at present, parties must remain ambitious and keep up the momentum for COP 18 in Qatar.

South African President Jacob Zuma explained that parties considering a second commitment period need reassurance that others will be prepared to commit to a legally binding regime in the near future and share the load. He added that parties also need assurance on long-term funding. He called for agreement on the formalization and implementation of the mitigation pledges of developed countries and on rules of comparability between pledges of parties and non-parties to the Protocol. Zuma described adaptation and finance as critical issues.

Alberto Pedro D'Alotto, Argentina, on behalf of the G-77/China, described the continuation of the Kyoto Protocol as a cornerstone of efforts to address climate change, adding that non-Annex I parties also need to join these efforts with comparable commitments.

Connie Hedegaard, EU Commissioner for Climate Action, said that the EU was ready to take a second commitment period under the Kyoto Protocol. She said the EU must be assured that others will agree on a new legally binding framework.

Marcin Korolec, Minister of Environment, Poland, for the EU, called for a roadmap leading to a global comprehensive and legally binding framework. He warned that a second commitment period for a limited number of parties to the Kyoto Protocol must not become an excuse for inaction. He said the EU expects full implementation of the actions pledged in Cancun.

Greg Combet, Minister of Climate Change and Energy Efficiency, Australia, for the Umbrella Group, highlighted the collective contribution of his group to fast-start finance of US\$20 billion and said they are ready to support a deal that puts in place the building blocks of a comprehensive climate framework.

Jato Sillah, Minister of Forestry and the Environment, the Gambia, for LDCs, emphasized the plight of the poorest nations that are suffering from extreme weather events and internal migrations due to the effects of climate change, wondering how some parties can propose delaying action until 2015 or later.

Karl Hood, Minister of Foreign Affairs, Grenada, for AOSIS, stressed that a system based on multilateral rules is essential for the survival of vulnerable countries. He expressed concern over proposals to leave Durban without a final resolution on the second commitment period of the Kyoto Protocol, and called for a parallel protocol to cover countries that are not parties to the Kyoto Protocol.

The high-level segment continued until Friday, with statements by heads of state and government and observer organizations. A webcast of all statements is available online at: http://unfccc4.meta-fusion.com/kongresse/cop17/templ/ovw_live.php?id_kongressmain=201

CLOSING PLENARIES

The series of closing plenaries of the COP, CMP, AWG-LCA and AWG-KP started on Friday evening, 9 December and continued until the final gavel came down at 6:30 am on Sunday, 11 December. In between, Ministers and other delegates held informal consultations to resolve the remaining outstanding issues.

COP AND CMP PLENARIES

The CMP Plenary convened Friday afternoon, 9 December, chaired by Vice-Chair Kranjc. SBSTA Chair Muyungi presented an oral report. The CMP adopted the reports of SBSTA 34 and 35 (FCCC/SBSTA/2011/2 and FCCC/SBSTA/2011/L.17). SBI Chair Owen-Jones presented an oral SBI report, and the CMP adopted the reports of SBI 34 and 35 (FCCC/SBI/2011/7 and Add.1 and FCCC/SBI/2011/L.24).

The COP Plenary convened immediately after. SBSTA Chair Richard Muyungi (Tanzania) and SBI Chair Robert Owen-Jones (Australia) presented an oral report of the work of the session. The COP took note of the reports of the Subsidiary Bodies' sessions held in 2011, namely SBI 34 and 35 (FCCC/SBI/2011/7 and Add.1 and FCCC/SBI/2011/L.24) and SBSTA 34 and 35 (FCCC/SBSTA/2011/2 and FCCC/SBSTA/2011/L.17).

The COP and CMP also adopted a series of decisions, and were suspended pending further consultations and negotiations. Informal negotiations went on through the night and early morning hours as well as throughout Saturday.

AWG-KP PLENARY

On Saturday evening, 10 December, AWG-KP Chair Macey presented draft decisions on the consideration of further commitments for Annex I Parties under the Kyoto Protocol (FCCC/KP/AWG/2011/L.3 and Add.1-5). The EU said in order to maintain symmetry with the outcome of the AWG-LCA, the length of the second commitment period should be from 2013-2020, instead of 2013-2017, with Brazil expressing interest in this proposal. Grenada, Colombia and the Gambia said it is important to maintain a five-year rather than an eight-year second commitment period, given the low level of ambition. The EU, the Russian Federation and New Zealand also proposed technical text on LULUCF. Japan proposed a footnote identifying countries that will not take part in a second commitment period. Bolivia observed that reference to a "25-40 percent" reduction of aggregate emissions for Annex I parties by 2020 is too wide a range, and should be identified as a single percentage. He

also said, regarding paragraphs 3-5, that if references are made to QELROs, the language in the decision should be mandatory rather than voluntary, as QELROs are binding obligations.

After suspending the session to allow for consultations, the AWG-KP reconvened and the Chair proposed forwarding the text to the CMP under his own responsibility, with the years of the second commitment period in brackets. Papua New Guinea, the Gambia, Colombia and Brazil supported the Chair's proposal to forward the text for consideration by CMP. Delegates continued to propose changes, and Venezuela, Saudi Arabia and Bolivia requested bracketing paragraphs 3-5, which refer to the assumption of QELROs, while Kenya and Nicaragua proposed language to strengthen the paragraphs. Venezuela called for ensuring strong language in the text to preserve the Kyoto Protocol. Egypt expressed disappointment with the insufficient level of ambition and said the objective of strengthening the only existing legally-binding regime was not accomplished in the text. Nicaragua said the text does not set out a process or a timeframe that could provide a solution to avoiding a gap between commitment periods. He further recalled that the principle of CBDR is not adequately reflected when referring to "a global response to the problem of climate change."

Chair Macey decided to forward the text to CMP as a Chair's text after which the report of AWG-KP (FCCC/KP/AWG/2011/L.2) was adopted, with Chair Macey saying he thinks "this is the first decision we agreed on." Chair Macey gaveled the meeting to a close at 9:25 pm.

AWG-LCA PLENARY

On Saturday night, AWG-LCA Chair Reifsnnyder introduced a draft decision on the outcome of the work of the AWG-LCA under the Convention to be presented to COP 17 (FCCC/AWGLCA/2011/L.4), noting that the text contained is "clean text." He also introduced document FCCC/AWGLCA/2011/CRP.39, which contains text on issues that need further consideration. He said reaching an outcome under the AWG-LCA is only one element of the task in Durban and that he is hopeful that parties will achieve a comprehensive outcome.

Saudi Arabia expressed concern over some aspects of the text, including: the level of emphasis on developing country mitigation; weak language on response measures; and the unclear role of the Standing Committee. Indonesia said many elements of the amalgamation document (FCCC/AWGLCA/2011/CRP.37/Add.1) are not captured in the text, including earlier provisions on developing country mitigation, the Registry and NAMAs. The Democratic Republic of Congo highlighted concerns, including lack of consideration of long-term finance and a failure to reflect CBDR.

India raised concerns over the inclusion of agriculture in the section on mitigation and exclusion of trade from the section on the economic and social consequences of response measures. Pakistan regretted a lack of balance on mitigation and that the Adaptation Committee has not been given the status of a subsidiary body. With Egypt, he expressed concern over how the text addresses long-term finance. Bangladesh, Switzerland, the Philippines and Tanzania expressed support for the text.

Venezuela said she will not accept the text approving market mechanisms without a second commitment period under Kyoto Protocol. The Gambia said their proposal on long-term

finance was not reflected. China said the text does not reflect the concerns of both sides and that it should specify how the developed countries' commitment to mobilize US\$100 billion included in the Cancun Agreements will be achieved. Bolivia, the Democratic Republic of the Congo and Ecuador expressed concern over the unbalanced text, particularly considering developed and developing countries' mitigation, with Bolivia saying that the text, *inter alia*: lacks a compliance system to monitor developed countries' commitments, which is particularly relevant for those not subscribing to a second commitment period under the Kyoto Protocol; places excessive requirements on mitigation for developing countries; does not reflect CBDR; and favors the creation and use of markets. He said the document should not be adopted as is.

Nicaragua expressed support for the creation of the Green Climate Fund while criticizing the transparency of fast start finance and the absence of identified funding sources, and supported Ecuador's proposal on ways to capitalize the fund. The EU supported the text for adoption, including on: long-term finance, understanding the underlying assumptions of pledges and the Standing Committee, but expressed disappointment that language on ambition gap, accounting and biennial reporting guidelines had been weakened. Seeking to send a message that humankind can respond aggressively to climate change, Papua New Guinea suggested that the proposed decision should be forwarded as part of a balanced package. Malaysia expressed concern about weak mitigation targets for developed countries and described a number of issues raised by developing countries that were deferred to future meetings, including equity, intellectual property rights and trade measures. He recommended that the text be submitted for work the next year.

Thailand voiced concerns about mitigation and comparability, the absence of ambition, and a compliance regime for mitigation targets. Malawi underlined the role of public finance. The US noted movement on a number of critical issues on adaptation, finance, technology, the Review, and a new market mechanism. He cautioned against failure to adopt the decisions and unraveling the overall package, which includes elements such as the GCF, a new legal agreement and the second commitment period.

Paraguay cautioned against weakening CBDR and equity and the need to complete the Bali Roadmap. He called for a second commitment period without conditions. Kenya listed demands for a number of improvements on: mitigation, transformation level of pledges, ambition, accounting, compliance and reporting. Japan conceded the document was not perfect, required more ambition, but pressed for adoption.

Chair Reifsnnyder noted a great deal of disappointment with the AWG-LCA text and opposition to its adoption. He announced that he would forward the text to the COP as a Chair's text.

He then invited the AWG-LCA to adopt the report of the 14th session, parts three and four (FCCC/AWGLCA/2011/L.3) as amended.

Venezuela made a point of order regarding the text's acceptance. The Chair recalled that he had not adopted the AWG-LCA text (FCCC/AWGLCA/2011/L.4), only the report of the meeting. Venezuela reported that she had received threats, implying that if her country did not agree to the adoption of the AWG-LCA text there would be no second commitment period

and there would be no GCF. She described the AWG-LCA text as a mercantilist vision that pretends to “save us” but places a price on the future, saying the fate of the world is worth more than US\$100 billion.

Chair Reifsnnyder gavelled the meeting to a close.

JOINT INFORMAL COP AND CMP PLENARY

Early Sunday morning, 11 December, the COP President opened a Joint Informal Session of COP 17/CMP 7 noting the presence of global citizenry and civil society to whom governments are accountable. She recalled intensive consultations with groups and parties and urged delegates to collectively make history. She said it was their choice what history they wished to make. She invited the conference to comment on a package of draft decisions, consisting of the second commitment period, long-term cooperative action, a way forward on the implementation of the UNFCCC, and the operationalization of the GCF. She appealed for the formal adoption of each element. She conceded that the package was not the best that delegations could achieve but noted it was important in order to maintain the integrity of the multilateral system and trust in the UNFCCC process.

Emphasizing that the EU had “shown patience” and readiness to commit to a second commitment period of at least five years, the EU, supported by Chile, Norway and Colombia, called for a protocol or legal instrument under the Convention by 2018. She added that language stipulating the option of a “legal outcome” could put this in doubt.

Colombia said they could not accept a “legal outcome” or application in 2020 and cannot accept the Durban package as it stands. Cautioning against “saying goodbye to the principle of equity,” and shifting burden sharing on to developing countries, India observed that they had agreed to language expressing specific options, and that India would “never be intimidated by threats.”

Observing that countries “were climbing down the ladder of ambition,” Grenada called for creating a protocol or legal instrument that will hold countries accountable.

Bangladesh called for a Durban Package that will ensure the second commitment period and a legally binding deal, despite shortcomings. China underscored the need to implement the principle of common but differentiated responsibilities, and highlighted its own efforts to deal with climate change that others have not taken. Bolivia stressed how the “right to development” is linked to emissions and how a climate regime must address this relationship. The Philippines said that a legal regime should be designed with a view to saving the Kyoto Protocol. Pakistan said that, despite how much the world has changed, the principles of equity and common but differentiated responsibilities still apply. El Salvador highlighted the “new and imperfect democracy” created under the UNFCCC and the need to move towards a legally binding agreement that addresses finance, mitigation and the equity gap.

The US said that elements of the package—the AWG-LCA, the second commitment period under the Kyoto Protocol, the Green Climate Fund, and the Durban Platform—offer a historic opportunity that it wants to support.

Brazil called for a legally binding agreement, observing that “we are on the verge of approving the most important result after

the Berlin Mandate,” while Egypt noted the need for clarity on the predictability, sustainability, additionality and transparency of support.

The COP President invited parties to form a “huddle” to address diverging views around language in paragraph 4 of the document on a Durban Platform (FCCC/AWGLCA/2011/L.10) regarding the words “legal outcome.” Parties reconvened to replace the phrase with “agreed outcome with legal force.” India and the EU said they could support the agreed language.

RESUMED CMP CLOSING PLENARY

At 4:00 am on Sunday, the CMP closing plenary resumed. AWG-KP Chair Adrian Macey informed delegates that parties were not able to agree on the outcome of the work of the AWG-KP (FCCC/KP/AWG/2011/L.3/Add.6) and that it had been forwarded to the CMP for consideration. He said a number of changes had been requested and he had reviewed these to see what impact they could have on the delicate political balance. He said that two options for the length of the second commitment period were still bracketed and they could be decided by CMP 8.

Bolivia, opposed by Papua New Guinea, stressed that they had proposed deleting a paragraph stipulating that any units generated from market-based mechanisms to be established under the Convention or its instruments may be used by Annex I parties to assist them in achieving compliance with their quantified emission limitation and reduction commitments. He subsequently called for the paragraph to be bracketed.

Nicaragua also highlighted several concerns with the text, saying none of his proposed changes had been introduced in the text.

The EU expressed surprise with the discussion observing that he had assumed that this decision was to be adopted as part of the Durban package. Parties then adopted the decision on the outcome of the work of the AWG-KP. Bolivia requested his objections to be recorded in the meeting report.

RESUMED COP CLOSING PLENARY

AWG-LCA Chair Reifsnnyder presented the report on the Outcome of the work of the AWG-LCA (FCCC/AWGLCA/2011/L.4). He noted that many parties expressed support for the document, while others thought it lacked balance. He said he believes the text captures important progress on the key pillars of the Bali Action Plan and the Cancun Agreements. On the decision on the composition and modalities for the Adaptation Committee and Standing Committee, he proposed that groups make recommendations by 21 March 2012. Parties adopted the decision.

COP President Nkoana-Mashabane then introduced a draft decision entitled “Establishment of an *Ad Hoc* Working Group on the Durban Platform for Enhanced Action” (FCCC/CP/2011/L.10) as the “landmark decision of our comprehensive outcome.”

The Russian Federation noted its disapproval with the consultation process, indicating that the unconventional huddle format obstructed their meaningful participation. The COP adopted the decision, as well as the decision on the GCF (FCCC/2011/CP/L.9) and other outstanding items.

The Democratic Republic of Congo, on behalf of 54 African Ministers, thanked the COP President for her spirit of inclusiveness. Mexico congratulated the South African

Government on their successful hosting of the conference. Ecuador, for ALBA, stressed the need to move forward with certainty that Qatar will take up issues of justice and equity. Grenada for AOSIS also expressed satisfaction with the outcome.

The COP President welcomed the milestone agreements reached under the Convention and Kyoto Protocol and asked Vice-Chair Kranjc to continue with the adoption of outstanding items.

After a short break, Vice-Chair Kranjc presented outstanding agenda items for adoption by COP. The COP then adopted the Report of the Meeting (FCCC/CP/2011/L.1). A resolution was adopted expressing gratitude to the Government of South Africa, and the COP was gavelled to a close at 6:00 am.

RESUMED CMP CLOSING PLENARY

The last plenary of the CMP took place at 6:00 am on Sunday morning. Vice-Chair Runge-Metzger presented a set of outstanding decisions. Rapporteur Kranjc presented, and the CMP adopted, the report of the CMP (FCCC/KP/CMP/2011/L.1). After adopting the resolution expressing gratitude to South Africa, the CMP was gavelled to a close at 6:22 am.

DURBAN OUTCOME

AWG-LCA OUTCOME

This decision (FCCC/CP/2011/L.10) on the Establishment of an *Ad Hoc* Working Group on the Durban Platform for Enhanced Action, is part of the Durban Package, and launches a process to develop a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all parties, through a new subsidiary body under the Convention known as the *Ad Hoc* Working Group on the Durban Platform for Enhanced Action, starting its work in the first half of 2012. The decision also, *inter alia*:

- extends the AWG-LCA for one year in order for it to continue its work;
- decides the *Ad Hoc* Working Group on the Durban Platform for Enhanced Action (AWG-DP) shall plan its work in the first half of 2012 drawing upon submissions by parties and the work of the SBs;
- decides the AWG-DP shall complete its work as early as possible, but no later than 2015, in order to adopt this protocol, legal instrument or agreed outcome with legal force at COP 21 for it to come into effect and be implemented from 2020;
- decides that the process shall raise the level of ambition and shall be informed, *inter alia*, by the Fifth Assessment Report of the IPCC, the outcomes of the 2013-2015 Review and the work of the subsidiary bodies;
- launches a workplan on enhancing mitigation ambition to identify and explore options for a range of actions that can close the ambition gap with a view to ensuring the highest possible mitigation efforts by all parties; and
- decides to hold an in session workshop at the first negotiating session in 2012 to consider options and ways for increasing ambition and possible further actions.

AWG-KP OUTCOME

In the Outcome of the AWG-KP, the CMP adopted a set of documents, namely on:

- consideration of further commitments for Annex I parties under the Kyoto Protocol: Draft conclusions proposed by the Chair (FCCC/KP/AWG/2011/L.3);
- outcome of the work of AWG-KP 16 (FCCC/KP/AWG/2011/L.3 Add.1);
- LULUCF (FCCC/KP/AWG/2011/L.3 Add.2);
- emissions trading and the project-based mechanisms (FCCC/KP/AWG/2011/L.3 Add.3);
- other issues (FCCC/KP/AWG/2011/L.3 Add.4); and
- potential consequences (FCCC/KP/AWG/2011/L.3 Add.5).

The Outcome of the AWG-KP contains the main agreements regarding the continuation of the Kyoto Protocol in its second commitment period and includes in the preamble:

- the importance of developing a comprehensive global response to the problem of climate change;
- recognizes the importance of ensuring the environmental integrity of the Kyoto Protocol; and
- aims to ensure that aggregate emissions of greenhouse gases by parties included in Annex I are reduced by at least 25-40 percent below 1990 levels by 2020, noting in this regard the relevance of the Review to be concluded by 2015.

The CMP, further:

- decides that the second commitment period under the Kyoto Protocol shall begin on 1 January 2013 and end either on 31 December 2017 or 31 December 2020, to be decided by AWG-KP 17;
- welcomes the agreement by the AWG-KP on its work in the areas of, *inter alia*, LULUCF and forestry, emissions trading and the project-based mechanisms, greenhouse gases, sectors and source categories; and potential consequences.
- takes note of the proposed amendments to the Kyoto Protocol developed by the AWG-KP as contained in Annexes 1, 2 and 3 to the decision;
- takes note of the economy-wide emission reduction targets to be implemented by Annex I parties as presented in Annex 1 to the decision and of the intention of these parties to convert these targets to QELROs for the second commitment period under the Kyoto Protocol; and
- invites Annex I parties to submit information on their QELROs for the second commitment period under the Kyoto Protocol by 1 May 2012 for consideration by AWG-KP 17.

The CMP further requests AWG-KP to:

- deliver the results of its work on QELROs to CMP 8 with a view to adopting these QELROs as amendments to Annex B of the Kyoto Protocol at that session, while ensuring coherence with the implementation of the AWG-LCA Outcome Document (FCCC/AWGLCA/2011/L.4);
- assess the implication of the carry-over of AAUs to the second commitment period on the scale of emission reductions to be achieved by Annex I parties in aggregate with a view to complete it by AWG-KP 17; and
- requests the AWG-KP to aim to deliver the results of its work pursuant to Decision 1/CMP.1 by CMP 8.

Annex I contains proposed amendments to Annex B to the Kyoto Protocol. Annex II includes proposed amendments to the Kyoto Protocol's Annex A. Finally, Annex III incorporates proposed Kyoto Protocol amendments.

A BRIEF ANALYSIS OF COP 17 AND CMP 7

UBUNTU: THE MEANS AND THE ENDS FOR A NEW ERA IN CLIMATE NEGOTIATIONS?

"I am because you are." African Proverb

Stirring a sense of history and leadership, the South African hosts challenged negotiators in Durban to embrace the spirit of *Ubuntu* or interdependence. Across time and space, the defining challenge was to transform the troubled past of the Kyoto Protocol and re-imagine a 21st century multilateral climate change regime where the gap between sufficient levels of mitigation and the competing demands of science and politics will be closed by a transparent commitment to equity. In parallel, entrenched boundaries and positions were shaken up and critical new alliances were forged to facilitate agreement on a balanced package that extends the Kyoto Protocol and initiates a process to design a successor agreement while building new institutions to focus on the implementation of both adaptation and mitigation.

The negotiations were driven by a series of interdependent linkages—some constructed to drive the negotiations forward, some integral to the field of climate change politics, and some based decisively on an understanding that 21st century global challenges need global solutions. This brief analysis examines some of the defining interdependencies that help tell the story of the Durban Climate Change Conference and the launch of a new phase of climate change negotiations.

FINDING MIDDLE GROUND

Honest differences are often a healthy sign of progress.

Mahatma Gandhi

At the outset, expectations were modest with many countries feeling that “operationalizing” the Cancun agreements was all that could be achieved. Others wanted a balanced and interdependent package within a year that resolved the Kyoto Protocol question, moved to a new legally-binding treaty and operationalized the Green Climate Fund.

During the first week in Durban, delegates quietly began frank conversations, helping to outline respective political “red lines,” on a series of related and dependent elements, notably the fulfillment of outstanding business from Bali, Cancun and Copenhagen. The process was helped recently by a recovery in the negotiating dynamic and momentum wherein key participants began to appreciate both the positions being put forward by their counterparts and respect the domestic circumstances and constraints that inform them—with just a few notable exceptions from within the ALBA countries.

Although the line-by-line review of text remained painstakingly slow on dozens of issues, parties began to seek “mutual reassurances” on what the South African Presidency called the “bigger picture,” and, critically, how to reconcile the looming termination of the first Kyoto commitment period at the end of 2012 with the challenge of codifying the 2020 pledges that were made in Cancun in a new and inclusive instrument capable of reflecting the need to capture and support different kinds of effort in a common framework. Any new instrument must provide a common legal architecture while reflecting and supporting the variable efforts of countries at different points on the development spectrum, thus respecting while recasting

the Convention’s principle of common but differentiated responsibilities. In Durban early informal consultations helped to clarify the technicalities of the second commitment period under the Kyoto Protocol, especially the two-stage approach that defers the definition of quantified emission limitation and reduction objectives (QELROs) and their adoption as amendments to Annex B to the eighth session of the Kyoto Protocol Meeting of the Parties, proved very useful in keeping prospective participants on board.

The debate over how to manage the eight-year window between the end of 2012 and 2020 created space for the “roadmap” championed by Connie Hedegaard, EU Commissioner for Climate Action, and her colleagues in the EU. Ever since Copenhagen, the EU had indicated a readiness to raise their level of ambition to reduce greenhouse gas emissions by 30%, but not alone—and not unless other UNFCCC parties moved rapidly to launch negotiations for a new and inclusive legally binding agreement under the Convention for *all* emitters. This core demand drew legitimacy from Bali and helped frame the Durban negotiations. Indeed it is arguable that the EU drafted the script for the central plot in Durban by setting out their stall early in the process and offering to do the heavy lifting to save the Kyoto Protocol within the context of a roadmap that put up a challenge to other parties—developed and developing.

