

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 20 次締約國大會(COP20)暨京都議定書第 10 次締約國會議(CMP10)」與會情形報告

服務機關：行政院環境保護署

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派赴國家：秘魯利馬(Lima, Peru)

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摘要

全球關注的氣候公約會議「聯合國氣候變化綱要公約第 20 次締約國大會暨京都議定書第 10 次締約國會議(The 20th session of the Conference of the Parties and the 10th session of the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol, UNFCCC COP20/CMP10)」業於 2014 年 12 月 1 日至 14 日在秘魯首府利馬(Lima, Peru)展開為期兩週的國際氣候談判，從減緩、調適、資金、技術轉讓與能力建構、及行動透明度等面向，針對 2015 年在法國巴黎會議中達成最遲於 2020 年生效、適用於所有締約國、具有法律效力之新國際氣候協議進展取得有利動力。

我國行政院代表團由環境保護署負責組團，由外交部、經濟部、衛生福利部、交通部、科技部、農委會等政府部會代表與國內相關產業、學術研究機構等專家學者共同與會，實地掌握全球氣候談判的最新動態，並分頭展開多場次的國際交流活動。此外，環境品質文教基金會、臺灣永續能源研究基金會、台達電子文教基金會、臺灣產業服務基金會及臺灣綜合研究院等國內民間組織亦派員出席，預計有來自全球 190 個國家、超過 1 萬名的各國代表出席本次會議活動。

COP20/CMP10 大會與周邊會議上，各國間出現不同意見的鴻溝依然存在，但是與以往會議不同的是，與會代表們表現出明顯溫和互動，並已經針對法國巴黎氣候協議內容提出具體想法與進行建設性討論。迄今氣候公約已經進行了多項重要議題的非正式磋商，包括：針對德班平台特設工作組(the Ad Hoc Working Group on the Durban Platform for Enhanced Action, ADP)下針對 2020 年前減量企圖心與 2015 年協議要項及法律形式的談判草案協商、國家自定預期貢獻(Intended Nationally Determined Contributions (INDCs)、基於如何將「共同但有區別責任與各自能力」公約核心原則的適用性展現在巴黎協議中締約國區隔問題(Differentiation)、損害與賠償(Loss and Damage)國際機制原則、全球碳價格機制(Carbon Pricing)、綠色氣候基金下推展部門別減緩技術發展及全球調適行動策略規劃走向等進行廣泛地協商談判。雖然會前全球關鍵國家紛紛做出政治宣示，呈現出令人鼓舞的好徵兆；但從 2014 年秘魯利馬會議到 2015 年法國巴黎會議的這一條路仍將不會輕鬆，2015 年勢將排滿各式氣候談判會議活動，而最重要的是要讓這個諮商談判過程維持公平、公開與包容。

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「聯合國氣候變化綱要公約第 20 次締約國大會(COP20)暨京都議定書第 10 次締約國會議(CMP10)」 與會情形報告

壹、前言

「聯合國氣候變化綱要公約第 20 次締約國大會暨京都議定書第 10 次締約國會議(The 20th session of the Conference of the Parties and the 10th session of the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol, UNFCCC COP20/CMP10)」業於 2014 年 12 月 1 日於秘魯首都利馬(Lima, Peru)揭開序幕，展開為期兩週的國際氣候談判，並於 14 日凌晨 3 點劃下句點。

此次會議湧入來自全球約 190 個國家，包含政府、觀察員、媒體等約計超過一萬名各國代表齊聚一堂，會議時間超出原預定談判期限（12 日）延會近 40 個小時，各國代表挑燈夜戰延續諮商巴黎新協議草案與氣候變遷因應對策，針對可以達成讓所有國家採取行動的 2015 年新氣候變遷協議，達成邁出向前重要步驟的結果。

這次秘魯利馬氣候會議一如外界預期，係為 2015 年法國巴黎氣候會議鋪路，最終計通過 24 項 COP20 決議及 8 項 CMP10 決議，並達成多項首例，包括各締約方提交「國家自定預期貢獻(Intended Nationally Determined Contributions, INDCs)」，附件一國家接受「多邊評估(Multilateral Assessment, MA)」等重要決議產出。另，國家調適計畫(Nationally Adaptation Plans, NAPs)、綠色氣候基金(Green Climate Fund, GCF)、減少毀林及森林退化所致排放量與森林保育永續經營(Reducing Emissions from Deforestation and Forest Degradation plus, REDD+)、損失與損害(Loss and Damage)、氣候技術中心網絡(Climate Technology Centre and Network, CTCN)等特定議題亦有實質的進展。

雖然各界多將本次秘魯利馬氣候會議視為邁向巴黎新協議的過渡會議，但召開前的 9 月聯合國氣候高峰會、11 月亞太經合會時，美國與中國大陸共同發表氣候變化聯合聲明，成功營造出前景樂觀的氛圍。利馬會場內談判氣氛不似往年的緊繃衝突。儘管會議依然上演延會的場面，不過這場景在氣候公約諮商談判歷程早已屢見不鮮，卻也是各界不輕易放棄的最佳寫照。在本次秘魯利馬氣候會議中，三大談判集團（以歐美為首的已開發國家、新興經濟體/開發中國家、脆弱度高之低度開發國家）都得到一點他們想要的結果：「利馬氣候行動呼籲」(Lima call for Climate Action)，此項重要的決議對於保持氣候談判持續進行具有關鍵性，要求所有締約方於法國巴黎會議前，提交「國家自定預期貢獻」(Intended Nationally Determined Contributions, INDCs)，準備就緒的締約方可於 2015 年第一季前提交，以利法國巴黎舉行 COP 21 進行新氣候協議之談判磋商工作。

我國各界持續參加氣候公約會議活動，除能掌握瞬息萬變的國際因應氣候變遷與減碳管制最新發展動向外，並參與相關周邊會議，適時安排與友邦及友好國家等與會代表會晤，進行密集且深入的交流活動，讓國際社會瞭解臺灣在推動因應氣候變遷工作的堅定決心與綠能低碳具體作為，藉此不斷累積各界助我實質參與氣候公約的量能，並推展氣候變遷雙邊合作及拓展技術交流管道，據以強化我因應氣候變遷政策作法。

貳、我國與會代表

我行政院代表團援例由行政院環境保護署召集組團，邀集外交部（含駐外館處）、經濟部能源局/水利署/工業局、衛生福利部、交通部中央氣象局、科技部、行政院農業委員會林務局、國家災害防救科技中心等政府部會代表及中華民國臺灣薄膜電晶體液晶顯示器產業協會、中國鋼鐵股份有限公司、台灣中油股份有限公司、臺灣綜合研究院、臺灣產業服務基金會、工業技術研究院、清華大學、環科工程顧問股份有限公司、永智顧問有限公司等相關產業、學術研究機構代表與專家學者，約計 47 人組成代表團與會。外交部駐紐約聯合國工作小組、駐歐盟兼駐比利時代表處、駐巴西辦事處及駐秘魯代表處亦派員與會，並協助代表團團務工作。此外，臺北市環境保護局、環境品質文教基金會、臺灣永續能源研究基金會、台達電子文教基金會及臺灣青年氣候聯盟等國內城市及民間單位亦派員與會。我立法院亦由邱委員文彥、及江委員惠貞、葉委員宜津、管委員碧玲及賴委員振昌等一行五人合組立法院遊說團，赴秘魯出席 COP 會議進行國會外交之遊說工作。

本次代表團由駐秘魯代表處吳大使進木及本署葉前政務副署長欣誠擔任共同團長（啟程時適逢內閣總辭改組，葉前副署長升任行政院政務委員而不克與會），並指定由本署簡慧貞參事兼溫減管理室執行秘書及工研院綠能與環境研究所胡耀祖所長擔任副團長協助執行團務工作。我代表團下設雙邊會談組、調適防災組、能源產業組、農業林務組、科研應用組、庶務支援組等任務編組，並由相關部會與會代表擔任組長及副組長，綜理掌握全球氣候談判與相關專業議題的最新動態，並配合分頭展開國際交流活動。全團主要任務摘述如下：

- 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；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，包括：
 - （一）關注德班平台下推動 2015 年底前達成適用於所有締約國之法律協議，可能對我國因應政策之啟示與影響。
 - （二）掌握 2020 年後各國低碳排放發展目標。
 - （三）全球碳交易市場連結及新市場機制發展趨勢。
 - （四）部門別減緩政策措施技術發展及調適行動規劃走向。
- 三、運用與會期間相關可能管道與機會向國際發聲，適時讓國際社會能夠瞭解我國推動因應氣候變遷工作之堅定決心與具體作為，宣揚我國因應氣候變遷之努力與挑戰，以提升國際能見度與認同。



圖 1、COP20 會場內情形（照片載自 UNFCCC 網站）



圖 2、聯合國秘書長潘基文於 COP20 發言致詞（照片載自 COP20 主辦國網站）\



圖 3、COP20 場內會議進行等情形（照片載自 COP20 主辦國網站）



圖 4、COP20 場內展覽等情形（照片載自 COP20 主辦國網站）



圖 5、COP20 場內活動照片（載自 COP20 主辦國網站）



圖 6、COP20 場外活動照片（載自 COP20 主辦國網站）

參、出國行程

2014 年 12 月 3 日至 12 月 4 日	啟程至秘魯利馬
2014 年 12 月 4 日至 12 月 11 日	參加公約會議活動
2014 年 12 月 12 日至 12 月 14 日	返程，回到臺北

肆、會議過程紀要

一、 全球主要領袖或集團之聲明

(一) 聯合國秘書長 **Ban Ki-moon, (Secretary-General of the United Nations)**

呼籲在利馬會議中為 2015 年協議做出一份平衡、結構完善且和諧的協議草案、對氣候資金建置上要有實質的進展、為弱勢族群，特別是低度發展國家與小島國家發展中國家，優先提供調適的支持、要求各締約國做出具體氣候行動、並要求各國盡速批准京都議定書二期承諾多哈修正案。

(二) 秘魯總統 **Ollanta Humala Tasso**

希望利馬可以做出一份可視為協議基礎的文件，也可做為國家貢獻的基礎，使氣候行動計畫能協助我們在 2020 年之前達成目標。

(三) UNFCCC 執行秘書 **Christiana Figueres (UNFCCC Executive Secretary)**

有企圖的決策會做出有企圖心的氣候變遷行動，都將改變成長，增加機會而非助長貧困、確保而非消耗資源、要增加長期的穩定性而非短期的波動。未來歷史不僅會評斷我們做出多少的溫室氣體減量，也會評斷我們是否能夠保護弱勢族群、消除貧困以及為全人類創造未來。

(四) 聯合國氣候變化政府間專家委員會(IPCC)主席 **Rajendra K. Pachauri**

氣候變遷乃是明確與空前的，亟需進行大量與持續減量，方能避免嚴重後果；因應全球氣候行動越拖延，成本將越昂貴，而未來我們也將乞靈於從未經檢驗之技術。

(五) 美國氣候談判代表 **Todd Stern**

總統歐巴馬宣布了美國對綠色氣候基金 30 億美元的貢獻。在 2030 年前減少現有的發電廠 30% 的排放量，及另一項新規定，要求新的發電廠遵守嚴格的標準。就 HFC，美國將在蒙特婁公約中開始逐漸停止使用這些污染物。

(六) 法國

欲建立四個行動核心，作為開路先鋒：能源轉型法、生物多樣性法、健康與環境之國家計畫與策略、法國之國際行動。

(七) 英國與北愛爾蘭

新的協議必須是完整的一套協議，包含減緩、調適與資金。綠色氣候基金英國已承諾貢獻 55 億美金；調適方面，捐獻 15 億美金。

(八) 歐盟

歐盟已做出 2030 年要減少溫室氣體排放 40% 的減量目標，是歐盟的低碳未來規畫，也為 2015 年的巴黎大會做出正面的回應；2015 年新氣候協議將是一個具決心、動能且均衡發展下的協商，呼籲制定新氣候協議要將目前的經濟及政治等現實因素納入考量。

(九) 德國

表示仍有太多國家討論氣候行動對經濟發展的影響，認為應開始思考如何於 2100 年達到零排放。宣布對調適基金(Adaptation Fund)捐獻 5000 萬歐元。

(十) 澳洲

呼籲主要經濟體確切地減少排放量。呼籲各締約國進行基於經濟現實的全球合作，並建立透明行動之多邊規則。

(十一) 瑞士

瑞士期待所有的 G20 成員與所有的主要經濟體遞交他們的 INDCs、綠色氣候基金 (GCF) 的資本化在氣候變遷的國際合作上是非常重要的。全球投資轉換到對氣候友善的科技、再生的能源，是必要的。

(十二) 阿拉伯聯合大公國 **Ayman Shasly** 沙烏地阿拉伯代表發言

UAE 與開發中和已開發國家結盟建立雙贏的氣候變遷政策，我們投入 50 萬美金在再生能源上，我們也相信再生能源是發展的重要一環。我們也投資近 20 億美金在製造超過 1GW 發電量的清潔能源上。

(十三) **G77/中國大陸集團 Rene Orellana** 玻利維亞代表發言

推動溫室氣體減量時，應該不是只有考慮到資金或經濟等現實的因素，應該要從保護地球環境的角度來切入，因為地球是大地的母親，為萬物提供生存的環境；為了達成新氣候協議，我們要秉持不畏懼、不說謊及不偷懶三個原則來努力推動協商。

(十四) 小島嶼國家聯盟 (AOSIS) **Ngedikes Olai Uludong** 諾魯代表發言

開發中國家需要在發展再生能源上給予協助，以減少溫室氣體排放，並增加對氣候變遷的調適能力。

(十五) 低度開發國家集團 (LDC) **Krishna Chandra Pauldel** 尼泊爾代表發言

所有國家必須作出具企圖心之減緩行動，如量化的五年整體經濟範圍承諾、目標，而已開發國家及其他有能力國家應做出長期減緩承諾。同時要求立即實施最不發展國家基金(LDCF)。



秘魯總統



聯合國秘書長



UNFCCC 秘書長



IPCC 主席

圖 7、主要國家代表團及重要集團組織發言情形

二、 大會結論

聯合國氣候變化綱要公約第 20 次締約國大會暨京都議定書第 10 次締約國會議 (UNFCCC COP20/CMP10) 於秘魯利馬展開為期兩週之氣候談判，2015 年 12 月 14 日凌晨 3 點劃下句點，共計通過 24 項 COP20 決議及 8 項 CMP10 決議，其中「利馬氣候行動呼籲」(Lima call for Climate Action) 至為關鍵，多元地呈現德班平台特設工作組(the Ad Hoc Working Group on the Durban Platform for Enhanced Action, ADP)下針對 2020 年前減量企圖心與 2015 年協議要項及法律形式的談判草案協商。

這次秘魯利馬氣候會議達成在國際氣候談判長期進程中多項首例，包括各締約方提交「國家自定預期貢獻」(Intended Nationally Determined Contributions, INDCs) 資訊時要符合清晰、公開透明與可理解(clarity, transparency and understanding)等原則、附件一國家接受「多邊評估」(Multilateral Assessment, MA)程序審查減排目標以提升各國透明與信任度、多個已開發國家與開發中國家對「綠色氣候基金」(Green Climate Fund, GCF)做出提供經費的承諾、呼籲各國政府將氣候變遷納入學校課程與將氣候意識納入國家發展計畫內等多項重要決議產出；其他包括國家調適計畫(Nationally Adaptation Plans, NAPS)、減少毀林及森林退化所致排放量與森林保育永續經營(Reducing Emissions from Deforestation and Forest Degradation plus, REDD+)、損失與損害(Loss and Damage)、氣候技術中心網絡(Climae Technology Centre and Network, CTCN)等特定議題亦有實質的進展。然而氣候變遷原本就非單純環境保護議題，從科學論證、跨世代公平正義、國家競爭與產業轉型、災害預防與重建、損害損失賠償、公衛防疫、糧食資源爭奪等高度複雜且關連議題，仍需要締約方與各界相互讓步與相互理解。

此次會議仍有許多議題呈現模糊或定義不清狀態，例如各國延遲對該協議的法律結構與草案要項做出決議，也延後決定如何確保資金向開發中國家流動。此外，已經遭到氣候變遷威脅的國家，例如面臨被海平面上升吞噬之小島嶼國家，被許諾透過「損失與損害」(loss and damage)計畫來提供財政援助，但是沒有提到來自自己開發國家的任何具體承諾，已開發國家對此議題發展很不安，因為他們擔心這將造成一個全新類別的財政義務。這些待決問題將再次被提出來在法國巴黎氣候會議討論。本次會議之所以會延後兩天結束，便是因為針對哪些國家應該承擔因應氣候變遷負擔這個議題發生爭議。

又近年來全球經濟變局，歐、美、日等已開發國家溫室氣體排放量的全球占比持續縮小，而中國大陸、印度、韓國等新興國家經濟實力崛起，帶動排碳高度增長，在政經強權角色更替與減碳責任分野難解的情況下，氣候公約諮商談判之相互角力的關係更顯得多變與複雜。最終，利馬氣候會議決議內容仍保留「共同但有區別責任與各自能力」(common but differentiated responsibilities and respective capabilities)之文字，這乃是多年來開發中國家藉以迴避減少排放責任之原則，而且加上一個「鑑於不同國家情況」(in light of different national circumstances)的但書，算是反映中國大陸與其他新興經濟體的現實。

全球不同團體與媒體反應均對此次決議產出，多數表達出不甚滿意的看法，惟原先期待不高，失望落差當然也不致太大；各締約方在微薄的互信基礎下，避免重蹈覆轍與雙輸破局重現，已算是高度妥協下尋求共存，並給予各國自主調節減碳空間，而非追求一步到位，再進而探討縮減缺口之有效作法；考量的則是高舉道德大

旗雖能喚醒意志，但無濟於在政治層面上促發具體行動，綠能低碳技術發展與擴散速度決定了能力建構與實質減碳作為；然而全球經濟復甦步伐及歐美先進國家財力，依舊是援助資金籌措及氣候財務機制能否有效運作之關鍵所在，也是增進互信基礎的重要因素。

公約秘書處排定在 2015 年 2 月 8 日至 13 日在瑞士日內瓦、6 月 1 日至 11 日、8 月 30 日至 9 月 4 日及 10 月 19 日至 23 日在德國波昂持續進行諮商談判工作。下一屆聯合國氣候變遷大會(COP21/CMP11)則訂於 2015 年 11 月 30 日至 12 月 11 日在法國巴黎舉行，將是全球關注焦點。如何讓政治諮商談判不致破局，邁向巴黎之路恐仍有一番苦戰。

本次 COP20 會議重要決議及具體成效主要為：

(一) 未來氣候行動應涵蓋所有締約方：

闡述 2015 年巴黎新協議之要項，所有締約方，包括開發中國家、新興經濟體與已開發國家，都需要承諾對氣候變遷採取行動，並於法國巴黎會議前提交，準備好的國家將在 2015 年第一季提交針對新協議貢獻內容。UNFCCC 網站上發布各國傳達之「國家自定預期貢獻」(Intended Nationally Determined Contributions, INDCs)，所含資訊應具清晰、公開透明且便於理解，建議可酌情涵蓋量化資訊、基準年、期程、適用範圍、假設條件與估算方法、碳匯、調適規劃等，並說明該貢獻何以在符合該國國情下具有公平性及企圖心，公約秘書處將在 UNFCCC 網站上發布所收到訊息，於 11 月 1 日前彙整出綜合報告（涵蓋 10 月 1 日前提交資訊）。