Parties addressed the risk of a gap between the first and second commitment periods but will submit their voluntary QELROs by 1 May 2012 in a “pledge and translate” exercise that, unlike Kyoto, will not be derived, for now, by an overall aggregate level of ambition. Parties’ unilateral pledges will be converted to QELROs without reference to an overall global mitigation target, not to mention one that is evidence-based. This helps to explain some of the skepticism among environmental NGOs regarding the prospect for the ambitious effort required to stay within the global temperature range of 1.5 to 2.0 degrees Celsius.

Progress on each element of the Durban Platform unlocked other elements. For example early in the second week, delegates made headway on the Green Climate Fund (GCF) as an operating entity of the financial mechanism of the Convention; a fund expected to mobilize US\$100 billion a year by 2020. Reports of early progress on the GCF—a priority deliverable for the South African hosts and the region, proved to be a major contributor in raising the stakes. A fragile sense of possibility emerged as Ministers arrived, although there were increasing concerns about the diplomatic management of the process by the South African Presidency.

Drawing on African traditions, COP President Maite Nkoana-Mashabane called for a series of Indabas, in a spirit of Ubuntu (interdependence) hoping the parties would find wisdom in “coming together to solve common challenges for the larger community.” They convened several Indabas, ranging from plenary hall reports, to technical sessions for negotiators to a table of 50+ Ministers in the final days. When these ministerial sessions ran their course and seemed to fail to take full advantage of the window that was opening for a deal, certain parties began to push the Presidency to take a more proactive approach to identifying and brokering outstanding issues. The Presidency responded and a number of helpful conference room papers

were distributed at the Indaba sessions, setting out different approaches to the second commitment period in table format together with elements of a “bigger picture.”

NEW POLITICAL GEOMETRY

Only free men can negotiate. Your freedom and mine cannot be separated. Nelson Mandela

Critically, in a deeply complex mix of issues, with essential and constructed linkages across the package there was an onus on the Presidency to draw on all available talent and experience to line up the interdependent chain of deliverables with clarity and dexterity. Even as late as Thursday evening, anxiety was rising and, in the wee hours of Friday morning, a relatively closed high-level Indaba of 26 parties representing the major negotiating groups began to hammer out the final terms of a deal. This was also helped by a parallel set of ministerial-led facilitations and bilateral meetings to seek common ground.

It took a critical engagement between the EU, AOSIS and LDCs to really inject a sense of direction and pace into the negotiations as the countdown to the end of the Conference began. There was a palpable shift in the atmospherics after EU Commissioner Hedegaard joined with AOSIS and the LDCs in issuing a public statement backing the EU “roadmap” plan linking the second commitment period to the early launch of new negotiations under the Convention. As news of the Commissioner’s battle behind closed doors emerged, there was an extra spring in the step of European negotiators as Hedegaard’s brinkmanship in Durban drew stark comparisons with Copenhagen where the Europeans had found themselves isolated and out on a limb in their attempts to lead from the front and champion a second commitment period.

But gaining support of AOSIS and the LDCs was not enough. It was deemed essential that the EU assure China and India that they would simply be expected to turn their Cancun pledges into new legal arrangements. As one observer noted, the 2020 timeframe for any future instrument under the Convention was a source of some reassurance to BASIC countries that their Cancun pledges and their timeframes would be acceptable. The Presidency and the EU were able to lock in the relatively constructive role of countries such as Brazil. While China seemed content to allow India to do BASIC’s heavy lifting and profile the “equity” issue, an issue—alongside common but differentiated responsibilities—that has helped define the contest over contemporary rights to development and the debate over mitigation commitments.

Equity will come to the fore in the negotiation of a new instrument as the distribution and pace of mitigation responsibilities increasingly mirrors a debate on access to ecological space, driven by an ethical demand from the least developed and most vulnerable that the world must overcome a form of “atmospheric apartheid” wherein the glittering prizes of development have—to date—been heavily concentrated in the hands of the few. It’s a demand that also finds an echo in popular protests in response to the crisis-prone global financial system. An intriguing decision recognizing loss and damage also points to the future prominence of the equity debate.

The EU concession to BASIC countries on allowing any new instrument under the Convention to be implemented “from 2020” drew fire from its AOSIS allies and environmental NGOs, some

of whom have severely criticized the Durban Platform. While there was some compensation in the final package under the 2013-2015 Review to enhance mitigation ambition, they are still concerned that this will be too little too late.

With complex issues and strains on even the most natural alliances there was an onus on the Presidency to weigh in and offer reassurance as one party’s interdependence sometimes became another’s unacceptable price. At the outset some observers wondered how the South African Presidency would respond to the competing loyalties to BASIC and the African Union. On the one hand, and significantly, BASIC spoke in plenary for the first time ever as a united negotiating group. On the other, the Presidency inevitably sought to align the potential wins in Durban with their leadership role on the African continent. Determined that the Kyoto Protocol would not be “buried in African soil,” the African hosts sought to capitalize on the quid pro quo of a second commitment period and a renewed, science-led, determination to close the “mitigation gap” by pressing home their advantage in the form of closure on the Green Climate Fund, arrangements for the Adaptation Committee, and new technology capacity.

Although there was enough political ground to secure a deal, it was not until the final moments on the floor of the plenary that the ultimate deal fell into place. Described as a “defining moment,” a last-minute “huddle” on the plenary floor—perhaps the most authentic of all the Indabas—in the early hours of Sunday morning enabled the EU to reach a compromise with India on an option to describe the new UNFCCC instrument in acceptable legal terms. At the eleventh hour, they agreed to launch a process to develop a protocol, another legal instrument or an “agreed outcome with legal force” under the Convention applicable to all Parties. It is an issue that could come back to haunt the Europeans who might well discover with the passage of time just how big a compromise they made to India, if other countries choose to construct an “escape hatch” around the legal terminology that falls short of a new protocol.

VIRTUAL INDABA

The Internet is the town square for the global village. Bill Gates

As climate change negotiators in Durban marked the 14th birthday of the Kyoto Protocol, the air in the conference rooms was thick with a sense of both the troubled history of climate politics and a historic opportunity for inter-generational change and redefined responsibilities. Veteran negotiators who invoked personal memories of their formative days negotiating the original Convention and/or Protocol knew that their audience reached far outside the room to a virtual global society wanting meaningful and immediate action. As one religious leader put it, “We’re here to bear witness for the planet.” The popularization and bandwagoning effect of climate change politics is one of the major transformations since Kyoto and this shift was all too evident, once again, when Ministers’ statements were instantaneously tweeted from inside the Indaba rooms out to the global village. Combined with the South African Presidency’s commitment to the Indaba format—designed to encourage a true participatory and open process of deliberation, the transparency of Durban had a number of unexpected consequences. Not least was the effect of depriving some ALBA negotiators of

an opportunity to repeat—with credibility—complaints about exclusion. In contrast, Ministers, negotiators and youth delegates found themselves sometimes competing for the same seat in the Indaba room.

Outside the official negotiating rooms, civil society held their own Indabas. Climate change COPs have evolved into a carnival-like forum for the latest trends in climate change with a dizzying array of events competing for attention and mindshare. From side events, displays of green technology, marches and colorful protests, to real time commentary over the internet through Twitter, Facebook and thousands of blogs, civil society Indabas are something that a transparent COP host has to manage. South Africa certainly understood the virtual social media huddle could render swift judgments to the champions of ambition and ridicule for those who did not measure up to the ambitions of the global environmental community. At one point the President convened a meeting at a critical endpoint in the negotiations with, apparently, little other purpose than to ensure that global civil society's expectations were raised and primed to maintain pressure on Ministers and their negotiators.

A high point in civil society's management of their presence—in the corridors of the International Conference Centre (ICC) at Durban and in the global media—was a moment that brought together South Africa's 20th century struggle with the new frontline in 21st century struggles for climate justice. With negotiators apparently on the brink of breakthrough or deadlock, a former ANC activist, now head of Greenpeace, led delegates in chants of anti-apartheid anthems seeking climate justice. Dozens of traditional and new media practitioners were on hand to produce an iconic image of the Greenpeace activist as he co-opted the trappings of the UN for a well-executed piece of agitprop and was led away by UN guards to be expelled from the ICC. This was a supreme example of the way in which climate politics have been transformed by the professional politics of media spectacle—on this occasion drawing on a deep tradition of South African activism twinned now with a new technological capacity that brings climate politics to every screen.

A NEW ERA IN CLIMATE NEGOTIATIONS

While 21st century global challenges certainly need global solutions, it is important not to forget that climate change has very local impacts. One such story loomed over the Conference. UN Secretary-General Ban Ki-moon recalled a tragic encounter with a child in Kiribati who could not sleep soundly for fear that he would be stolen away in the night by a rising ocean. This story captures the urgency of the dilemma confronting negotiators—the call to respond to the most vulnerable states and their peoples facing the impacts of climate change. The story also speaks of an impatient generation of young people who care passionately about the issue because they will “live their lives in the future.” This is a future of networked interdependence that stands in stark contrast with the geopolitics of dependency that marked most of the 20th century and the era that gave rise to the Berlin Mandate and Kyoto Protocol.

These are the voices calling across generations for urgency and increased ambition on targets to ensure that temperatures will not rise more than 1.5 to 2 degrees Celsius. And these are the voices that recognize that the only bridge that will span the current gap in ambition is a global ethic of inclusion and

fairness built on foundations of transparency and accountability. These are the voices bearing witness in the corridors, engaging with delegations, disseminating every twist and turn in the negotiations in the unforgiving virtual public commons of the internet where negotiators are held to account in real time. These are the voices that have judged the Durban Platform harshly.

Negotiators, however, who embody the incremental expectations of the institutions they serve, judge themselves with more modest benchmarks. From their point of view, after the trauma of Copenhagen and the struggle to rescue the multilateral climate regime in Cancun, negotiators in Durban turned a corner and not only resuscitated the Kyoto Protocol but, in doing so, leaped to a decision that will see negotiations on a more inclusive 21st century climate regime with something approaching symmetrical reporting systems for country efforts on mitigation. The variable but symmetrical architecture of any new instrument will be important for countries such as the United States in convincing skeptical domestic publics that a truly universal effort is now in prospect. To paraphrase one US negotiator commenting at the conclusion of negotiations, the sales job just went from impossible to very hard.

There was a strong sense that elements of the Cancun-Durban packages, guided by a need to fulfill long overdue commitments from Bali, restored sufficient momentum for new negotiations that will need to be shaped by moving beyond the traditional lines dividing the developed and developing world. This transcendence was first signaled in Bali but only came into full view after Copenhagen. A fluid new set of coalitions is now taking shape, defined by shifting interests. However, those who look first to science to measure success were the least enthusiastic about the Durban Platform, for they know that—once again—the endemic incrementalism that has haunted climate negotiations since 1992 continues to force compromise on sufficient commitments on mitigation. The prospects for something different this time remain to be seen.

With the completion of several work programmes and the establishment of new bodies at the UNFCCC expected in 2012, there will be a rationalizing within the climate change governance system to create a greater focus on implementation and transparency. Countries must now define strategies to deliver a global and ambitious climate treaty in four years and citizens will turn their attention to build support for action in their domestic political and economic systems as the uncertain road opens up to what some in China call an emerging “ecological civilization.”

UPCOMING MEETINGS

Second Intersessional Meeting for UNCSO: The second intersessional meeting for the UNCSO will be convened in December 2011. **dates:** 15-16 December 2011 **location:** UN Headquarters, New York **contact:** UNCSO Secretariat **email:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/>

IRENA Assembly: The second International Renewable Energy Agency (IRENA) Assembly is scheduled to take place in January 2012. **dates:** 14-15 January 2012 **location:** Abu Dhabi, United Arab Emirates **contact:** IRENA Secretariat **email:** secretariat@irena.org **www:** <http://www.irena.org/>

Fifth World Future Energy Summit: The fifth World Future Energy Summit will concentrate on energy innovation and policy implementation, technology development, finance and investment approaches, and existing and upcoming projects. The Summit will seek to set the scene for future energy discussions in 2012 with leading international speakers from government, industry, academia and finance, to share insights, expertise and cutting edge advances in technology. **dates:** 16-19 January 2012 **location:** Abu Dhabi, United Arab Emirates **contact:** Naji El Haddad **phone:** +971-2-409-0499 **email:** naji.haddad@reedexpo.ae **www:** <http://www.worldfutureenergysummit.com/>

UNCSD Informal Consultations: The UNCSD Preparatory Committee will hold a series of informal discussions and negotiations on the zero draft of the outcome document in January, February, March and April 2012. **dates:** 16-18 January 2012; 13-17 February 2012; 19-23 March 2012 and 30 April - 4 May 2012 **location:** UN Headquarters, New York **contact:** UNCSD Secretariat **email:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/rio20/>

12th Special Session of the UNEP Governing Council/Global Ministerial Environment Forum: The Governing Council of the UN Environment Programme (UNEP) decided in February 2011 to hold the 12th special session of the Governing Council/Global Ministerial Environment Forum (GCSS 12/GMEF) from 20-22 February 2012. During the meeting, UNEP will launch the GEO-5 Summary for Policy Makers. **dates:** 20-22 February 2012 **location:** Nairobi, Kenya **phone:** +254-20-762-3411 **fax:** +254-20-762-3929 **email:** sgc.sgb@unep.org **www:** <http://www.unep.org/gc/gcss-xii/>

Global Energy Basel – Second Sustainable Infrastructure Financing Summit: The annual Global Energy Basel conference brings together global leaders in industry, government and business to discuss: building and urban development; transportation, both mobility and city logistics; and sustainable energy supply, including renewable energy, demand side management and energy efficiency. **dates:** 21-22 February 2012 **location:** Basel, Switzerland **contact:** Global Energy Basel **phone:** +41-61-205-1080 **email:** info@globalenergybasel.com **www:** <http://globalenergybasel.com/>

2012 Climate Leadership Conference: The conference will bring together leaders from business, government and academic institutions, and the non-profit community interested in exchanging ideas and information on how to address climate change while simultaneously running their operations more competitively and sustainably. **dates:** 29 February – 1 March 2012 **location:** Fort Lauderdale, Florida, United States of America **email:** questions@ClimateLeadershipConference.org **www:** <http://climateleadershipconference.org/>

CIF PPCR Pilot Countries Meeting: The Climate Investment Funds (CIF) Pilot Program on Climate Resilience (PPCR) will hold a meeting to review progress and tasks ahead in implementing PPCR. The pilot programs and projects implemented under the PPCR are country-led, build on National Adaptation Programs of Action (NAPA) and other relevant country studies and strategies, and include countries in Africa, Asia, Latin America, the Caribbean and the South Pacific. **dates:** 13-15 March 2012 **location:** TBA **contact:** Climate

Investment Funds Administrative Unit **phone:** +1-202-458-1801 **email:** CIFAdminUnit@worldbank.org **www:** <http://www.climateinvestmentfunds.org/cif/>

IPCC WGIII AR5 Second Expert Meeting on Scenarios: Scenarios have a key role in the WGIII contribution to the AR5 as an integrative element. Authors from all relevant chapters will meet to coordinate and integrate the scenario activities across chapters. **dates:** 17-18 March 2012 **location:** Wellington, New Zealand **contact:** IPCC Secretariat **phone:** +41-22-730-8208 **fax:** +41-22-730-8025 **email:** IPCC-Sec@wmo.int **www:** <http://www.ipcc.ch/>

Planet Under Pressure: New Knowledge toward Solutions: This conference will focus on solutions to the global sustainability challenge. The conference will discuss solutions to move societies on to a sustainable pathway and provide scientific leadership towards the UNCSD. **dates:** 26-29 March 2012 **location:** London, United Kingdom **contact:** Jenny Wang **phone:** +86-10-8520-8796 **email:** Jen.wang@elsevier.com **www:** <http://www.planetunderpressure2012.net>

Third Intersessional Meeting for UNCSD: The final intersessional meeting for the UNCSD will be convened in March 2012. **dates:** 26-27 March 2012 **location:** UN Headquarters, New York **contact:** UNCSD Secretariat **email:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/rio20/>

Climate Change Mitigation with Indigenous Peoples: Practices, Lessons Learned and Prospects: The workshop aims to: reflect the range of perspectives concerning indigenous peoples/local communities and climate change responses (including mitigation) and outline a publication in a Special Issue of a peer-reviewed scientific journal. **dates:** 26-28 March 2012 **location:** Cairns, Queensland, Australia **contact:** United Nations University – Institute of Advanced Studies Traditional Knowledge Initiative **phone:** +61-8-8946-6792/7652 **fax:** +61-8-8946-7720 **email:** tki@ias.unu.edu **www:** http://www.unutki.org/news.php?news_id=123&doc_id=6

Sixth International Conference on Community Based Adaptation: The conference aims to bring together stakeholders and practitioners to share and discuss knowledge of community-based adaptation planning and practices from different parts of the developing world, share best practices and disseminate lessons learned. **dates:** 16-22 April 2012 **location:** Hanoi, Viet Nam **contact:** Disaster Management Centre (DMC) **phone:** +84-4-3733 5805 **fax:** +84-4 37336647 **email:** dmc @ccfsc.gov.vn **www:** <http://aits.vn/aits/1/2/3/dmc/index.php>

CIF Trust Fund Committee and Sub-Committee Meetings: The Climate Investment Funds (CIF) Committee will meet to approve new projects and review implementation of the CIF. **dates:** 30 April - 4 May 2012 **location:** Washington DC, United States of America **contact:** Climate Investment Funds Administrative Unit **phone:** +1-202-458-1801 **email:** CIFAdminUnit@worldbank.org **www:** <http://www.climateinvestmentfunds.org/cif/>

3rd World Congress on Cities and Adaptation to Climate Change: The congress will be articulated around the themes of: urban risk; resilient urban design: water, food security and biodiversity; resilient urban renewable energy; resilient urban logistics; and financing the resilient city. **dates:** 12-15 May 2012

location: Bonn, Germany **contact:** ICLEI **phone:** +49-228-976-299-28 **fax:** +49-228-976-299-01 **email:** bonn2012@iclei.org **www:** <http://resilient-cities.iclei.org/>

UNFCCC Subsidiary Bodies: The 36th sessions of the SBSTA and SBI will take place in June. **dates:** 14-25 May 2012 **location:** Bonn, Germany **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **email:** secretariat@unfccc.int **www:** <http://unfccc.int>

Climate Adaptation Futures: Second International Climate Change Adaptation Conference 2012: Co-hosted and convened by the University of Arizona (US) and the Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA) of the UN Environment Programme (UNEP), this conference will focus on adaptation to climate variability and change. **dates:** 29-31 May 2012 **location:** Tucson, Arizona, United States of America **contact:** UA Institute of the Environment **phone:** +1-520-626-4345 **email:** adaptation2012@email.arizona.edu **www:** <http://www.adaptation.arizona.edu/adaptation2012>

GEF 42nd Council Meeting: The Global Environment Facility (GEF) Council is the main governing body of the GEF, and meets to develop, adopt, and evaluate GEF programmes. **dates:** 11-14 June 2012 **location:** Washington DC, United States of America **contact:** GEF Secretariat **phone:** +1-202-473-0508 **fax:** +1-202-522-3240/3245 **email:** secretariat@thegef.org **www:** <http://www.thegef.org/gef/node/4578>

19th Session of the Commission for Environmental Cooperation (CEC) Council: The US Environmental Protection Agency (EPA) will host the 19th Regular Session of the Commission for Environmental Cooperation (CEC) Council. The Council will examine project and issues in three thematic clusters: healthy communities and ecosystems; climate change - low-carbon economy; and greening the economy in North America. **dates:** 10-11 July 2012 **location:** New Orleans, Louisiana, United States of America **contact:** Nathalie Daoust, Council Secretary **phone:** +1-514-350-4310 **fax:** +1-514-350-4314 **email:** ndaoust@cec.org **www:** <http://www.cec.org/council2012>

Third PrepCom for UNCSA: The third meeting of the Preparatory Committee for the UNCSA will take place in Brazil just prior to the conference. **dates:** 13-15 June 2012 **location:** Rio de Janeiro, Brazil **contact:** UNCSA Secretariat **email:** uncsa2012@un.org **www:** <http://www.uncsa2012.org/>

UN Conference on Sustainable Development: The UNCSA will mark the 20th anniversary of the UN Conference on Environment and Development (Earth Summit), which convened in Rio de Janeiro, Brazil in 1992. **dates:** 20-22 June 2012 **location:** Rio de Janeiro, Brazil **contact:** UNCSA Secretariat **email:** uncsa2012@un.org **www:** <http://www.uncsa2012.org/>

Third Symposium on the Ocean in a High/CO2 World: This symposium will discuss the impacts of ocean acidification on marine organisms, ecosystems, and biogeochemical cycles. **dates:** 24-27 September 2012 **location:** Monterey, California, United States of America **contact:** Elizabeth Gross, Symposium Manager **email:** egross@scor-int.org **www:** <http://www.highco2-iii.org/>

UNFCCC COP18: The 18th session of the Conference of the Parties (COP 18) to the UN Framework Convention on Climate Change (UNFCCC) and the eighth Conference of the Parties serving as the Meeting of Parties to the Kyoto Protocol (COP/MOP 8), among other associated meetings, are scheduled to take place in Doha, Qatar. **dates:** 26 November - 7 December 2012 **location:** Doha, Qatar **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **email:** secretariat@unfccc.int **www:** <http://unfccc.int>

GLOSSARY

AAUs	Assigned Amount Units
ALBA	Bolivarian Alliance for the Peoples of Our America
AOSIS	Alliance of Small Island States
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 under the Convention
CBDR	Common but differentiated responsibilities
CDM	Clean Development Mechanism
CER	Certified emission reduction
CGE	Consultative Group of Experts
CMP	Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol
COP	Conference of the Parties
CTC	Climate Technology Centre
CTCN	Climate Technology Centre and Network
EIG	Environmental Integrity Group
GCF	Green Climate Fund
GEF	Global Environment Facility
IAR	International Assessment and Review
ICA	International Consultation and Analysis
ICAO	International Civil Aviation Organization
IMO	International Maritime Organization
IPCC	Intergovernmental Panel on Climate Change
LDCs	Least developed countries
LEG	Least Developed Countries Expert Group
LULUCF	Land use, land-use change and forestry
MRV	Measuring, reporting and verification
NAMAs	Nationally appropriate mitigation actions
NAPA	National Adaptation Programme of Action
NWP	Nairobi Work Programme
QELROs	Quantified emission limitation and reduction objectives
REDD+	Reducing emissions from deforestation in developing countries, including conservation
SB	Subsidiary Body
SBI	UNFCCC Subsidiary Body on Implementation
SBSTA	UNFCCC Subsidiary Body on Scientific and Technical Advice
SIDS	Small island developing states
TEC	Technology Executive Committee
UNFCCC	United Nations Framework Convention on Climate Change



Climate Change Policy & Practice

Climate Change Policy & Practice (formerly called Climate-L.org) is a knowledge management project carried out by the International Institute for Sustainable Development Reporting Services (IISD RS) in collaboration with the UN System Chief Executives Board for Coordination.

This knowledgebase of UN and intergovernmental activities addressing the challenge of global climate change features:

- **news on UN and intergovernmental activities related to international climate change policy, updated on a daily basis;**
- **an iCal of upcoming climate change events;**
- **guest articles by key figures of the climate community and UN leaders; and**
- **policy updates.**

New posts to the knowledgebase are distributed through the Climate Change Daily Feed, which is distributed exclusively through our community listserve, CLIMATE-L.

Climate Change Policy & Practice: <http://climate-l.iisd.org/>

To receive the Climate Change Daily Feed and to subscribe to the CLIMATE-L community listserve: <http://climate-l.iisd.org/about-the-climate-l-mailing-list/>

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<webcal://climate-l.iisd.org/subscribe/icalendar/>**

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and Cooperation SDC**

附件十：其他



Global Business Day Bulletin

A Summary Report of the Fifth Global Business Day

Published by the International Institute for Sustainable Development (IISD) in collaboration with WBCSD



ONLINE AT [HTTP://WWW.IISD.CA/CLIMATE/COP17/BD/](http://www.iisd.ca/climate/cop17/bd/)
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SUMMARY OF DURBAN GLOBAL BUSINESS DAY: 5 DECEMBER 2011

Durban Global Business Day took place in Durban, South Africa, on 5 December 2011, on the sidelines of the 17th session of the Conference of the Parties (COP 17) to the UN Framework Convention on Climate Change (UNFCCC). The one-day event was the fifth global business day held during the UN climate change process, and was organized by the World Business Council for Sustainable Development (WBCSD), the International Chamber of Commerce (ICC) and the National Business Initiative (NBI).

The Day highlighted global business commitment to low-carbon economic growth. In the morning, participants engaged in panel discussions on: why a Durban deal should be relevant for business; getting climate finance right; getting climate adaptation right; and why solutions to climate need to be driven by business. The afternoon focused on the challenges for South Africa in responding to climate change.

This report summarizes the presentations and discussions held during the day, in chronological order.

A BRIEF HISTORY OF GLOBAL BUSINESS DAY

BALI GLOBAL BUSINESS DAY: The first business day, called the “Bali Global Business Day,” was organized in parallel with COP 13 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 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.

BUSINESS DAY AT COP 14: “Business Day at COP 14” convened in Poznań, Poland, on 9 December 2008. This event featured panel sessions on a shared long-term vision, 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 with the four main areas of business capability and initiative: energy efficiency and demand-side management; technology development and deployment; carbon markets and financing; and sectoral approaches.

COPENHAGEN BUSINESS DAY: The third such event, “Copenhagen Business Day,” convened at the headquarters of the Confederation of Danish Industry, in Copenhagen, Denmark, on 11 December 2009, during COP 15. The event featured more than 40 speakers and panelists and included: a plenary during which then UNFCCC Executive Secretary Yvo de Boer challenged participants to consider their role in addressing climate change; sessions on fulfilling potential by 2012, setting the course for 2020 and envisioning the future in 2050; and panel discussions among chief executive officers (CEOs) titled “Taking the gloves off.”

PUBLIC-PRIVATE DIALOGUES ON CLIMATE CHANGE:

In July 2010, the Government of Mexico launched a process of informal public-private dialogues on climate change, through WBCSD and ICC, recognizing that neither governments nor business can solve the problem of climate change alone and that private sector participation increases the likelihood of the development and implementation of effective and sustainable policies to address climate change. On 15 and 16 July 2010, the “Mexican Dialogues” began a Mexico City dialogue titled “Preparing ourselves for green growth.” It was followed by dialogues on: “Financing green growth” in Geneva, Switzerland, from 1-2 September 2010; “Markets and green growth” in Bonn, Germany, on 16 October 2010; and “Technology for green growth” in New Delhi, India, on 11 November 2010.

CANCUN GLOBAL BUSINESS DAY: Cancun Global Business Day met in Cancun, Mexico, on 6 December 2010, under the theme “Building Bridges.” This fourth business day took place in parallel to the UN Cancun Climate Change Conference, which convened from 29 November to 10 December 2010, and focused on the linkages between the private sector and negotiators under the UNFCCC, as well as between actors in developed and developing countries. Discussions during the event focused on: the experience of the Mexican Dialogues; patterns for diffusion of technology; the forms and strengths of South-South trade and its contributions to a green economy; and the global realities affecting responses to climate change and clean energy growth.

REPORT OF DURBAN GLOBAL BUSINESS DAY

OPENING REMARKS AND WELCOME

Björn Stigson, President, WBCSD, underlined that the private sector has the technology and management resources to effectively engage with governments on climate change, stressing that it should not wait for a signal from governments before taking action.

Jean-Guy Carrier, Secretary General, ICC, deplored the fact that business is still on the sidelines of the climate change process, calling on it to be more



Björn Stigson, President, WBCSD

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Jean-Guy Carrier, Secretary General, ICC

Cas Coovadia, Chair, NBI

proactive. He indicated that the ICC will actively participate in climate negotiations to highlight the concerns of the business sector.

Cas Coovadia, Chair, NBI, underlined the NBI's commitment to climate change initiatives, highlighting its contribution to the 2011 South African Carbon Disclosure Project report and participation in the South African Energy Efficiency Leadership Network, to be launched during COP 17.

WHAT IS AT STAKE IN DURBAN? WHY SHOULD A DURBAN DEAL BE RELEVANT FOR BUSINESS?

Marc Spelman, Global Head of Strategy, Accenture, moderated this morning session.

Christiana Figueres, UNFCCC Executive Secretary, provided an overview of the state of the negotiations, highlighting encouraging progress on adaptation issues, particularly on national adaptation plans and loss and damage. She also reported that a draft was on the table under the *Ad Hoc* Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) track, which lays out "a good foundation" to operationalize the Cancun Agreements. On the *Ad Hoc* Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP) track, she welcomed the fact that negotiations have moved beyond whether there will be a Kyoto Protocol second commitment period, to how it is going to come into effect. Figueres added that if the instruments of the Green Climate Fund (GCF), the Technology Mechanism and adaptation are approved in Durban, this would be the first clear open door for the private sector "to be more involved in a focused way." She concluded by noting "steady progress in the right direction," although recognizing that the pace is slow. She called on business to "judge the process by the current, not the waves," noting that while the waves may be going up and down, the current is steady and flowing in one direction.

In the ensuing question and answer session, Figueres clarified that realistically, the GCF will not be operational until 2013. Responding to a question on the Kyoto Protocol second



L-R: Session Moderator Marc Spelman, Global Head of Strategy, Accenture, and Christiana Figueres, UNFCCC Executive Secretary

commitment period, she underlined that governments are discussing the conditions put forward by the EU for supporting a second commitment period. Going forward, she called on the private sector to "do more, do more, and once you have done everything you can, do more." Figueres concluded by announcing the launch by the UNFCCC Secretariat, of the Momentum for Change initiative, a platform that aims to highlight projects undertaken by public-private partnerships that have been successful in addressing adaptation or mitigation.

GETTING CLIMATE FINANCE RIGHT

This morning session was moderated by Alan Miller, Principal Climate Change Specialist, International Finance



Session Moderator Alan Miller, Principal Climate Change Specialist, IFC

Corporation, who explained that the session would focus on how the private sector draws on, and contributes to, climate funds.

Kersten-Karl Barth, Sustainability Director, Siemens AG, described an energy efficiency success story where technology upgrades improved energy consumption and provided a steady return. He said such success stories illustrate that greener production makes business sense and should act as a lever for investments.

Claus Stig Pedersen, Senior Director, Head of Sustainability Development, Novozymes A/S, underscored that for climate funds to successfully engage the private sector, they need to reduce carbon market and regulatory risks for project developers. He added that the GCF must be transparent and private sector-friendly.

Dennis Welch, Executive Vice President and Chief Administrative Officer, American Electric Power, underlined the need for businesses to insure the returns on their investments in climate change mitigation and adaptation projects. He added that climate investments should also have a greater focus on adaptation.

Vesile Kulaçoğlu, Director, Trade and Environment Division, World Trade Organization (WTO), emphasized the importance of coherence between climate finance and the international trading system. She concluded by noting that promoting predictable and stable regulatory and business environments, and adhering to the WTO rules, can ensure the leverage of private finance.

In the ensuing discussions, a representative of the International Energy Agency (IEA) underscored the need to mobilize domestic investment in developing countries, by improving the investment climate and setting up adequate policies. A representative from Greenpeace asked whether it was suggested that the GCF be used to finance coal projects and expressed concern over carbon capture and storage investments. Welch replied that it is unrealistic to expect coal to be replaced by renewables in the US until mass storage technology is developed. Barth pointed to positive developments in the areas of energy generation and energy efficiency, underlining that over 40% of Siemens' revenue is generated through its environment portfolio. Pedersen recommended that the GCF act as a catalyst for private sector investments.

GETTING CLIMATE ADAPTATION RIGHT

This morning session was moderated by Bruno Berthon, Global Managing Director, Accenture, and focused on how businesses incorporate climate adaptation into their long-term strategies.



Vesile Kulaçoğlu, Director, Trade and Environment Division, WTO



L-R: Jeff Seabright, Vice President, Environment and Water Resources, The Coca-Cola Company; Bjørn K. Haugland, Chief Operating Officer, Sustainability and Innovation Division, DNV; Rachel Kyte, Vice President, Sustainable Development, The World Bank Group; Session Moderator Bruno Berthon, Global Managing Director, Accenture; Zola Tsotsi, Chairperson, Eskom; and Sarah Frazee, Director, Conservation South Africa

Sarah Frazee, Director, Conservation South Africa, underlined that limits to, and degradation of, natural resources pose increased risks to businesses. She called on businesses to adopt climate adaptation strategies and share their ideas and expertise on demonstrating adaptation measures.

Rachel Kyte, Vice President, Sustainable Development, The World Bank Group, underlined that most of the costs of increased climate change-induced natural disasters will be borne by the private sector. She encouraged the private sector to take strong action in partnering with government agencies to understand the risks and develop long-term adaptation strategies.

Bjørn K. Haugland, Chief Operating Officer, Sustainability and Innovation Division, Det Norske Veritas (DNV), discussed the use of climate models to inform adaptation measures. He underlined the need for decision makers to work closely with experts on the selection of appropriate climate models that will inform their adaptation measures.

Jeff Seabright, Vice President, Environment and Water Resources, The Coca-Cola Company, indicated that the company is already experiencing strong changes in its water supplies, as predicted by climate science. He explained that it carries out source water protection assessments, works on improving resilience of shared water resources, and aims to provide safe drinking water to two million people in Africa by 2015.

Zola Tsotsi, Chairperson, Eskom, emphasized that adaptation is a key component of Eskom's strategy, and that the power utility is working with academic institutions and the government to incorporate research and climate models into its planning.

In the subsequent discussions, Kyte described how, through innovation, financial institutions are developing new risk management instruments to address uncertainty. Frazee underlined the need for private sector participants to share their experiences and good practices in order to learn from one another, how to deal with uncertainty. Panelists also addressed the training of managers on mainstreaming adaptation issues into their businesses, with Seabright highlighting training in watershed management.

THE DURBAN DEBATE: WHY SOLUTIONS TO CLIMATE NEED TO BE DRIVEN BY BUSINESS

This morning session was moderated by Chris Gibbons, Broadcaster, and aimed to examine why solutions to climate should be driven by business.

On the question of the possible consequences for the climate landscape of the lack of a second commitment period under the Kyoto Protocol, Levent Çakıroğlu, CEO, Arcelik, underlined the need for the private sector to operate within clear policy frameworks. He added that through innovation, particularly in energy efficiency, companies can differentiate themselves on the market.

Brian Dames, CEO, Eskom, underscored the need for businesses in Africa to fund projects under the Kyoto Protocol's flexibility mechanisms.

Andrew Steer, Special Envoy for Climate Change, World Bank, stated that although a second commitment period would send a good signal, it would not solve the climate crisis. Noting the variety of current actions to address climate change, he called for tripling the level of action.

Caio Koch-Weser, Vice Chairman, Deutsche Bank Group, stressed the need to scale up the existing good practices from the private sector.

On whether carbon pricing is the key driver of changing lifestyles and consumer behavior, panelists agreed that pricing is a component of a number of measures, including youth education and knowledge raising, marketing, and incentives. Koch-Weser called for a new narrative for growth and Philippe Joubert, Deputy CEO, Alstom, said regulations are needed to guide consumer behavior.

Panelists then addressed whether climate funds distort markets and if commercially viable climate change projects should be favored. Steer stated that greening the economy is an incremental process and underlined that the role of public funding is to leverage private sector support. Çakıroğlu said businesses need to look for opportunities and not rely solely on funding mechanisms. Dames highlighted that in developing countries, climate funding helps achieve both development and climate objectives. Panelists called for urgent bottom-up actions and ground-level alliances to bring about changes in societies, consumer habits and social conscience.



L-R: Andrew Steer, Special Envoy for Climate Change, World Bank; Levent Çakıroğlu, CEO, Arcelik; Caio Koch-Weser, Vice Chairman, Deutsche Bank Group; Brian Dames, CEO, Eskom; Philippe Joubert, Deputy CEO, Alstom; and Session Moderator Chris Gibbons, Broadcaster

KEYNOTE ADDRESSES

At lunch time, participants heard two keynote addresses.

William Egbe, South Africa Business Unit President, The Coca-Cola Company, stressed the responsibility of business to be part of the response to climate change. He provided an overview of the actions of the Coca-Cola Company in Africa addressing climate change, highlighting the construction of a plant in South Africa that has a zero landfill target and 100% treatment of wastewater.

Trevor Manuel, Minister in the Presidency for National Planning Commission, South Africa, presented on Africa's prospects and opportunities in the context of the green economy. Stressing that the African economy was predicted by the International Monetary Fund (IMF) to grow by 6% in 2011, he warned that access to, and deployment of, renewable energy remains a problem. He underscored the need to flag the enormous opportunities that exist on the continent and called for an emphasis on intra-African trade.



William Egbe, South Africa Business Unit President, The Coca-Cola Company



Trevor Manuel, Minister in the Presidency for National Planning Commission, South Africa

CHALLENGES AND SOLUTIONS FOR SOUTH AFRICAN BUSINESS OVER CLIMATE CHANGE

BUSINESS RISK AND ADAPTATION

This session was moderated by Crispian Olver, Director Linkd Environmental Services.

Cyprian Chitundu, CEO, Zambia Electricity Supply Corporation, spoke on managing climate risk in the Zambezi river basin. He noted that 98% of Zambia's electricity is supplied by hydropower and is therefore highly vulnerable to fluctuating climate and rainfall patterns. He informed that Zambia is considering using coal-fired power stations to secure its energy supply.

Simon Sussma, Chairman, Woolworths, described the shift of the basis of Woolworths' business towards four key pillars, namely: "blackening" the demographics of the company to address imbalances brought about during apartheid; being socially responsible and donating to charities; reducing the company's carbon footprint; and improving corporate governance. He urged business leaders to be long-term stewards of resources, instead of focusing on short-term results.

In the ensuing discussions, Sussma explained that Woolworths' "Good Business Journey" was driven by a combination of drivers, including consumer demand and "the feeling that it was the right thing to do." Participants also discussed partnerships between businesses and academia, and the importance of business reputation.

BUSINESS AND MITIGATION

This afternoon session was moderated by Crispian Olver.

Peter Lukey, Department of Environmental Affairs, South Africa, presented the South African national climate change response policy. He outlined the policy's two objectives, namely to manage inevitable climate change impacts, and to make a fair contribution to the global effort to stabilize greenhouse gas emissions. He noted that South Africa aims to massively cut sectoral emissions to meet carbon mitigation targets.

Highlighting that 50% of the needed emission reductions could be achieved through energy efficiency measures, Carlos Pone, CEO, ABB South Africa, called on businesses to "go on a diet."



Peter Lukey, Department of Environmental Affairs, South Africa

Sim Tshabalala, CEO, Standard Bank South Africa, stressed the need for clear signals from government to the private sector to facilitate the shift towards a low-carbon economy. He also underscored the importance of appropriately structuring green projects, noting that the Clean Development Mechanism (CDM) process is long and costly.

In ensuing discussions, Olver stated that the question is not whether companies are big emitters, but what they are doing to address climate change. A representative from Greenpeace stated that many companies that "talk green" actually oppose key policy initiatives to move towards a low-carbon economy. Pone pointed to the low level of awareness of energy efficiency and new technologies. Tshabalala referred to the challenge of replacing the jobs that will disappear in the transition to a green economy.

CEO FIRESIDE CHAT

Yvo de Boer, Special Global Advisor, Climate Change & Sustainability, KPMG, moderated this afternoon session, which



Andre Wilkens, CEO, African Rainbow Mineral

focused on the mining and metals industry's perceived role as a major contributor to the climate change crisis.

On whether the public and media's negative view of the mining industry is correct or misperceived, Andre Wilkens, CEO, African Rainbow Mineral, and Natascha Viljoen, Executive Vice President of the Processing and Sustainability Division, Lonmin, stated that the mining industry should market itself better and publicize green initiatives that are being undertaken. Godfrey Gomwe, Executive Director, Anglo American South Africa, noted that it is important that industry first accept that there is an issue, and then act on it.



Anthony Hodge, President, ICMM

Anthony Hodge, President, International Council on Mining and Metals (ICMM), underlined ICMM's role to enhance the industry's social and environmental performance, emphasizing that there is still a way to go to address the historical legacy of mining, which has been exacerbated by the public's more recent distrust of global corporations.

De Boer questioned panelists on the potential to limit environmental and social impacts, given society's increasing resource requirements. Wilkens, Viljoen and Hodge responded that the mining industry must change to understand and consider all impacts of its business activities, and must also have long-term plans for sites, including plans for

decommissioning, at their inception planning. Gomwe and Hodge said industry must learn to do more with less and decouple growth from environmental impacts.

Responding to a question about the mining and minerals industry's increasing its social responsibility initiatives, panelists gave examples of situations where mines act as the catalysts for infrastructure development at new locations, with Gomwe noting his company's Emalaheni project that supplies excess mine water to a community of 60,000 people near Witbank, South Africa.

On regulatory environments, panelists agreed that tax should influence behavior, with De Boer concluding the session by posing the question of whether taxes should be the burden of the "producer paying" or of consumers.

WRAP UP REMARKS

Yvo de Boer summarized the discussions, highlighting that 85% of mitigation investments will be made by the private sector and that a significant part of the costs of inaction will also be borne by the private sector. He noted the call for an investment recovery assurance mechanism for business and for bottom-up building of coalitions. He concluded by urging business to be more vocal in the climate change discussions.

Steve Lennon, NBI Board Member, underscored the unparalleled display of climate action in the lead-up to COP 17 at the CEO Forum. He expressed the hope that Global Business Day would act as a catalyst for change and continued climate action from business. He closed the event at 6:47pm.

CLOSING REMARKS

During the reception, Laurent Corbier, ICC, said business should work towards proving the saying wrong, that "the low-carbon economy is like heaven, everyone wants to go, but not now."

Peter Bakker, elected WBCSD President, stated that when he assumes leadership of WBCSD, he intends to tap into the private sector's strong track record of success in acting on climate change.

Anthony Hodge, ICMM, stated that the ICMM had developed a principled approach for the mining industry to address climate change, to be launched during COP 17.

UPCOMING MEETINGS

UN Secretary-General's Fifth High-level Panel on Global Sustainability (GSP 5): At this meeting, the Panel members are expected to approve their final report, for submission to the Secretary-General in January 2012. **date:** 15 December 2011 [tentative] **location:** New York, US **contact:** GSP Secretariat **phone:** +1-917-367-4207 **e-mail:** gsp-secretariat@un.org **www:** http://www.un.org/wcm/content/site/climatechange/pages/gsp/GSP_Secretariat

WTO Eighth Ministerial Conference: This Ministerial Conference brings together all members of the WTO, and will, *inter alia*, evaluate and decide on how to proceed with

the Doha Round of negotiations. **dates:** 15-17 December 2011 **location:** Geneva, Switzerland **contact:** WTO Secretariat **phone:** +41(0)22-739-5111 **fax:** +41-22-731-4206 **e-mail:** enquiries@wto.org **www:** http://www.wto.org/english/thewto_e/minist_e/min11_e/min11_e.htm

International Year for Sustainable Energy for All:

In December 2010, the UN General Assembly adopted a resolution proclaiming 2012 as the "International Year for Sustainable Energy for All" (Resolution 65/151), aimed at creating "an enabling environment for the promotion and use of new and renewable energy technologies, including measures to improve access to such technologies." **date:** 1 January 2012 **location:** worldwide **www:** http://www.un.org/ga/search/view_doc.asp?symbol=A/65/436

Fifth World Future Energy Summit: The Summit will concentrate on energy innovation in policy implementation, technology development, finance and investment approaches, and existing and upcoming projects. It will seek to set the scene for future energy discussions in 2012, with leading international speakers from government, industry, academia and finance sharing insights, expertise and cutting edge advances in technology. **dates:** 16-19 January 2012 **location:** Abu Dhabi, United Arab Emirates **contact:** Naji El Haddad **phone:** +971-2-444-6113 **e-mail:** naji.haddad@reedexpo.ae **www:** <http://www.worldfutureenergysummit.com/>

Global Energy Basel - Second Sustainable

Infrastructure Financing Summit: The conference will bring together global leaders in industry, government and business to create a dialogue on the future of low-carbon sustainable infrastructure and help design the investment landscape of three innovative, high-growth markets that account for over 70% of global greenhouse gas emissions: building and urban development; transportation; and sustainable energy supply. **dates:** 21-22 February 2012 **location:** Basel, Switzerland **contact:** Global Energy Basel **phone:** +41-61-205-1040 **e-mail:** info@globalenergybasel.com **www:** <http://globalenergybasel.com/>

GLOBE 2012: This meeting offers platforms for thinking, dialogue and action by the worldwide financial services and investment community in preparation for the UN Conference on Sustainable Development (UNCSD or Rio+20). The annual meeting is one of North America's largest environmental technology trade shows and sustainable business conferences. **dates:** 14-16 March 2012 **location:** Vancouver, Canada **contact:** Rebecca Peters **phone:** +1-604-762-2098 **www:** <http://www.justmeans.com/press-releases/GLOBE-Foundation-and-United-Nations-Environment-Programme-Sparking-Global-Conversation-on-Road-to-Rio-20/7533.html>

UNFCCC Subsidiary Bodies May 2012: The venue for these meetings of the UNFCCC Subsidiary Bodies is likely to be Bonn, Germany. **dates:** 14-25 May 2012 **location:** TBA **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **e-mail:** secretariat@unfccc.int **www:** <http://www.unfccc.int>

UN Conference on Sustainable Development (UNCSD):

This meeting is also referred to as Rio+20. It will mark the 20th anniversary of the UN Conference on Environment and Development (UNCED), which convened in Rio de Janeiro, Brazil. **dates:** 20-22 June 2012 **location:** Rio De Janeiro, Brazil **contact:** UNCSD Secretariat **e-mail:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/>

18th Conference of the Parties to the UNFCCC: the 18th Conference of Parties to the UNFCCC, plus the 8th session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, will take place in Qatar from 26 November to 7 December 2012. **dates:** 26 November - 7 December 2012 **location:** Doha, Qatar **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **e-mail:** secretariat@unfccc.int **www:** <http://www.unfccc.int>



Godfrey Gomwe, Executive Director, Anglo American South Africa



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Development and Climate Days Bulletin

A Summary Report of the Development and Climate Days at COP 17

Published by the International Institute for Sustainable Development (IISD) in collaboration with IIED



ONLINE AT [HTTP://WWW.IISD.CA/CLIMATE/COP17/DCD/](http://www.iisd.ca/climate/cop17/dcd/)
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SUMMARY OF DEVELOPMENT AND CLIMATE DAYS AT COP 17: 3-4 DECEMBER 2011

The “Development and Climate Days at COP 17” event was held at the Southern Sun North Beach Hotel in Durban, South Africa, from Saturday 3 to Sunday 4 December 2011. The event took place in parallel with the seventeenth meeting of the Conference of the Parties (COP 17) to the UN Framework Convention on Climate Change (UNFCCC) and seventh Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol.