(二) 已開發國家要求用以評估各自減碳數量方法

公約要求締約方應提交之兩年期國家報告(Biennial Reports)中，附件一國家所提出的減量承諾達成情況皆需經過國際評估檢視程序(International Assessment and Review, IAR)，這個程序現被定義為「多邊評估」(Multilateral Assessment, MA)；即各國報告要經過 SBI 工作組審查，也須回覆相關問題；經過這個程序後，將提升附件一國家減碳承諾達成之透明度與可信度。

利馬氣候會議推出有史以來第一次多邊評估(Multilateral Assessment, MA)，這乃是針對 UNFCCC 下排放減量進行報告與查核工作之歷史性里程碑，這是履行坎昆、德班和多哈氣候會議所作出決議的成果。這項多邊評估結果顯示，各國使經濟成長與排放量成長脫鉤之成功案例、政策和技術創新最佳做法數量正在增加。

(三) 鼓勵儘速批准「多哈修正案」

2012 年在卡達多哈 COP18 通過的「多哈修正案」(Doha Amendment)，成功推出京都議定書第二承諾期(2013-2020 年)，亦是銜接期待能在 2020 年生效施行的巴黎新協議之重要里程碑。諾魯與吐瓦魯在本次會議上提交接受多哈修正案，使締約國核准數量達到 21 國。依規定仍須有 144 個締約方批准始能生效，截至 12 月 5 日僅有 21 個締約方批准。聯合國鼓勵各國政府應加快接受京都議定書第二承諾期，方能進一步增強推動目前到 2020 年期間全球氣候行動動力。

(四) 因應氣候變遷融資

各國政府針對現有各種資金與氣候資金交付之協調方面取得進展，包括在秘魯利馬氣候會議時，挪威、澳洲、比利時、秘魯、哥倫比亞與奧地利政府針對綠色氣候基金 Green Climate Fund, GCF)做出進一步供款承諾，使得綠色氣候基金累計總金額超過 100 億美元，但離 1,000 億目標仍有極大差距。另，為進一步推動開發中國家調適企圖心，德國提出 5,500 萬歐元供款承諾給調適基金；中國大陸宣布提供給南南(South-South)合作計畫 1,000 萬美元資金，並表示 2015 年將增加供款一倍。

(五) 加速技術轉讓給開發中國家

利馬氣候會議發出一個重要信號，顯示透過聯合國與其他國際機構提供之氣候技術與援助轉移速度正在逐步加快。「氣候技術中心與網路」(Climate Technology Centre and Network)已經收到大約 30 項請求提供援助的要求，預計 2015 年將增加至 100 多項。透過考量與綠色氣候基金及公約財務機制進行連結方式，UNFCCC 的技術機制可望獲得進一步加強。

(六) 利馬調適知識倡議

利馬氣候會議中針對將調適提升到與抑制溫室氣體排放同一水準方面取得進展，透過「國家調適計畫」(National Adaptation Plans, NAPs)將是廣宣韌性(resilience)之重要途徑。透過在 UNFCCC 網站上公布 NAPs，將提高能見度，並改善其獲取援助機會；綠色氣候基金(Green Climate Fund, GCF)亦將討論有關各國如何能支持 NAPs，並對擴增計畫數量給予適當援助。

(七) 損失與損害(loss and damage)關鍵進展

迄今曾經被許諾透過損失與損害計畫，提供財政援助已遭到氣候變遷威脅的國家，尚未獲得來自已開發國家的任何具體承諾；公約同意在 2016 年 COP22 時重新檢討該機制的結構，並通過最初兩年的工作計畫，各國將描繪損失與破壞活動與需求、開發分析工具與分享最佳作業實務。

各國支持組成損失與損害華沙國際機制執行委員會，委員任期兩年，具有來自開發中國家與已開發國家成員；委員會將下設立工作方案，內容包括加強針對因為氣候變遷造成損失與損害，特別脆弱的開發中國家人民(包括原住民或少數民族)的理解，及瞭解氣候變遷如何影響人類遷徙與造成流離失所衝擊。

(八) 建立 REDD+之森林與利馬資訊中心

UNFCCC 網站上推出「利馬資訊中心」(Lima information hub)，以彰顯各國實施的 REDD+活動。另，哥倫比亞、蓋亞那、印尼、馬來西亞及墨西哥正式提交關於其森林部門溫室氣體排放減量資訊，加上巴西 2014 年初已經首先提交類似狀態資訊與數據。這些基準線數據將有可能增加「減少毀林及森林退化造成的溫室氣體排放與管理(REDD+)」倡議取得國際資金支持的可能性。

(九) 加強利馬性別工作方案

婦女在因應氣候變遷方面具備關鍵作用，因此需要加強其角色。秘魯利馬氣候會議中同意「利馬性別工作方案」(Lima Work Programme on Gender)，促進性別平衡，以推動在制定與實施氣候變遷政策時之性別敏感性。

(十) 提升教育與認知

宣布「利馬教育與認知部長宣言」(Lima Ministerial Declaration on Education and Awareness)，其目的是發展一項將氣候變遷議題納入課程之教育策略，同時在設計與實施國家發展策略時提升對氣候變遷的認知。

(十一) 推出利馬巴黎行動議程

秘魯政府與下屆締約國大會主席國法國政府，合作推出「利馬-巴黎行動議程」(Lima-Paris Action Agenda)，這項議程旨在激勵國家、城市和民間部門對氣候變遷採取夥伴關係行動，以催化進一步加大 2020 年前企圖心與支持 2015 年新氣候協議。

(十二) 推出納斯卡氣候行動門戶

在氣候變化綱要公約支持下，秘魯政府推出一個新的門戶網站「納斯卡氣候行動門戶」(Nazca Climate Action Portal)，以增加展示諸多城市、地區、公司和投資者在因應氣候變遷方面取得的成果。網站著重突出一系列包括提高能效和碳定價政策在內的氣候行動，以為邁向巴黎協議過程中注入額外動量。

伍、我代表團參與公約周邊會議及展覽

一、我代表團於 COP20 合辦周邊會議

我國行政院參與 COP20 全球氣候變遷會議代表團於秘魯利馬與友邦及重要國際組織進行交流。12 月 6 日午間，我行政院團代表環保署簡慧貞參事兼溫減管理室執行秘書應邀出席吉里巴斯共和國與財團法人工業技術研究院在 COP20 主會場內舉行「積極參與綠色經濟下之氣候行動育成機制(Engaging the Participation of Green Economy in the Climate Action Incubation Mechanism)」周邊會議活動，強調「我們只有一個地球，現在有一個機會(One Earth, One Chance)」，呼籲「我們對抗氣候變遷的行動若持續延遲，未來世代將付出更高的代價(the longer we wait to take action, the more our future will pay)」，獲得與會人士共鳴及熱烈迴響。本次周邊會議超過百餘人與會，並獲選登載於 COP20 每日新聞報導 (<http://www.iisd.ca/climate/cop20/enbots/>)。

當天活動由清華大學科技法律所范建得所長主持，全球環境基金(Global Environment Facility)羅伯迪克森博士(Dr. Robert Dixon, Team Leader of the Climate Change and Chemicals Team)應邀開幕致詞時指出，GEF 正在執行多項與小島嶼國家合作計畫，期能強化小島嶼國家在對抗氣候變遷的韌性(resilience)能力建構。接續由吐瓦魯外交部長(Taukelina Finikas)、吉里巴斯駐聯合國代表(Ms. Makurita Baaro)、環保署

參事簡慧貞博士、工研院綠能所胡耀祖所長、氣候議會華生議員(Sir Graham Watson)與日本三井物產戰略研究所資深研究員本鄉尚(Takashi Hongo)等發表專題演講。

吐瓦魯外交部長(Taukelina Finikas)表示，該國在因應氣候變遷工作上，如何透過和相關機構合作來提高綠色能源比例的減緩行動，並以 2007 年出版之第一份國家調適計畫(NAPA)為例，介紹吐瓦魯在面對氣候變遷衝擊農業與水資源、以及海平面持續上升的情況下，如何評估並制定其調適政策。吉里巴斯駐聯合國代表(Ms. Makurita Baaro)首先提出幾項氣候變遷對該國可能造成的影響，例如海平面上升、極端氣候的發生、嚴重的海岸侵蝕，和海洋酸化造成之食物安全的影響，這些現象皆可能影響該國的經濟發展與人民的生存。雖然該國因應氣候變遷已做出許多的努力，包括社群諮詢計畫(Community consulting program)、環礁國家因應氣候變遷聯盟的成立與教育，但仍受限於自然資源及欠缺申請國際資金援助的能力，而無法有突破性的進展。

環保署簡慧貞參事以「臺灣氣候變遷政策及與小島嶼國家合作成果(Taiwan's climate change policies and cooperative efforts with small island countries)」為題，介紹我國因應氣候變遷所做的減緩與調適政策之整合思維與執行成效、自願減緩行動目標期程、以及推動能源與溫室氣體減量管理法制基礎的努力，強調在邁向低碳社會時應注重技術、政策及教育等多面向整合的必要性，包括應著重於提升能源效率、提高再生能源比例、碳捕存利用(Carbon Capture, Storage and Utilization, CCSU)技術發展等，並以我國近年來舉辦全國氣候變遷會議及正在籌劃召開的第四次全國能源會議為例，分享促進公眾參與及全民環境教育的成功經驗，讓科技得以結合政策，輔以全民共識形成與整體參與，加速達成兼顧溫室氣體減量與氣候衝擊調適的永續發展目標；此外，呼籲應將臺灣納入在全球對抗氣候變遷行動體系之內，並以我國在潔淨能源、食物安全、健康、教育等議題上進行許多國際合作實務案例，除了提醒國際社會應該高度重視小島嶼國家對低碳科技的需求與國際資金的協助之外，並展現出我國所能做出的具體貢獻與積極作為。

胡耀祖所長以工研院自行研發綠能科技為例，包括高能源效率 LED 照明系統應用於交通號誌及路燈、纖維素丁醇技術(ButyFix, Bio-butanol Technology)、鈣迴路捕獲二氧化碳技術(High-efficiency calcium looping technology, HECLLOT)、高效空調系統磁浮離心式壓縮機(Active Magnetic Bearing (AMB) chiller)、智慧綠建築(smart green building)等綠能科技設計與研發，介紹臺灣推展百萬太陽屋頂(Million solar roof project)及現有太陽能板建制(current installation of PV)等實際應用做法；氣候議會華生議員(Sir Graham Watson)指出其致力於推動化石燃料至再生能源的轉型過程中，除了綠能科技之外，政治決心和國際合作同樣扮演著重要的角色；日本三井物產戰略研究所資深研究員本鄉尚(Takashi Hongo)分享減緩和調適科技如何應用於小島嶼國家，在科技的應用過程中，其可能遇到高成本所造成之市場規模過小、運作與維修所需之成本與技術和資金取得不易的障礙，提出一個創新銜接資金機制，並強調國際合作與建立夥伴關係在該機制的重要性。

與會各界對於我國成功推行氣候變遷政策的整體規劃與執行機制感到高度興趣，認為可以為永續發展提供關鍵的示範效果；會後仍有許多參與者繼續與我國與會代表進行深入討論與交流，吉里巴斯及吐瓦魯代表均提及小島嶼國家如何迫切地需要資金的挹注，期許未來能夠更直接取得與國際基金機制(如全球環境基金、綠色氣候基金)之聯結與直接取得資金的管道，並感謝我國長期提供的協助與支持，希望能與臺灣持續推展並強化氣候變遷國際合作交流計畫。



圖 8、我代表團於 COP20 合辦周邊會議

二、我代表團應邀出席 IETA 周邊會議分享臺灣經驗

我行政院團代表環保署簡慧貞參事兼溫減管理室執行秘書應邀出席「國際排放交易協會(International Emissions Trading Association, IETA)於 2014 年 12 月 9 日上午在 COP20 會場內舉行之「碳價：綠能經濟發展之關鍵工具(Carbon Pricing: A Critical Tool for Transforming the Global Economy)」周邊會議擔任與講者，會中發表我國碳價機制規劃(Plans for Carbon Pricing in Taiwan)，介紹我國階段性減碳策略，透過現行「空氣污染防治法」與「環境影響評估法」建立排放申報與進行碳權管理，未來朝向總量管制與交易進行規劃，以利國際連結，獲得與會人士的熱烈迴響與高度關注。

該場周邊會議邀請之與會講者，包括：IETA 主席兼執行長 Dirk Forrister、Shell 研究中心首席氣候變遷顧問 Mr. David Hone、Statkraft 公司執行董事 Ms. Anne Bolle、挪威工黨 Ms. Hanne Bjurstrøm、Solvay 公司 Mr. Philippe Chauveau 等人，透過與會來賓的經驗分享與意見交流，探討碳價對企業在面對氣候變遷的重要性及不同區域與國家之氣候政策如何透過未來的國際協議進行連結。



圖 9、我代表團應邀出席國際排放交易協會(IETA)周邊會議發表演講

三、展覽攤位

臺灣近年來在政府動員、產業投入及全民配合的努力下，因應氣候變遷的政策措施與行動作為已獲得初步成效，為強化國際社會對我國的瞭解並展現國內豐沛動能，我行政院代表團以財團法人工業技術研究院名義於 COP20 秘魯利馬氣候公約大會展場設置展覽攤位（展場編號第 107 號）展示我積極具體作為及成果，攤位獲大會核可於第一週（12 月 1 日至 6 日）進行為期一週展覽。

攤位的設計乃依據版面規劃三個主題，包括：中央展示板以工業技術研究院綠能技術發展歷程及臺灣 2050 Calculator 為主題，前方櫃檯版面則以發展綠色園區 (Green Campus) 來創造更美好未來 (Innovating a better future) 為主題；左側版面以臺灣政策積極推動溫室氣體減量資訊為主題；右側版面以臺灣與吉里巴斯合辦周邊會議之宣傳海報為主題。攤位現場除派員於活動攤位互動解說，並在現場發送文宣、隨身碟、創意磁鐵等文宣資料，具體扼要地展現臺灣各界對抗全球暖化的努力成果，獲得與會國際友人的熱烈好評及關切詢問。另，我國環境品質文教基金會及美國慈濟基金會亦於會場內設立展覽攤位。



圖 10、我代表團於秘魯利馬氣候公約大會設置攤位

四、國際交流互動情形

(一) 雙邊會談交流

本次會議我團共與 26 個國家及國際組織進行雙邊會談。除了聖克里斯多福及尼維斯、帛琉、布吉納法索、索羅門群島、尼加拉瓜、吐瓦魯、聖多美普林西比、薩爾瓦多等友邦外，亦包括美國、英國、澳大利亞、捷克、日本、蒙古、土耳其、荷蘭、菲律賓、哈薩克等國家。

(二) 友邦執言

計有 19 個友邦於 COP20/CMP10 高階會議 (High-level segment) 為我執言，支持臺灣應以觀察員身分正式參與 UNFCCC，包括：吐瓦魯、宏都拉斯、貝里斯、聖露西亞、巴拉圭、尼加拉瓜、索羅門群島、帛琉、吉里巴斯、聖克里斯多福及尼維斯、布吉納法索、馬紹爾群島、聖多美普西比、聖文森、薩爾瓦多、諾魯、史瓦濟蘭、巴拿馬及海地。

(三) 媒體宣傳

為增進我 UNFCCC 推案文宣效益，環保署魏署長「讓臺灣力量融入全球氣候行動」中英文專文，由外交部及駐外館處洽刊國際媒體，闡述我參與 UNFCCC 理念，說明我積極推動污染防治、發展綠色經濟等各項作為，經外交部專譯為法、德、西等主要外語，傳請全球各駐外館處洽媒體刊登。自本年 11 月 11 日至 12 月 27 日止，獲美國「普托維敦斯紀事報(Providence Journal)」、加拿大「省報(The Province)」、捷克「權利報(Pravo)」、日本「富士產經商情報」、「外交家雜誌(The Diplomat)」、韓國「英文韓國時報(Korea Times)」、薩爾瓦多「新聞報(La Prensa Grafica)」及宏都拉斯「論壇報(La Tribuna)」等全球 54 家媒體刊出，共計 58 篇。





圖 11、我國 UNFCCC 提案文宣及國際媒體露出

(四) 我團新聞回應發布情形

本署循例配合我代表團參與 COP20/CMP10 會議活動與大會進展，即時掌握最新動態，主動發布新聞數則，於 COP 會議期間，由我團副團長簡慧貞參事兼溫室氣體減量管理室執行秘書於會場內接受 UNFCCC 氣候公約媒體 (RTCC)「氣候變遷電視」(Climate Change TV)專訪，說明我團參與情形及會議進展之觀察心得與重點。外交部及駐秘魯代表處亦安排秘魯當地媒體「秘魯共和報」、美國彭博國家通訊社專訪我代表團，成功露出臺灣在因應氣候變遷工作之成果與努力。

表 1、新聞發布情形

日期	內容
2014.12.10	我國行政院代表團參與秘魯利馬氣候公約會議
2014.12.14	到巴黎之路怎麼走 (環保署魏署長中國時報投書)
2014.12.16	「聯合國氣候變化綱要公約第 20 屆締約方大會」落幕，我國與會成果豐碩



圖 12、我團副團長接受 UNFCCC Climate Studio 專訪



圖 13、我團副團長接受秘魯當地媒體「秘魯共和報」等媒體專訪

陸、與會心得及建議

自峇里路線圖以來，以工業國家減碳為前提的談判主軸，讓原先的六大公約目標；共同願景、減緩排碳、調適、財務機制、技術移轉、能力建置，陷入循環論證的惡夢；並以工業國家承諾提供資金、技術及承諾協助開發中國家調適與能力建置，來交換同意全球所有國家一起承擔減緩義務，及重新調整京都議定書對工業國家之強制規範，這讓過去幾年的談判深陷所謂單軌（僅制定長期協議）或雙軌制爭議（長期協議與京都議定書併行）之博弈，其中甚至包括在哥本哈根會議中，中國帶領開發中國家步出議場抗議的激烈對抗。而今，本次會議在既有的「共同但容有差異的原則」下，強調其減緩將視「各自的能力」(respective capabilities)且參酌各國之國情(national circumstance)為原則來進行，且為此發展出上述之多元評估機制，這個設計開啟了開發中國家同意承擔減緩義務之協商大門，也打破了多年來的僵局。

此外，2014年9月在美國紐約召開之聯合國氣候高峰會，各國領袖積極表態支持減碳之後，歐盟旋即在同年10月24日宣布通過2030能源與氣候目標，接著中國大陸及美國則於11月間發表《美”中”氣候變化聯合聲明》，除美國提出具體減碳之規畫外，中國大陸首次提出以2030年達到二氧化碳排放尖峰為基準的減碳目標；中國大陸跳脫China/G77立場，打破俗稱南北對抗之局面，應係本次秘魯利馬會議能順利落幕的最關鍵因素之一。

最後，在此次公約開發中的最大受益者應非中國大陸莫屬，其以推動自主碳排放機交易體制來帶動國際前沿技術匯流，並以之創造國家永續資產，據以做為國家落實減緩排碳與調適政策的基礎，誠屬當前最具規模而受全球矚目的因應氣候變遷政策；若再進一步加上其透過南南合作之政策，同時對於弱勢開發中國家提供資金與技術援助，來協助這些國家之調適需求，更是罕見立於工業國家與開發中國家之間能左右逢源者。對於臺灣而言，如何掌握兩岸互動之特殊關係，思有所作為，更是我國決策者應審慎斟酌之處。