Development and Climate Days has been a feature of the UNFCCC negotiations since 2002, providing an opportunity for participants to share information on key development and climate change issues. In Durban, several hundred participants attended the two-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 in collaboration with the Japan International Cooperation Agency.

The event featured more than 40 speakers and panel discussions, with contributions from participants. It focused on “effective climate change adaptation planning” in response to the decision taken in 2010 under the Cancún Adaptation Framework to invite all countries, and especially least developed countries, to develop National Adaptation Plans. Sessions focused on: the value of vulnerability assessments; monitoring, evaluating and prioritizing adaptation options; research effectiveness in contributing to adaptation, drawing from experiences in Africa; evidence from impact and vulnerability assessments in China, and their implications for adaptation planning; information needs and use in different approaches to adaptation planning; realities and politics of adaptive decision-making; and adaptive decision-making in cities.

The event also included a film competition on the theme of resilience to climate change, supported by the Climate and Development Knowledge Network, featuring short films from around the world.

This report summarizes the presentations and discussions held over the two days.

A BRIEF HISTORY OF CLIMATE CHANGE AND DEVELOPMENT ISSUES

Until recently, climate change was viewed largely as an environmental concern of little relevance to development policy makers or practitioners. Likewise, development considerations were given less attention than technological and natural science

approaches focusing on reducing greenhouse gas 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 has 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 greenhouse gas emissions. As such, development policy and practice must address climate change issues.

Development and Climate Days began as “Adaptation Day” in 2002 to discuss some of these emerging issues. The “Development Day” component was added in 2004 to bring in development practitioners who would not normally attend UNFCCC negotiations but who had relevant information to share, and whose work might be influenced by the climate change community. In 2007, the event was renamed “Development and Climate Days” to reflect that adaptation had become increasingly mainstreamed into the development agenda and that good adaptation presupposes development. The renaming of the event also sought to reflect the fact that climate change and development are linked both through adaptation and mitigation.

The most recent Development and Climate Days prior to Durban was held in parallel with COP 16 in Cancún, Mexico. That event focused on: low-carbon, resilient development; adaptation, including community-based institutions, planning, assessment and financing; climate change communications; the Fairtrade movement and climate change; and climate change and migration.

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Room view of "Development and Climate Days at COP 17"

REPORT OF DEVELOPMENT AND CLIMATE DAYS AT COP 17

OPENING REMARKS

"Development and Climate Days at COP 17" opened on Saturday, 3 December. Jessica Ayers, International Institute for Environment and Development (IIED), opened the first day by welcoming participants and outlining the themes and organization of the event. Saleemul Huq, IIED, explained the history and evolution of Development and Climate Days (D&C Days).



Saleemul Huq, IIED

THE VALUE OF VULNERABILITY ASSESSMENTS

Session Chair Ian Burton, IIED, opened this session on Saturday morning by asking participants to contemplate his proposal for a legally non-binding resolution declaring that vulnerability assessment is an essential tool to guide the development of adaptation policy. Fawad Khan, Institute for Social and Environmental Transition, critiqued current practice in vulnerability assessments, saying they are often used to justify interventions already underway under existing development assistance. He suggested there are several kinds of vulnerability, including material, institutional and attitudinal. He said, for example, that a poor person may not necessarily feel as vulnerable to climate impacts as a person or institution that has substantial investments in-place. He argued for a measure of vulnerability that: focuses on "why one is vulnerable, rather than who is vulnerable"; provides a diagnosis rather than simply describes vulnerability; and looks at actions and actors.

Anne Hamill, International Institute for Sustainable Development (IISD), presented on the use of vulnerability assessments in the Climate Risk Management Technical Assistance Support Project in seven countries in Latin America and Africa. She said that, while the process of carrying out the assessment is valuable, for instance in validating existing research and getting people to talk to each other, vulnerability assessments tend to: be unpopular; be messy, because the more you understand the more frustrating it gets; and need more time and money than is usually accounted for. She highlighted the need to take into account trade-offs and sustainability issues.

Lindsey Jones, Overseas Development Institute, presented on experiences based on the Africa Climate Change Resilience Alliance. He said it is hard to separate actions taken in

response to climate change from those taken in response to other development pressures; most responses to climate change and development pressures are reactive and focus on the short-term; development projects are mainly focused on the provision of assets such as technology; and few interventions adequately consider the social, cultural and political context. He emphasized the need to support local capacity, support innovations, and promote forward-looking decision-making.

Responding to observations from audience members, Hamill stressed that those undertaking vulnerability assessments need to be very clear from the start about the intended end-use and who the end-users are. She said analysis needs to examine what barriers exist to coping with climate change, or conversely, what is working well in helping to cope. All panel members agreed that more adaptation work needs to address weather, as opposed to climate, issues, with Khan suggesting that the focus should be looking at who survives extreme weather events and why.

Other issues raised by participants included: concerns about existing "vulnerability indices"; whether and how to use vulnerability assessment to generate a dialogue to address the real underlying issues in climate change adaptation; and the static nature of many vulnerability assessments, not addressing how vulnerability itself changes over time.

MONITORING, EVALUATING AND PRIORITIZING ADAPTATION OPTIONS

Simon Anderson, IIED, chaired the Saturday morning session on Monitoring, Evaluating and Prioritizing Adaptation Options. He said it is important to assess the effectiveness of climate adaptation to ensure: the effectiveness of adaptation investments; development goals are on track; costs and benefits are distributed fairly; and climate resilience is enhanced.

Heather McGray, World Resources Institute, described monitoring and evaluation (M&E) as a process of asking questions, gathering data, tracking activities, and reviewing results; all within their specific context. She said M&E activities could be an important tool for learning, managing, and promoting accountability. Among the emerging lessons and principles from the current state of play, she listed: the importance of participation; simplicity; making M&E useful for adapting well; understanding the context; and iterative and shared learning.

Tine Rossing, CARE, and Jessica Ayers, IIED, presented on the Monitoring, Evaluation, Reflection and Learning (MERL) tool. Rossing said the participatory M&E tool is mainly for the use of local stakeholders to help them: articulate their own needs; measure changes to ensure effectiveness; continue adapting beyond the scope of a specific project or activity; and facilitate a continuous learning process.

Ayers said MERL aims to measure changes in adaptive capacity; track changes in the drivers of vulnerability; and track process and practice. She said a key feature of the tool is that it takes risks into account upfront, and tracks them to enable quicker responses.

Muyeye Chambwera, IIED, discussed limits to traditional economic assessments of adaptation. He stressed adaptation planning should: consider inputs needed at the local, regional and national levels; analyze the distribution of costs and



Jessica Ayers, IIED

benefits among players at each level; and account for some stakeholders that may not be represented but should be factored into assessments.

J. Timmons Roberts and Ashley Moran, AidData/Climate Change and African Political Stability Program, discussed new tracking and targeting tools using geocoded data on climate finance, aid projects and activities linked to maps concerning conflicts and climate vulnerability. Moran explained the goal is to track and assess whether climate aid actually addresses specific climate risks, and the particular types of vulnerability in a given area.

Nick Brooks, consultant, discussed development and components of a Tracking Adapting and Measuring Development framework to measure adaptation success regarding: capacity to understand and respond to climate risks; vulnerability of populations and key systems; development outcomes; and links between policy, institutions and vulnerability “on the ground.” He said indicators to be included would be identified and normalized over the next six months, after which four to five countries in Africa, Asia and the Caribbean would be identified in which to operationalize the framework.

RESEARCH EFFECTIVENESS IN CONTRIBUTING TO ADAPTATION: EXPERIENCES FROM CLIMATE CHANGE ADAPTATION IN AFRICA

On Saturday morning session Chair Fatima Denton, Climate Change Adaptation in Africa (CCAA) Programme, explained the goals and focuses of CCAA. She said CCAA emphasizes enhancing African participation in research processes concerning adaptation in Africa, bringing together imminent climate researchers with people working on the ground on the issue in Africa.

Houssine El Mzouri, National Agro-economic Research Institute, Morocco, discussed research on the drivers of climate risk in African agriculture. He said the research showed that there are inherent adaptation mechanisms already in Africa that can be facilitated or limited by factors such as institutional arrangements and interactions, or access to finance and innovations. He stressed that a better understanding of local climate change trends and impacts and the ways that local communities adapt can better inform action by the region’s policymakers.

Joy Obando, Kenyatta University, addressed the links between action research and policy, based on experiences from CCAA. She said adaptation-relevant policy is broad and complex in process and scale, and practitioners should engage with policy-making processes to ensure sustainability in process and projects. She noted adaptation policy at the national level is still in transition in many countries, providing an opportunity to make sure the right policies are adopted from the start.

Paul Mapfumo, University of Zimbabwe, spoke on the need for, and pathways to, transformational change based on lessons from CCAA. He said a “business unusual” approach is needed to deal with climate change impacts. For transformational change, he said, it is important to focus on the process as well as the outcomes, and recognize that processes could be transformational in themselves. He also emphasized the importance of: the inclusion of, and benefits for, change agents; broader involvement and empowerment of stakeholders; and greater focus on long-term sustainability.

In subsequent discussions, Denton asked audience members involved in the CCAA Programme what they felt CCAA brought to the adaptation debate that is distinctive. The

responses included that the project: has many spinoffs which are useful but difficult to categorize and describe, yet need to be borne in mind; highlights the need for continuity over time between projects by focusing more on long-term programmes for capacity-building in Africa; highlights synthesizing at the diverse research regional level, where useful lessons can be drawn; brings together diverse experts and stakeholders and creates a platform for ongoing exchange, which should better include policymakers; and highlights the role of farmer perceptions about climate-associated land changes, versus what measurements reveal.

Participants also discussed the need to: ensure the network keeps functioning after current funding ends; feed information from CCAA into policymaking at the local, national and global levels; and prompt transformational change through CCAA.

Denton closed the session by saying that CCAA is about ensuring that Africa is capable of dealing with adaptation and showing evidence of African capabilities, resourcefulness and resilience.

ADAPTING TO CLIMATE CHANGE IN CHINA: EVIDENCE FROM IMPACT AND VULNERABILITY ASSESSMENTS, AND IMPLICATIONS FOR ADAPTATION PLANNING

The Saturday afternoon session on “Adapting to Climate Change in China: Evidence from Impact and Vulnerability Assessments, and Implications for Adaptation Planning” was chaired by Rebecca Nadin, team leader of the Adapting to Climate Change in China Programme (ACCC).

Emanuele Cuccillato, ACCC, described China as a climate adaptation ‘hotspot,’ and said the recent 12th five-year plan is the first to include a section on adaptation. He said ACCC is the largest adaptation policy research project in China, focusing on five main sectors – agriculture, water, grasslands, health and disaster risk reduction.

Among the adaptation challenges in China, he listed: lack of regional climate models; limited access to climate data; knowledge gaps for sector-specific impacts; and the lack of a coherent framework for climate change vulnerability and risk assessment. He said the ACCC has made several contributions, including: the development of a first set of multiple regional climate models; a common language and shared glossary; a wide partnership; training workshops for researchers and policymakers; and links with global and regional adaptation networks.

Reflecting on the lessons from the ACCC, he said: bringing together a large partnership with different disciplines is challenging and time-consuming; participatory tools work better if they are home-grown; data and information sharing pose challenges; the policy and research worlds travel at different speeds; and active result sharing and learning are important.

Richard Jones from the UK Met Office – Hadley Centre described a process through which a subset of five models was selected to capture the magnitude and the full range of characteristics of climate change in China under the ACCC. He said significant investment is needed to install and apply the downscaling infrastructure, and to disseminate the downscaled data. Listing potential opportunities, he said the lessons learnt as part of the ACCC have global relevance.

Xu Yinlong, Chinese Academy of Agricultural Sciences, first discussed the modeling and general projection for climate change impacts in China, then outlined work under the ACCC to model potential climate change impacts in three areas: agriculture, grassland livestock, and water resources.

He reported that the models projected yield changes for rice, wheat and maize, and high sensitivity for grasslands and water resources, and that risk assessments are now underway to consider socioeconomic conditions in the three areas.

Pan Jia Hua, Chinese Academy of Social Sciences, discussed the policy implications of “climate capacity” assessments of grasslands in Inner Mongolia and agriculture in Ningxia. He reported the assessments found that increasing population and urbanization trends will worsen climate capacity in both, and that adaptation measures must address key socioeconomic drivers. He said cost-benefit analysis should be used for climate migration decision-making, and that, since climate capacity differs between different sub-regions, these differences could be used for transferring, enhancing and restoring the capacity. He called for considering adaptation funding at the regional, national and international levels.

Fenglian Du, Inner Mongolia University, presented on assessing the vulnerability of the grassland livestock industry to drought in Inner Mongolia, under the ACCC. She said that as the largest grassland in China, and being dependent on the livestock sector, Inner Mongolia is very vulnerable to climate change. Among the measures suggested by the assessment, she listed policy evaluation from the perspective of adaptation; income diversification; and improved access to water resources to help build adaptive capacity.

In response to a question concerning successful examples of private sector involvement in adaptation in China, Yinlong said that adaptation efforts, which were in the early stages, were mainly carried out by the government. Another participant asked whether the social and hard sciences were being successfully integrated as part of the ACCC. Cuccillato said integration has been a long and slow process, and still poses a challenge. To promote trust and understanding, he said, a common language, including a glossary of key terms, was developed under the ACCC.

PANEL DISCUSSION: SHARING AND COOPERATION BETWEEN AFRICA AND CHINA

Simon Anderson, IIED, chaired this session on Saturday afternoon. He asked panel members to describe the most important thing they had learned from the CCAA and ACCC sessions. Denton said she had been struck by the similarities between the two. She suggested potential areas of Africa-China cooperation, including agricultural adaptation, safety nets that make farms more resilient to climate shocks, community-level irrigation and water conservation, “climate smart” crops and adapting institutions to deal with climate change.

Xu Yinlong said a key lesson from the ACCC is that there is no single response to adaptation. He felt it would be useful to know how adaptation assessments are integrated and synthesized at the regional level under the CCAA, and the lessons from adaptation in African agriculture. He opined it would be useful to establish a network for ongoing China-Africa exchange on adaptation issues.

Du Fenglian stressed: adaptation research increases awareness among all parties of climate impacts, risk assessments should worry less about influencing government policy than changing practice; and communication since what the government wants is not always what the people want and policy should account for that.

Youba Sokona, African Climate Policy Centre, welcomed discussion of South-South cooperation, and urged less focus on vulnerability than on building capacity and utilizing the capacity that already exists, because “people and donors do not

want to buy desperation, they want to buy hope.” He stressed the critical role of investing in the generation and management of the basic information needed for adaptation planning. He said China could help Africa in defining low-carbon energy and transport systems, and in sharing experiences on the economics of adaptation, such as for crops. Finally he urged that the interaction be created in a manner that it would be long- not short-term.

Yinlong said although the 2007 China National Programme on Climate Change emphasized the importance of both adaptation and mitigation, there are fewer adaptation activities at the community level, compared to mitigation activities. He felt this was because mitigation activities are relatively easier to identify and implement and emphasized focusing on adaptation technologies.

Panelists discussed the importance of institutions, including the renewal of existing institutions, and common platforms to bring together people with varied perceptions and interests.

One participant called for a research focus on providing local communities with the technical and other resources they need to deal with climate change impacts. Another asked how sharing of traditional knowledge between communities in China and Africa could be enhanced. A panelist commented that, although traditional knowledge is of tremendous value, there are instances when traditional practices need to adjust in response to new scientific findings.

Another participant said that whereas adaptation appears to be driven by a community approach in Africa, in China it is driven by a more national-level, science-driven approach, suggesting this presented an ideal combination for learning from each other, and proposing a more formalized process for cross-fertilization of ideas between the CCAA and ACCC projects. Panelists and participants greeted this idea enthusiastically as an opportunity for South-South cooperation.

The session closed with Denton calling for better scaling-up of good practices in Africa, and a genuine leapfrogging particularly in the context of energy.

INFORMATION NEEDS AND USE IN DIFFERENT APPROACHES TO ADAPTATION

This Sunday morning session was chaired by Saleemul Huq, IIED. Hannah Reid, IIED, described a study by the Ecosystems and Livelihoods Adaptation Network (ELAN) which found that there is a good degree of evidence supporting the use of ecosystem-based adaptation (EbA), but identified information gaps that she hoped would be the basis for future research, such as comparisons with alternative adaptation strategies, discussion of thresholds, boundaries and tipping points, more attention to costs, and more information on whether EbA is being supported by local/national/international policies. Regarding next steps, she suggested addressing the research gaps, the need for strategic monitoring, and the need to “get going,” since much adaptation is learning by doing.

Farah Kabir, Action Aid Bangladesh, outlined the types of information needed for community-based adaptation (CBA), which parties need access to it, and why they need it. She suggested five considerations for effective generation, dissemination and use of CBA information: the need for location-specific information on potential climate change impacts; that information should be provided to concerned stakeholders; that information on adaptation options should incorporate and build upon existing coping strategies, and consider better processes and practices; identify who needs what kind of information to highlight areas of shared interest and facilitate cross-sector benefits; and that information



L-R: Saleemul Huq, IIED; Hannah Reid, IIED/ELAN; Farah Kabir, Action Aid Bangladesh; Ruth Mitei, CARE; and Dyborn Chibonga, National Smallholder Farmers' Association of Malawi

producers should be ready to work with and learn from local communities in order to formulate useful adaptation actions that have a chance of being adopted and owned by people on the ground.

Ruth Mitei, CARE, presented a gender perspective on informing CBA. She described the work of the Adaptation Learning Programme for Africa, implemented in four countries, and the CBA Adaptation Framework in promoting a gender approach, particularly in the field of community livelihoods and disaster risk reduction. She said the Framework is a tool to ensure that gender-based information and analysis is gathered and taken into account in adaptation planning.

Dyborn Chibonga, National Smallholder Farmers' Association of Malawi, spoke on Fairtrade and adaptation. He pointed to the importance of the agriculture sector in developing countries, and its vulnerability to climate change. He said, however, the lack of enabling policies at the national and global level has left farmers feeling like "a deer caught in a car's headlights." He stressed that accurate and accessible information – for instance, on policy provisions and their impact on access to markets and financing provisions – will enable small-scale farmers to adapt to some extent.

In subsequent discussions, one participant urged practitioners to understand and take into account the local market context when proposing measures. Kabir agreed that non-governmental organizations (NGOs) tend to shy away from market research. Chibonga pointed to Fairtrade as an alternative. Another participant called for scaling-up good practice from what is learned at the local level. Reid also emphasized scaling-up and opined that, in order to do so, practitioners have to work with governments at multiple levels. Another participant raised the issue of how to channel the energy of students wishing to participate and contribute to CBA efforts. Reid urged ELAN to consider how best to

utilize students and one participant said managing student participation is difficult, and suggested that perhaps many of the organizations in the room should discuss developing a common approach.

Noting that small-scale farmers suffer from "information insecurity," one participant asked what could be done to ensure that they get the information they need. Chibonga responded that Fairtrade actually provides substantial information all along the chain, from small-scale farmers to end-users. Another participant asked about the next steps once all the information is collected. Mitei urged considering how best to package the information to make it useful for communities, as well as considering the channels used to deliver it. Kabir suggested the next step is to bring communities and policymakers together more often, which is why many NGOs urge communities to attend meetings of the Conference of the Parties (COPs) and speak for themselves. She also suggested putting learning about adaptation on the policy agenda, and working on gender legislation, particularly women's right to own land. Reid said the need is to increase the evidence base for taking action, identifying and filling gaps and sharing lessons. She also stressed that the next step is to act, since much work in adaptation must be learning by doing, rather than academic studies. Huq suggested that the next step is to consider setting up sustainable information systems, since information is not static and there is limited utility in one-off information flows.

REALITIES AND POLITICS OF ADAPTIVE DECISION-MAKING

In this Sunday afternoon session, Session Chair Ced Hesse, IIED, introduced an indicative decision-making cycle for adaptation, saying that in reality, the cycle is heavily influenced by power relations between actors. He said the session would focus on how adaptation planning can serve as



Participants during the discussion



L-R: Ced Heese, IIED; Achala Chandari, IIED; David Ebong, Commonwealth Parliamentary Forum for African Parliamentarians; Nanki Kaur, IIED; and Golam Rabbani, BCAS

a vehicle to ensure that the more vulnerable and marginalized have a greater say, in the context of three core issues: overarching institutional frameworks, policies and laws; the financial architecture; and political will.

He then invited panelists to address the extent to which the existing institutional framework addresses power relations and the needs of the marginalized.

Achala Chandani, IIED, said research carried out in southern Africa by IIED shows that, whereas most of the countries do have existing policies and legislations relating to climate change, a lack of overarching and joined-up policy frameworks could lead to a fragmented approach to implementation.

Nanki Kaur, IIED, described the experience of Nepal in producing the country's National Adaptation Programme of Action (NAPA), which responds to local needs. She listed four policies in place or underway in Nepal to ensure local participation and access, including: strong draft text by the constitutional committee for a rights-based approach to adaptation; a commitment to ensuring that 80% of climate funds will be channeled to the local level; priority given to participation and empowerment in the national climate change policy formulated in 2011; and plans for "Local Adaptation Plans of Action."

Golam Rabbani, Bangladesh Centre for Advanced Studies (BCAS), outlined the institutional frameworks for adaptation planning in Bangladesh, including high-level committees, technical committees, and climate change units within government ministries. Session Chair Hesse asked how all this played out at the local level, and what opportunities were available for inputs from stakeholders. Rabbani responded that, during the development of the NAPA, not only ministries and government institutions were involved in providing input, but also international NGOs and local organizations.

David Ebong, Commonwealth Parliamentary Forum for African Parliamentarians, discussed his experience with the parliamentary committee on climate change in Uganda. He said the committee helped forge a strong link with local populations, which did not exist before the committee was formed. He explained that, since parliamentarians often do not have a scientific background, they need the help of a multi-stakeholder approach, but cautioned this is a relatively new phenomenon in Africa. He said that laws exist to allow non-state actors entry points into the policy process, but often those actors have limited understanding of such entry points. He urged more involvement of parliamentarians, and better access to information for citizens.

Participants offered a wide variety of responses to a question put by Hesse to the audience about how best to make the institutions in place work properly to implement adaptation planning and policy, some highlighting specific experiences in China, Thailand, Sri Lanka, Swaziland and Uganda, others stressing more meaningful participation from both local governments and local civil society, and one opining

that it will take considerable time for local civil society in most developing countries to build capacity to participate effectively in adaptation planning and policy.

Jane Mashonganyika, a small-scale farmer from Zimbabwe, described an adaptation project carried out in collaboration with the University of Zimbabwe, which included advice on different planting techniques and timing in response to climate change, and resulted in improved yields.

Hesse then invited panelists to address the role of the financial architecture in ensuring local access and participation.

Kaur said national-level adaptation planning is often in response to a mandate from the international process, and is largely project-based. This makes it difficult for national governments to prioritize local concerns, she said. She noted that developing countries were trying to address this issue in the COP 17 negotiations. Chandani agreed that the issue of "direct access" to climate finance is an important one for developing countries, particularly Least Developed Countries (LDCs), at COP 17. Rabbani described the two national funds set up in Bangladesh to promote greater national ownership of adaptation planning and implementation processes.

Hesse asked how funds could be channeled from the national to local level. A participant responded that in some countries, such as Nepal and Kenya, parliamentarians are using discretionary funds to address climate-related issues. Another participant said these decisions to use discretionary funds were likely to be politicized – communities in Kenya sometimes found it difficult to influence their use. Chandani said political will is often lacking because of insufficient information and understanding. Kaur mentioned the importance of involving the right ministries and institutions at the national level, as Nepal aims to do – including cooperatives, self-help groups, and line ministries. Ebong emphasized the need to: intensify awareness; prompt action by leaders; support local initiatives and civil society; take on board lessons from aid effectiveness efforts; and conduct "policy audits" to ensure better policy implementation, and as a feedback mechanism to hold policy makers accountable.

ADAPTIVE DECISION-MAKING IN CITIES

Session Chair Cristina Rumbaitis del Rio, Rockefeller Foundation, opened this Sunday afternoon session by providing a brief overview of the Asian Cities Climate Change Resilience Network (ACCCRN), a seven-year initiative investing in ten cities in India, Indonesia, Viet Nam and Thailand, that seeks to build the capacities of these cities in work on the intersection of three issues: climate change; the changing urban environment; and vulnerable populations and poverty. Marcus Moench, ACCCRN, said the Network was started because most work on climate vulnerability has focused on rural sectors, while urban vulnerability is very high in some areas. He said ACCCRN focuses on shared learning, bringing together local and global sources of knowledge, tries to link concepts, processes and action and provide a common framework for all, and focuses on critical urban systems such as energy, transport and water.

David Dodman, IIED, discussed the use and limits of climate science in urban adaptation planning. He said a limited evidence base exists for urban adaptation planning. He said surveys show most urban adaptation officials clearly recognize the need and value of using science as a knowledgebase, and are also keenly aware of the challenges, such as the social and political nature of knowledge acquisition, the costs of generating local projections, and the inherent uncertainty in projections. He explained that officials manage uncertainties by conducting ongoing research that is regularly updated, establishing working relationships with the science community, ensuring “built in” flexibility by combining infrastructural and behavioral responses and assessing what works.

Nusulaty Muchemwa, Carol Bwalya and Margaret Lombe from the Zambia Homeless People’s Federation made a joint presentation on how communities engage in identifying vulnerability and building resilience. They described the difficult conditions with regard to housing, flood, sanitation, health and safety risks, and water and food insecurity faced by poor households in Kitwe, Zambia, which are all exacerbated by climate change. Muchemwa said a recent IIED project, which brought together communities and the Kitwe City Council, would soon produce a report and an action plan to address these issues.

Debra Roberts, eThekweni Municipality, presented on the experience of Durban in adaptive decision-making at the city-scale. She said the Durban Municipal Climate Protection Programme, initiated in 2004, was developed in a phased manner, given the lack of precedents. She described the challenges of bringing stakeholders on board in the face of uncertainty; generating relevant data; identifying appropriate solutions while keeping abreast of recent scientific findings; and the need for flexibility. She said successes include a pioneering sectoral approach that eventually led to better integration; capacity building for ‘climate smart’ development; innovative elements such as the “Tree-Preneur” cycle to promote community reforestation; and partnerships with national and global institutions. She further described current initiatives as including the Durban Community and Ecosystem Based Adaptation (CEBA) initiative, aimed at creating green jobs for poor and unemployed communities.

In response to a question from the audience, Roberts said Durban has taken a number of steps to improve its natural infrastructure, including economic studies to show policymakers the value of protecting it, de-zoning land to protect it, tax tools, establishing areas of common management, and a land acquisition budget. Responding to a question on whether urban adaptation planners the impact of climate change in rural areas, Rumbaitis del Rio replied that, since cities are not self-contained and require inputs from rural zones, planners must look at the whole system.

HIGH-LEVEL PANEL ON “DRAWING LESSONS FOR NATIONAL ADAPTATION PLANNING”

Saleemul Huq, IIED, chaired this high-level panel session on Sunday afternoon and first asked panelists to address how the issues discussed during D&C Days feeds into the UN Framework Convention on Climate Change (UNFCCC) process. He remarked that while the event has been rich in shared learning among practitioners, little had been said about how it related to the COP.

Pa Ousman Jarju, Chair, LDC Group, noted that adaptation has not been given the focus it deserves within the UNFCCC process, but since Bali the COP has tried to at least give it focus equal to mitigation. He outlined the work of the Global Environment Facility’s (GEF) Least Developed Countries Trust Fund (LDCF), and noted the bureaucracy and slowness involved in GEF procedures. He expressed hope that the adaptation framework agreed at Cancún would help. He said that in order to adequately address medium- and long-term

questions in National Adaptation Plans (NAPs), comprehensive information on vulnerabilities is needed. He expressed hope that the terms and guidelines for NAPs would build on the experience gained with NAPAs, and help build local capacities so LDCs do not have to rely so much on outside consultants. He stressed the importance of community participation in the formulation and implementation of NAPs.

Batu Uprety, Environment Ministry, Nepal, described recent developments in his country, including the creation of the Climate Change Council chaired by the Prime Minister, adoption of a NAPA, and a new Climate Policy that emphasizes a low-carbon development path. He noted the recent approval for Local Adaptation Plans of Action (LAPAs), which posits that 80% of climate finance Nepal receives must go to the local level, with the Ministry of Local Development channeling funds. He said Nepal is also developing a knowledge management hub to collect and disseminate adaptation information.

Qamar Uz Zaman, Advisor to the Government of Pakistan, described the human and economic losses due to recent extreme events in Pakistan, including floods in 2010 and 2011, extreme drought conditions in some parts, and tropical cyclones. Although it was difficult to link the events to climate change, he said trends over the last 15-20 years suggest a clear correlation. In response, Zaman said, the government of Pakistan has formulated a National Climate Change Policy, and a NAP that is in the final stages of preparation. He emphasized the need for funding, technical resources and South-South cooperation to implement the plan.

Marie-Christine Tremblay, Organization for Economic Co-operation and Development (OECD), outlined OECD guidance on integrating climate change in development cooperation, and a new OECD initiative to provide data on adaptation-related aid. She emphasized monitoring and evaluation to track the effectiveness of financial flows, and the need for a better understanding of the role of the private sector.

Masayuki Karasawa, Japan International Cooperation Agency (JICA), said that in a move towards better integration, vulnerability assessments are now required for all projects funded by JICA. He described the challenges of mainstreaming national adaptation plans, including monitoring and evaluation activities, into national development strategies.

Atiq Rahman, BCAS, described Bangladesh’s efforts to address adaptation – including the formulation of a Bangladesh Climate Change Strategy and Action Plan, and allocation of resources from the national budget to implement the Plan. He emphasized addressing knowledge challenges in the context of adaptation, and said the message to negotiators at COP 17 is that adaptation action must begin immediately, and funding made available.

In ensuing discussion, one participant inquired what was the experience with stakeholder coordination on climate change in Pakistan and Uz Zaman responded that Pakistan’s Climate Change Policy was developed after extensive consultation at the provincial levels, involving all stakeholders, including local governments and civil society. He suggested that the NAP would follow the same approach.

Another participant noted that the private sector had a limited role in formulating and implementing in the 46 NAPAs he had examined, and asked if this would change with the NAPs. Karasawa said a challenge in getting the private sector involved is in showing, from a business point of view, the benefit of investing in the climate. Rahman suggested that the business community would get involved when there is a monetary advantage.

Following a question on how best to ensure the effectiveness of climate aid and finance, Tremblay said this is not a new issue, and expressed the hope that the climate process will utilize the lessons learned in the decades of work on development aid effectiveness. She said transparency was

key and cautioned that new instruments, such as the Green Climate Fund, have to work to ensure that they work well with existing channels.

On whether geoengineering was an option, Rahman asserted there is too much uncertainty about the science and possible impacts to undertake geoengineering in the foreseeable future. Another participant asked if Millennium Development Goal assessments should be linked to assessments of climate-related effects as a means of mainstreaming climate change into the development planning process, and if so, how best to go about it and Ousman said he thought the idea had merits.

In his closing remarks, Chair Huq said a decision on NAPAs is expected to emerge from Durban, so countries need to start thinking about implementation. He urged learning and sharing, as Nepal did when developing its NAPA. Noting that the NAPA experience took eight years, he cautioned against long delays between plans and their implementation, since adaptation is a learning-by-doing experience. He called on the climate process to provide all the LDCs with US\$10 million apiece for adaptation planning and implementation at the same time.

The Development and Climate Days proceedings closed at 6:36 pm. In the film viewing that followed, "Ripples: Climate Change and Disaster Management in Bangladesh," a film by Soren Vestergaard Neilsen, was awarded the prize.

UPCOMING MEETINGS

16th Meeting of the Adaptation Fund Board: The Adaptation Fund Board is the operating entity of the Adaptation Fund and it will be holding its 16th meeting to consider matters relating to the operation of the Fund. The Committees of the Board will be holding their seventh meeting in conjunction with this meeting of the Board. **dates:** 12-14 December 2011 **location:** Durban, South Africa **contact:** Adaptation Fund Secretariat **fax:** +1 202 522 3240 **e-mail:** secretariat@adaptation-fund.org **www:** <http://www.adaptation-fund.org>

12th Special Session of the UNEP Governing Council/Global Ministerial Environment Forum: The Governing Council of the UN Environment Programme (UNEP) decided in February 2011 to hold the 12th special session of the Governing Council/Global Ministerial Environment Forum (GCSS 12/GMEF) from 20-22 February 2012. During the meeting, UNEP will launch the GEO-5 Summary for Policy Makers, on 20 February. **dates:** 20-22 February 2012 **location:** Nairobi, Kenya **contact:** Secretary, Governing Bodies, UNEP **phone:** +254-20 7623431 **fax:** +254-20 7623929 **e-mail:** sgc.sgb@unep.org **www:** <http://www.unep.org/resources/gov/#>

CIF PPCR Pilot Countries Meeting: The Climate Investment Funds (CIF) Pilot Program on Climate Resilience (PPCR) will hold a meeting to review progress and tasks ahead in implementing PPCR. The pilot programmes and projects implemented under the PPCR are country-led, build on NAPAs and other relevant country studies and strategies, and include countries in Africa, Asia, Latin America, the Caribbean and the South Pacific. **dates:** 13-15 March 2012 **location:** TBC **www:** <http://www.climateinvestmentfunds.org/cif/>

Sixth International Conference on Community Based Adaptation: The overall theme of the Sixth International Conference on Community Based Adaptation (CBA) in 2012 will be "Communicating community-based adaptation." **dates:** 19-22 April 2011 **location:** Hanoi, Viet Nam **contact:** Corinne Schoch **phone:** +44 (0)20 3463 7399 **fax:** +44 (0)20 3514 9055 **e-mail:** corinne.schoch@iied.org **www:** <http://www.iied.org/climate-change/key-issues/community-based-adaptation/community-adaptation-climate-change-conference>

Climate Adaptation Futures: Second International Climate Change Adaptation Conference 2012: co-hosted and convened by the University of Arizona (US) and the Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA) of UNEP, this conference will focus on adaptation to climate variability and change. The conference intends to bring together researchers, policy

makers, and practitioners from developed and developing countries to share insights into the challenges and opportunities that adaptation presents. **dates:** 29-31 May 2012 **location:** Tucson (Arizona), US **contact:** University of Arizona Institute of the Environment **phone:** +1-520-626-4345 **e-mail:** adaptation2012@email.arizona.edu **www:** <http://www.adaptation.arizona.edu/adaptation2012>

UN Conference on Sustainable Development (UNCSD): The UNCSD (or Rio+20) will mark the 20th anniversary of the UN Conference on Environment and Development, which convened in Rio de Janeiro, Brazil. **dates:** 20-22 June 2012 **location:** Rio de Janeiro, Brazil **contact:** UNCSD Secretariat **email:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/>

Intergovernmental Panel on Climate Change (IPCC) 35th Session: The 35th session of the IPCC will consider pending issues arising from the consideration of the IAC Review of the IPCC processes and procedures, namely those on: governance and management, and communications strategy. **dates:** to be determined **location:** Croatia **contact:** IPCC Secretariat **phone:** +41-22-730-8208 **fax:** +41-22-730-8025 **email:** IPCC-Sec@wmo.int **www:** <http://www.ipcc.ch/>

UNFCCC COP 18: The 18th session of the Conference of the Parties (COP 18) to the UN Framework Convention on Climate Change (UNFCCC) and the eighth Conference of the Parties serving as the Meeting of Parties to the Kyoto Protocol (COP/MOP 8), among other associated meetings, are scheduled to take place in Doha, Qatar. **dates:** 26 November - 7 December 2012 **location:** Doha, Qatar **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **e-mail:** secretariat@unfccc.int **www:** <http://www.unfccc.int>

GLOSSARY

ACCC	Adapting to Climate Change in China Programme
ACCCRN	Asian Cities Climate Change Resilience Network
BCAS	Bangladesh Centre for Advanced Studies
CBA	Community Based Adaptation
CCAA	Climate Change Adaptation in Africa Programme
CEBA	Community and Ecosystem Based Adaptation
COP	Conference of Parties
COP/MOP	Conference of Parties serving as the Meeting of Parties
EbA	Ecosystem based Adaptation
ÉLAN	Ecosystems and Livelihoods Adaptation Network
GEF	Global Environment Facility
IIED	International Institute for Environment and Development
JICA	Japan International Cooperation Agency
LAPA	Local Adaptation Plan of Action
LDC	Least Developed Country
M&E	Monitoring and Evaluation
MERL	Monitoring, Evaluation, Reflection and Learning tool
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NGO	nongovernmental organization
OECD	Organization for Economic Cooperation and Development
UNFCCC	UN Framework Convention on Climate Change



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Forest Day Bulletin

A Summary Report of Forest Day 5

Published by the International Institute for Sustainable Development (IISD) in collaboration with the Centre for International Forest Research (CIFOR)

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SUMMARY OF FOREST DAY 5: 4 DECEMBER 2011

The fifth Forest Day took place in Durban, South Africa, in parallel with the UN Durban Climate Change Conference, which convened from 28 November -9 December 2011. 1064 participants from 87 countries, including country delegations, scientists, researchers, activists and representatives from non-governmental and indigenous people's organizations and the private sector, gathered for the one-day event. Co-hosted by the Government of South Africa, the Centre for International Forest Research (CIFOR), and the Collaborative Partnership on Forests (CPF), Forest Day 5 was convened under the theme "From Policy to Practice," with a special focus on the role of African forests in mitigating and adapting to climate change.

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 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 the resultant 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 a complex undertaking, given the non-permanent nature of carbon uptake by trees and the potential for "leakage" as protection of forests in one place pushes deforestation pressures elsewhere. There are also critical environmental and social considerations that have to be taken into account.

Forests are addressed under the UN Framework Convention on Climate Change (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) and reforestation (limited in the first commitment period to those lands that did not contain forest on 31 December 1989); emissions from

deforestation; and 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, and the risk of leakage. 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: "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++).

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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 Kate Louw and Wangu Mwangi. The Editor is Graeme Auld, Ph.D. <graeme@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 Centre for International Forest 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 (HTML and PDF format) 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.

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 held in Tokyo, Japan, in June 2008, generated general agreement that discussions on policy approaches and positive incentives could be initiated with current knowledge.

At COP 16 held in Cancún, Mexico, in 2010, REDD+ was formally added to the international climate change regime, through its decision 1/CP.16 that encourages developing country parties to assist in mitigation efforts by undertaking REDD+. There was consensus at COP 16 for REDD+ to be undertaken in three phases: development of national strategies or action plans; implementation of policies and measures; and payment for performance on the basis of quantified forest emissions and removals. Discussion on the different financing options for implementing REDD+ was deferred to COP 17 taking place in Durban South Africa, in December 2011.

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: Convened on 6 December 2008 in Poznan, Poland, during COP 14, Forest Day 2 brought together nearly 900 participants to discuss: adaptation of forests to climate 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.

FOREST DAY 3: Forest Day 3, held in Copenhagen, Denmark, on 13 December 2009, during COP 15, brought together over 1600 participants to discuss challenges associated with REDD+. Participants convened in three sub-plenary sessions to discuss mitigation, adaptation and degradation challenges. They also heard various global views on forests and climate change and attended a number of parallel learning events, including on: measuring and monitoring baselines and leakages; financing for forests and climate change; the potential social effects of REDD initiatives; and landscape approaches to mitigation and adaptation. A summary statement was forwarded to the UNFCCC.

FOREST DAY 4: Forest Day 4 was convened in Cancún, Mexico on 5 December 2010, during COP 16. Over 1500 participants came together under the theme “Time to Act,” highlighting the urgency to ensure the protection of the world’s forests and their biodiversity. Participants convened in three sub-plenary sessions on biodiversity, adaptation and mitigation. They also convened for a number of parallel learning events, including on: optimizing the multiple benefits of SFM and REDD+; promoting synergies between climate change mitigation and adaptation across forest landscapes; land use, land use change and forestry (LULUCF); and REDD+ and agricultural drivers of deforestation.

REPORT OF FOREST DAY 5

Frances Seymour, Director General, CIFOR, welcomed participants to Forest Day 5. She observed that the event has evolved significantly over the years, as is evident in the continuum of its participants: from primarily high-level policy makers to the involvement of greater numbers of grassroots practitioners. She highlighted a number of achievements, including: positive feedback from participants of Forest Day 4; the introduction of an “Issues Market Place” at this session, to facilitate information exchange and networking; and the special focus being paid to Africa.

Tina Joemat-Peterson, Minister of Agriculture, Forestry and Fisheries, South Africa, welcomed delegates on behalf of the South African government. She emphasized that forests embody the need to balance environmental sustainability with economic development. She noted that her country’s energy intensive and fossil-fuel powered economy makes it particularly vulnerable to climate change. Stressing that the science behind carbon sinks “is well understood,” she urged participants to deliver a comprehensive adaptation programme as a contribution to the UN Conference on Sustainable Development (also known as Rio+20 or UNCSDD).

Eduardo Rojas-Briales, Chair, CPF, said a tipping point has been reached in recognizing the contribution of forests and REDD+ approaches in meeting the interrelated goals of food and energy security, biodiversity protection and economic development. He stressed, however, that creating the enabling conditions for a low-carbon development path hinges on reaching agreement on a post-Kyoto mechanism. To optimize utilization of biodiversity ecosystem services, he further noted the importance of: focusing equally on tropical forests and dryland forests; paying attention to the full range of land uses; and involving women in sustainable forest management.

In the first of two keynote addresses, Helen Gichohi, President, African Wildlife Foundation, paid tribute to Wangari Maathai, “a fallen icon who saw the links between sustainable development and peace and inspired us to take action and care.” She highlighted ongoing projects that have adopted a landscape approach to balance growing human demands with environmental sustainability. She highlighted key lessons such as: involving local communities in defining land-use agreements; establishing institutional partnerships to create the right policy incentives for climate-smart agriculture and private sector participation; and ploughing back revenues from carbon projects to support community-based conservation. She concluded that while REDD+ offers a tool for bringing the value of forests into national planning there is need to lower the transaction costs of carbon markets and to share the responsibility for longer-term compliance.

In his keynote address, Bob Scholes, Council for Scientific and Industrial Research, South Africa, highlighted the scientific case for sustainable forest management. Citing a recent study (Yude et al, “A Large and Persistent Carbon Sink in the World’s Forests” *Science*, August 2011), he noted that forests could potentially absorb nearly one-quarter of total carbon emissions from human activity, currently estimated at nine petagrams per year, exceeding the targets of the Kyoto Protocol. He stressed that contrary to conventional wisdom, deforestation in Africa predominantly takes place in the dryland forest zones and is characterized by three main phases: the selective removal of high-value timber; charcoal-burning to meet urban fuel demands; and finally, low-input and low-output subsistence agriculture, which completes the cycle of land degradation. Underlining that it is not feasible to change current land-use patterns as local communities have a right

to develop, he called for climate-smart approaches that boost productivity and contribute to the regeneration of already degraded land. He noted that this will ensure, *inter alia*: fair prices for ecosystem products and services; informed and just governance at all levels; and reliable and cost-effective monitoring tools based on a mix of high and low-tech approaches.

Judy Kimamo, the Green Belt Movement, introduced a short film paying tribute to the late Nobel Peace Prize Laureate, Wangari Maathai, and announced the launch of the "I am the Hummingbird Campaign" in her memory.

DISCUSSION FORUMS

HOW IS REDD+ UNFOLDING ON THE GROUND? AN EXPLORATION OF THE SOCIAL, POLITICAL AND BIOPHYSICAL ISSUES:

The discussion forum on REDD+ on the ground aimed to explore early insights on whether REDD+ initiatives can deliver their goal of reducing emissions from deforestation and forest degradation, while providing a range of co-benefits. The session was moderated by James Astill, Energy and Environment Editor, The Economist. Introducing the session, Paulo Barreto, Senior Researcher, IMAZON, Brazil, highlighted Brazil's recent progress in implementing sustainable forest management, as seen in the "decoupling" of the close statistical linkages between high cattle and soy prices and deforestation from 2007 onwards. He attributed this success to the enactment of a more robust regulatory framework that had sent a clear signal that deforestation does not pay. He underlined the need for more comprehensive policy reforms involving stakeholders outside the forest sector and identified boosting of agricultural productivity in already-degraded areas as a possible win-win approach.

Highlighting lessons from a pilot bio-carbon initiative in Indonesia, Brer Adams, Associate Director, Macquarie Global Investments, Australia, said building sustainable business models is hampered by uncertainty resulting from the weak regulatory environment and the relative novelty of carbon markets. Adding that only six billion dollars to date has been committed to REDD, he underlined that this presents a real challenge for scaling up significantly to meet IPCC targets for land-based carbon sequestration in non-Annex I countries, and noted the important role demonstration projects can play in pointing the way forward.

Raymond Lumbuenamo, National Director, WWF, the Democratic Republic of Congo, highlighted efforts to address three interrelated drivers of deforestation: shifting subsistence agriculture, commercial exploitation and poor governance. He stressed the need to "reconstruct" community structures that had been destroyed by long-term conflict to enhance sustainable forest management at the local level. Daju Resosudarmo, CIFOR Indonesia, noted the country's slow start in implementing REDD+ activities, highlighting the challenges as, *inter alia*, competing demands from powerful agricultural and mining interests, weak regulatory capacity at the national and local government levels, and a lack of clarity on legal rights and security of tenure for community-managed forests.

In ensuing discussions, participants addressed: the need for clear guidance for implementing pilot projects; involving local stakeholders in forest management; creating employment opportunities through forest regeneration activities; how to resolve conflicts over rights to forest resources; and enhancing finances available for REDD+ activities.

BIODIVERSITY SAFEGUARDS IN REDD+: The discussion forum on biodiversity safeguards for REDD+ presented the results of a one-year consultative process

undertaken by the Convention on Biological Diversity (CBD) and the UN-REDD Programme. Introducing the forum, moderator Jagdish Kishwan, Additional Director General of Forests for Wildlife and Director for Wildlife Preservation, Ministry of Environment and Forests, India, noted that biodiversity safeguards should not only address the adverse affects of REDD+ on biodiversity, but also the need to safeguard the rights of indigenous peoples.