以下針對秘魯利馬會議談判進展，觀察此次氣候會議結果對我政策走向的影響與啟示，主要如下：

一、 追求國家生存發展，將減排、禁排溫室氣體納入「全國能源會議」策略主軸

召開「全國能源會議」意在對應我國在核四封存及現有高耗能產業結構下，如何調整能源配比與密集度的核心課題。而在原本僅須考量能源供應安全及能源效率提升、經濟發展及環境永續的三 E 議題前提下，隨氣候公約第 20 屆大會決議勾勒出的巴黎新協議芻像，以 INDCs 為基礎的全球減緩多元評估(multilateral assessment)架構，終將引領所有締約方透過其內國政策、法規分擔減緩義務；而這種由下而上，自單一國家到區域、到全球的遵約設計，將逐步呈現出全球減緩排碳的秩序。

對於臺灣而言，若不思有所因應，短期內，我國之國際經貿活動將逐漸面臨各國轉型低碳結構後源自國內體制改變的綠色貿易限制；長期上，我國若無法聯結或參與公約之市場、財務、科技等機制，則我國在整體國際經濟體系與產業結構轉型低碳的過程，將陷入邊陲化的高度風險。若我國要思有所因應，則必須在全國能源會議，自追求我國生存與發展的角度，將如何因應全球減緩排碳新興法律架構有所涵蓋；而這其中，至少應包括如何創新能源政策以因應減緩義務或國際經貿競爭能力之問題；其二，應思考如何化危機為轉機，藉由溫室氣體管制帶動產業轉型契機；其三，如何審慎掌握兩岸關係的敏感互動，追求創造利基。此外，亦宜審慎掌握我國旗艦產業將在國外面臨的多元評估減碳壓力，尤其是：在歐洲及中國大陸被納入減碳申報機制的可能及其衝擊。

因此針對上述啟示，提出具體建議如下：

(一) 完備我國以氣候變遷為專責行政事務之法治基礎

歐洲的氣候政策係以提升能源效率、促進再生能源發展與善用排放交易機制作為主軸，並強調例如：財務融資、碳捕存利用等，針對碳的全球跨界傳輸屬性，則強調國際合作之必要；顯然地我國仍欠缺像歐洲一樣的法治基礎來追求這樣的目標，國家需有更完善的法制架構、透明且公正的公眾溝通過程、以及更積極的行政擘畫來面對挑戰，以真正落實國家減碳目標；對於長期無法連結國際組織實質運作的我國而言，在未來「利馬呼籲氣候行動」(Lima Call for Climate Action)聯結預期的巴黎新協議的這一年，正如同當年哥本哈根回合開啟後京都談判正式談判前一般，各國必須認真評估其衝擊、發現其機會，並展開國際、區域到雙邊的合縱連橫，期能穩健的參與未來這個遊走於集體正義與分配正義之間的多元評估(multilateral assessment)法律架構。

(二) 掌握多樣方法架構(FVA)與新市場機制(NMM)的發展趨勢，重行斟酌我國的碳定價機制，並嘗試透過國際連結來提升我國氣候政策之成本效益

碳市場的未來，將取決於以全球碳價格機制(carbon pricing)與連結碳市場(linkage)。多個區域、國家與次國家層級之碳市場出現，未來是否、如何及何時(whether, how, and when)能合併成為一個一體化全球碳市場，應須一併考量環境完整性、政治敏感及全球資金流動安全性。依國際排放交易協會(International Emissions Trading Association, IETA)觀察，以公約目前談判的進度，短期內可能無法在公約架構下建立一個全球性碳市場，必須繼續靠國家與區域的努力。因此，對我國而言，在無法正式參與公約機制的情況下，反

而是現階段可建立在市場機制的雙邊與區域性合作，以爭取加入未來全球碳市場的籌碼。

究其原因，應在於各國均對於即將面臨的減緩義務感到不安，更對於因此必須付出的減碳成本高度憂心，此時，究竟減碳成本之估算及透過何種機制來降低其對於一國經濟發展之衝擊，當然受到關注。以澳洲的停徵碳稅及加拿大退出京都議定書為例，均係肇因於減緩承諾所衍生出的碳定價效應無法透過市場機制為理性之轉換所致。而日本則係因停用核電，其減碳成本大幅攀升，換言之，仍屬另一種減緩承諾所衍生之碳定價壓力。綜此，雖然迄今各國仍未能就此達成共識，但在新協議(草案)版本已然將新市場機制(New Market Mechanism, NMM)及多樣方法架構(Framework of Various Approach, FVA)納入其中，且決議中也將之納入談判期程來看，各國終於找到破除零和遊戲的談判契機。

從法律角度來看，未來各國所提交之國家自定預期貢獻(INDCs)，可能含有不同市場與非市場政策工具的任意組合，例如在績效標準、碳稅、總量管制與排放交易制度體系之間進行連結者。這種作法可以提供各國政府與民間市場參與者，推動成本效益與環境完整性。因此，對我國而言，若能透過未來國際協議來推動異質性地區、國家與次國家層級氣候政策之連結，將會是明智與符合時宜的。

(三) 善用創新而能兼容並蓄的「國家自定預期貢獻」(Intended Nationally Determined Contributions, INDCs)為遵約機制，並為臺灣興利

INDCs 的採用，是用在挽救後京都談判危機之德班平台上的重要設計。在表面上，這似乎是一種盡各言爾志的設計，然則公約將據此發展出的評量、查核方法及要求揭露的規定，將會是後續慢慢將所有開發中國家鎖入減緩排碳架構的重點。簡言之，除少數開發中國家可不需要公約之技術與資金援助外，幾乎所有的國家都將在依據公約所制頒之可量測、可報告、可查證(Measurable, Reportable & Verifiable, MRV)規範，或者主動登錄、或者在尋求資金、技術、能力建置之援助過程被動配合，而具體地對於全球減緩排碳產生貢獻。

對於欠缺自主能源的出口貿易國(如臺灣、日本、韓國等)，日本因應對策則係一方面因應國內廢核壓力調降其國際減緩排碳承諾，另一方面則推動以綠色科技輸出來擴大國家綠色產業版圖之共同減緩額度計畫(Joint Credit Mechanism, JCM)，甚至發展海外核電廠開發業務，來融入公約的新市場機制；這種「化危機為轉機」的作法，目前已被韓國仿效，這確實也是值得我國借鏡之處。

對我國而言，為因應國際氣候談判之最新發展，可就臺灣 INDC 進行審慎的討論，並提出具體規劃，以適時回應「利馬呼籲氣候行動」。另外，我國將於明(2015)年1月底召開「全國能源會議」，在政府各相關部會及社會各界共同討論未來我國能源配比及經研議此對我減碳空間之影響後，從國家整體目標據以研訂各部門減碳、節能及節電之分配目標，擬定我國各部門減碳目標分配原則建議方案。但對臺灣來說，如何協調來自國內利益相關團體多元立場將是一個艱難的妥協。

二、 面對全球暖化衝擊，做好長遠調適規劃

對於臺灣而言，哪些發展究竟有何值得我們關切之處？首先，身為欠缺能源與資源卻又高度依賴貿易的島國，我們一方面必須認真掌握大國政治可能啟動的新秩序，更必須探討其各自為因應新秩序之發展之思維與所做準備，以為我國決策之參考。因此針對上述啟示，提出具體建議如下：

- (一) 調適政策應立足於永續發展及成本效益兼具之長期考慮，並善用行政部門建構之彈性與資源

我國無論在行政（如：永續能源政策綱領、國家綠能低碳推動方案等）或立法（如：溫室氣體減量法草案、氣候變遷調適法草案等），全國上下無不在有限的國際社會參與空間下努力地朝向減碳目標邁進。雖然，因應氣候變遷相關立法作業在當前難以獲得立院通過，仍應思考透過行政規制要求各部會開始評估其現有體制架構，能否對應前所未見之極端氣候衝擊，並提出各部會組織及業務調整之企劃，據以推動並落實氣候政策。惟作為一個新興亞洲民主國家，我們必須承認仍有許多溝通與如何調和運用新興科技過程所必須面對的利益衝突。如何強化公眾溝通，使民眾了解氣候變遷的挑戰與不儘早因應將付出的高額成本；推動能源供給產業轉型，一方面善用法制化（如空污法）之市場機制降低企業減碳成本，另一方面透過科技創新帶動綠色產業。

- (二) 建置以調適為主兼及減緩需求之長期氣候融資(long-term climate finance)機制，並以之做為我國跨足國際新興調適與減緩科技產業之條件

利馬會議發出一個重要信號，顯示透過聯合國與其他國際機構提供之氣候技術與援助轉移速度正在逐步加快。國內方面，以促進綠色產業取得融資，導入綠色投資為目標，國際方面，我國可透過如綠色氣候基金和氣候變化綱要公約財務機制之連結方式，藉由非市場機制的方式，導入 UNFCCC 認可的技術給予需要技術及資金的開發中國家，讓私部門與企業取得所需關鍵技術，國家可取得基金補助，而我國可協助參與國家的能力建構工作 (Capacity Building)。

長期氣候融資機制應以「強化國內綠色科技應用，擴大綠色技術國際輸出」為政策發展主軸，促進國內外的綠色投資及產業界與各政府間的合作。氣候融資對象應以綠色產業為主，如「生質能發電」、「離岸風力發電」、「近岸風力發電」、「太陽能發電」、「潮汐發電」、「海浪發電」、「碳捕存」、「地熱」、「再生熱能」、「能源效率」等，藉以促進綠色產業的全面性發展。氣候融資發展軸向應以公眾氣候融資(Public Climate Finance)機制促進私部門的投資為主，並研擬長期氣候融資法律架構與政策工具。

- (三) 強化因應氣候變遷極端氣候之能力建構，積極培養新一代多元的氣候人才，參與國際氣候夥伴計畫

針對強化因應氣候變遷極端氣候之能力建構，提出以下幾點：

- 重新審視我國面臨短期天災（颱風、極端暴雨及熱浪）、長期氣候災害（乾旱、海平面上升、嚴重空污事件）的應對能力。

- 在財務、技術及知識層面，積極與國際氣候風險組織或智庫接軌，結合 IPCC AR5 之預估背景資訊，建構我國面臨氣候風險之情境分析，分析我國調適落差現況(adaptation gap)。
- 提出我國因應氣候風險之應對策略白皮書，喚起各級政府、企業及各界對氣候風險之重視及認知，將氣候風險議題納入教育課程，同時在國家發展計畫中必須提高對氣候風險的認知。

我國雖非聯合國氣候變化綱要公約締約國，但也半實質地參與，並以行動呼應全球氣候談判。不過與氣候變遷議題相關的全球性運動越來越多，各種金融、法律、調適、企業、性別、宗教及青年的組織參與也愈趨多元。近幾年來更有年輕化的趨勢，許多國家均派出 80 到 90 年代年輕人正式參與氣候會議談判，拋棄了原有意識形態的包袱，在資訊收集、網路資訊運用上也更為靈活有效率，也有讓下一世代的問題，提早讓下一世代來解決的氣氛。

環顧近年來國際政治情勢與社會公民覺醒的新變局，包括日本、韓國及中國大陸等均積極派出龐大且多元年輕的代表團，民間也積極參與氣候公約相關會議活動，除了掌握資訊外，更是積極想找到氣候商機與應對之道。我國應及早整合匯集公私部門力量，計畫性地積極培育年輕人才，透過各種非政府組織團體，將臺灣納入全球互助的體系裡，也讓臺灣力量融入全球氣候行動。

柒、附件

- 附件一、聯合國氣候變化綱要公約 COP20/CMP10 會議議程
Provisional agenda and annotations
- 附件二、利馬會議決議
Decisions adopted by COP20/CMP10
- 附件三、聯合國氣候變化綱要公約第 20 次締約國大會報告
Report of the Conference of the Parties on its
tenth session, held in Lima from 1 to 14
December 2014
- 附件四、京都議定書第 10 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
tenth session, held in Lima from 1 to 14
December 2014.
- 附件五、德班強化行動平台特設工作小組第 2-7 次會議報告
Report of the Ad Hoc Working Group on the Durban
Platform for Enhanced Action on the seventh part of
its second session, held in Lima from 2 to 13
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- 附件六、第 41 次附屬履行機構會議(SBI 41)報告
Report of the Subsidiary Body for Implementation on
its thirty-ninth session, held in Lima from 1 to 8
December 2014
- 附件七、第 41 次附屬科技諮詢機構會議(SBSTA 41)報告
Report of the Subsidiary Body for Scientific and
Technological Advice on its thirty-ninth session,
held in Lima from 1 to 6 December 2014
- 附件八、Earth Negotiation Bulletin:
Summary of the Lima Climate Change Conference:
1-14 December 2014

Agenda for the twentieth session of the Conference of the Parties

Lima, Peru
1–12 December 2014

1. Opening of the session.
2. Organizational matters:
 - (a) Election of the President of the Conference of the Parties at its twentieth 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 Advice¹;
 - (b) Report of the Subsidiary Body for Implementation².
4. Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action.³
5. Consideration of proposals by Parties under Article 17 of the Convention.
6. Consideration of proposals by Parties for amendments to the Convention under Article 15:
 - (a) Proposal from the Russian Federation to amend Article 4, paragraph 2(f), of the Convention;
 - (b) Proposal from Papua New Guinea and Mexico to amend Articles 7 and 18 of the Convention.
7. Report of the Adaptation Committee.
8. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.
9. Development and transfer of technologies and implementation of the Technology Mechanism:

¹ Annotations to the agenda of the twentieth session of the Conference of the Parties (COP) under this item indicate recommendations for draft decisions and conclusions arising from the work of the Subsidiary Body for Scientific and Technological Advice in 2014 for consideration at COP 20.

² Annotations to the agenda of COP 20 under this item indicate recommendations for draft decisions and conclusions arising from the work of the Subsidiary Body for Implementation in 2014 for consideration at COP 20.

³ Annotations to the agenda of COP 20 under this item reflect the status of work under the Ad Hoc Working Group on the Durban Platform for Enhanced Action.

- (a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network;
 - (b) Linkages between the Technology Mechanism and the financial mechanism of the Convention.
10. The 2013–2015 review.
 11. Second review of the adequacy of Article 4, paragraph 2(a) and (b), of the Convention.⁴
 12. Matters relating to finance:
 - (a) Long-term climate finance;
 - (b) Report of the Standing Committee on Finance;
 - (c) Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund;
 - (d) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility;
 - (e) Fifth review of the financial mechanism;
 - (f) Further guidance to the Least Developed Countries Fund.
 13. Reporting from and review of Parties included in Annex I to the Convention.
 14. Reporting from Parties not included in Annex I to the Convention.
 15. Capacity-building under the Convention.
 16. Implementation of Article 4, paragraphs 8 and 9, of the Convention:
 - (a) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10);
 - (b) Matters relating to the least developed countries.
 17. Gender and climate change.
 18. Other matters referred to the Conference of the Parties by the subsidiary bodies.
 19. Administrative, financial and institutional matters:
 - (a) Audited financial statements for the biennium 2012–2013;
 - (b) Budget performance for the biennium 2014–2015;
 - (c) Decision-making in the UNFCCC process.

⁴ 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). The item was therefore included on the provisional agenda of COP 5 in accordance with rules 10(c) and 16 of the draft rules of procedure being applied. COP 5 could not reach a conclusion on this matter (FCCC/CP/1999/6, para. 18) and, following rules 10(c) and 16 of the draft rules of procedure being applied, the item was included on the provisional agendas for the sixth up to, and including, the twelfth session 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”. On a proposal by the President, and on the basis of the recommendation made by the SBI, it was decided at COP 14 to defer consideration of this item to COP 16 (FCCC/CP/2008/7, para. 10). COP 16, based on a proposal by the President, deferred its consideration of this item, pursuant to rule 13 of the draft rules of procedure being applied, to COP 17. This item was held in abeyance at COP 17, COP 18 and COP 19. This item is held in abeyance at COP 20.

20. High-level segment:
 - (a) Statements by Parties;
 - (b) Statements by observer organizations.
 21. Other matters.
 22. Conclusion of the session:
 - (a) Adoption of the report of the Conference of the Parties on its twentieth session;
 - (b) Closure of the session.
-

**Agenda for the tenth session of the Conference of the Parties serving as the meeting of the Parties to
the Kyoto Protocol**

Lima, Peru
1-12 December 2014

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;
 - (e) Status of ratification of the Doha Amendment to the Kyoto Protocol.
3. Reports of the subsidiary bodies:
 - (a) Report of the Subsidiary Body for Scientific and Technological Advice;¹
 - (b) Report of the Subsidiary Body for Implementation.²
4. Issues relating to the clean development mechanism.
5. Issues relating to joint implementation.
6. Report of the Compliance Committee.
7. Adaptation Fund:
 - (a) Report of the Adaptation Fund Board;
 - (b) Second review of the Adaptation Fund.
8. Report on the high-level ministerial round table on increased ambition of Kyoto Protocol commitments.
9. Reporting from and review of Parties included in Annex I:³
 - (a) National communications;
 - (b) Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period;
 - (c) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol.
10. Clarification of the text in section G (Article 3, paragraph 7 ter) of the Doha Amendment to the Kyoto Protocol, in particular the information to be used to determine the "average annual emissions for the first three years of the preceding commitment period".
11. Capacity-building under the Kyoto Protocol.

¹ Annotations to the provisional agenda of the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) under this item indicate recommendations for draft decisions and conclusions arising from the work of the Subsidiary Body for Scientific and Technological Advice in 2014 for consideration at CMP 10.

² Annotations to the provisional agenda of CMP 10 under this item indicate recommendations for draft decisions and conclusions arising from the work of the Subsidiary Body for Implementation in 2014 for consideration at CMP 10.

³ The term "Party included in Annex I" is defined in Article 1, paragraph 7, of the Kyoto Protocol.

12. Matters relating to:
 - (a) Article 2, paragraph 3 of the Kyoto Protocol.
 - (b) Article 3, paragraph 14 of the Kyoto Protocol.
 13. Other matters referred to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol by the subsidiary bodies.
 14. Administrative, financial and institutional matters:
 - (a) Audited financial statements for the biennium 2012–2013;
 - (b) Budget performance for the biennium 2014–2015;
 15. High-level segment:
 - (a) Statements by Parties;
 - (b) Statements by observer organizations.
 16. Other matters.
 17. Conclusion of the session:
 - (a) Adoption of the report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its tenth session;
 - (b) Closure of the session.
-



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Lima Climate Change Conference - December 2014

The 20th session of the Conference of the Parties and the 10th session of the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol took place from 1 to 14 December in Lima, Peru.