Caroline Spelman, Secretary of State for Environment, Food and Rural Affairs, UK, lauded the work of the CBD on safeguarding biodiversity and highlighted the Cancún Agreements that detailed a number of safeguards including on tropical forests. She said there is a need to enable the implementation of these safeguards and establish incentives and implementing policy and monitoring to maximize REDD+ benefits. Outlining the series of workshops held by the CBD on the biodiversity safeguards of REDD+, she noted the emerging lessons include exploiting synergies highlighted in the National Biodiversity Strategy and Action Plans, assisting sustainable afforestation, and effective use of detailed safeguards that have already been developed. On gaps identified, she noted insufficient consideration for traditional knowledge, queries on how the safeguards should be used, and the need for financing and methodological guidance.

Guy Midgley, Programme Leader, Global Change Research Group, National Biodiversity Institute, South Africa, discussed an African regional workshop held in Cape Town, South Africa, on REDD+ and its relevant biodiversity safeguards. He cautioned that the synergies identified at the consultations need to be managed carefully so that any confusion that may arise does not hold progress back. He stressed: that safeguards need to be addressed as early as possible; that preparedness is uneven among countries and capacity building will be important; and the need to build on existing policies and legislation.

Lorena Falconi, National Director of Climate Change Mitigation, Ministry of Environment, Ecuador, outlined Ecuador's climate change strategy, noting four REDD+ components in their mitigation strategy. She said Ecuador aims to ensure multiple benefits from REDD+ and to integrate its programmes with UN-REDD initiatives. Salisu Dahiru, National REDD+ Coordinator, Nigeria, highlighted his country's incorporation of biodiversity and multiple benefits into early REDD+ readiness activities. He said biodiversity experts and indigenous and local communities have been included as statutory members of REDD+ governance bodies at the national level and the Cross River State Level, and he highlighted a project mapping biodiversity carbon and co-benefit overlays, which aimed to identify and prioritize high-biodiversity areas.

In the ensuing discussion, participants: questioned the role of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) in REDD+; asked how the growing rejection of REDD+ by NGOs and indigenous peoples needs to be handled; and debated the length of time it will take for benefits to reach communities and the use of exotics in commercial forestry.

FINANCING OPPORTUNITIES AND ISSUES FOR MITIGATION AND ADAPTATION WITH A FOCUS ON THE PRIVATE SECTOR: This discussion forum provided a platform to debate the opportunities and challenges for investments and financial mechanisms to promote mitigation and adaptation activities by the private sector, focusing on REDD+ initiatives. Moderating the forum, Emmanuel Ze Meka, Executive Director, International Tropical Timber

Organization, said REDD+ offers a number of co-benefits when implemented, but noted that the funding source for REDD+ still needs to be addressed.

Eufnan Ferreira do Amaral, State of Acre, Brazil, noted that Acre is a small Amazonian state with a strong history of social organization, including a community policy against deforestation created by this social movement that has now become incorporated into state policy. He called for addressing issues such as sustainable consumption and the valuation of products, services and sustainable economic activities obtained from forests. He outlined a number of lessons learned, including that: REDD+ is not sufficient to cover the opportunity costs of non-sustainable land use and must be integrated with implementation of sustainable production; and the national and global private sector should develop voluntary systems for targeted reductions of carbon dioxide.

Nur Masripatin, Director of the Centre for Standardization and Environment, Ministry of Forestry, Indonesia, called for the full implementation of REDD+ by 2013 and stressed the fine balance between reducing emissions and increasing economic growth. She provided an outline of her country's REDD+ National Strategy, highlighting the importance of an adequate legal framework and continued stakeholder engagement. Itaru Shiraishi, Marubeni Corporation, Japan, noting that they have worked on approximately 60 REDD+ projects, lamented the lack of projects from the African continent. While carbon trading will, he opined, revolutionize the industry, he said it is doubtful this will lead to actual emissions reductions, but that a possible solution is to create a large enough demand for carbon credits. He concluded by stating that the "bottom line" is the need to create a carbon market to ensure the success of REDD+.

David Antonioli, CEO, Verified Carbon Standard Association, USA, explained his work on the sector-based aspects of REDD+, noting that environmental integrity, security and confidence in the private sector are fundamental for these aspects. He called for establishing a UN Forum on Forests REDD+ programme. Ludovino Lopes, Ludovino Lopes Lawyers, Brazil, highlighted key issues to consider in the legal framework for REDD+ including: the legal nature of REDD+; the institutional framework; inventory, accountability and registry platforms; distribution mechanisms for economic and non-economic benefits; and international cooperation.

In the ensuing discussion, participants considered: how to address issues of poor governance within the REDD+ framework; and the need for reliable measurements of carbon dioxide, and how to establish who obtains the carbon rights. They also underscored that REDD+ is a means for mitigation but it is not a solution.

ADDRESSING GENDER CONSIDERATIONS IN CLIMATE CHANGE ADAPTATION AND REDD+ EFFORTS: The parallel discussion session on gender considerations explored ways and means of increasing women's participation in decision making and benefit distribution, while recommending appropriate safeguards against further exclusion. The session was moderated by Jeannette Gurung, Executive Director, Women Organising for Change in Agriculture and Natural Resource Management.

In her keynote address, Lindiwe Majele Sibanda, CEO, Food, Agriculture and Natural Resources Policy Analysis Network, stressed the need to recognize the differential roles of women and men at all levels. Noting that women make up 70% of the agricultural work force, she stressed their role in climate-smart agriculture and poverty-eradication efforts.

Panelist Monique Essed-Fernandes, Chair of the Board, Women's Environment and Development Organization (WEDO), noted that gender roles determine how forest resources are used and managed, as well as determining the decision-making powers and livelihood strategies adopted. She informed participants about a new WEDO/IUCN initiative supported by the Danish International Development Agency (DANIDA) to pilot Gender and REDD+ roadmaps in Ghana, Cameroon and Uganda.

Linda Mossop-Rousseau, Senior Executive, Komatiland Forests, South Africa, highlighted her company's support for out-grower schemes, a mechanism to support individuals and communities to derive an income by supplying timber to processing companies. She highlighted the achievements of the scheme as its recognition of informal permission to occupy land in the absence of formal land rights and the establishment of social compacts as a tool to enhance community-level capacity to negotiate access rights.

Corinne Valdivia, Department of Agricultural Economics, University of Missouri, highlighted: lessons learned in strengthening processes that build on local knowledge and networks to enable the agency of women; the need to align mitigation and adaptation measures; the importance of understanding the role of context in minimizing or exacerbating gender differences; and the need for able brokers to bridge the gap between the local and higher levels.

During discussions, participants highlighted the need to address power relations and the challenge of making international protocols meaningful at the local level.

GLOBAL UPDATES ON FORESTS AND CLIMATE CHANGE

Richard Black, BBC Environment Correspondent, moderated the session on global updates on forests and climate change.

Caroline Spelman, Secretary of State for Environment, Food and Rural Affairs, UK, highlighted the contribution of forests to biodiversity protection, greenhouse gas emissions and livelihoods, saying that they are both a source of and sink for greenhouse gases. She called for climate-smart agricultural practices to ensure a transition to a green, low-carbon economy that addresses food security simultaneously, but emphasized that climate-smart agriculture is not a panacea for all the problems to be addressed. She provided an overview of the forest-related activities that have been undertaken with funding from the UK's International Climate Fund, including projects in Brazil to reverse the high deforestation rates. Calling for clarifying land tenure rights, she highlighted the need to make progress on methodological guidance for the implementation of REDD+ and emphasized that COP 17 will follow up on the REDD+ issues addressed in the Cancún Agreements.

Rachel Kyte, Vice President of Sustainable Development, World Bank, provided an overview of the Agriculture and Rural Development Day held on 3 December 2011, parallel to COP 17. She said that Tina Joemat-Peterson, Minister of Agriculture, Forestry and Fisheries, South Africa, focused on achieving an unequivocal call for climate-smart agriculture, and delivered a letter to the UNFCCC requesting a work programme on this be established under the Subsidiary Body for Scientific and Technological Advice (SBSTA). Kyte underscored that forests, climate change and agriculture cannot be discussed in isolation as they are inextricably linked. She said that unless access to land and extreme poverty are addressed as well as ensuring higher crop yields and water security, the world will not achieve its "carbon plans and goals."

Tony La Viña, Ateneo School of Government, Ateneo de Manila University, The Philippines, provided an update of negotiations currently underway on REDD+. He said a first guidance decision had been adopted the previous day, which addressed enforcing and monitoring the implementation of safeguards but allowed future modifications should it be needed. He lamented that while this is not a perfect solution, negotiators are “flying blind” and thus it may be a good way to approach the situation.

Odigha Odigha, Chairman, Cross River State Forestry Commission, Nigeria, discussed the work of the Governors’ Climate and Forests Task Force, highlighting several challenges that still need to be addressed, including the need to review previous work and decisions from the UNFCCC COP. He also called for commitment to concrete activities at community level that are pro-poor in nature.

CLOSING PLENARY

Frances Seymour, Director General, CIFOR, noted that discussions at Forest Day 5 had addressed the specific opportunities and challenges of forest management in Africa, successfully launched the first informal market place, and showcased the innovative use of instant voting by participants to identify priority areas for future action. She also highlighted the many tributes paid to the late Wangari Maathai’s work and legacy.

Christina Figueres, UNFCCC Executive Secretary, thanked Forest Day participants for their “patience with the COP” and noted achievements so far at COP 17 as: the conclusion of an adaptation package on African soil; agreement on a second commitment period with no policy gap following the end of the Kyoto Protocol; and broad recognition that the current level of ambition on climate change is insufficient. She noted that COP 17 is a mammoth undertaking, with close to 200 governments “attempting to write a global business plan for the planet for the next 50 years.” She added that this needs to be done with a “triple bottom line” in mind: climate mitigation and adaptation and the reduction of poverty.

Following Frances Seymour’s announcement that she will be stepping down as CIFOR Director-General in 2012, Eduardo Rojas-Briales lauded the “mother” of the Forest Days for her inspiring leadership in bridging the science-policy gap and building broad consensus on REDD.

UPCOMING MEETINGS

18th Session of the African Forestry and Wildlife Commission and Second African Forestry and Wildlife Week:

The 18th session of the African Forestry and Wildlife Commission will convene alongside the second African Forestry and Wildlife Week (AFWW) and will consider the theme “The Importance of Governance and Benefit Sharing in the Sustainable Management of African Forests, Trees and Wildlife.” The session is expected to underscore the importance of good governance in natural resource management and emphasize the need to include all stakeholders in decision making, implementation and benefit sharing for sustainable forest and wildlife management. The Second AFWW is being held to reflect on the International Year of Forests 2011 and to underscore the importance of forests and wildlife in improving livelihoods and social and economic development. **dates:** 16-20 January 2012 **location:** Cotonou, Benin **contact:** Foday Bojang, FAO **phone:** +233-302-675000 **fax:** +233-302-668427 **email:** foday.bojang@fao.org **www:** <http://www.fao.org/forestry/afwc/en/>

27th Meeting of the Forestry Commission for Latin America and the Caribbean (COFLAC 27): The FAO regional forestry commission serving Latin America and the Caribbean (LAC) will hold its biennial meeting to review and coordinate the application of forest policies in the region and exchange information among officials from LAC countries responsible for the sector. COFLAC 27 is to focus on the sustainable management of forests, and forests and climate change. **dates:** 5-9 March 2012 **location:** Asuncion, Paraguay **contact:** FAO Regional Office for Latin America and the Caribbean **phone:** +562-9232100 **fax:** +562-9232101 **www:** <http://www.rlc.fao.org/en/agenda/27-session-of-the-lacfc/>

TEEB Conference 2012: Mainstreaming the Economics of Nature: Challenges for Science and Implementation. The Economics of Ecosystems and Biodiversity (TEEB) is an initiative to draw attention to the global economic benefits of biodiversity, the costs of biodiversity loss and ecosystem degradation, and to draw together action-oriented expertise from the fields of science, economics and policy. TEEB invites the research and policy community to discuss the state of the art in Environmental Valuation, Ecosystem Services and Science-Policy Processes. The TEEB Conference 2012 will be hosted by the Scientific Coordinators of the TEEB reports and the Helmholtz Centre for Environmental Research UFZ. Participants will have the possibility to discuss and update the findings of the TEEB study and contribute to a new understanding of the link between economics, decision-making and the environment. **dates:** 19-22 March 2012 **location:** Leipzig, Germany **contact:** Conference Secretariat **phone:** +49-341-235-2264 **fax:** +49-341-235-2782 **email:** teeb-conference-2012@ufz.de **www:** <http://www.teeb-conference-2012.ufz.de>

UN Conference on Sustainable Development: The UNCSD will mark the 20th anniversary of the UN Conference on Environment and Development, which convened in Rio de Janeiro, Brazil. **dates:** 20-22 June 2012 **location:** Rio de Janeiro, Brazil **contact:** UNCSD Secretariat **email:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/>

Second Meeting of the UNFF Ad Hoc Expert Group on Forest Financing: The aim of this meeting is to develop proposals for strategies to mobilize resources from all sources to support the implementation of SFM, the achievement of the global objectives on forests and the implementation of the non-legally binding instrument on all types of forests. The meeting will be held in late 2012. **date:** 1 September 2012 [tentative] **location:** TBA **contact:** UNFF Secretariat **phone:** +1-212-963-3401 **fax:** +1-917-367-3186 **email:** unff@un.org **www:** <http://www.un.org/esa/forests/>

Twenty-first session of the FAO Committee on Forestry: The 21st session of the FAO Committee on Forestry will convene at FAO headquarters in Rome, Italy in September 2012. **dates:** 24-28 September 2012 **location:** Rome, Italy **contact:** Peter Csoka, FAO, Forestry Department **phone:** +39-06-5705-3925 **fax:** +39-06-5705-3152 **email:** peter.csoka@fao.org **www:** <http://www.fao.org/forestry/cofo/en/>

ITTC-48: The 48th Session of the International Tropical Timber Council (ITTC) and the Associated Sessions of the four Committees (Finance and Administration, Economic Information and Market Intelligence, Forest Industry, and Reforestation and Forest Management) will take place in Yokohama, Japan. **dates:** 5-10 November 2012 **location:** Yokohama, Japan **contact:** ITTO Secretariat **phone:** +81-45-223-1110 **fax:** +81-45-223-1111 **email:** itto@itto.or.jp **www:** <http://www.itto.int>



Mountain Day Bulletin

A Summary Report of the Durban Mountain Day

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SUMMARY OF MOUNTAIN DAY: 4 DECEMBER 2011

Mountain Day took place on Sunday, 4 December 2011 during the 17th session of the Conference of the Parties (COP 17) to the UN Framework Convention on Climate Change (UNFCCC), in Durban, South Africa. Mountain Day was organized by the International Centre for Integrated Mountain Development (ICIMOD), the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, and the Mountain Partnership Consortium.

The event highlighted the critical role that mountain ecosystems play in climate adaptation and sustainable development as well as the vulnerability of mountains, and those who depend on them, to climate change. Mountain Day assembled two high-level panels of ministers and decision-makers to advocate the value and role of mountains, and to call on COP 17 delegates and global development partners to protect vital mountain ecosystems from the threats presented by climate change. Mountain Day also included parallel sessions on: Mountains, Climate Change from Scientific Evidence to Policy and Adaptation; and Mountains and Adaptation – Challenges and Opportunities with a Vision of Rio+20. A draft “Mountain Day Call for Action” was presented, and was made available for comment on the ICIMOD website. Key messages of the Call include that: mountains are the “water towers” of the world and global hotspots for biodiversity; the value of the ecosystem goods and services derived from mountains is under-recognized, under-valued and poorly compensated; major downstream ecosystems and economies are highly dependent on mountains; international organizations and national governments should introduce policies and financing to support adaptation programmes in mountains for improved livelihoods and sustainability; and global development strategies and policies should recognize, value and create incentives to enhance benefits derived from mountains.

A BRIEF HISTORY OF MOUNTAINS, CLIMATE CHANGE, AND SUSTAINABLE DEVELOPMENT

Nearly half the world’s countries have significant mountainous regions. Mountain ecosystems provide more than half of the world’s population with drinking water, and provide water for agriculture, industry, power generation, and other uses for many hundred million others. Additionally, mountains are home to half of the world’s biodiversity hotspots and are home to many threatened and endangered species while also serving as drivers of tourism and resources for recreation.

Mountain regions are amongst the most sensitive to climate change, and receding glaciers are one of the most visible indicators of global change. If current trends continue, many glaciers are expected to disappear completely by the end of the century, potentially leading to catastrophic changes in weather and water availability in surrounding regions that rely on mountain ecosystems.

One of the first and only major international decisions to include language on mountains and mountainous regions was the UN Conference On Environment and Development (UNCED), also known as the Earth Summit. This meeting was held from 3 to 14 June 1992 in Rio de Janeiro, Brazil,

and involved over 100 Heads of State and Government, representatives from 178 countries, and some 17,000 participants. The principal outputs of UNCED were the Rio Declaration on Environment and Development, Agenda 21 (a 40-chapter programme of action), and the Statement of Forest Principles. The UN Framework Convention on Climate Change and the Convention on Biological Diversity were also opened for signature during the Earth Summit. Agenda 21 called for the creation of a Commission on Sustainable Development (CSD) to ensure effective follow-up of UNCED, enhance international cooperation, and examine progress in the implementation of Agenda 21 at the local, national, regional and international levels.

On mountains, chapter 13 of Agenda 21 recognizes the important ecological, economic and social functions of, and services provided by, mountainous regions. It also makes a number of recommendations to governments on mountains, including: promoting erosion control; incentivizing resource conservation; promoting alternative livelihoods; creating protected areas to save wild genetic material; developing early-warning systems and disaster-response teams for hazardous areas; identifying mountain areas threatened by air pollution; and creating information centers on mountain ecosystems including building expertise on sustainable agriculture and conservation areas.

More recently, organizations such as the International Centre for Integrated Mountain Development (ICIMOD) have held dozens of meetings, workshops and conferences on mountains and mountainous regions. One of their most recent meetings, an UNCED associated event, was the International Conference On Green Economy and Sustainable Mountain Development: Opportunities and Challenges in View of Rio+20. ICIMOD, supported by the UN Environment Programme (UNEP) and the International Development Research Centre (IDRC), and held in Kathmandu, Nepal, from 5 to 7 September 2011. Participants discussed the relevance and scope of the green economy in the context of sustainable mountain development. The conference explored strategies, approaches and options for enhancing the role and prominence of mountain systems in regional and international debates and discussions.

The outcome of the conference was the “Kathmandu Declaration on Green Economy and Sustainable Mountain Development.” The Declaration made several recommendations to governments, highlighting, *inter alia*: the establishment of mechanisms to compensate and reward communities for

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mountain ecosystem services and improvement in markets for these services; creating an enabling environment for promoting the green economy and investment in mountain regions; the ecosystem-based management approach; and ensuring access and rights for women and indigenous communities, including valuing and utilizing traditional knowledge and practices.

REPORT OF MOUNTAIN DAY

SESSION A: OPENING SESSION: David Molden, Director General, International Centre for Integrated Mountain Development (ICIMOD), welcomed participants, saying that due to their sensitivity to climate change, mountains are a source of inspiration for addressing climate. He said mountain people are innovators, providing adaptation methods and technology examples replicated in other locations and that experts learn from their indigenous knowledge. But he added that mountain residents are rarely recognized or rewarded for their roles as stewards of sensitive ecosystems and contributors to global adaptation knowledge. Molden lamented that mountains are often forgotten in international climate negotiations, stating that a global mountain agenda should include: focusing adaptation on the poor, marginalized groups and women; bridging of key knowledge gaps; working across boundaries, both national and disciplinary; and promoting global awareness of mountain issues.

Vera Scholz, Head of Climate Change Department, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, noted that mountain regions are divided by borders that climate change and ecosystems do not recognize. She emphasized the need to make livelihoods and value chains climate-proof, and suggested an ecosystem-based adaptation approach and community vulnerability assessments as important steps in this process. Scholz noted that GIZ recently began a project on ecosystem-based adaptation in mountain regions with the United Nations Environment Programme (UNEP), United Nations Development Programme (UNDP) and International Union for Conservation of Nature (IUCN).

Rajendra K. Pachauri, Chair of the Intergovernmental Panel on Climate Change (IPCC), and Director General of The Energy and Resources Institute (TERI), said mountains experienced above average warming in the 20th century and indicated that this is likely to continue. He encouraged focusing on decreasing vulnerability and exposure to disasters, and increasing food and water security for downstream populations and agriculture, especially for those with low adaptive capacity. He said half a billion people in India, and a quarter billion in China are dependent on the Himalayas for water, and warned that due to increased glacial melting, the Ganga, Indus, and Brahmaputra rivers could become seasonal in the near future.

Molden then announced the launch of three ICIMOD reports, the: Hindu-Kush Himalayan (HKH) Climate Change Synthesis Report; HKH Ice Report and Database; and HKH Snow Report and Database.

Hem Raj Tater, Minister of Environment, Nepal, discussed issues of sustainable mountain development, encouraging collaboration to ensure the mountain agenda is integrated into ongoing climate negotiations and the UN Conference on Sustainable Development (UNCSD, or Rio+20) preparatory process.

SESSION B: MINISTERS' PANEL: MOUNTAIN AGENDA, CLIMATE CHANGE AND RIO+20: CALL FOR ACTION: A Ministers' panel, moderated by Rajendra K. Pachauri, brought together different regional perspectives.

Pema Gyamtsho, Minister of Agriculture and Forest, Bhutan, relaying that mountains provide water, food and medicine, as well as a spiritual sustenance, underscored the connections between mountain ecosystems and other ecosystems. He stressed the need for: collaboration between upstream and downstream efforts; sharing of progress made in Bhutan; inclusion of mountains on the agenda of the United Nations Framework Convention on Climate Change (UNFCCC) and Rio+20 preparatory process.

René Castro Salazar, Minister of Environment, Energy and Telecommunication, Costa Rica, highlighted Costa Rica's activities to address the effect of climate change in mountainous regions, including a commitment to carbon neutrality by 2021 and annual investment of 1.5-2% of gross domestic product (GDP) on mitigation, and noted that reforestation projects have now outpaced deforestation. Salazar discussed reciprocal benefits resulting from the partnership with Bhutan and Benin, including shared experiences on ecotourism and agriculture.

While participants stressed the need for immediate global support for mountain regions, Hem Raj Tater opined that focusing on adaptation and sustainable development in mountainous areas, and aiming to bring these activities to Rio+20, should be a higher priority.

Pema Gyamtsho, Minister of Agriculture and Forests, Bhutan, said we cannot move the mountain agenda forward without recognizing that challenges in one area can directly or indirectly affect other regions with different sets of challenges, and that coordination is key.

Pachauri urged mountain states to organize themselves internationally to share resources and unite their political voice, citing the Alliance of Small Island States' (AOSIS) success in raising awareness on islands. He then reiterated the value of protecting mountain biodiversity for medicinal and other purposes.

SESSION C: POLICY/DECISION-MAKERS' PANEL: GLOBAL, REGIONAL AND NATIONAL POLICIES AND APPROACHES FOR SUSTAINABLE MOUNTAIN DEVELOPMENT IN A CHANGING CLIMATE:

David Molden presented the draft Mountain Day Call for Action, which recognizes key attributes of mountains and their influence on surrounding ecosystems and human settlements, including that: mountains are the "water towers" of the world and global hotspots for biodiversity; the value of the ecosystems goods and services derived from mountains is under-recognized, under-valued and poorly compensated; and major downstream ecosystems and economies are highly dependent on mountains. It also made recommendations to national, regional and global processes, including that: international organizations and national governments should introduce policies and financing to support adaptation programmes in mountains for improved livelihoods and sustainability; and global development strategies and policies should recognize, value and create incentives to enhance benefits derived from mountains.