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Decisions

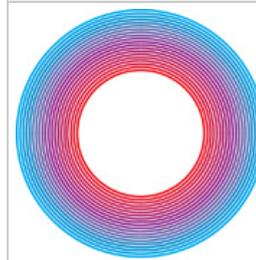
Body	Decision	Title	Versions
CMP	1/CMP.10	Report of the Adaptation Fund Board	English French Russian Spanish
CMP	2/CMP.10	Second review of the Adaptation Fund	English French Russian Spanish
CMP	3/CMP.10	Date of the completion of the expert review process under Article 8	English French Russian Spanish
CMP	4/CMP.10	Guidance relating to the clean development mechanism	English French Russian Spanish
CMP	5/CMP.10	Guidance on the implementation of Article 6 of the Kyoto Protocol	English French Russian Spanish
CMP	6/CMP.10	Synergy relating to accreditation under the mechanisms of the Kyoto Protocol	English French Russian Spanish
CMP	7/CMP.10	Outcome of the work programme on modalities and procedures for possible additional land use, land-use change and forestry activities under the clean development mechanism	English French Russian Spanish
CMP	8/CMP.10	Administrative, financial and institutional matters	English French Russian Spanish
	Resolution		English French

Live meeting schedule

Time	Topic	Status
11:00	Climate Change Studio (ZRC Hall)	Open
11:00	Interview with H. E. Mr. Patricia Espinosa Carrasco, Secretary of Foreign Relations of Mexico and COP 16/CMP 6 President	Open
11:30	News (ZRC Hall)	Open
11:30	AWG-LCA Seventh Plenary Meeting: Its commencement upon conclusion of the AWG-KP Plenary	Open
11:30	Real Film (ZRC Hall 2)	Open / Press only
11:30	Business Council for Sustainable Energy, Dorian Debraud, Secretary General, What's Needed to Spur Clean Energy Investment	Open / Press only
11:30	Copa Gestiona (ZRC Hall 8A)	Open / Open except media
11:30	SBI informal consultation on matters relating to the least developed countries	Open / Open except media
11:30	SBSTA informal consultations on the revision of UNFCCC Annex 3 reporting guidelines	Open / Open except media
11:30	Panel Theme 1: SBSTA informal consultations on HFC-23 facilities under the CDM	Open / Open except media
11:30	Yelloland (ZRC Hall 9)	Open / Press only
11:30	ALBA: Bolivia, Venezuela, Nicaragua, Ecuador, Cuba, Dominica	Open / Press only
11:30	Real Film (ZRC Hall 2) ABCD	Open / Press only
11:30	Climate Action Network's International	Open / Press only

Live meetings schedule

Host country website



LIMA COP20 / CMP10
UN CLIMATE CHANGE CONFERENCE 2014

CMP	1/CMP.10	Expression of gratitude to the Government of the Republic of Peru	Russian Spanish
COP	1/CP.20	Lima Call for Climate Action	Chinese English French Russian Spanish
COP	2/CP.20	Warsaw International Mechanism for Loss and Damage associated	Chinese English French Russian Spanish
COP	3/CP.20	National adaptation plans	Chinese English French Russian Spanish
COP	4/CP.20	Report of the Adaptation Committee	Chinese English French Russian Spanish
COP	5/CP.20	Long-term climate finance	Chinese English French Russian Spanish
COP	6/CP.20	Report of the Standing Committee on Finance	Chinese English French Russian Spanish
COP	7/CP.20	Report of the Green Climate Fund to the Conference of the Parties and	Chinese English French Russian Spanish
COP	8/CP.20	Report of the Global Environment Facility to the Conference of the Parties and	Chinese English French Russian Spanish
COP	9/CP.20	Fifth review of the Financial Mechanism	Chinese English French Russian Spanish
COP	10/CP.20	Further guidance to the Least Developed Countries Fund	Chinese English French Russian Spanish
COP	11/CP.20	Methodologies for the reporting of financial information by Parties included	Chinese English French Russian Spanish
COP	12/CP.20	Fifth Assessment Report of the Intergovernmental Panel on Climate Change	Chinese English French Russian Spanish
COP	13/CP.20	Guidelines for the technical review of information reported under the	Arabic English Russian Spanish
COP	14/CP.20	Training programme for review experts for the technical review of greenhouse gas	Arabic English Russian Spanish
COP	15/CP.20	Training programme for review experts for the technical review of biennial reports	Arabic English Russian Spanish
COP	16/CP.20	Joint annual report of the Technology Executive Committee and the	Arabic English Russian Spanish
COP	17/CP.20	Joint annual report of the Technology Executive Committee and the	Arabic English Russian Spanish

COP	18/CP.20	Lima work programme on gender	Arabic English Russian Spanish
COP	19/CP.20	The Lima Ministerial Declaration on Education and Awareness-raising	Arabic English Russian Spanish
COP	20/CP.20	Forum and work programme on the impact of the implementation of	Arabic English Russian Spanish
COP	21/CP.20	Parties included in Annex I to the Convention whose special circumstances	Arabic English Russian Spanish
COP	22/CP.20	Administrative, financial and institutional matters	Arabic English Russian Spanish
COP	23/CP.20	Revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat	Arabic English Russian Spanish
COP	24/CP.20	Dates and venues of future sessions	Arabic English Russian Spanish
COP	Resolution 1/CP.20	Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima	Arabic English Russian Spanish

Secretariat	Employment	Most requested	Procurement	This site
Secretariat	Vacancies	Long-Term Finance	Expression of Interest	Sitemap
Executive Secretary	Consultancy	Fast-Start Finance	Procurement Plan	Disclaimer
Secretariat Structure	Fellowships	Mitigation	Award Procedure	Fraud Alert
Contact	Internships	Climate Finance	Contact	
Maps & Directions	Vacancies at GCF	REDD		
		LULUCF		
		Private Sector Initiative		





Conference of the Parties

Report of the Conference of the Parties on its twentieth session, held in Lima from 1 to 14 December 2014

Part one: Proceedings

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FCCC/CP/2014/10/Add.1

Decision

1/CP.20 Lima Call for Climate Action

FCCC/CP/2014/10/Add.2

- 2/CP.20 Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts
- 3/CP.20 National adaptation plans
- 4/CP.20 Report of the Adaptation Committee
- 5/CP.20 Long-term climate finance
- 6/CP.20 Report of the Standing Committee on Finance
- 7/CP.20 Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund
- 8/CP.20 Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility
- 9/CP.20 Fifth review of the Financial Mechanism
- 10/CP.20 Further guidance to the Least Developed Countries Fund
- 11/CP.20 Methodologies for the reporting of financial information by Parties included in Annex I to the Convention
- 12/CP.20 Fifth Assessment Report of the Intergovernmental Panel on Climate Change

FCCC/CP/2014/10/Add.3

Decision

- 13/CP.20 Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention
- 14/CP.20 Training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention
- 15/CP.20 Training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention
- 16/CP.20 Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013

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- 17/CP.20 Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014
- 18/CP.20 Lima work programme on gender
- 19/CP.20 The Lima Ministerial Declaration on Education and Awareness-raising
- 20/CP.20 Forum and work programme on the impact of the implementation of response measures
- 21/CP.20 Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties
- 22/CP.20 Administrative, financial and institutional matters
- 23/CP.20 Revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat
- 24/CP.20 Dates and venues of future sessions
- Resolution*
- 1/CP.20 Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima

I. Opening of the session

(Agenda item 1)

1. The twentieth session of the Conference of the Parties (COP), convened pursuant to Article 7, paragraph 4, of the Convention, was opened at the United Nations Climate Change Conference, Lima, Peru, on 1 December 2014 by Mr. Marcin Korolec (Poland), President of COP 19.¹ Mr. Korolec delivered an opening statement.

2. The opening included statements from the Executive Secretary, Ms. Christiana Figueres, and the Mayor of Lima, Ms. Susana Villarán de la Puente, followed by a video statement by Mr. Ollanta Humala Tasso, the President of Peru. A cultural presentation was made by the Government of Peru to mark the opening of COP 20 and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP). The opening concluded with a statement and presentation by the Chairman of the Intergovernmental Panel on Climate Change, Mr. Rajendra Pachauri.²

II. Organizational matters

(Agenda item 2)

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

(Agenda sub-item 2(a))

3. At the 1st meeting of the COP,³ on 1 December, the President of COP 19, Mr. Korolec, 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. He informed Parties that a nomination for the position of President had been received from the Latin American and Caribbean States. Following his proposal, the COP elected by acclamation the Minister of the Environment of Peru, Mr. Manuel Pulgar-Vidal, as its President. A statement was made by the newly elected President.⁴

B. Adoption of the rules of procedure

(Agenda sub-item 2(b))

4. At the 1st meeting, the President recalled that the President of COP 19 had proposed, and Parties had agreed, that he 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. In addition, the President proposed that Mr. Ignacio Higuera (Peru) and Mr. Victor Muñoz (Peru) hold informal consultations on this issue and report back to the COP on the outcome.

¹ COP 20 was held in conjunction with the tenth 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 (FCCC/KP/CMP/2014/9). The proceedings of the joint meetings of the COP and the CMP convened during the sessions are reproduced in both reports.

² Available at <http://unfccc.int/files/meetings/lima_dec_2014/statements/application/pdf/cop20_-ipcc-pachauri-presentation-english.pdf>.

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

⁴ Available at <http://unfccc.int/meetings/lima_dec_2014/statements/items/8738.php>.

5. At the 10th meeting, on 12 December, the President reported that there was still no consensus on this issue. On a proposal by the President, the COP agreed to continue to apply the draft rules of procedure as outlined in paragraph 4 above, and agreed that the President would continue consultations during the intersessional period and would report back at COP 21 (November–December 2015).

C. Adoption of the agenda

(Agenda sub-item 2(c))

6. At its 1st meeting, the COP considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/CP/2014/1). The provisional agenda was prepared in agreement with the President of COP 19, after consultation with the Bureau of the COP.

7. The President proposed that the provisional agenda be adopted as contained in document FCCC/CP/2014/1, with the exception of item 11, “Second review of the adequacy of Article 4, paragraph 2(a) and (b), of the Convention”, which, in accordance with recent practice, would be held in abeyance.

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

1. Opening of the session.
2. Organizational matters:
 - (a) Election of the President of the Conference of the Parties at its twentieth 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 the Durban Platform for Enhanced Action.
5. Consideration of proposals by Parties under Article 17 of the Convention.
6. Consideration of proposals by Parties for amendments to the Convention under Article 15:
 - (a) Proposal from the Russian Federation to amend Article 4, paragraph 2(f), of the Convention;
 - (b) Proposal from Papua New Guinea and Mexico to amend Articles 7 and 18 of the Convention.

7. Report of the Adaptation Committee.
8. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.
9. Development and transfer of technologies and implementation of the Technology Mechanism:
 - (a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network;
 - (b) Linkages between the Technology Mechanism and the Financial Mechanism of the Convention.
10. The 2013–2015 review.
11. Second review of the adequacy of Article 4, paragraph 2(a) and (b), of the Convention (*agenda item held in abeyance*).
12. Matters relating to finance:
 - (a) Long-term climate finance;
 - (b) Report of the Standing Committee on Finance;
 - (c) Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund;
 - (d) Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility;
 - (e) Fifth review of the Financial Mechanism;
 - (f) Further guidance to the Least Developed Countries Fund.
13. Reporting from and review of Parties included in Annex I to the Convention.
14. Reporting from Parties not included in Annex I to the Convention.
15. Capacity-building under the Convention.
16. Implementation of Article 4, paragraphs 8 and 9, of the Convention:
 - (a) Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10);
 - (b) Matters relating to the least developed countries.
17. Gender and climate change.
18. Other matters referred to the Conference of the Parties by the subsidiary bodies.
19. Administrative, financial and institutional matters:
 - (a) Audited financial statements for the biennium 2012–2013;
 - (b) Budget performance for the biennium 2014–2015;
 - (c) Decision-making in the UNFCCC process.
20. High-level segment:
 - (a) Statements by Parties;
 - (b) Statements by observer organizations.
21. Other matters.

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

D. Election of officers other than the President

(Agenda sub-item 2(d))

9. At the 1st meeting, the President informed the COP that Mr. Cheikh Ndiaye Sylla (Senegal), Vice-President of the COP, would continue holding consultations on his behalf on this matter. The President invited groups and constituencies to submit all outstanding nominations by 8 p.m. on 5 December 2014. On a proposal by the President, the COP decided to postpone the election of the other officers of its Bureau until all nominations were finalized. The President informed the COP that, in accordance with rule 22 of the draft rules of procedure being applied, the members of the Bureau will remain in office until their successors are elected.

10. The President recalled decisions 36/CP.7 and 23/CP.18, and asked Parties to give active consideration to the nomination of women for elective posts in all bodies established under the Convention.

11. At the resumed 10th meeting, on 13 December, the President thanked Mr. Sylla for his assistance. He also informed Parties that a nominee for Vice-President from the Asia-Pacific States was still outstanding, and that and the Vice-President of COP 19, Mr. Su Wei (China), would remain in office in accordance with rule 22, paragraph 2, of the draft rules of procedure being applied. The COP, on a proposal from the President, urged the group to conclude its consultations and submit the nomination to the Executive Secretary by 31 January 2015. Once the nomination was received by the Executive Secretary, the nominee would be deemed to have been elected at COP 20 in accordance with established practice.

12. Acting on a proposal by the President, the COP elected by acclamation the other members of the Bureau of COP 20.⁵ The composition of the COP 20 and the CMP 10 Bureau is therefore as follows:

Bureau

President

Mr. Manuel Pulgar-Vidal (Peru)

Vice-Presidents

Mr. Jaime Hermida Castillo (Nicaragua)
 Mr. Ismail Elgizouli (Sudan)
 Mr. Ravi Shankar Prasad (India)
 Ms. Jo Tyndall (New Zealand)
 Mr. Oleg Shamanov (Russian Federation)
 Mr. Cheikh Ndiaye Sylla (Senegal)
 Mr. Su Wei⁶ (China)

Chair of the Subsidiary Body for Scientific and Technological Advice

Mr. Tomasz Chruszczow (Poland)

⁵ The list of officers elected to the COP 20/CMP 10 Bureau is available at <<http://unfccc.int/6558.php>>.

⁶ See paragraph 11 above.

Chair of the Subsidiary Body for Implementation

Mr. Amena Yauvoli (Fiji)

Rapporteur

Ms. Johanna Lissinger-Peitz (Sweden)

E. Admission of organizations as observers

(Agenda sub-item 2(e))

13. At its 1st meeting, the COP considered a note by the secretariat on the admission of organizations as observers (FCCC/CP/2014/4), which lists one intergovernmental organization (IGO) and 82 non-governmental organizations (NGOs) that applied to be admitted as observers. In accordance with the recommendations of the Bureau, and on a proposal by the President, the COP admitted the organizations listed in document FCCC/CP/2014/4.

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

(Agenda sub-item 2(f))

14. At the 1st meeting, the President referred the COP to the annotations to the provisional agenda.⁷ He noted that the subsidiary bodies would be convened with the aim of developing, before the closure of the session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) on 6 December and before the launch of the multilateral assessment process by the Subsidiary Body for Implementation (SBI) on the same day, draft decisions and conclusions for consideration by the COP, and that, given the challenges of time management during the session of the COP, it would not be possible to extend the sessions of the subsidiary bodies. The President informed the COP that the above-mentioned first multilateral assessment process, which was to be launched by the SBI on 6 December, would continue until 8 December. He also noted that the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) would submit to the COP the results of its work on 11 December.

15. On a proposal by the President, the COP decided to refer the following agenda items to the subsidiary bodies:

Subsidiary Body for Scientific and Technological Advice and Subsidiary Body for Implementation

- | | |
|------------|---|
| Item 7 | Report of the Adaptation Committee |
| Item 8 | Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts |
| Item 9(a) | Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network |
| Item 10 | The 2013–2015 review |
| Item 13 | Reporting from and review of Parties included in Annex I to the Convention |
| Item 16(a) | Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10) |

Subsidiary Body for Implementation

- | | |
|------------|--|
| Item 12(f) | Further guidance to the Least Developed Countries Fund |
|------------|--|

⁷ FCCC/CP/2014/1.

- Item 14 Reporting from Parties not included in Annex I to the Convention
- Item 15 Capacity-building under the Convention
- Item 16(b) Matters relating to the least developed countries
- Item 17 Gender and climate change
- Item 19(a) Audited financial statements for the biennium 2012–2013
- Item 19(b) Budget performance for the biennium 2014–2015

16. The COP was informed that the SBSTA and the SBI would consider jointly agenda items 7, 8, 9(a) and 10 and that each body would consider different aspects of agenda items 13 and 16(a).

17. The COP was reminded by the President that COP 19 concluded that the specific matter of the membership on the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) of Parties not included in Annex I to the Convention (non-Annex I Parties) that are not represented on the CGE, the composition of which is specified in decision 3/CP.8, annex, paragraph 3, would be considered at COP 20. On a proposal by the President, the COP decided to refer this matter to the SBI.

18. With regard to agenda item 20, “High-level segment”, the President informed the COP that the inauguration of the joint high-level segment would take place on the morning of 9 December, that national statements would be heard on 9, 10 and 11 December and that a presidential segment would be held on the morning of 10 December so that statements by Heads of State and Government could be heard. The high-level segment would be convened on the understanding that there would be one list of speakers and that each Party, including Parties to the Convention that are also Parties to the Kyoto Protocol, would speak only once. As per established practice,⁸ 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. He also noted that statements from senior representatives of IGOs and NGOs would be heard on 11 December, that a time limit of two minutes per statement had been set and that the full version of all statements would be posted online.⁹

19. The President informed the COP that separate meetings of the COP and the CMP would be held on 12 December so that recommended decisions and conclusions could be adopted at their respective meetings.

20. The President also informed the COP that he would convene two high-level ministerial dialogues, one on climate finance, on 9 December, and one on the Durban Platform for Enhanced Action, on 10 December, along with a high-level ministerial event entitled “Lima Climate Action High-level Meeting” on 11 December.¹⁰

21. The President also informed the COP that 8, 9, and 10 December would be designated as REDD-plus, gender, and climate action days, respectively.

22. The President informed Parties of his intent to ensure a Party-driven, transparent and inclusive approach with proper time management, including beginning meetings on time, ensuring timely closure of negotiations and conferences, enforcing agreed working practices, and ensuring that all meetings finish by 6 p.m. He encouraged Parties to show

⁸ FCCC/SBI/1999/8, paragraph 63(e).

⁹ Statements made during the joint high-level segment are available at <http://unfccc.int/meetings/lima_dec_2014/statements/items/8733.php>.

¹⁰ Further information regarding these events is available at <http://unfccc.int/meetings/lima_dec_2014/items/8717.php>.

creativity and flexibility in reaching agreement in their deliberations at the end of the session of each body at the Lima Conference. He urged the Chairs and Co-Chairs of the subsidiary bodies to take creative measures to ensure proper time management and urged that every effort be made to maximize the meeting time available for discussions on substantive items under the COP.

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

24. At the joint 2nd meeting of the COP and the CMP, on 1 December, general statements were made by representatives of the Plurinational State of Bolivia (on behalf of the Group of 77 and China), Australia (on behalf of the Umbrella Group), the European Union (on behalf of the European Union and its 28 member States), Mexico (on behalf of the Environmental Integrity Group), Nauru (on behalf of the Alliance of Small Island States (AOSIS)), the Sudan (on behalf of the African Group), Nicaragua (on behalf of the Like-minded Developing Countries (LMDCs)) and Nepal (on behalf of the least developed countries (LDCs)).

25. At the same meeting, statements were made by representatives of two NGO constituencies (women and gender, and youth).

26. At the resumed joint 2nd meeting of the COP and the CMP, general statements were made by representatives of South Africa (on behalf of Brazil, China, India and South Africa (BASIC)), the Bolivarian Republic of Venezuela (on behalf of the Bolivarian Alliance for the Peoples of Our America – Peoples' Trade Treaty (ALBA)), Saudi Arabia (on behalf of the Arab Group), Pakistan (on behalf of the LMDCs), Panama (on behalf of the Coalition for Rainforest Nations), Chile (on behalf of the Independent Association for Latin America and the Caribbean (AILAC)) and Belize (on behalf of the Central American Integration System).

27. At the same meeting, statements were made by representatives of four NGO constituencies (environmental, indigenous peoples, local government and municipal authorities, and trade unions).

28. During the session, the President convened a number of informal stocktaking plenaries, the purpose of which was to enhance the openness, inclusiveness and transparency of the negotiations and to provide an overview to all participants of the organization of the work, of the steps being taken and of how the negotiations were advancing.¹¹

29. The President requested support and was assisted, through ministerial outreach and consultations on matters relating to finance, by Ms. Edna Molewa (South Africa) and Mr. Edward Davey (United Kingdom of Great Britain and Northern Ireland) (see paras. 99 and 107), and on matters under the ADP, by Mr. Vivian Balakrishnan (Singapore) and Ms. Tine Sundtoft (Norway) (see para. 56).