Responding to Molden's call for comments on the Draft, participants emphasized: the reciprocal contribution of low-land and mountain ecosystems; inclusion of mitigation programs; ensuring availability of financing to people at all levels of vulnerability; and promotion of indigenous knowledge, technology transfer, and capacity building. Molden said further feedback would be welcome and that the Draft Call would be placed on ICIMOD's website for further comment.

Alfredo Guillet, Ministry of Foreign Affairs, Italy, pointed out weaknesses in sectoral approaches, citing missing data and lack of capacity to integrate existing data into systematic frameworks. He addressed the need to improve South-South collaboration, stressing the role of partnerships to share lessons learned and transfer technology.

Krishna Gyawali, Secretary, Ministry of Environment, Nepal, stated that ecotourism can be used to raise awareness of mountain issues. Acknowledging the borderless nature of environmental challenges, he advocated the creation of a platform to bring stakeholders together, including both mountain countries and non-mountain countries, supporting governance of mountain ecosystem sustainability.

Yannick Glemarec, Director of Environmental Finance, UNDP, reiterating the importance of sharing knowledge on a South-South basis, described UNDP activities that address risk management, ecosystem-based adaptation, and energy delivery. Glemarec acknowledged that financing is a

source of frustration, stressing that while money is available, understanding and adhering to strict eligibility criteria is often burdensome.

Marco Onida, Secretary General, Permanent Secretariat of the Alpine Convention, spoke about the successes of mountain treaties, focusing on the Alpine and Carpathian Conventions. He explained that with increased political will, these treaties could be used to address climate change, biodiversity loss and the preservation of cultural heritage.

Molden then noted both the commonalities and differences amongst mountain regions and their respective challenges, and urged raising awareness of the mountain agenda outside of the mountain community.

Javed Ali Khan, Director General, Ministry of Environment, Pakistan, underlined flash floods and avalanches as challenges to mountain regions. He discussed the benefits of an alliance between Pakistan, Bhutan and Nepal that promotes sharing experiences on projects that have benefitted mountain communities.

In the ensuing discussion, participants proposed bringing countries together to speak with a single voice on mountain issues and inquired about opportunities for different conventions to coordinate efforts.

Mary Barton-Dock, Director of Environment, World Bank, said the World Bank views climate change in terms of its effects on poverty. The challenge in this regard, she said, is that climate change limits options to address poverty, as well as options to pursue sustainable development. Barton-Dock explained that the World Bank has invested over US\$66 billion in sustainable mountain development around the world and is part of the Pilot Program for Climate Resilience, which has many projects running in mountainous countries.

PARALLEL SESSIONS

SESSION D1: MOUNTAINS, CLIMATE CHANGE FROM SCIENTIFIC EVIDENCE TO POLICY AND ADAPTATION:

Eklabya Sharma, ICIMOD, highlighted the research presented in the newly launched HKH Climate Change Synthesis Report indicating the interrelationship between mountain and downstream ecosystems. He shared significant trends described in the report such as: annual surface air temperature increase; glacier shrinkage; increased species extinction and biodiversity loss; and impacts on human health.

André Jol, Head of Group for Vulnerability and Adaptation, European Environment Agency, explained that although it is difficult to have consistent climate projections, trends could be used as indicators for spatial planning. He shared initiatives in the EU to address impacts of climate change, including research projects, an information clearinghouse, and the adoption of adaptation strategies in 12 countries.

Baptist Chatré, Alpine Convention, said the Alpine Convention is a legally-binding document on climate change that turned into an operational plan for implementation, providing a framework of policies and practices. He commented on the Carpathian Convention, tasked to provide project guidance as well as to explore cooperation possibilities with other international organizations.

Dirk Hoffmann, Bolivian Mountain Institute, showed that actual scenarios in Andean mountain regions are higher than model projections, due to a combination of natural phenomena and human intervention. He discussed how the impact of climate change on glaciers and the hydrological cycle underscore the link between rural and urban areas. He called for additional studies to: strengthen resilience and adaptation measures; focus on future scenarios; and build research alliances between the North-South and South-South. He concluded that livelihoods should be the center of attention in all efforts.

Ilhom Rajabov, Climate Change Centre, Tajikistan, discussed how climate change has impacted Tajikistan, especially in glacial retreat and how this impacts the agriculture sector and in turn negatively impacts livelihoods and human development. He outlined the need for improved:

information on the status of glaciers; research on climate change impacts, monitoring and observation of glaciers; impact assessment and adaptation knowledge; regional cooperation; financial support for investment in capacity building; and financial support for investment in infrastructure.

Paolo Cristofanelli, Ev-K2-CNR, spoke on the newest scientific evidence and its relation to action on the ground. He explained that measurements from 2006-2010 indicated very high levels of pollution in the Himalayas from far-off sources. He said the presence of black carbon combined with other pollutants can seriously affect snow cover and that biomass fuels can exacerbate this problem and negatively impact human health. He then described a collaborative project aimed at improving scientific knowledge on mountain ecosystem health, creating an information sharing system to assist decision-makers, and building capacity.

David Molden then introduced a panel of policy makers to comment on the presentations.

Xia Guang, Ministry of Environmental Protection, China, said climate change has affected water availability and biodiversity in mountain areas in China and that better incorporating scientific knowledge into decision-making is key. He recommended: utilizing the precautionary principle; improving scientific knowledge of climate change in mountain areas; promoting ecosystem conservation; and addressing over-cultivation in mountain areas.

Dinesh Chandra Devkota, Former Vice-Chair, National Planning Commission, Nepal, called for more country-level data on the Himalayan region to enable policymakers to create and improve national adaptation policies, and improved methods to bring indigenous knowledge "up" to policymakers and international knowledge "down" to local populations.

B.M.S. Rathore, Joint Secretary, Ministry of Environment and Forests, India, said that although our understanding of climate change and mountain ecosystems is improving, knowledge gaps remain a problem. He stressed the need for robust national adaptation strategies, and said that without regional cooperation frameworks, progress will remain elusive. He closed by underscoring that more international attention on mountains is needed, as are alliances of mountainous countries and improved communication with broader scientific and civil society communities.

Eduardo Durand, Ministry of Environment, Peru, highlighted the importance of mountains to his country and said the current global economic system is incompatible with sustainable development, calling the current gold mining rush socially and environmentally disastrous for Peru.

In the ensuing discussion, one participant suggested that river basin level analyses might be more helpful than national level analyses. Another asked whether informal or civil society movements had emerged where international agreements on mountain management are lacking. A third stressed the serious impact of black carbon on glacier melt, calling it a national or regional issue that does not require global agreement. The last question was on how to better bridge the science-policy divide, to which panelists suggested better and more frequent translations of scientific evidence into language policymakers can better understand. Molden concluded the afternoon sessions by calling for agreement to move the draft of the Call for Action forward as a formal result of this meeting.

SESSION D2: MOUNTAINS AND ADAPTATION – CHALLENGES AND OPPORTUNITIES WITH A VISION OF RIO+20:

Mario Boccucci, UNEP, chaired this session. Vera Scholz described three approaches to adaptation identified by GIZ, including: climate-proofing value chains, which would address both poverty and climate change; ecosystem-based adaptation, a natural resource-based approach as an alternative to infrastructural adaptation measures; and community-based adaptation, a bottom-up approach focused on community participation and perception of changes in local environments. Scholz suggested local ownership should be strengthened through capacity development and cross-border cooperation.

Madhav Karki, on behalf of ICIMOD, UNEP and the Mountain Partnership Secretariat, said the current decline of natural resources, food insecurity, persistent poverty and ecosystem degradation is proof that conventional economic models have failed. He identified ways in which the mountain community can contribute to adaptation activities and a green economy, including: recognizing the global environmental and economic significance of mountains' natural capital; removing trade barriers and price distortions on green goods and services of mountain regions; promoting transboundary approaches to global funding and incentive mechanisms; and strengthening green national accounting in GDP estimates.

Asuncion St. Clair, Centre for International Climate and Environmental Research (CICERO), and Ritu Verma, ICIMOD, discussed opportunities and policies for gender and climate change adaptation strategies in mountain contexts, highlighting the importance of incorporating gender into research and capacity building projects. Verma then highlighted examples of gender-biased mal-adaptation to climate change and climate change-related disasters. She said the Himalayan Climate Change Adaptation Programme (HICAP) aims to empower women and ensures proper resource allocation to gender incorporation into projects and decision-making.

Alton Byers, The Mountain Institute, presented on a project in Peru that brings together practitioners, scientists and policy makers. He explained that Peru created a glaciological unit, by installing drain pipes, canals and valves, to address rising glacial lake levels and flooding as well as to use water downstream for hydropower and agricultural purposes. He also stressed the need for community participation when collecting scientific information and in project development stages.

Olman Serrano, FAO Rome, discussed three adaptation projects that took place in mountain ecosystems. Underlining their importance, he said: 35% of water in Chile comes from the Maipo Valley; 90% of the population of central Asia relies on water stored in glaciers and snow; and in Uganda, the population density in mountains is more than double the density of the lowlands.

Basanta Shrestha, ICIMOD, discussed the cryosphere, areas of the Earth's surface where water is in icebound form, saying it is the greatest communicator of climate change, citing evidence on glacial melting, loss of snow cover, and increased frequency and magnitude of natural disasters. Shrestha discussed how regional assessments can guide adaptation activities. He concluded by explaining that access to cryospheric information services and regional databases would improve understanding of climate change, and influence adaptation and mitigation measures.

In the ensuing discussion, Gyan Chandra Acharya, Permanent Representative of Nepal to the United Nations and Coordinator for the Least Developed Country Groups at UN-Chair, stressed raising the political profile of mountains and making sure they are represented at side events. J.W.H. Ferguson, University of Pretoria, said in order to reach major players in the Rio+20 process, current scientific information on mountain ecosystems needs to be translated into digestible information for politicians. Participants further discussed, *inter alia*: bringing the mountain agenda to Rio+20 and to a wider net of policy makers; addressing mountains at the regional and national level; presenting current information in a way communities can integrate into their daily lives; involving local people not just in projects, but also in research; and the need for interdisciplinary information.

Boccucci closed the session, and Mountain Day, at 4:22pm.

UPCOMING MEETINGS

International Mountain Day: International Mountain Day aims to create awareness about the significance of mountains, the opportunities and constraints facing mountain development, and promote partnerships that aim to improve the health of mountain ecosystems and communities. **date:** 11 December 2011 **location:** global **contact:** ICIMOD **e-mail:** ngurung@icimod.org **www:** <http://www.fao.org/mnts/en/>

Eye on Earth Summit: The Eye on Earth Summit, Pursuing a Vision, is being organized under the theme "Dynamic system to keep the world environmental situation under review." This event will launch the global environmental information network (EIN) strengthening initiative and address major policy and technical issues. The Summit is co-organized by the UN Environment Programme (UNEP), Environment Agency Abu Dhabi, European Environment Agency, among others, and funded by the United Arab Emirates. **dates:** 12-15 December 2011 **location:** Abu Dhabi, United Arab Emirates **contact:** UNEP Secretariat **e-mail:** EoE@ead.ae **www:** <http://www.eyeonearthsummit.org/>

Second Intersessional Meeting for UNCS D: The first meeting of the Preparatory Committee (PrepCom I) of the UN Conference on Sustainable Development (UNCS D, or Rio+20) called for three intersessional meetings to be convened ahead of the June 2012 event. The Organization of Work is available on the webpage for the meeting. **dates:** 15-16 December 2011 **venue:** UN Headquarters, Conference Room 1, North Lawn Building **location:** New York, United States of America **contact:** UNCS D Secretariat **e-mail:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/rio20/index.php?>

Third Intersessional Meeting For UNCS D: As called for at the first PrepCom of the UN Conference on Sustainable Development (UNCS D, also called Rio+20), three intersessional meetings will be convened, in addition to three PrepComs, to prepare for the June 2012 UNCS D event. **dates:** 26-27 March 2012 **venue:** UN Headquarters **location:** New York, United States of America **contact:** UNCS D Secretariat **phone:** +1-212-963-8102 **e-mail:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/rio20/index.php?page=view&type=13&nr=46&menu=25>

Third PrepCom for UNCS D: On 4 November 2011, Dilma Rousseff, President of Brazil, announced a proposal to change the dates to 13-15 June 2012 for PrepCom III and 20-22 June 2012 for the UNCS D, in order to allow for highest-level participation. The previously scheduled dates were 28-30 May 2012 for PrepCom III and 4-6 June 2012 for the UNCS D. **dates:** 13-15 June 2012 [tentative] **location:** Rio De Janeiro, Brazil **contact:** UNCS D Secretariat **e-mail:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/>

UN Conference on Sustainable Development (UNCS D): The 2012 UNCS D meeting is also referred to as Rio+20. The UN General Assembly, in December 2009, adopted a resolution calling for a UNCS D to be convened in Brazil in 2012. This meeting will mark the 20th anniversary of the UN Conference on Environment and Development (UNCED), which convened in Rio de Janeiro, Brazil. The General Assembly resolution specifies that a three-day PrepCom should convene in May 2010, a two-day PrepCom should convene in February-March 2011, and a three-day PrepCom should convene immediately before UNCS D. **dates:** 20-22 June 2012 [tentative] **location:** Rio De Janeiro, Brazil **contact:** UNCS D Secretariat **e-mail:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/>

CBD COP 11: The 11th meeting of the Conference of the Parties (COP 11) to the Convention on Biological Diversity (CBD) is organized by the CBD Secretariat. The High Level Segment will be held from 17-19 October 2012. The provisional agenda includes consideration of: the status of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their Utilization; implementation of the Strategic Plan 2011-2020 and progress towards the Aichi Biodiversity Targets; issues related to financial resources and the financial mechanism; issues related to cooperation, outreach and the UN Decade on Biodiversity; operations of the Convention; and more. **dates:** 8-19 October 2012 **location:** Hyderabad, India **contact:** CBD Secretariat **phone:** +1 514 288 2220 **fax:** +1 514 288 6588 **e-mail:** secretariat@cbd.int **www:** <http://www.cbd.int/meetings/>



Oceans Day Bulletin

A Summary Report of the Oceans Day at Durban

Published by the International Institute for Sustainable Development (IISD) in collaboration with the University of Delaware

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SUMMARY OF OCEANS DAY AT DURBAN: 3 DECEMBER 2011

The Durban Oceans Day took place on 3 December 2011, at the Rio Convention Pavilion, on the sidelines of the 17th session of the Conference of the Parties (COP 17) to the UN Framework Convention on Climate Change (UNFCCC) in Durban, South Africa.

The meeting brought together over 170 participants representing governments, international organizations, the scientific community, academia, and non-governmental organizations. It was organized by the Global Ocean Forum in association with the Government of South Africa (Department of Environmental Affairs and Tourism), the Global Environment Facility (GEF), the UN Development Programme (UNDP), the Intergovernmental Oceanographic Commission of the UN Educational, Scientific and Cultural Organization (IOC-UNESCO), the University of Delaware, the Food and Agriculture Organization of the UN (FAO), the World Meteorological Organization (WMO), the New Partnership for Africa's Development (NEPAD), the Korea Ocean Research and Development Institute, the Organizing Committee of EXPO 2012 Yeosu Korea, City of Yeosu, Republic of Korea, the GEF/UNDP/UN Environment Programme (UNEP) African Large Marine Ecosystem (LME) projects, the Global Partnership Climate, Fisheries, and Aquaculture, the Plymouth Marine Laboratory, and the World Ocean Network.

The one-day meeting was organized in seven sessions, addressing: oceans and coasts at the UNFCCC and at Rio+20; climate change and African fisheries; evidence of climate change from the LMEs; progress on major oceans and climate issues; oceans and climate issues in small island developing States (SIDS); capacity building and public education; and mobilizing action on oceans and climate.

During the meeting, participants discussed a variety of issues, including the impacts of sea level rise, extreme weather events, the specific vulnerability of SIDS and ocean acidification. Participants also discussed the urgent need to address oceans and coasts within and outside the UNFCCC process, including through an integrated programme for oceans and climate.

This report summarizes the presentations and discussions held during Oceans Day, in chronological order.

A BRIEF HISTORY OF CLIMATE CHANGE AND OCEANS

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 anthropogenic greenhouse gases (GHGs) in the Earth's atmosphere are leading to changes beyond this range of natural climate variability.

Climate change is also having a profound impact on the world's oceans. Ocean warming directly impacts humans and ocean life – from sea level rise and increased storm intensity to habitat shifts and receding coastlines. This, in turn, disrupts ocean and coastal foodwebs, making it harder for fish, seabirds and humans to find food necessary for survival. These changes drastically impact vulnerable coastal areas, sometimes resulting in loss of life, damage to infrastructure, the economy, tourism and fisheries, and possible displacement of populations.

In addition, the oceans absorbed approximately 30-50% of the carbon dioxide (CO₂) produced by humans over the last 200 years, resulting in ocean acidification with substantial impacts on ocean chemistry and life. All these impacts have increased the need for appropriate response measures.

THE GLOBAL CONFERENCES: The First Global Conference on Oceans and Coasts at Rio+10: Toward the 2002 World Summit on Sustainable Development (WSSD) took place from 3-7 December 2001 in Paris, France. Participants assessed the status of oceans and coasts and progress achieved

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over the last decade, identified continuing and new challenges, examined options for concerted action on cross-sectoral issues and laid the groundwork for the inclusion of an oceans perspective and SIDS issues on the WSSD agenda.

Since then, four more global conferences have been held. The Second Global Conference on Oceans, Coasts, and Islands: Mobilizing for Implementation of the Commitments Made at the 2002 WSSD on Oceans, Coasts, and SIDS, took place from 12-14 November 2003, in Paris, France, and spurred the process of initial implementation of the WSSD commitments. The Third Global Conference on Oceans, Coasts, and Islands, which had as its theme "Moving the Global Oceans Agenda Forward," was held in Paris, France, from 24-27 January 2006. Among other things, participants examined two major emerging ocean policy issues: high seas governance; and the wide-ranging effects of climate change on oceans and coastal environments.

The Fourth Global Conference on Oceans, Coasts, and Islands, themed "Advancing Ecosystem Management and Integrated Coastal and Ocean Management by 2010 in the Context of Climate Change," took place in Hanoi, Viet Nam, from 7-11 April 2008. The meeting provided a review of successes and failures in attaining the goals adopted by the world's political leaders at the 2002 WSSD relating to oceans management and conservation in the context of climate change. The Fifth Global Conference on Oceans, Coasts, and Islands was organized around three thematic sessions: ensuring survival; preserving life; and improving governance. The event, which took place from 3-7 May 2010, also celebrated the 50th anniversary of the Intergovernmental Oceanographic Commission and the International Year of Biodiversity 2010.

THE WORLD OCEAN CONFERENCE: The World Ocean Conference in Manado, Indonesia, took place from 11-15 May 2009. The primary outcome of the meeting was the Manado Oceans Declaration, which was signed by 76 governments and stressed the importance of having oceans on the climate change agenda at UNFCCC COP 15 in Copenhagen, Denmark, and beyond. The Manado Global Ocean Policy Day (13 May), a multistakeholder dialogue organized by the Global Ocean Forum and partners, produced the Co-Chairs' Statement Emanating from the Global Ocean Policy Day, which detailed major ocean, coastal, and SIDS issues related to climate change mitigation, adaptation, financing, capacity development, and civil society.

COPENHAGEN CLIMATE CHANGE CONFERENCE: The UN Climate Change Conference in Copenhagen, Denmark, took place from 7-19 December 2009. It included COP 15 and the Fifth Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (COP/MOP 5). During the high-level segment, informal negotiations took place in a group consisting of major economies and representatives of regional and other negotiating groups. Late in the evening of 19 December, these talks resulted in a political agreement titled the "Copenhagen Accord." During the closing COP plenary, parties agreed to adopt a COP decision in which the COP "took note" of the Copenhagen Accord. Parties also established a procedure for countries supporting the Copenhagen Accord to accede to it.

OCEANS DAY IN COPENHAGEN: On the sidelines of COP 15, the Global Ocean Forum, the Government of Indonesia, the European Environment Agency, and 42 other partners, organized a special day on 14 December 2009, to stress the central role of oceans in the Earth's life-support system and to address threats faced by coastal communities,

especially in developing nations and SIDS. Oceans Day highlighted the direct link between climate change, ocean health and human wellbeing. Discussions at the event focused on the role of oceans in climate change and the fact that close to 50% of the world's population living in coastal areas will suffer disproportionately from ocean warming, sea level rise, extreme weather events and ocean acidification.

OCEANS DAY IN NAGOYA: On the sidelines of the Convention on Biological Diversity's (CBD) COP 10, the Oceans Day at Nagoya took place on 23 October 2010. The day brought together participants from all sectors of the global oceans community, and the major outcome was the Nagoya Oceans Statement which called on governments participating in the CBD COP 10 to request a process for setting new marine and coastal biodiversity targets at the UN Conference on Sustainable Development (UNCSD or Rio+20) and at the CBD COP 11, both taking place in 2012, to move the marine biodiversity agenda forward.

OCEANS DAY AT CANCUN: The Cancun Oceans Day convened in Cancun, Mexico, on 4 December 2010, on the sidelines of UNFCCC COP 16. Cancun Oceans Day was part of the Rio Conventions' Ecosystems and Climate Change Pavilion, organized by the CBD, UNFCCC and the UN Convention to Combat Desertification (UNCCD). Cancun Oceans Day featured: three panel discussions; two special addresses; and three workshops on developing an integrated approach to climate and oceans and preparation for Rio+20.

REPORT OF OCEANS DAY AT DURBAN

SESSION 1: WELCOME AND OPENING SESSION - OCEANS AND COASTS AT THE UNFCCC AND AT RIO+20: THE NEED FOR CONCERTED ACTION

This morning session was chaired by Wendy Watson-Wright, Executive Secretary, IOC-UNESCO.

Biliana Cicin-Sain, President, Global Ocean Forum, called for: adopting a comprehensive climate strategy for oceans; strengthening blue carbon policy capacity; accelerating the uptake of ocean and coastal-based carbon mitigation approaches; and increasing institutional and adaptive capacity of coastal areas to withstand the challenges posed by climate change.

Watson-Wright expressed hope that the Durban COP would result in the following developments for oceans, in the lead-up to Rio+20: increased funding for ocean carbon mitigation projects from the Green Climate Fund; more ocean observation systems in least developed countries (LDCs) and SIDS; the promotion of the blue/green economy; and the establishment of a global climate-resilient network of marine protected areas (MPAs).

Deputy Minister Rejoice Mabudafhasi, Ministry of Water and Environmental Affairs, South Africa, underscored the importance of raising awareness of oceans issues at all climate change conferences. Noting the particular vulnerability of developing countries to the risks posed by climate change, she called for establishing centers of excellence on ocean science and climate change.

Michel Jarraud, Secretary-General, World Meteorological Organization (WMO), outlined the "deep" collaboration between WMO and IOC-UNESCO. He presented the main findings of WMO's latest statement on the global climate, highlighting the strong influence of a la Niña event and the lowest Arctic ice level on record.