G. Dates and venues of future sessions

(Agenda sub-item 2(g))

30. At the 3rd meeting, on 3 December, the President invited Parties to come forward with offers to host COP 22 and CMP 12, and COP 23 and CMP 13. He noted that, in keeping with the principle of rotation, the President of COP 22/CMP 12 would come from the African States and the President of COP 23/CMP 13 would come from the Asia-Pacific States.

¹¹ See <http://unfccc.int/meetings/lima_dec_2014/items/8714.php>.

31. The President proposed that Mr. Muñoz conduct informal consultations on this agenda sub-item on his behalf, with a view to proposing a draft decision for consideration and adoption by the COP at its closing meeting.

32. At the 10th meeting, on a proposal by the President,¹² the COP adopted decision 24/CP.20, entitled “Dates and venues of future sessions”. A statement was made by Ms. Hakima El Haiti, Minister of Environment of Morocco, offering to host COP 22/CMP 12 in Morocco.

H. Adoption of the report on credentials

(Agenda sub-item 2(h))

33. At the 10th meeting, the President referred to the report on credentials,¹³ which the Bureau, in accordance with rule 20 of the draft rules of procedure being applied, had examined and approved.

34. The COP, on the basis of the report of the Bureau and additional credentials provided by one Party (Peru), accepted the credentials of Parties attending the session. In addition, the secretariat received the credentials from Rwanda and the Bahamas on 15 and 22 January 2015, respectively.

I. Attendance

35. The sessions in Lima were attended by representatives of 186 Parties to the Convention, as well as representatives of two observer States, 49 United Nations bodies and programmes, convention secretariats, specialized agencies and institutions, and related organizations of the United Nations system, as listed in annex I.

36. The session was also attended by representatives of 53 IGOs and representatives of 624 NGOs, as listed in document FCCC/CP/2014/INF.2.

J. Documentation

37. The documents before COP 20 are listed in annex III.

III. Reports of the subsidiary bodies

(Agenda item 3)

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

(Agenda sub-item 3(a))

38. At the 10th meeting, the Chair of the SBSTA, Mr. Emmanuel Dumisani Dlamini (Swaziland), introduced the draft report on SBSTA 41¹⁴ and gave an oral report on the results of SBSTA 40 and 41 pertaining to the COP.

39. On a proposal by the President, the COP took note of the report on SBSTA 40,¹⁵ the draft report on SBSTA 41¹⁶ and the oral report provided by the Chair of the SBSTA. The

¹² FCCC/CP/2014/L.8.

¹³ FCCC/CP/2014/9.

¹⁴ FCCC/SBSTA/2014/L.20.

¹⁵ FCCC/SBSTA/2014/2 and Add.1.

¹⁶ As footnote 14 above.

President expressed his appreciation to Mr. Dlamini for his skilful guidance of the work of the SBSTA.

40. The SBSTA recommended three draft decisions¹⁷ and, jointly with the SBI, two additional draft decisions¹⁸ for consideration and adoption by the COP.

41. The COP, on a recommendation by the SBSTA,¹⁹ adopted decision 12/CP.20, entitled “Fifth Assessment Report of the Intergovernmental Panel on Climate Change”.

42. At the same meeting, the President informed the COP that, following the closure of SBSTA 41, he had requested the Chair of the SBSTA to undertake consultations under his authority, as Parties were not able to reach consensus on SBSTA 41 agenda item 10(a), “Work programme on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews, for developed country Parties”.²⁰ The COP, on a proposal by the President,²¹ adopted the following decisions:

(a) Decision 13/CP.20, entitled “Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention”;

(b) Decision 14/CP.20, entitled “Training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention”;

(c) Decision 15/CP.20, entitled “ Training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention”.

43. At the same meeting, the President informed the COP that, following the closure of SBSTA 41 and SBI 41, he had requested the Chairs of the SBSTA and SBI to undertake consultations under his authority, as Parties were not able to reach consensus on SBSTA 41 agenda sub-item 9(a) and SBI agenda sub-item 14(a), “Impact of the implementation of response measures: forum and work programme”.²²

44. On a proposal by the President,²³ the COP adopted decision 20/CP.20, entitled “Forum and work programme on the impact of the implementation of response measures”.

45. At the same meeting, the COP, acting on a proposal by the President and at the invitation of the SBSTA,²⁴ elected Mr. Carlos Fuller (Belize) as Vice-Chair of the SBSTA.

B. Report of the Subsidiary Body for Implementation

(Agenda sub-item 3(b))

46. At the 10th meeting, the Chair of the SBI, Mr. Amena Yauvoli (Fiji), introduced the draft report on SBI 41²⁵ and gave an oral report on the results of SBI 40 and 41 pertaining to the COP.

¹⁷ FCCC/SBSTA/2014/2/Add.1, FCCC/SBSTA/2014/L.26, and FCCC/SBSTA/2014/L.27 and Add.1.

¹⁸ FCCC/SB/2014/L.5 and FCCC/SB/2014/L.7.

¹⁹ FCCC/SBSTA/2014/L.27 and Add.1.

²⁰ FCCC/SBSTA/2014/5, paragraphs 67, 70 and 74.

²¹ FCCC/CP/2014/L.7 and Add.1–3.

²² FCCC/SBSTA/2014/5, paragraph 60, and FCCC/SBI/2014/21, paragraph 103.

²³ FCCC/CP/2014/L.5.

²⁴ FCCC/SBSTA/2014/5, paragraph 8.

²⁵ FCCC/SBI/2014/L.25.

47. At this meeting, on a proposal by the President, the COP took note of the report on SBI 40,²⁶ the draft report on SBI 41²⁷ and the oral report provided by the Chair of the SBI, and expressed its appreciation to Mr. Yauvoli for his skilful guidance of the work of the SBI.

48. The SBI, recommended seven draft decisions²⁸ and, jointly with the SBSTA, two additional draft decisions²⁹ for consideration and adoption by the COP.

49. The COP, on a recommendation by the SBI, adopted the following decisions:

(a) Decision 3/CP.20, entitled “National adaptation plans”,³⁰

(b) Decision 21/CP.20, entitled “Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of Parties”.³¹

50. At the same meeting, on a proposal by the President, the COP named the information hub established by the COP through decision 9/CP.19 (para. 9) and operationalized at this session the “Lima Information Hub for REDD-plus”.

51. The President informed the COP that, based on recommendations of SBSTA 41 and SBI 41 upon their closure, he had requested the Chairs of the SBSTA and the SBI to continue consultations on the agenda sub-item titled “Impact of the implementation of response measures: forum and work programme” (see para. 43 above).

52. At the same meeting, the COP, acting on a proposal by the President and at the invitation of the SBI,³² elected Mr. Guoshun Sun (China) as Vice-Chair of the SBI, and Mr. Sidat Yaffa (Gambia) as Rapporteur of the SBI.

IV. Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action

(Agenda item 4)

53. At the resumed 10th meeting, on 13 and 14 December, the Co-Chairs of the ADP, Mr. Kishan Kumarsingh (non-Annex I Parties) and Mr. Artur Runge-Metzger (Annex I Parties) introduced the draft report on the seventh part of the second session of the ADP³³ and gave an oral report on the results of its session.

54. The Co-Chairs reported to the COP that in the light of the discussion at the 14th meeting of the ADP, they transmitted under their own authority the text contained in document FCCC/ADP/2014/L.5 to the President of the COP in order for him to lead consultations on a text for consideration and adoption at COP 20.

55. On a proposal by the President, the COP took note of the oral report referred to in paragraph 53 above and the draft report on the seventh part of the second session of the

²⁶ FCCC/SBI/2014/8 and Add.1.

²⁷ As footnote 25 above.

²⁸ FCCC/SBI/2014/8/Add.1, FCCC/SBI/2014/L.27, FCCC/SBI/2014/L.38, FCCC/SBI/2014/L.42/Add.1 and FCCC/SBI/2014/L.43/Rev.1.

²⁹ As footnote 18 above.

³⁰ FCCC/SBI/2014/L.42 and Add.1.

³¹ For the recommendation, see document FCCC/SBI/2014/8, paragraph 165. For the text of the draft decision, see document FCCC/SBI/2014/8/Add.1.

³² FCCC/SBI/2014/21, paragraph 10.

³³ FCCC/ADP/2014/L.4.

ADP,³⁴ and expressed appreciation to the Co-Chairs, Mr. Kumarsingh and Mr. Runge-Metzger, for the report to the COP.

56. The President held consultations with Parties and, in addition, was assisted through ministerial outreach by Mr. Balakrishnan and Ms. Sundtoft in reaching an agreement on the text for consideration and adoption by the COP (see para. 29 above).

57. At the resumed 10th meeting, on 14 December, the President informed the COP of the results of his consultations, and on a recommendation by the President,³⁵ the COP adopted decision 1/CP.20, entitled “Lima Call for Climate Action”.

58. The President thanked the ADP Co-Chairs for their leadership in steering the process and in guiding the work of the ADP.

59. At the same meeting, the President congratulated the new ADP Co-Chairs, Mr. Ahmed Djoghlaif (non-Annex I Parties) and Mr. Daniel Reifsnnyder (Annex I Parties), and the new ADP Rapporteur, Ms. Yang Liu (non-Annex I Parties) on their election.

60. At the same meeting, after the adoption of decision 1/CP.20, a representative of Tuvalu made an interpretative statement on behalf of the LDCs, that in adopting decision 1/CP.20, it was the view of the LDCs that the reference to the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts in preambular paragraph 5 of decision 1/CP.20 and the reference to “inter alia” in operative paragraph 2 of the same decision is a clear intention that the protocol, another legal instrument or an agreed outcome with legal force, to be adopted in Paris, will properly, effectively and progressively address loss and damage in these respective legal options. The President noted that the intervention would be reflected in the report on the session, as requested.

61. Representatives of 17 Parties made statements, including on behalf of the Group of 77 and China, the Environmental Integrity Group, the European Union and its 28 member States, Umbrella Group, ALBA, AOSIS, LDCs, BASIC, LMDCs and AILAC.

62. Statements were made by representatives of five NGO constituencies (environmental, indigenous peoples, local government and municipal authorities, women and gender, and youth).

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

(Agenda item 5)

63. At the 3rd meeting, the President referred to the six documents listed for this agenda item in document FCCC/CP/2014/1,³⁶ containing the six proposals for protocols to the Convention that had been submitted for consideration by the COP, and recalled the agreement reached at COP 19 to include this agenda item on the provisional agenda of COP 20.³⁷ On a proposal by the President, the COP decided to keep this agenda item open and return to it at the closing plenary.

³⁴ As footnote 33 above.

³⁵ FCCC/CP/2014/L.14. When introducing the document the President drew the delegates’ attention to its annex, “Elements for a draft negotiating text”, and the accompanying footnote (footnote 1 to the annex to decision 1/CP.20).

³⁶ 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.

³⁷ FCCC/CP/2013/10, paragraph 63.

64. At its 10th meeting, on a proposal by the President, the COP agreed to include this agenda item on the provisional agenda of COP 21, pursuant to rules 10(c) and 16 of the draft rules of procedure being applied.

VI. Consideration of proposals by Parties for amendments to the Convention under Article 15

(Agenda item 6)

65. At the 3rd meeting, the President referred to the documents listed for this agenda item in document FCCC/CP/2014/1.³⁸ He recalled the agreement at COP 19 to include this agenda item on the provisional agenda of COP 20.³⁹

A. Proposal from the Russian Federation to amend Article 4, paragraph 2(f), of the Convention

(Agenda sub-item 6(a))

66. On a proposal by the President, the COP established informal consultations on this matter, co-facilitated by Mr. Higuera and Mr. Augusto Cabrera (Peru).

67. At the 10th meeting, the President informed the COP that Parties did not conclude their consideration of this matter and that they agreed to continue it at COP 21. On a proposal by the President, the COP agreed to include this agenda sub-item on the provisional agenda of COP 21.

B. Proposal from Papua New Guinea and Mexico to amend Articles 7 and 18 of the Convention

(Agenda sub-item 6(b))

68. On a proposal by the President, the COP established informal consultations on this matter, co-facilitated by Mr. Higuera and Mr. Cabrera.

69. A statement was made by a representative of one Party.

70. At the 10th meeting, the President informed the COP that Parties did not conclude on this matter and agreed to continue their consideration of this matter at COP 21. On a proposal by the President, the COP agreed to include this agenda sub-item on the provisional agenda of COP 21.

VII. Report of the Adaptation Committee

(Agenda item 7)

71. At its 1st meeting, the COP decided to refer this agenda item to the SBSTA and the SBI for their consideration.

72. At its 10th meeting, on a recommendation by the SBSTA and the SBI,⁴⁰ the COP adopted decision 4/CP.20, entitled "Report of the Adaptation Committee".

73. At the resumed 10th meeting, on 13 December, acting on a proposal by the President, the COP elected by acclamation the following members of the Adaptation Committee.

³⁸ FCCC/CP/2011/5 and FCCC/CP/2011/4/Rev.1.

³⁹ FCCC/CP/2013/10, paragraphs 67 and 70.

⁴⁰ FCCC/SB/2014/L.7.

Adaptation Committee

Asia-Pacific States	Mr. Ali Shareef (Maldives)
Latin American and Caribbean States	Mr. Juan Pablo Hoffmaister (Plurinational State of Bolivia) Mr. Clifford Mahlung (Jamaica)
Western European and Other States	Mr. Klaus Radunsky (Austria)
Small island developing States	Mr. Luke Daunivalu (Fiji)
Least developed countries	Ms. Sumaya Ahmed Zakieldean (Sudan)
Parties included in Annex I to the Convention	Mr. Donald Lemmen (Canada)
Parties not included in Annex I to the Convention	Mr. Fredrick Kossam (Malawi)

VIII. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

(Agenda item 8)

1. Proceedings

74. At its 1st meeting, the COP decided to refer this agenda item to the SBSTA and the SBI for their consideration.

75. At the resumed 10th meeting, on 13 December, the President recalled that he had requested the Chairs of the SBSTA and the SBI to continue consultations on this matter after the closure of the sessions of the subsidiary bodies, as Parties were not able to reach consensus. He informed the COP that the consultations had resulted in a draft decision for consideration and adoption by the COP and that Parties would have the opportunity to nominate members to serve on the Executive Committee, in accordance with the decision, and that the work of the Executive Committee could not be undertaken without agreement on membership arrangements.

76. At the same meeting, on a proposal by the President,⁴¹ the COP adopted decision 2/CP.20, entitled “Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts”.

77. At the same meeting, as groups and constituencies required more time to reach agreement on membership arrangements, for the two membership positions for non-Annex I Parties on the Executive Committee that have not been designated for any specific regional group or constituency, on a proposal by the President, the COP adopted the following conclusions.

2. Conclusions

78. The Chairs and Coordinators of the regional groups and constituencies with non-Annex I Parties will continue their consultations during the intersessional period and finalize the membership arrangements for the two membership positions for non-Annex I

⁴¹ FCCC/CP/2014/L.2.

Parties on the Executive Committee that have not been designated for any specific regional group or constituency, as specified in decision 2/CP.20, paragraph 5(b);

79. This agreement should provide for a permanent arrangement for the two membership positions for non-Annex I Parties on the Executive Committee;

80. Once the Chairs and Coordinators, as mentioned in paragraph 78 above, have reached agreement on such membership arrangements, the Chairs and Coordinators will communicate, in writing, this agreement to the Executive Secretary;

81. Once the Executive Secretary has received the agreement in writing, she will inform non-Annex I Parties of the agreement;

82. Once the agreement has been communicated to all non-Annex I Parties, they are invited, through their respective groups and constituencies, to submit to the Executive Secretary the nominations for membership on the Executive Committee, in accordance with decision 2/CP.20, paragraph 5(b), and the agreement on the membership arrangements on the Executive Committee for the two membership positions for non-Annex I Parties not designated for any specific regional group or constituency.

IX. Development and transfer of technologies and implementation of the Technology Mechanism

(Agenda item 9)

A. Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network

(Agenda sub-item 9(a))

83. At its 1st meeting, the COP decided to refer this agenda sub-item to the SBSTA and the SBI for their consideration.

84. At its 10th meeting, on recommendations by the SBSTA and the SBI, the COP adopted the following decisions:

(a) Decision 16/CP.20, entitled “Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013”,⁴²

(b) Decision 17/CP.20, entitled “Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014”.⁴³

85. At the resumed 10th meeting, 13 December, the President noted that nominations to the Technology Executive Committee (TEC) were outstanding and urged Asia-Pacific States to continue consultations and submit the pending nominations to the Executive Secretary as soon as possible and by 31 January 2015 at the latest. Once the nominations are received, the members will be deemed to have been elected at COP 20 in accordance with established practice.

86. The COP, acting on a proposal by the President, elected by acclamation the following members of the TEC and the representatives of the Advisory Board of the Climate Technology Centre and Network.

⁴² For the recommendations, see documents FCCC/SBI/2014/8, paragraph 134, and FCCC/SBSTA/2014/2, paragraph 33. For the text of the draft decision, see documents FCCC/SBI/2014/8/Add.1 and FCCC/SBSTA/2014/2/Add.1.

⁴³ FCCC/SB/2014/L.5.

Technology Executive Committee

African States	Mr. Birama Diarra (Mali) Ms. Duduzile Nhlengethwa-Masina (Swaziland)
Small island developing States	Mr. Albert Binger (Jamaica)
Parties included in Annex I to the Convention	Ms. Gabriela Fischerova (Slovakia) Mr. Jürg Grütter (Switzerland) Mr. Antonio Pflüeger (Germany) Mr. David Reidmiller (United States of America) Mr. Kunihiko Shimada (Japan)

Advisory Board of the Climate Technology Centre and Network

Parties included in Annex I to the Convention	Mr. Jürg Grütter (Switzerland) Mr. David Henry (Canada) Mr. Matthew Kennedy (Ireland) Mr. Karsten Krause (European Union)
Parties not included in Annex I to the Convention	Mr. Samuel Adeoye Adejuwon (Nigeria) Mr. Pedro Borges (Bolivarian Republic of Venezuela) Mr. Mohammad Sadeghzadeh (Islamic Republic of Iran) Ms. Marina Shvangiradze (Georgia)

B. Linkages between the Technology Mechanism and the Financial Mechanism of the Convention

(Agenda sub-item 9(b))

87. At its 3rd meeting, the COP had before it the documents FCCC/CP/2014/6 and FCCC/CP/2014/8.

88. The President recalled that the COP, by decision 1/CP.18, agreed to further elaborate the linkages between the Technology Mechanism and the Financial Mechanism of the Convention, taking into consideration the recommendations of the Green Climate Fund (GCF) Board, developed in accordance with decision 3/CP.17, and of the TEC, developed in accordance with decision 4/CP.17.

89. On a proposal by the President, the COP established informal consultations, co-facilitated by Mr. Fuller and Ms. Elfriede More (Austria).

90. At the 10th meeting, the President reported that there was no agreement on this matter. On a proposal by the President, the COP agreed to include this agenda item in the provisional agenda for COP 21, pursuant to rules 10(c) and 16 of the draft rules of procedure being applied.

91. A statement was made by a representative of one Party.

X. The 2013–2015 review

(Agenda item 10)

92. At its 1st meeting, the COP decided to refer this agenda item to the SBSTA and the SBI for their consideration.

93. At its 10th meeting, the COP took note of the SBSTA and SBI draft conclusions⁴⁴ on this agenda item.

XI. Second review of the adequacy of Article 4, paragraph 2(a) and (b), of the Convention⁴⁵

(Agenda item 11 *held in abeyance*)

XII. Matters relating to finance

(Agenda item 12)

94. At its 3rd meeting, the COP had before it the documents listed for this agenda item in document FCCC/CP/2014/1.

95. A statement was made by a representative of Egypt (on behalf of the African Group). Representatives of three other Parties made statements.

96. Statements were made by representatives of two NGO constituencies (business and industry, and environmental).

A. Long-term climate finance

(Agenda sub-item 12(a))

97. The President invited the COP to consider the document referred to in paragraph 94 above, to continue deliberations on long-term climate finance and provide guidance on the organization of future workshops on long-term finance.

98. On a proposal by the President, the COP established a contact group on this matter,⁴⁶ co-chaired by Mr. Nsiala Tosi Bibanda Mpanu Mpanu (Democratic Republic of the Congo) and Mr. Dany Drouin (Canada).

99. The President had invited Ms. Molewa and Mr. Davey to conduct ministerial outreach on his behalf on matters relating to this agenda sub-item in collaboration with the co-chairs of the contact group (see para. 29 above). Those discussions had resulted in draft decision for consideration and adoption by the COP.

100. At the resumed 10th meeting, 13 December, on a proposal by the President,⁴⁷ the COP adopted decision 5/CP.20, entitled “Long-term climate finance”.

B. Report of the Standing Committee on Finance

(Agenda sub-item 12(b))

101. At its 3rd meeting, on the invitation of the President, the Co-Chairs of the Standing Committee on Finance (SCF), Ms. Diann Black-Layne (Antigua and Barbuda) and Mr. Stefan Schwager (Switzerland) provided a summary to the COP of the work conducted by the SCF this year, including the key findings and recommendations by the SCF on the 2014 biennial assessment and overview of climate finance flows. The President thanked the Co-Chairs and all members of the Committee for their dedication and hard work.

⁴⁴ FCCC/SBI/2014/21, paragraphs 107–118, and FCCC/SBSTA/2014/5, paragraphs 44–55.

⁴⁵ This item was held in abeyance and, in accordance with rule 16 of the draft rules of procedure being applied, will be considered at COP 21.

⁴⁶ The contact group considered sub-items (a) and (b) under agenda item 12, “Matters relating to finance”.

⁴⁷ FCCC/CP/2014/L.13.

102. On a proposal by the President, this agenda sub-item was considered by the contact group referred to in paragraph 98 above.

103. At its resumed 10th meeting, on 13 December, on a proposal by the President,⁴⁸ the COP adopted decision 6/CP.20, entitled “Report of the Standing Committee on Finance”.

104. At the same meeting, the COP, acting on a proposal by the President, elected by acclamation the following members of the Standing Committee on Finance.

Standing Committee on Finance

African States	Mr. Hussein Alfa Senyi Nafo (Mali) Mr. Richard Sherman (South Africa)
Asia-Pacific States	Ms. Rajasree Ray (India) Mr. Ayman Shasly (Saudi Arabia)
Latin American and Caribbean States	Mr. Raymond Landveld (Suriname) Mr. Paul Herbert Oquist Kelley (Nicaragua)
Small island developing States	Ms. Diann Black-Layne (Antigua and Barbuda)
Least developed countries	Ms. Edith Kateme-Kasajja (Uganda)
Parties included in Annex I to the Convention	Mr. Stefan Agne (European Union) Mr. Georg Børsting (Norway) Mr. Jozef Buys (Belgium) Ms. Sarah Conway (United States of America) Mr. Roger Dungan (New Zealand) Ms. Inka Gnittke (Germany) Ms. Outi Honkatukia (Finland) Mr. Yorio Ito (Japan) Mr. Stephan Kellenberger (Switzerland) Mr. Mark Storey (Sweden)
Parties not included in Annex I to the Convention	Mr. Kyekyeku Yaw Oppong Boady (Ghana) Ms. Suzanty Sitorus (Indonesia)

C. Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund

(Agenda sub-item 12(c))

105. At the 3rd meeting, on the invitation of the President, the Co-Chair of the 8th meeting of the Board of the GCF, Mr. Ayman Shasly (Saudi Arabia), reported to the COP on the progress of the work of the GCF this year. The President thanked Mr. Shasly and all the members of the Board for their dedication and work.

⁴⁸ FCCC/CP/2014/L.10.

106. On a proposal by the President, the COP established a contact group on this matter,⁴⁹ co-chaired by Mr. Shasly and Mr. Schwager, on this matter.

107. The President had invited Ms. Molewa and Mr. Davey to conduct ministerial outreach on his behalf on matters relating to this agenda sub-item in collaboration with the co-chairs of the contact group (see para. 29 above). Those discussions had resulted in a draft decision for consideration and adoption by the COP.

108. At the resumed 10th meeting, on 13 December, on a proposal by the President,⁵⁰ the COP adopted decision 7/CP.20, entitled “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”.

D. Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility

(Agenda sub-item 12(d))

109. At the 3rd meeting, on the invitation of the President, Ms. Chizuru Aoki, speaking on behalf of the Chief Executive Officer of the Global Environment Facility (GEF) secretariat, reported on this year’s activities of the GEF related to the Convention and on the conformity of those activities with the guidance received from the COP. The President thanked Ms. Aoki.

110. On a proposal by the President, this agenda sub-item was considered by the contact group referred to in paragraph 106 above.

111. At the resumed 10th meeting, on 13 December, on a proposal by the President,⁵¹ the COP adopted decision 8/CP.20, entitled “Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility”.

E. Fifth review of the Financial Mechanism

(Agenda sub-item 12(e))

112. At the 3rd meeting, the President recalled that the COP, by decision 8/CP.19, adopted the updated guidelines for the review of the Financial Mechanism and requested the Standing Committee on Finance to continue to provide expert input with a view to the fifth review of the Financial Mechanism being finalized at COP 20. Furthermore, at COP 17, the secretariat was requested to provide information on the operation of the nationally appropriate mitigation action registry to the COP annually in order to inform the discussions on the Financial Mechanism.

113. On a proposal by the President, this agenda sub-item was considered by the contact group referred to in paragraph 106 above.

114. At the resumed 10th meeting, on 13 December, on a proposal by the President,⁵² the COP adopted decision 9/CP.20, entitled “Fifth review of the Financial Mechanism”.

⁴⁹ The contact group considered sub-items (c–e) under agenda item 12, “Matters relating to finance”.

⁵⁰ FCCC/CP/2014/L.12.

⁵¹ FCCC/CP/2014/L.11.

⁵² FCCC/CP/2014/L.9.

F. Further guidance to the Least Developed Countries Fund

(Agenda sub-item 12(f))

115. At its 1st meeting, the COP decided to refer this agenda sub-item to the SBI for its consideration.

116. At the 10th meeting, on a recommendation by the SBI,⁵³ the COP adopted decision 10/CP.20, entitled “Further guidance to the Least Developed Countries Fund”.

XIII. Reporting from and review of Parties included in Annex I to the Convention

(Agenda item 13)

117. At its 1st meeting, the COP decided to refer this agenda item to the SBSTA and the SBI for their consideration.

118. At its 10th meeting, on a recommendation by the SBSTA,⁵⁴ the COP adopted decision 11/CP.20, entitled “Methodologies for the reporting of financial information by Parties included in Annex I to the Convention”.

XIV. Reporting from Parties not included in Annex I to the Convention

(Agenda item 14)

119. At its 1st meeting, the COP decided to refer this agenda item to the SBI for its consideration.

120. At its 10th meeting, the COP took note of the SBI conclusions⁵⁵ relating to the work of the CGE contained in the document.

121. At the same meeting, the COP also took note of the report by the Chair of the SBI on the conclusions adopted by the SBI on the matter of membership of non-Annex I Parties on the CGE.⁵⁶

XV. Capacity-building under the Convention

(Agenda item 15)

122. At its 1st meeting, the COP decided to refer this agenda item to the SBI for its consideration.

123. At its 10th meeting, the COP took note of SBI conclusions⁵⁷ on this item.

⁵³ FCCC/SBI/2014/L.38.

⁵⁴ FCCC/SBSTA/2014/L.26.

⁵⁵ FCCC/SBI/2014/21, paragraphs 19–27.

⁵⁶ FCCC/SBI/2014/21, paragraph 138 and 139.

⁵⁷ FCCC/SBI/2014/21, paragraphs 90–93.

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

(Agenda item 16)

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

(Agenda sub-item 16(a))

124. At its 1st meeting, the COP decided to refer this agenda sub-item to the SBSTA and the SBI for their consideration.

125. At the 10th meeting, on a proposal by the President, the COP took note of the report of the Chairs of the SBSTA and the SBI (see paras. 43 and 51 above) on this sub-item.

126. The COP also took note of the SBSTA conclusions⁵⁸ on this item.

B. Matters relating to the least developed countries

(Agenda sub-item 16(b))

127. At its 1st meeting, the COP decided to refer this agenda sub-item to the SBI for its consideration.

128. At its 10th meeting, the COP took note of the SBI conclusions⁵⁹ on this sub-item.

XVII. Gender and climate change

(Agenda item 17)

129. At its 1st meeting, the COP decided to refer this agenda item to the SBI for its consideration.

130. At its 10th meeting, on a recommendation by the SBI,⁶⁰ the COP adopted decision 18/CP.20, entitled “Lima work programme on gender”.

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

(Agenda item 18)

131. No other matters were raised under this agenda item.

XIX. Administrative, financial and institutional matters

(Agenda item 19)

A. Audited financial statements for the biennium 2012–2013

(Agenda sub-item 19(a))

⁵⁸ FCCC/SBSTA/2014/L.23.

⁵⁹ See document FCCC/SBI/2014/21 paragraphs 65-74.

⁶⁰ FCCC/SBI/2014/L.43/Rev.1.

B. Budget performance for the biennium 2014–2015

(Agenda sub-item 19(b))

132. At its 1st meeting, the COP decided to refer the agenda sub-items to the SBI for its consideration.

133. At its 10th meeting, on recommendations by the SBI, the COP adopted the following decisions:

(a) Decision 23/CP.20, entitled “Revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat”,⁶¹

(b) Decision 22/CP.20, entitled “Administrative, financial and institutional matters”.⁶²

C. Decision-making in the UNFCCC process

(Agenda sub-item 19(c))

1. Proceedings

134. At the 3rd meeting, the President recalled that, as requested at COP 19, the President of COP 19, in collaboration with Peru, undertook forward-looking, open-ended informal consultations on decision-making in the UNFCCC process in conjunction with the fortieth sessions of the subsidiary bodies.

135. The President invited Mr. Chruszczow to give an oral report to the COP.

136. Representatives of six Parties made statements, including on behalf of the European Union and its 28 member States, regarding an approach proposed by the President.

137. In the light of the statements, the President invited interested Parties to consult on a way forward and report back to the COP.

138. At the resumed 3rd meeting, on a proposal by the President, the COP decided to establish informal consultations on this matter, co-facilitated by Mr. Antonio García (Peru) and Mr. Chruszczow.

139. A statement was made by a representative of one Party.

140. At its 10th meeting, on a proposal by the President,⁶³ the COP adopted the conclusions below.

2. Conclusions

141. The COP noted the constructive exchange of views on this agenda sub-item and decided to continue discussions on decision-making in the UNFCCC process.

142. The COP requested the President, in collaboration with France as the host of COP 21, to undertake forward-looking, open-ended informal consultations on decision-making in the UNFCCC process, in conjunction with the forty-second sessions of the subsidiary bodies (June 2015), and to report back at COP 21.

143. The COP agreed that sub-items 2(b) and 6(b) of the COP 20 agenda would continue to be considered under distinct and separate processes from this sub-item.

⁶¹ For the recommendation, see document FCCC/SBI/2014/8, paragraph 231. For the text of the draft decision, see document FCCC/SBI/2014/8/Add.1.

⁶² FCCC/SBI/2014/L.27.

⁶³ FCCC/CP/2014/L.4.

144. The COP also agreed to continue its consideration of this sub-item at COP 21.

XX. High-level segment

(Agenda item 20)

145. At the joint 4th meeting of the COP and the CMP, on 9 December, the joint high-level segment was opened by the President of COP 20 and CMP 10, Mr. Pulgar-Vidal.

146. The opening of the joint high-level segment was attended by the Secretary-General of the United Nations, Mr. BAN Ki-moon, the President of the United Nations General Assembly, Mr. Sam Kutesa, the President of the Council of Ministers of Peru, Ms. Ana Jara Velásquez, the Executive Secretary of the UNFCCC, Ms. Figueres and other dignitaries.

147. To mark the opening of the high-level segment, the Government of Peru presented a cultural event.

148. Statements at the opening of the joint high-level segment were made by the President of COP 20 and CMP 10, the Executive Secretary of the UNFCCC, the President of the United Nations General Assembly, the Secretary-General of the United Nations, the President of the Plurinational State of Bolivia, Mr. Juan Evo Morales Ayma (on behalf of the Group of 77 and China as well as the Plurinational State of Bolivia), the President of Nauru, Mr. Baron Divavesi Waqa (on behalf of AOSIS) and the Prime Minister of Tuvalu, Mr. Enele Sopoaga. Statements at the opening of the joint high-level segment were also made by representatives of seven Parties on behalf of negotiating and other groups.⁶⁴

149. The presidential segment of the joint high-level segment was held in the morning of 10 December. The opening was attended by the Secretary-General of the United Nations, the Executive Secretary of the UNFCCC, the President of Peru, Mr. Humala Tasso, the President of Chile, Ms. Michelle Bachelet, the President of Colombia, Mr. Juan Manuel Santos, the Vice-President of Argentina, Mr. Amado Boudou, and other dignitaries.

150. Statements at the presidential segment were made by the President of Peru, the President of Chile, the President of Colombia, the Secretary-General of the United Nations, and the Vice-President of Argentina.

A. Statements by Parties

(Agenda sub-item 20(a))

151. During the high-level segment, statements were made by 144 Parties, of which 5 were given by Heads of State and Government, 3 by either Vice-Presidents or Deputy Prime Ministers, 90 by ministers and 48 by representatives of Parties.^{65, 66, 67, 68, 69}

⁶⁴ Statements made during the joint high-level segment are available at <http://unfccc.int/meetings/lima_dec_2014/statements/items/8733.php>. These statements are considered to be part of the official records of the session.

⁶⁵ As footnote 64 above.

⁶⁶ Two Parties (Kazakhstan and Ukraine) requested that their written statements be made available on the UNFCCC website in lieu of oral delivery.

⁶⁷ An intervention was made by Israel from the floor. Details of the intervention are available at <https://unfccc.int/meetings/lima_dec_2014/meeting/8141/php/view/webcasts.php>.

⁶⁸ An intervention was made by China from the floor. Details of the intervention are available at <https://unfccc.int/meetings/lima_dec_2014/meeting/8141/php/view/webcasts.php>.

⁶⁹ In addition, two statements were made by observer States.

B. Statements by observer organizations

(Agenda sub-item 20(b))

152. At the joint 9th meeting of the COP and the CMP, on 11 December, statements were made by representatives of IGOs and NGOs.⁷⁰

XXI. Other matters

(Agenda item 21)

153. At the 3rd meeting, the President took up this agenda item. Representatives of four Parties made statements, including on behalf of the European Union and its 28 member States.

154. The COP agreed to consider the proposal from Peru in collaboration with Poland, on a ministerial declaration on education and awareness-raising, and agreed that the President should conduct consultations on this matter under his own authority.

155. At the resumed 10th meeting, on 13 December, on a proposal by the President,⁷¹ the COP adopted decision 21/CP.20, entitled “The Lima Ministerial Declaration on Education and Awareness-raising”.

156. A statement was made by the President of COP 19, Mr. Korolec.

XXII. Conclusion of the session

(Agenda item 22)

157. At the resumed 10th meeting, 14 December, a representative of the secretariat provided a preliminary estimate of the administrative and budgetary implications of the decisions adopted during the session.

158. Additional funds, over and above the core budget for 2014–2015, will be needed if the secretariat is to provide the following requested activities:

(a) Under agenda sub-item 3(a), “Report of the Subsidiary Body for Scientific and Technological Advice”, additional funding in the amount of EUR 250,000 is required to implement the training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention, including the examination by experts, in order to give priority to organizing an annual training seminar for the basic course, and to modify the relevant information technology tools to support the implementation of the review process;

(b) Under agenda item 4, “Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action”, additional funding in the amount of EUR 350,000 is required to deliver the following outputs:

(i) In relation to technical aspects of workstream 2, organization of a high-level event on climate action and technical expert meetings, and preparation of two updates of a technical paper and a summary paper for policymakers;

(ii) In relation to intended nationally determined contributions (INDCs) communicated by Parties, the publishing on the UNFCCC website of the INDCs and the preparation of a synthesis report on the aggregate effect of the INDCs;

⁷⁰ As footnote 64 above.

⁷¹ FCCC/CP/2014/L.1/Rev.1.

(c) Under agenda item 8, “Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts”, additional funding in the amount of EUR 790,000 is required to support and facilitate the work of the Executive Committee by organizing two meetings of the Committee, facilitating the support by experts of the work of the Committee, and engaging consultants and staff to support the implementation of the workplan.

159. The secretariat noted the following: all of these amounts are preliminary and are based on the current available information; the total amounts to EUR 1.39 million for the biennium 2014–2015 and several activities will be carried out beyond 2015, requiring additional funding.

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

(Agenda sub-item 22(a))

160. At its resumed 10th meeting, on 14 December, the COP considered the draft report on its twentieth session⁷² and, on a proposal by the President, authorized the Rapporteur to complete the report on the session, under the guidance of the President and with the assistance of the secretariat.

B. Closure of the session

(Agenda sub-item 22(b))

161. At its resumed 10th meeting, on 14 December, on a proposal by France,⁷³ the COP adopted resolution 1/CP.20, entitled “Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima”. The President then declared COP 20 closed.

⁷² FCCC/CP/2014/L.3.

⁷³ FCCC/CP/2014/L.6–FCCC/KP/CMP/2014/L.4.