Dosoo Jang, Korea Ocean Research and Development Institute, provided an overview of the Yeosu Declaration, noting it aims to be the legacy of Yeosu EXPO 2012 and increase global awareness of the challenges facing oceans and coasts. He outlined the comprehensive approach being taken to draft the Declaration, and underlined the final goal of translating the Yeosu Declaration into action, specifically to mobilize funds for SIDS and LDCs.

SESSION 2: CLIMATE CHANGE AND AFRICAN FISHERIES – ENSURING FOOD SECURITY AND SUSTAINABLE LIVELIHOODS

This morning session was chaired by Sloans Chimatiro, New Partnership for Africa's Development (NEPAD). Chimatiro read a special address by Hassan Mayaki, CEO NEPAD, underscoring the role of African fisheries for livelihoods and economic development. He highlighted the first meeting of African ministers of fisheries and aquaculture in September 2010 held in Banjul, the Gambia, where ministers called for mainstreaming climate change considerations into fisheries programmes.

Daniel Jamu, Worldfish Centre, Malawi, presented a case study of the Lake Chilwa in Malawi. He stressed that measures to improve adaptive capacity with short-term economic benefits are good candidates for achieving quick wins during early stages of project implementation and for obtaining community buy-in.

Ndiaga Diop, West African Fisheries Policy Network (REPAO), presented on a fisheries sector project in West Africa. He highlighted that the project uses scientific data to assist community stakeholders adapt their fishing practices to changing fish stocks and to help decision makers update relevant fisheries policies.

Cassandra De Young, UN Food and Agriculture Organization (FAO), described the profile of the fisheries and aquaculture sectors in national adaptation programmes of action (NAPAs). She noted that although 36 of the 44 NAPAs reference fisheries and aquaculture sectors, the attention given to the sectors varies. She underlined shortcomings of NAPAs, including that they do not address transboundary issues and use inconsistent definitions of vulnerability.

Chimatiro presented a NEPAD/FAO fisheries partnership programme, funded by the Swedish International Development Agency, which addresses the issues of food security, equitable growth and responsible fisheries management. He underscored that the programme integrates climate change considerations into fisheries and aquaculture development in Africa.

Okeloh W'Namadoa, Fishnet Africa, described the Africa Eco-labeling Mechanism, noting it borrows from forest certification systems. He underlined that the fish standard looks at air and GHG emissions management, as well as energy efficiency.

Rashid Sumaila, University of British Columbia, underscored that even without climate change, the world's fisheries are under immense pressure. He emphasized that climate change causes further shifts in the biophysics of oceans and fish stocks, and that this will increase the costs of fishing, thereby affecting the affordability and availability of ocean-based protein sources, particularly in LDCs.

Papa Gora Ndiaye, Executive Secretary, REPAO, read a proposed Durban declaration on climate change and African fisheries drafted by REPAO member States, which draws attention to the fisheries sector's vulnerability to climate

change. The declaration further calls on governments to increase the resilience of African fisheries by fighting illegal fishing, reducing pollution, increasing gender sensitivity and taking advantage of indigenous knowledge.

In ensuing discussions, a participant called for addressing the issue of high seas fisheries management to ensure the sustainability of national fisheries. Cicin-Sain underscored the importance of achieving greater equity in the management of fisheries with greater benefits for coastal communities, noting the relevance of this issue in the Rio+20 process.

Participants also discussed subsidies to the fisheries sector, noting some have perverse effects. They underlined that the ecosystem approach to adaptation is largely in line with the ecosystem approach to fisheries and aquaculture.

SESSION 3: URGENT ACTION NEEDED ON CLIMATE CHANGE – ECOLOGICAL, SOCIAL AND ECONOMIC RATIONALE – EVIDENCE FROM THE LARGE MARINE ECOSYSTEMS (LMES)

This afternoon session was chaired by Hashali Hamukuaya, Executive Secretary, Benguela Current Commission, and Chair, African LME Caucus.

Hamukuaya provided an overview of climate issues in LMEs worldwide. He highlighted that 80% of global fisheries originate from 64 LMEs and that accelerated warming has been observed in 61 of the 63 LMEs assessed. He underlined that increased sea-surface temperatures are affecting zooplankton levels, leading to decreasing productivity in many LMEs and negatively affecting livelihoods and food security. Noting that historically, communities had adapted to environmental conditions over extended periods, he said the current rates of change to ecosystems is unprecedented. He concluded by calling for coordinated government efforts to respond to changes in LMEs.

Hamukuaya then explained some of the impacts of climate change in African LMEs, including the Agulhas and Somali Current LMEs (ACLME and SCLME), Benguela Current LME (BCLME), Canary Current LME (CCLME), Guinea Current LME (GCLME), Mediterranean LME (MLME) and Red Sea LME (RSLME). He underlined that throughout the region, climate change is impacting African LMEs through: sea level rise; rising sea surface temperatures; ocean acidification; biodiversity loss and ecosystem changes; and unfavorable environmental events, such as increased frequency and intensity of harmful algal blooms. He underscored that climate change will have broad social impacts as well, with collapsed fisheries and the inundation of coastal businesses and industries resulting in job losses, decreased livelihood security, increased poverty, and decreased food security. Hamukuaya concluded by stressing the urgent need for coordinated governance and management responses at global, regional, national and local levels, to address these development challenges.

The panel, composed of David Vousden, Regional Director, ACLME Project; Nico Willemse, Senior Project manager, BCLME Programme; and Max Donkor, Regional Coordinator and Executive secretary, Interim Guinea Current Commission/GCLME Project, responded to questions from the floor.

A participant asked whether, in light of declining fish stocks and the exacerbating effects of climate change, more dramatic measures, such as moratoria on fishing, should not be considered. Panelists noted that moratoria are unpopular measures and should be backed by sound data, which is often

lacking. They underlined that the setting up of MPAs and reserves is popular because stakeholders have experienced their benefits. Willemse stressed that a key challenge is finding suitable alternatives to fisheries for livelihoods. Panelists also addressed community engagement, underlining its importance in the implementation of the ecosystem approach.

SPECIAL PRESENTATION: Benjamin Valli, Department of International Affairs, Ministry of Foreign Affairs, Monaco, reported on the workshop on the “Sustainable Use of Oceans in the Context of the Green Economy and Poverty Eradication” held in Monaco from 28-30 November 2011. He explained that discussions focused on sustainability best practices in the areas of food security, renewable energy and tourism. Valli indicated that the workshop outcomes will feed into the Rio+20 process.

SESSION 4: PROGRESS ON MAJOR OCEANS AND CLIMATE ISSUES

This afternoon session was chaired by Ashley Naidoo, Department of Environmental Affairs and Tourism, South Africa.

Carol Turley, Senior Scientist, Plymouth Marine Laboratory, UK, described the effects of ocean acidification on marine organisms and ecosystems. She stated that the current speed and severity of ocean acidification was last experienced 60 million years ago, during the period of the extinction of dinosaurs.

Philippe Vallette, General Manager, Nausicaa, and Co-President, World Ocean Network, highlighted that 200 years ago, at the dawn of the industrial revolution, humankind could not conceive the effect they would have on the natural world. He said humankind is again on the brink of changing the world, and called for a blue society revolution that satisfies the needs of a growing population while preserving the subsistence requirements of future generations.

Luca Perez, Research and Innovation, Climate Change Unit, European Commission, spoke on the EU’s Seventh Framework Programme’s climate and oceans-related research, outlining work related to climate change and ocean dynamics, technological solutions and risks, adaptation and mitigation strategies, the Arctic Ocean, and ocean acidification. He highlighted that in the EU’s next research programme, starting in 2014, at least 35% of research funding will go towards climate-related research.

Jo Espinoza-Ferrey, Director, Marine Environment Division, International Maritime Organization (IMO), described the provisions of Annex VI to the International Convention for the Prevention of Pollution from Ships (MARPOL) on air pollution from ships. He highlighted the adoption in July 2011 of amendments to Annex VI to introduce regulations on energy efficiency for ships, noting it constituted the first ever global mandatory energy efficiency standard for an entire industry sector, leading to reduced fuel consumption.

Brian Murray, Director for Economic Analysis, Nicholas Institute for Environmental Policy Solutions, Duke University, underscored that coastal habitats protect massive amounts of carbon, which potentially could generate substantial carbon revenues if policies and incentives for blue carbon protection were secured, including through the integration of blue carbon activities into other carbon finance mechanisms. He explained that the issue of blue carbon was introduced by Papua New

Guinea at the Subsidiary Body for Scientific and Technological Advice (SBSTA) meeting in June 2010, and noted the need for more scientific information to inform future deliberations.

Nick Nuttall, UNEP Spokesperson, provided an overview of a report prepared by UNEP and its partners, titled “Green Economy in a Blue World,” which will be launched in January 2012. He stressed the need to: phase out perverse subsidies to the fisheries sector; green the shipping industry; reduce the movement of invasive marine species; and tap into the potential of marine-based renewables.

In the ensuing discussions, participants addressed the work of IMO on carbon capture and storage and ocean fertilization. Turley emphasized the need to address both climate change mitigation and adaptation in oceans policy. One participant stressed the need to communicate a more positive message on the state of the oceans. Nuttall explained how the transition to the green economy can lead to reduced resources consumption, economic growth and increased job creation.

SESSION 5: OCEANS AND CLIMATE ISSUES IN SMALL ISLAND DEVELOPING STATES

This afternoon session was chaired by Amb. Ronald Jumeau, Permanent Representative of Seychelles to the UN.

Amb. Dessima Williams, Permanent Representative of Grenada to the UN, and Chair, Alliance of Small Island States (AOSIS), stressed that although Grenada has made efforts to protect its oceans, the survival of SIDS depends on the outcomes of the UNFCCC process. She concluded by stating that climate change is changing oceans from “a friend and resource into an enemy.”

Luke Daunivalu, Deputy Permanent Representative of Fiji to the UN, underlined that the 14 Pacific SIDS are defined by oceans, as 97% of their jurisdiction consists of seawater. He identified climate change and ocean acidification as the greatest adversity facing the Pacific SIDS, and called for increased accountability in global fisheries management.

Jumeau emphasized that the fate of the oceans affects the survival of SIDS and called for ambitious GHG emission reduction commitments under the climate regime.

Amb. Angus Friday, International Climate Policy Specialist, World Bank, and former AOSIS Chair, stressed the high vulnerability of SIDS to extreme weather events. He welcomed the growing interest in the blue economy, highlighting the need to introduce the concept into the Rio+20 and climate change processes.

Selwin Hart, Counselor, Permanent Mission of Barbados to the UN, and Chief Negotiator for Climate Change for Barbados, stated that Rio+20 should comprehensively address ocean issues in order to be a success. He called for the operationalization of the Cancun Agreements, a second commitment period under the Kyoto protocol, and a new legally binding agreement under the Convention. He urged a focus on implementation of existing commitments at Rio+20.

In the ensuing discussions, Nkosazana Dlamini Zuma, South African Minister of Home Affairs, expressed support for SIDS, saying they must not be apologetic for their cause and that they should “keep at it, until you are heard.” Watson-Wright underlined that the UN Agencies’ Blue Paper (Blueprint for Ocean and Coastal Sustainability) includes a chapter on SIDS and the blue economy. Responding to a question on how small islands can move their agenda forward, Hart said ocean discussions need to be focused, and SIDS negotiators must guard against incoherence on ocean issues.

SESSION 6: FINANCING, CAPACITY BUILDING AND PUBLIC EDUCATION FOR ADAPTATION

This afternoon session was chaired by Mary Barton-Dock, Director, Environment Department, World Bank. She stressed the need to tap private sector resources for ocean conservation, noting the private sector's concerns on the oceans' productivity. She called for a carbon tax on maritime transport, the proceeds of which could be plowed back into oceans protection and development. She informed that the World Bank would be carrying out work on wealth counting to value oceans and coastal ecosystem services.

Koko Warner, Executive Director, Munich Climate Insurance Initiative, stressed that financial risk management can play a role in reducing risk. She emphasized the need for governments to educate themselves on the risks they face and engage in risk reduction strategies, and called on the Subsidiary Body for Implementation (SBI) to involve risk management professionals in its discussions on loss and damage.

Janot Reine Mendler de Suarez, Co-Chair, Global Ocean Forum Working Group on Oceans and Climate, provided some cost estimates of addressing the impacts of climate change on coastal areas, noting that the cost estimates are woefully inadequate. She also underscored that major reinsurers expect the frequency of disasters to increase by 65%. She urged dedicating half of climate financing to island and coastal communities, and stressed the need to operationalize the Green Climate Fund.

Razeena Omar, Chief Director, Integrated Coastal Management, Department of Environmental Affairs and Tourism, South Africa, described the challenges posed by climate change to Africa's coastal zones. She outlined a proposed programme of action for African coastal countries that was adopted at an expert meeting held in August 2011, in Cape Town, South Africa, stressing the need to make adaptation central to a future climate regime.

Hendra Yusran Siry, Deputy Director for Technical Services Research Centre for Marine and Fisheries Socio-Economic, Ministry of Marine Affairs and Fisheries, Indonesia, described Indonesia's community and disaster reduction village (CDRV) programme, which aims to strengthen villages' climate change adaptation and income generation capacities. He explained that the programme has been implemented in 16 villages and will be replicated in over 1000 villages.

Anthony Ribbink, Director, Sustainable Seas Trust, and Chair, Steering Committee, South East African Climate Consortium, described the work of the Sustainable Seas Trust in engaging coastal communities to take responsibility for coastal areas, including by setting up Sustainability Education and Skills (SEAS) Centers to provide training to marginalized individuals.

In the ensuing discussions, panelists underscored the importance of focusing on risk reduction through climate information systems and working with disaster risk reduction specialists. Warner said insurance is only one of a combination of tools that can be used in the context of adaptation.

SESSION 7 – CLOSING SESSION: MOBILIZING FOR ACTION ON OCEANS AND CLIMATE

Amb. Ben Ngubane, former Premier of Kwazulu-Natal Province, former Minister of Science and Technology, and former Ambassador of South Africa to Japan, gave a special

address. Underlining that oceans are the life support system of the planet, he stated that "if you breathe, you should take serious interest in our oceans." He outlined the role of oceans in stabilizing the climate, ensuring food security, and providing revenue to the tourism industry.

Anthony Ribbink presented the South African children who read the SEA Pledge resolution, which petitions the Global Oceans Forum to: take action to sustain the seas and their life supporting functions; and call upon the UN to declare an international year of oceans and coasts.

Gustavo Fonseca, Head, Natural Resources, GEF, highlighted GEF funding commitments to oceans, including the provision of US\$188 million dollars in grants, which has attracted co-financing of US\$1.5 billion for oceans. He said these commitments include: establishing a new programme on management of fisheries and biodiversity in areas beyond national jurisdiction; extending the Brazil protected coastal marine area; developing blue carbon policies and methodologies; reforming governance for sustainable development of the Arctic in the Russian Federation; and sustainably managing LMEs in East Asia and Africa.

Mabudafhasi thanked participants for an inspiring event. Cicin-Sain noted the will to turn difficulties around and re-invent the future to preserve future generations. She closed Oceans Day at 6:29pm.

OUTCOME: OCEANS DAY STATEMENT

The meeting forwarded a chair's statement to COP 17, which: summarizes the main issues discussed at the event: addresses the need for urgent and concerted actions; emphasizes the central role of oceans in climate change; and addresses the urgent issues faced by coastal and island communities living at the frontlines of climate change, including sea level rise, coastal erosion, extreme weather events, and ocean acidification.

In the statement, the global oceans community calls attention to the need to develop an integrated programme for oceans and coasts within and beyond the UNFCCC. It recommends: enacting stringent and immediate reductions in CO₂ emissions; deepening understanding and policy approaches to support "blue carbon," accelerating progress in mitigation approaches using oceans and coasts; undertaking climate change adaptation in vulnerable coastal areas; building the capacity of coastal and island areas to predict, understand and respond to the risks posed by climate change; and working with coastal countries to raise awareness about the implications of climate change impacts on oceans and coastal areas.

UPCOMING MEETINGS

CBD Joint Expert Meeting on Addressing Biodiversity Concerns in Sustainable Fisheries:

This meeting will: review the extent to which biodiversity concerns are addressed in existing assessments; review the impacts on marine and coastal biodiversity of pelagic fisheries of lower trophic levels; and propose options to address biodiversity concerns in sustainable fishery management and related assessments. **dates:** 7-9 December 2011 **location:** Bergen, Norway **contact:** CBD Secretariat **phone:** +1-514-288-2220 **fax:** +1-514-288-6588 **e-mail:** secretariat@cbd.int **www:** <http://www.cbd.int/doc/notifications/2011/ntf-2011-180-marine-en.pdf>

International Coral Reef Initiative General Meeting

2011: This is the third and final General Meeting of the ICRI Secretariat. **dates:** 12-15 December 2011 **location:** Saint-Denis, Reunion **contact:** Francis Staub **e-mail:** fstaub@icriforum.org **www:** <http://www.icriforum.org/news/2011/04/urgent-new-dates-next-icri-general-meeting>

Third Intergovernmental Review of the Global Programme of Action (GPA) for the Protection of the Marine Environment from Land-Based Pollution:

This meeting is expected to take place in January 2012. **dates:** 25-27 January 2012 **location:** Manila, Philippines **contact:** Takehiro Nakamura **phone:** +254-20-762-4793 **fax:** +254-20-762-4249 **e-mail:** takehiro.makamura@unep.org **www:** http://www.gpa.unep.org/index.php?option=com_content&view=article&id=68&Itemid=49

World Wetlands Day 2012: The World Wetlands Day theme for 2012 is "Wetlands and Tourism" and is linked to the theme for the 11th meeting of the Conference of the Contracting Parties (COP 11) to the Ramsar Convention, which is "Wetlands, Tourism and Recreation." **date:** 2 February 2012 **location:** worldwide **contact:** Ramsar Secretariat **phone:** +41-22-999-0170 **fax:** +41-22-999-0169 **e-mail:** ramsar@ramsar.org **www:** http://www.ramsar.org/cda/en/ramsar-activities-wwds-wwd2012e/main/ramsar/1-63-78%5E25350_4000_0_

CBD Caribbean and Mid-Atlantic Regional Workshop to Facilitate the Description of Ecologically or Biologically Significant Marine Areas:

This workshop will review relevant scientific data compiled through the CBD repository system of ecologically or biologically significant marine areas (EBSAs) and other credible, quality-controlled sources; describe EBSAs through application of scientific criteria for EBSAs and other relevant criteria; and identify gaps and needs for further elaboration in describing EBSAs. **dates:** 28 February - 2 March 2012 **location:** Praia do Forte, Brazil **contact:** CBD Secretariat **phone:** +1-514-288-2220 **fax:** +1-514-288-6588 **e-mail:** secretariat@cbd.int **www:** <http://www.cbd.int/doc/notifications/2011/ntf-2011-166-ebasa-en.pdf>

Sixth Session of the Sub-committee on Aquaculture of the Committee on Fisheries: The Sub-Committee provides a forum for consultation and discussion on aquaculture and advises COFI on technical and policy matters related to aquaculture and on the work to be performed by the FAO in the subject matter field of aquaculture. **dates:** 26-30 March 2012 **location:** Cape Town, South Africa **contact:** Rohana Subasinghe **e-mail:** rohana.subasinghe@fao.org **www:** <http://www.fao.org/fishery/nems/39840/en>

The Fourth East Asian Seas Congress 2012: This meeting will convene in conjunction with Expo 2012 Yeosu Korea. **date:** 1 May 2012 **location:** Yeosu, Republic of Korea **contact:** PEMSEA Secretariat **phone:** +632-929-2992 **fax:** +632-926-9712 **e-mail:** info@pemsea.org **www:** <http://pemsea.org/>

Expo 2012 Yeosu Korea: This Expo will take the theme of "the living ocean and coast," and will seek to provide a learning opportunity to the public, as well as present solutions to environmental challenges and propose measures for the sustainable use and development of marine resources. **dates:** 12 May-12 August 2012 **location:** Yeosu, Republic of Korea **contact:** Organizing Committee **phone:** +82-1577-2012 **www:** <http://eng.expo2012.kr/main.html>

UNFCCC Subsidiary Bodies Meeting: The venue for these meetings of the UNFCCC Subsidiary Bodies is likely to be Bonn, Germany. **dates:** 14-25 May 2012 **location:** TBA **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **e-mail:** secretariat@unfccc.int **www:** <http://www.unfccc.int>

Oceans Day at UNCSO: The "Oceans Day" will be held during the thematic days immediately preceding the UNCSO. **dates:** 1-3 June 2012 [tentative] **location:** Rio De Janeiro, Brazil **contact:** Miriam Balgos **phone:** +1-302-831-8086 **fax:** +1-302-831-3668 **e-mail:** mbalgos@udel.edu **www:** <http://www.globaloceans.org/content/rio20>

UN Conference on Sustainable Development (UNCSO): This meeting is also referred to as Rio+20. It will mark the 20th anniversary of the UN Conference on Environment and Development (UNCED), which convened in 1992 in Rio de Janeiro, Brazil. **dates:** 20-22 June 2012 **location:** Rio De Janeiro, Brazil **contact:** UNCSO Secretariat **e-mail:** uncsd2012@un.org **www:** <http://www.uncsd2012.org/>

Ramsar COP 11: The Ramsar COP 11 will be preceded by the 44th meeting of the Standing Committee planned for 4 July 2012, and an additional day of regional meetings on 5-6 July 2011. The broad theme for Ramsar COP 11 and World Wetlands Day 2012 is "Wetlands, Tourism and Recreation." **dates:** 6-13 July 2012 **location:** Bucharest, Romania **contact:** Ramsar Secretariat **phone:** +41-22-999-0170 **fax:** +41-22-999-0169 **e-mail:** ramsar@ramsar.org **www:** http://www.ramsar.org/cda/en/ramsar-documents-cops-cop11/main/ramsar/1-31-58-500_4000_0_

30th Session of the FAO Committee on Fisheries (COFI): The 30th session of COFI will review activities of the COFI Sub-Committees on Aquaculture and Fish Trade, progress on the implementation of the Code of Conduct for Responsible Fisheries (CCRF) and associated International Plans of Action (IPOAs), as well as the priorities for the FAO work programme on these issues. **dates:** 9-13 July 2012 **location:** Rome, Italy **contact:** Hiromoto Watanabe **e-mail:** hiromoto.watanabe@fao.org **www:** <http://www.fao.org/fishery/about/cofi/meetings/en>

Third Symposium on the Ocean in a High-CO₂ World: This symposium aims to attract leading scientists to discuss the impacts of ocean acidification on marine organisms, ecosystems, and biogeochemical cycles. It will also cover socioeconomic consequences of ocean acidification, including policy and management implications. **dates:** 24-27 September 2012 **location:** Monterey, California, US **e-mail:** secretariat@scor-int.org **www:** <http://www.highco2-iii.org>

CBD COP 11: The 11th meeting of the Conference of the Parties (COP 11) to the Convention on Biological Diversity (CBD) is organized by the CBD Secretariat. The High Level Segment will be held from 17-19 October 2012. **dates:** 8-19 October 2012 **location:** Hyderabad, India **contact:** CBD Secretariat **phone:** +1-514-288-2220 **fax:** +1-514-288-6588 **e-mail:** secretariat@cbd.int **www:** <http://www.cbd.int/meetings/>

UNFCCC COP 18: UNFCCC COP 18, plus the 8th session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (COP/MOP 8) and meetings of the subsidiary bodies, will take place in Qatar from 26 November to 7 December 2012. **dates:** 26 November-7 December 2012 **location:** Doha, Qatar **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **e-mail:** secretariat@unfccc.int **www:** <http://www.unfccc.int>