Annex I

[English only]

Parties to the Convention, observer States and United Nations organizations attending the twentieth session of the Conference of the Parties

A. Parties to the Convention

Afghanistan	Colombia	Guatemala
Albania	Comoros	Guinea
Algeria	Congo	Guinea-Bissau
Angola	Cook Islands	Guyana
Antigua and Barbuda	Costa Rica	Haiti
Argentina	Côte d'Ivoire	Honduras
Armenia	Croatia	Hungary
Australia	Cuba	Iceland
Austria	Cyprus	India
Azerbaijan	Czech Republic	Indonesia
Bahamas	Democratic People's Republic of Korea	Iran (Islamic Republic of)
Bahrain	Democratic Republic of the Congo	Iraq
Bangladesh	Denmark	Ireland
Barbados	Djibouti	Israel
Belarus	Dominican Republic	Italy
Belgium	Ecuador	Jamaica
Belize	Egypt	Japan
Benin	El Salvador	Jordan
Bhutan	Equatorial Guinea	Kazakhstan
Bolivia (Plurinational State of)	Estonia	Kenya
Botswana	Ethiopia	Kiribati
Brazil	European Union	Kuwait
Brunei Darussalam	Fiji	Kyrgyzstan
Bulgaria	Finland	Lao People's Democratic Republic
Burkina Faso	France	Latvia
Burundi	Gabon	Lebanon
Cabo Verde	Gambia	Lesotho
Cambodia	Georgia	Liberia
Cameroon	Germany	Libya
Canada	Ghana	Liechtenstein
Central African Republic	Greece	Lithuania
Chad	Grenada	Luxembourg
Chile		Madagascar
China		

Malawi	Philippines	Timor-Leste
Malaysia	Poland	Togo
Maldives	Portugal	Tonga
Mali	Qatar	Trinidad and Tobago
Malta	Republic of Korea	Tunisia
Marshall Islands	Republic of Moldova	Turkey
Mauritania	Romania	Tuvalu
Mauritius	Russian Federation	Uganda
Mexico	Rwanda	Ukraine
Micronesia (Federated States of)	Saint Kitts and Nevis	United Arab Emirates
Monaco	Saint Lucia	United Kingdom of Great Britain and Northern Ireland
Mongolia	Saint Vincent and the Grenadines	United Republic of Tanzania
Montenegro	Samoa	United States of America
Morocco	Sao Tome and Principe	Uruguay
Mozambique	Saudi Arabia	Uzbekistan
Myanmar	Senegal	Venezuela (Bolivarian Republic of)
Namibia	Serbia	Viet Nam
Nauru	Seychelles	Yemen
Nepal	Sierra Leone	Zambia
Netherlands	Singapore	Zimbabwe
New Zealand	Slovakia	
Nicaragua	Slovenia	
Niger	Solomon Islands	
Nigeria	Somalia	
Norway	South Africa	
Oman	South Sudan	
Pakistan	Spain	
Palau	Sri Lanka	
Panama	Sudan	
Papua New Guinea	Suriname	
Paraguay	Swaziland	
Peru	Sweden	
	Switzerland	
	Tajikistan	
	Thailand	

B. Observer States

Holy See
State of Palestine

C. United Nations bodies and programmes

United Nations

UN AIDS – Joint United Nations Programme on HIV and AIDS

United Nations Capital Development Fund

United Nations Children’s Fund

United Nations Conference on Trade and Development

United Nations Department of Economic and Social Affairs

United Nations Development Programme

United Nations Development Programme – Peru

United Nations Economic Commission for Africa

United Nations Economic Commission for Asia and the Pacific

United Nations Economic Commission for Europe

United Nations Economic Commission for Latin America and the Caribbean

United Nations Entity for Gender Equality and the Empowerment of Women

United Nations Environment Programme

United Nations Global Compact

United Nations High Commissioner for Human Rights

United Nations High Commissioner for Refugees

United Nations Human Settlements Programme

United Nations Information Centre Lima

United Nations Institute for Training and Research

United Nations Office for Disaster Risk Reduction

United Nations Office for Project Services

United Nations Population Fund

United Nations System Chief Executives Board for Coordination

United Nations University

United Nations University – Institute for Environment and Human Security

United Nations Volunteers

World Food Programme

D. Convention secretariats

Convention on Biological Diversity

United Nations Convention to Combat Desertification

E. Specialized agencies and institutions of the United Nations system

Food and Agriculture Organization of the United Nations
Global Environment Facility
Intergovernmental Oceanographic Commission
Intergovernmental Panel on Climate Change
International Civil Aviation Organization
International Fund for Agricultural Development
International Maritime Organization
International Telecommunication Union
United Nations Educational, Scientific and Cultural Organization
United Nations Industrial Development Organization
World Health Organization
World Intellectual Property Organization
World Meteorological Organization

F. Related organizations of the United Nations system

Green Climate Fund secretariat
International Atomic Energy Agency
International Labour Organization
International Monetary Fund
World Bank
World Trade Organization

Annex II

[English only]

Calendar of meetings of Convention bodies, 2015–2019

- First sessional period in 2015: 1–11 June
- Second sessional period in 2015: 30 November to 11 December
- First sessional period in 2016: 16–26 May
- Second sessional period in 2016: 7–18 November
- First sessional period in 2017: 8–18 May
- Second sessional period in 2017: 6–17 November
- First sessional period in 2018: 30 April to 10 May
- Second sessional period in 2018: 5–16 November
- First sessional period in 2019: 17–27 June
- Second sessional period in 2019: 11–22 November

Annex III

[English only]

Documents before the Conference of the Parties at its twentieth session

FCCC/CP/2014/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/CP/2014/2 and Add. 1	Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat
FCCC/CP/2014/3	Summary report on the in-session workshop on long-term climate finance in 2014. Note by the secretariat
FCCC/CP/2014/4	Admission of observers: organizations applying for admission as observers. Note by the secretariat
FCCC/CP/2014/5 and Add. 1	Report of the Standing Committee on Finance to the Conference of the Parties
FCCC/CP/2014/6	Linkages between the Technology Mechanism and the Financial Mechanism of the Convention: recommendations of the Technology Executive Committee
FCCC/CP/2014/7	Report on gender composition. Note by the secretariat
FCCC/CP/2014/8	Report of the Green Climate Fund to the Conference of the Parties. Note by the secretariat
FCCC/CP/2014/9	Report on credentials. Report of the Bureau
FCCC/CP/2014/INF.1	Second annual report to the Conference of the Parties on the operation of the registry of nationally appropriate mitigation actions. Note by the secretariat
FCCC/CP/2013/INF.3	Background information relating to the proposal to include a sub-item on the provisional agenda of the nineteenth session of the Conference of the Parties. Note by the secretariat
FCCC/CP/2014/MISC.1 (Part 1 and 2)	List of participants
FCCC/CP/2014/L.1/Rev.1	The Lima Ministerial Declaration on Education and Awareness-raising
FCCC/CP/2014/L.2	Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts. Proposal by the President
FCCC/CP/2014/L.3	Draft report of the Conference of the Parties on its twentieth session
FCCC/CP/2014/L.4	Decision-making in the UNFCCC process. Draft conclusions proposed by the President

FCCC/CP/2014/L.5	Forum and work programme on the impact of the implementation of response measures. Proposal by the President
FCCC/CP/2014/L.7 and Add.1, 2 and 3	Work programme on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews, for developed country Parties. Proposal by the President
FCCC/CP/2014/L.8	Dates and venues of future sessions. Proposal by the President
FCCC/CP/2014/L.9	Fifth review of the Financial Mechanism. Proposal by the President
FCCC/CP/2014/L.10	Report of the Standing Committee on Finance. Proposal by the President
FCCC/CP/2014/L.11	Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility. Proposal by the President
FCCC/CP/2014/L.12	Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund. Proposal by the President
FCCC/CP/2014/L.13	Long-term climate finance. Proposal by the President
FCCC/CP/2014/L.14	Further advancing the Durban Platform. Proposal by the President
FCCC/CP/2014/L.6– FCCC/KP/CMP/2014/L.4	Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima. Draft resolution submitted by France
FCCC/SB/2014/L.5	Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014. Draft conclusions proposed by the Chairs. Recommendation of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation
FCCC/SB/2014/L.6/Rev.1	Forum and work programme on the impact of the implementation of response measures. Revised draft conclusions proposed by the Chair
FCCC/SB/2014/L.7	Report of the Adaptation Committee. Draft conclusions proposed by the Chairs. Recommendation of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation
FCCC/SB/2014/L.8	Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts. Draft conclusions proposed by the Chairs

FCCC/SB/2014/L.9	The 2013–2015 review. Draft conclusions proposed by the Chair
FCCC/SBSTA/2014/L.20	Draft report of the Subsidiary Body for Scientific and Technological Advice on its forty-first session
FCCC/SBSTA/2014/L.24 and Add.1	Land use, land-use change and forestry under Article 3, paragraphs 3 and 4, of the Kyoto Protocol and under the clean development mechanism. Draft conclusions proposed by the Chair
FCCC/SBSTA/2014/L.26	Methodologies for the reporting of financial information by Parties included in Annex I to the Convention. Draft conclusions proposed by the Chair
FCCC/SBSTA/2014/L.27 and Add.1	Fifth Assessment Report of the Intergovernmental Panel on Climate Change. Draft conclusions proposed by the Chair
FCCC/SBSTA/2014/L.28	Work programme on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews, for developed country Parties. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.24	Matters relating to the least developed countries. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.25	Draft report of the Subsidiary Body for Implementation on its forty-first session
FCCC/SBI/2014/L.26	Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.27	Administrative, financial and institutional matters. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.29	Provision of financial and technical support. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.37	Arrangements for intergovernmental meetings. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.38	Further guidance to the Least Developed Countries Fund. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.40	Capacity-building under the Convention. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.42 and Add.1	National adaptation plans. Draft conclusions proposed by the Chair
FCCC/SBI/2014/L.43/Rev.1	Gender and climate change. Revised draft conclusions proposed by the Chair

FCCC/ADP/2014/L.4 Draft report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the seventh part of its second session, held in Lima from 2 to 11 December 2014

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/2010/3 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/2011/4/Rev.1 Revised 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/SB/2014/1 Report on the structured expert dialogue on the 2013–2015 review for 2014

FCCC/SB/2014/2 Report of the Adaptation Committee

FCCC/SB/2014/3 Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014

FCCC/SB/2014/4	Report of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts
FCCC/SBSTA/2014/2 and Add.1	Report of the Subsidiary Body for Scientific and Technological Advice on its fortieth session, held in Bonn from 4 to 15 June 2014
FCCC/SBSTA/2014/3	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2014/8 and Add.1	Report of the Subsidiary Body for Implementation on its fortieth session, held in Bonn from 4 to 15 June 2014
FCCC/SBI/2014/9	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBI/2014/INF.17	Synthesis report on the progress made in the implementation of the remaining elements of the least developed countries work programme. Note by the secretariat
FCCC/SBI/2014/MISC.3	Information on experiences with the implementation of the remaining elements of the least developed countries work programme. Submissions by Parties and relevant organizations
FCCC/ADP/2013/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/ADP/2013/3	Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the third part of its second session, held in Warsaw from 12 to 23 November 2013
FCCC/ADP/2014/1	Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the fourth part of its second session, held in Bonn from 10 to 14 March 2014
FCCC/ADP/2014/2	Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the fifth part of its second session, held in Bonn from 4 to 14 June 2014
FCCC/ADP/2014/3	Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the sixth part of its second session, held in Bonn from 20 to 25 October 2014



United Nations

FCCC/CP/2014/10/Add.1



Framework Convention on
Climate Change

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Conference of the Parties

Report of the Conference of the Parties on its twentieth session, held in Lima from 1 to 14 December 2014

Addendum

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

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Decision 1/CP.20

Lima Call for Climate Action

The Conference of the Parties,

Reiterating that the work of the Ad Hoc Working Group on the Durban Platform for Enhanced Action shall be under the Convention and guided by its principles,

Recalling the objective of the Convention as set out in its Article 2,

Also recalling all the relevant decisions of the Conference of the Parties, particularly decisions 1/CP.17, 2/CP.18 and 1/CP.19,

Affirming its determination to strengthen adaptation action through the protocol, another legal instrument or agreed outcome with legal force under the Convention to be adopted at the twenty-first session of the Conference of the Parties (November-December 2015),

Recalling decisions 2/CP.19 and 2/CP.20 and welcoming the progress made in Lima, Peru, towards the implementation of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts,

Noting with grave concern the significant gap between the aggregate effect of Parties' mitigation pledges in terms of global annual emissions of greenhouse gases by 2020 and aggregate emission pathways consistent with having a likely chance of holding the increase in global average temperature below 2 °C or 1.5 °C above pre-industrial levels,

1. *Confirms* that the Ad Hoc Working Group on the Durban Platform for Enhanced Action shall complete the work referred to in decision 1/CP.17, paragraph 2, as early as possible in order for the Conference of the Parties at its twenty-first session to adopt a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties;
2. *Decides* that the protocol, another legal instrument or agreed outcome with legal force under the Convention applicable to all Parties shall address in a balanced manner, inter alia, mitigation, adaptation, finance, technology development and transfer, and capacity-building, and transparency of action and support;
3. *Underscores* its commitment to reaching an ambitious agreement in 2015 that reflects the principle of common but differentiated responsibilities and respective capabilities, in light of different national circumstances;
4. *Urges* developed country Parties to provide and mobilize enhanced financial support to developing country Parties for ambitious mitigation and adaptation actions, especially to Parties that are particularly vulnerable to the adverse effects of climate change; and recognizes complementary support by other Parties;
5. *Acknowledges* the progress made in Lima in elaborating the elements for a draft negotiating text as contained in the annex;
6. *Decides* that the Ad Hoc Working Group on the Durban Platform for Enhanced Action will intensify its work, with a view to making available a negotiating text for a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties before May 2015;

7. *Requests* the secretariat to communicate the negotiating text referred to in paragraph 6 above to Parties in accordance with provisions of the Convention and the applied rules of procedure, while noting that such communication will not prejudice whether the outcome will be a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties;
8. *Notes* that the arrangements specified in this decision in relation to intended nationally determined contributions are without prejudice to the legal nature and content of the intended nationally determined contributions of Parties or to the content of the protocol, another legal instrument or agreed outcome with legal force under the Convention applicable to all Parties;
9. *Reiterates* its invitation to each Party to communicate to the secretariat its intended nationally determined contribution towards achieving the objective of the Convention as set out in its Article 2;
10. *Agrees* that each Party's intended nationally determined contribution towards achieving the objective of the Convention as set out in its Article 2 will represent a progression beyond the current undertaking of that Party;
11. *Also agrees* that the least developed countries and small island developing States may communicate information on strategies, plans and actions for low greenhouse gas emission development reflecting their special circumstances in the context of intended nationally determined contributions;
12. *Invites* all Parties to consider communicating their undertakings in adaptation planning or consider including an adaptation component in their intended nationally determined contributions;
13. *Reiterates* its invitation to all Parties to communicate their intended nationally determined contributions well in advance of the twenty-first session of the Conference of the Parties (by the first quarter of 2015 by those Parties ready to do so) in a manner that facilitates the clarity, transparency and understanding of the intended nationally determined contributions;
14. *Agrees* that the information to be provided by Parties communicating their intended nationally determined contributions, in order to facilitate clarity, transparency and understanding, may include, as appropriate, inter alia, quantifiable information on the reference point (including, as appropriate, a base year), time frames and/or periods for implementation, scope and coverage, planning processes, assumptions and methodological approaches including those for estimating and accounting for anthropogenic greenhouse gas emissions and, as appropriate, removals, and how the Party considers that its intended nationally determined contribution is fair and ambitious, in light of its national circumstances, and how it contributes towards achieving the objective of the Convention as set out in its Article 2;
15. *Reiterates* its call to developed country Parties, the operating entities of the Financial Mechanism and any other organizations in a position to do so to provide support for the preparation and communication of the intended nationally determined contributions of Parties that may need such support;
16. *Requests* the secretariat to:
 - (a) Publish on the UNFCCC website the intended nationally determined contributions as communicated;
 - (b) Prepare by 1 November 2015 a synthesis report on the aggregate effect of the intended nationally determined contributions communicated by Parties by 1 October 2015;

17. *Encourages* all Parties to the Kyoto Protocol to ratify and implement the Doha Amendment to the Kyoto Protocol;

18. *Reiterates* its resolve as set out in decision 1/CP.19, paragraphs 3 and 4, to accelerate the full implementation of the decisions constituting the agreed outcome pursuant to decision 1/CP.13 and enhance ambition in the pre-2020 period in order to ensure the highest possible mitigation efforts under the Convention by all Parties;

19. *Decides* to continue the technical examination of opportunities with high mitigation potential, including those with adaptation, health and sustainable development co-benefits, in the period 2015–2020, by requesting the secretariat to:

(a) Organize a series of in-session technical expert meetings which:

(i) Facilitate Parties in the identification of policy options, practices and technologies and in planning for their implementation in accordance with nationally defined development priorities;

(ii) Build on and utilize the related activities of, and further enhance collaboration and synergies among, the Technology Executive Committee, the Climate Technology Centre and Network, the Durban Forum on capacity-building, the Executive Board of the clean development mechanism and the operating entities of the Financial Mechanism;

(iii) Build on previous technical expert meetings¹ in order to hone and focus on actionable policy options;

(iv) Provide meaningful and regular opportunities for the effective engagement of experts from Parties, relevant international organizations, civil society, indigenous peoples, women, youth, academic institutions, the private sector, and subnational authorities nominated by their respective countries;

(v) Support the accelerated implementation of policy options and enhanced mitigation action, including through international cooperation;

(vi) Facilitate the enhanced engagement of all Parties through the announcement of topics to be addressed, agendas and related materials at least two months in advance of technical expert meetings;

(b) Update, following the technical expert meetings referred to in paragraph 19(a) above, the technical paper on the mitigation benefits of actions, and on initiatives and options to enhance mitigation ambition, compiling information provided in submissions from Parties and observer organizations and the discussions held at the technical expert meetings and drawing on other relevant information on the implementation of policy options at all levels, including through multilateral cooperation;

(c) Disseminate the information referred to in paragraph 19(b) above, including by publishing a summary for policymakers;

20. *Requests* the Ad Hoc Working Group on the Durban Platform for Enhanced Action to make recommendations in relation to further advancing the technical examination process, including the periodic assessment of the technical expert meetings, to the Conference of the Parties at its twenty-first session;

¹ In 2014 the Ad Hoc Working Group on the Durban Platform for Enhanced Action undertook technical expert meetings on renewable energy, energy efficiency, land-use change and forestry (including REDD-plus), urban environments, carbon dioxide capture, use and storage and non-carbon dioxide greenhouse gases.

21. *Welcomes* the Lima Climate Action High-level Meeting convened by the President of the Conference of the Parties on 11 December 2014 and encourages the Executive Secretary and the President of the Conference of the Parties to convene an annual high-level event on enhancing implementation of climate action;

22. *Notes* the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in this decision and requests that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

Annex

[English only]

Elements for a draft negotiating text¹

A. Preamble²

Option 1: {Placeholder for preamble}

Option 2:

The Parties to this agreement,

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

Being guided by the principles of the Convention as set out in its Article 3, including that Parties should protect the climate system for the benefit of present and future generations of humankind, on the basis of equity and in accordance with historical responsibility, common but differentiated responsibilities and the provisions of Article 4 of the Convention / evolving common but differentiated responsibilities and respective capabilities / evolving economic and emission trends which will continue post-2020, in order to progressively enhance the levels of ambition,

Recalling the provisions of the Convention and determined to further enhance its full, effective and sustained implementation from 2020 through a strengthened multilateral rules-based regime established by this agreement,

Also recalling the commitments undertaken by Parties under the Convention in accordance with its Article 4,

Further recalling all the existing decisions adopted by the Conference of the Parties to the Convention and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, including, in particular, the agreed outcome pursuant to the Bali Action Plan and the Doha Amendment,

Recalling the outcomes of the Rio+20 Conference, titled “the Future we want”,

Option (a): *Acknowledging that the global nature and urgency of climate change calls for the participation / widest possible participation, cooperation and ambitious action by all Parties,*

Option (b): *Acknowledging that the global nature and urgency of climate change calls for the widest possible cooperation of all Parties, as well as their participation and enhanced action in an effective and appropriate international response in accordance with their common but differentiated responsibilities and respective capabilities, and their specific national and regional development priorities, objectives and circumstances / social and economic conditions with developed country Parties taking the lead,*

Being guided by the best available scientific knowledge, including, inter alia, the assessment reports / the Fifth Assessment Report of the Intergovernmental Panel on Climate Change, and inputs and resources from Parties,

Recognizing that deep cuts in global greenhouse gas emissions will be required to achieve the ultimate objective of the Convention and the long-term temperature limit / holding the increase in global average temperature, and that such cuts must be achieved within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner,

Also recognizing that scenarios consistent with a likely chance of holding the global average temperature increase to below 2 °C relative to pre-industrial levels include substantial cuts in anthropogenic greenhouse gas emissions by mid-century and net emission levels near zero gigatonnes of carbon dioxide equivalent or below in 2100,

¹ These elements for a draft negotiating text reflect work in progress. They neither indicate convergence on the proposals presented nor do they preclude new proposals from emerging in the course of the negotiations in 2015.

² Headings and subheadings used throughout these elements for a draft negotiating text are provisional and only intended to orientate the reader.

Further recognizing that economy-wide emission reduction budgets provide the highest level of clarity, predictability and environmental integrity,

Acknowledging that carbon pricing is a key approach for cost-effectiveness of the cuts in global greenhouse gas emissions,

Option (a): Emphasizing that adaptation is a global challenge and a common responsibility that requires global solidarity that must be addressed with the same urgency as, and in political / legal parity with, mitigation,

Option (b): Emphasizing that adaptation is a global challenge that must be addressed with the same urgency as, and in balance with, mitigation, and that enhanced action and international cooperation on adaptation is urgently required in order to enable and support the implementation of adaptation actions,

Option (c): Emphasizing that enhanced action and international cooperation on adaptation is urgently required to enable and support the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing country Parties, taking into account the urgent and immediate needs of those developing countries that are particularly vulnerable,

Option (d): Notes that adaptation is a global challenge that must be addressed with the same urgency as mitigation,

Reaffirming the importance of education, training, public awareness, public participation, public access to information and international cooperation on these matters for promoting changes in lifestyles, attitudes and behaviour needed to foster low-emission and climate-resilient development and to mobilize public support for climate policies and action,

Also reaffirming the need for developed country Parties to provide new, additional, adequate and predictable financial resources, including financial resources for the transfer of technology to and capacity-building in developing countries for addressing mitigation and adaptation needs and complying with their obligations under this agreement, while ensuring a balanced financial resources allocation between adaptation and mitigation,

Stressing that all actions to address climate change and all the processes established under this agreement should ensure a gender-responsive approach, take into account environmental integrity / the protection of the integrity of Mother Earth, and respect human rights, the right to development and the rights of indigenous peoples,

Reaffirming that responses to climate change should be coordinated with social and economic development in an integrated manner with a view to avoiding adverse impacts on the latter, taking into full account the legitimate priority needs of developing countries and their right to equitable access to sustainable development and for achieving economic growth and the eradication of poverty,

Also reaffirming that all developing countries need access to the resources required to achieve sustainable social and economic development and that, in order for developing countries to progress towards that goal, their energy consumption will need to grow, taking into account the opportunities for achieving greater energy efficiency and for reducing greenhouse gas emissions, including through the application of new technologies on terms which make such an application economically and socially beneficial,

Recognizing that action / cooperative action by and among subnational authorities, intergovernmental organizations, civil society, indigenous peoples, local communities, the private sector, financial institutions and Parties can catalyse and significantly enhance the impact of policy implementation by Parties in reducing emissions, reducing vulnerability and building resilience to the adverse effects of climate change,

Recalling the Vienna Convention on the Law of Treaties,

Have agreed to further enhance the full, effective and sustained implementation of the Convention as follows / Have agreed as follows / Have agreed to this protocol, another legal instrument, or an agreed outcome with legal force with the aim of furthering the implementation of the Convention and its objective:

B. Definitions

For the purposes of this agreement the following terms are defined:

- The “governing body” means the governing body of this agreement;
- Party;

- “Emission reductions” means the sum of all reduced emissions and increased carbon stocks;
- (Other definitions as needed.)

C. *General / Objective*

1. This agreement aims to achieve universal participation and is to further enhance the full, effective and sustained implementation of the principles and provisions of the Convention, commitments under the Convention and existing decisions, and to strengthen the multilateral rules-based regime under the Convention in order to achieve the objective of the Convention as set out in its Article 2.
2. All Parties to strive to achieve low greenhouse gas climate-resilient economies and societies, on the basis of equity and in accordance with their historical responsibilities, common but differentiated responsibilities / evolving common but differentiated responsibilities and respective capabilities, in order to achieve sustainable development, poverty eradication and prosperity for the benefit of present and future generations of humankind, taking fully into account the historical responsibility of developed country Parties and their leadership in combating climate change and the adverse effects thereof, and bearing in mind that economic and social development and poverty eradication are the first and overriding priorities of developing country Parties.

3. *Option 1:*

All Parties to take action and cooperate to further implement the Convention in order to reach its ultimate objective as stated in its Article 2, on the basis of equity and in accordance with their historical responsibilities and common but differentiated responsibilities / evolving common but differentiated responsibilities and respective capabilities, by achieving an emission pathway consistent with limiting the global average temperature increase to below 2 °C or 1.5 °C above pre-industrial levels, which entails:

- 3.1 ***Option (a):*** Ensuring significant global greenhouse gas emission reductions over the next few decades or a 40–70 per cent reduction in global greenhouse gas emissions below 2010 levels by 2050 and near-zero emissions of carbon dioxide (CO₂) and other long-lived greenhouse gases by the end of the century;

Option (b): Ensuring that global greenhouse gas emissions peak by 2020 at the latest, are reduced by at least 50 per cent by 2050 and continue to decline thereafter;

Option (c): Ensuring significant global greenhouse gas emission reductions over the next few decades in order to achieve a global goal for substantially reducing global emissions by 2050 / consistent with the agreed global goal for substantially reducing global emissions by 2050 / consistent with the agreed global goal, and based on the best available scientific knowledge and equitable access to sustainable development;

- 3.2 Ensuring resilience and adaptive capacity to the adverse effects of climate change, while recognizing the local, national and global dimensions of adaptation;
- 3.3 Ensuring that all investments are resilient to climate change / consistent with sustainable development and facilitate the transition to low-emission development paths and ensuring the adequacy of financial, technology and capacity-building support for developing countries towards achieving the implementation of this agreement / objective of the Convention.

Option 2:

All Parties to enhance action and cooperate to further implement the Convention in order to reach its ultimate objective as stated in its Article 2, in order to stabilize greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system and to allow ecosystems to adapt naturally to climate change, in order to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner, which entails:

- 3.1 Parties to urgently work towards the deep reduction in global greenhouse gas emissions required to hold the increase in global average temperature below 2 °C / 1.5 °C above pre-industrial levels and to attain a global peaking of global greenhouse gas emissions as soon as possible, reaffirming that the time frame for peaking will be longer for developing countries;
- 3.2 Parties' efforts should be undertaken on the basis of equity and common but differentiated responsibilities and respective capabilities, and the provision of finance, technology transfer and capacity-building to developing countries in order to support their mitigation and adaptation actions under the Convention, and take into account the imperatives of equitable access to sustainable development, the survival of countries and protecting the integrity of Mother Earth.

Option 3:

All Parties to take action and cooperate to further implement the Convention in order to reach its ultimate objective as stated in its Article 2, on the basis of equity and in accordance with their common but differentiated responsibilities / evolving common but differentiated responsibilities and respective capabilities, by achieving an emission pathway consistent with limiting the global average temperature increase to below 2 °C or 1.5 °C above pre-industrial levels and with achieving climate resilience.

4. Parties recognize that the level and pace of mitigation ambition / efforts will determine the extent to which Parties will need to adapt and address loss and damage, and associated costs thereof, as well as the need to explore holistic and mutually reinforcing approaches to enhancing mitigation and adaptation efforts and to increase the overall level of ambition, which will depend on the extent of financial, technology and capacity-building support provided by developed country Parties to developing country Parties.

5. **Option 1:** Each Party to take action at the highest level of ambition / mitigation ambition, reflecting its national circumstances, and to progressively increase that level of ambition;

Option 2: All Parties to take action at the highest level of ambition and to progressively increase that level of ambition, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, with developed countries taking the lead;

Option 3: Parties to enhance their actions and contributions in accordance with Article 4 of the Convention;

Option 4: A global emission budget to be divided among all Parties, in accordance with the principles and provisions of the Convention, in order to limit global warming this century to below 1.5 °C according to the Intergovernmental Panel on Climate Change (IPCC) assessment. The distribution of the global emission budget should be undertaken in accordance with historical responsibilities, ecological footprint, capabilities and state of development.

6. **Option 1:** Parties with the greatest responsibility and highest capability to demonstrate leadership:
- 6.1 Developed country Parties to take the lead in fully implementing existing obligations under the Convention in relation to mitigation and support, in line with their historical responsibility;
- 6.2 Leadership demonstrated by any Party to be recognized, as well as the need to incentivize and enable such leadership through cooperation and support.

Option 2: Parties with the greatest responsibility and highest capability to demonstrate leadership.

Option 3: In accordance with Article 4 of the Convention, developed country Parties to take the lead in fully implementing existing obligations and commitments under the Convention in relation to emission reduction and the provision of financial, technology and capacity-building support to developing country Parties, in line with their historical responsibility.

7. **Option 1:** Commitments / contributions of Parties particularly vulnerable to the adverse effects of climate change, especially the least developed countries (LDCs) and small island developing States (SIDS), to reflect their efforts in the context of their specific needs and special situations;

Option 2: Commitments / contributions / actions of developing country Parties, especially those referred to in Article 4, paragraphs 8–10, of the Convention, including the least developed countries (LDCs) and small island developing States (SIDS), to reflect their efforts in the context of sustainable development and their specific needs and special circumstances, bearing in mind that the extent to which developing country Parties will effectively implement their commitments under the Convention will depend on the effective implementation by developed country Parties of their commitments under the Convention related to financial resources and the transfer of technology.

8. **Option 1:** All Parties to prepare, maintain, communicate and implement commitments / contributions / mitigation commitments / contributions in accordance with the provisions of this agreement and to be considered, formalized / finalized and reviewed in accordance with section K below;

Option 2: In accordance with the principles and provisions of the Convention, all Parties to prepare, maintain, communicate and implement commitments / contributions in accordance with the provisions of this agreement, and to be considered, formalized / finalized and reviewed in accordance with section K below.

9. **Option 1:** Unilateral measures not to constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade;

Option 2: No reference to unilateral measures in the agreement.

10. This agreement to build on the subsidiary bodies / institutional arrangements established by or under the Convention:
- Option 1:** All subsidiary bodies / institutional arrangements established by or under the Convention shall serve this agreement, unless otherwise decided by the governing body. The governing body may provide further guidance as appropriate;
- Option 2:** The subsidiary bodies / institutional arrangements established by or under the Convention shall serve this agreement as specified in the relevant sections.³
11. **Option 1:** All actors, including civil society, the private sector, financial institutions, cities and other subnational authorities, local communities and indigenous peoples, are encouraged to scale up their actions and provide further opportunities for Parties to reduce emissions and/or to decrease vulnerability and build resilience to the adverse effects of climate change, without prejudice to the provisions of the Convention;
- Option 2:** No provision on non-state actors.
12. **Option 1:** Parties to cooperate, including through regional approaches, bilateral, multilateral, triangular / South–South and triangular cooperation, and to take appropriate measures to develop, adopt and implement policies, strategies, regulations and/or action plans on climate change education, training, public awareness, public participation and public access to information at all levels to enable transformative change towards low-emission and climate-resilient societies;
- Option 2:** In addition to the existing commitments under and provisions of the Convention, Parties to cooperate and take appropriate measures to develop, adopt and implement policies, strategies, regulations and/or action plans on climate change education, training, public awareness, public participation and public access to information so as to enhance action addressing climate change;
- Option 3:** Parties to cooperate, including through regional, bilateral and multilateral approaches.

Structural suggestions on section C:

No need for a general section

Move paragraphs 5 and 8 to the mitigation section

Paragraphs 3, 5, 6, 7, 8, 10, 11 and 12 are or should be addressed elsewhere

Address content of paragraph 11 in a COP decision or a preambular recital

D. Mitigation

Long-term and global aspects of mitigation

- 13.
- 13.1 **Option 1:** All Parties, in accordance with Article 4 and their common but differentiated responsibilities and respective capabilities and on the basis of equity, to enhance mitigation ambition and cooperate with a view to achieving the long-term emission reductions, in the context of Article 2 of the Convention, consistent with limiting the global average temperature increase to below 2 °C or 1.5 °C above pre-industrial levels and in the context of equitable access to sustainable development;
- Option 2:** All Parties to make efforts and cooperate on enhancing mitigation ambition to ensure that the aggregate level of mitigation commitments / contributions increases over time, so as to achieve the long-term emission reductions, in the context of Article 2 of the Convention, consistent with limiting the global average temperature increase to below 2 °C or 1.5 °C above pre-industrial levels;
- Option 3:** Parties to make efforts and cooperate to stabilize greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system, in accordance with the shared vision resulting from the Bali Action Plan, including holding the increase in global average temperature below 2 °C or 1.5 °C above pre-industrial levels in the context of sustainable development, with developed country Parties taking the lead by undertaking ambitious emission reductions and providing finance, technology and capacity-building support to developing country Parties.

³ See paragraphs 31, 33, 38, 57.1, 62.1, 92.

13.2 Parties' efforts to take the form of:

- a. A long-term zero emissions sustainable development pathway:
 - Consistent with carbon neutrality / net zero emissions by 2050, or full decarbonization by 2050 and/or negative emissions by 2100;
 - Consistent with science and the findings of the Intergovernmental Panel on Climate Change (IPCC) (e.g. 40–70 per cent below 2010 levels by 2050) in accordance with historical responsibilities, capabilities, and the state of development, while addressing vulnerabilities and in a cooperative manner;
 - Consistent with a global reduction of greenhouse gas emissions of at least 50 per cent by 2050 compared with the levels in 1990 and a continued decline in emissions thereafter, in the context of equitable access to sustainable development and a global carbon budget;
 - Consistent with emissions peaking for developed countries in 2015, with an aim of zero net emissions by 2050; in the context of equitable access to sustainable development;
 - Consistent with a peaking of global greenhouse gas emissions as soon as possible, noting that the time frame for peaking may be longer in developing countries, in the context of equitable access to sustainable development.
 - b. A global emission budget to be divided among all Parties according to the principles and provisions of the Convention, so as to limit global warming in this century to below 1.5 °C according to the IPCC assessment. The distribution of the global emission budget should be undertaken in accordance with historical responsibilities, ecological footprint, capabilities, and state of development;
 - c. Stabilization of the concentration of greenhouse gases in the atmosphere at or below 350 ppm of CO₂ equivalent (CO₂ eq) in the context of equitable access to sustainable development;
 - d. A deviation from business as usual;
 - e. Low-emission development strategies.
14. Any agreed long-term objective shall be in the context of a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in sustainable manner, and shall also take into account vulnerabilities and managing transition in a sustainable manner.

Commitments / contributions / actions on mitigation

15. **Option 1:** In accordance with Article 4 of the Convention, all Parties to progressively enhance the level of ambition of their mitigation commitments / contributions / actions such that each commitment / contribution / action is of a type, scope, scale and coverage more / no less ambitious than those previously undertaken under this agreement or the Convention or its Kyoto Protocol;
- Option 2:** Developed country Parties to progressively enhance the level of ambition of their mitigation commitments / contributions such that each commitment / contribution is of a type, scope, scale and coverage more / no less ambitious than those previously undertaken under this agreement or the Convention or its Kyoto Protocol;
- Option 3:** All Parties to progressively enhance the level of ambition of their mitigation commitments / contributions such that the scale and coverage is more / no less ambitious than those previously undertaken under this agreement or the Convention or its Kyoto Protocol;
- Option 4:** All Parties, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, to formulate, implement, publish and regularly update programmes containing measures to mitigate climate change in order to enhance their level of ambition after 2020.
16. **Option 1:** In accordance with the principles of the Convention and its Article 4, each Party to prepare, communicate and implement successive nationally determined mitigation commitments / contributions / actions, which are to:
- Option 2:** Each Party to communicate and implement successive mitigation commitments / contributions/, which are to:
- Option 3:** Parties to prepare differentiated mitigation commitments for developed and developing country Parties, with developed country Parties to take the lead and developing country Parties to be provided flexibility, which are to:

- 16.1 **Option 1:** Be quantified or quantifiable, which can be aggregated, and which are transparent, comparable and/or verifiable;
- Option 2:** Be quantified or quantifiable and which shall consider a fair and equitable distribution of the global emission budget according to a compound index of countries' participation in such a budget, and which are transparent, comparable and/or verifiable;
- Option 3:** Be quantified, which can be aggregated, and which are comparable, measurable, reportable and verifiable for developed country Parties, with the type, scope, scale and coverage more ambitious than those undertaken under the Convention and its Kyoto Protocol during the pre-2020 period.
- Be quantified, quantifiable or qualified in a measurable, reportable and verifiable manner for developing country Parties, based on their nationally appropriate mitigation actions (NAMAs) under the Bali Action Plan;
- 16.2 Be accompanied by information aimed at enhancing the clarity, transparency and understanding of these commitments / contributions / actions;
- 16.3 **Option 1:** Include an indicative long-term trajectory consistent with paragraph 13 above;
- With developed country Parties to take the lead and make an adequate and equitable contribution to achieve the ultimate objective of the Convention as set out in its Article 2. Developing country Parties may need flexibility in indicating such long-term trajectories;
- Option 2:** For developed country Parties to include an indicative long-term trajectory;
- For developing country Parties to be encouraged to develop a long-term green and low-carbon development strategy, plan or programme, as appropriate;
- 16.4 **Option 1:** Be based on national circumstances and capacities;
- Option 2:** Be based on the following:
- a. Common but differentiated responsibilities and respective capabilities, equity and national circumstances and capacities;
 - b. Parties to include one of the following options, in accordance with their common but differentiated responsibilities, national circumstances, development levels and capabilities, while recognizing that the emissions of developing countries will grow to meet their social and development needs: (i) a quantified, economy-wide, absolute emission limitation or reduction target in relation to a baseline year; (ii) a quantified, economy-wide emission limitation or reduction target relative to a projection of its emissions (iii) a quantified, economy-wide emission limitation or reduction target relative to unit of GDP in relation to a previous year; (iv) a quantified, economy-wide emission limitation and reduction target per capita; (v) non-economy-wide actions:
 - Developed country Parties to take the lead in accordance with Article 3, paragraph 1, and Article 4, paragraph 2, of the Convention through quantified economy-wide, absolute emission reduction targets / commitments;
 - Developing country Parties, which have been provided with means of implementation, to prepare, communicate and implement a diversity of enhanced net mitigation commitments / contributions / actions in accordance with Article 3, paragraph 1, of the Convention and in the context of sustainable development, ranging from economy-wide absolute limits on emissions, relative emission reductions, intensity targets, nationally appropriate mitigation actions, low-emission development plans and strategies, sectoral mitigation plans and strategies / taking into consideration paragraph X above;
 - Developing country Parties to take a diversity of nationally determined actions in accordance with their specific needs and special circumstances as stated in Article 3, paragraph 2, of the Convention, including net avoided emissions, or also manifested as adaptation co-benefits, where appropriate;
 - Developing country Parties to prepare their actions in accordance with Article 3, paragraph 1, of the Convention and their circumstances and capacities, through nationally appropriate mitigation actions, subject to the provision of means of implementation and in accordance with Article 4, paragraph 7, of the Convention;
 - Major economies to take on quantified economy-wide emission reduction targets / commitments;
 - Parties not included in Annex I to the Convention (non-Annex I Parties) that are in a position to do so to take on quantified economy-wide emission reduction targets / commitments;
 - All Parties to take on quantified economy-wide emission reduction targets / commitments at some point in the future in accordance with their national circumstances, development levels and capabilities;

- LDCs to implement non-economy wide actions and are encouraged to develop and implement low-emission development strategies;
- For all Parties on the basis of categories that are updated over time based on evolving emissions and economic trends.

16.5 **Option 1:** Mitigation commitments / contributions / actions of all Parties to be communicated and implemented without conditions;

Option 2: Mitigation commitments / contributions / actions of developed country Parties to be communicated and implemented without conditions;

Option 3: Each Party to communicate commitments / contributions / actions specifying an unconditional portion and may also include a conditional one;

Option 4: Mitigation commitments / contributions / actions of developing country Parties to be prepared, communicated and implemented subject to the provision of finance, technology development and transfer, and capacity-building. Developing country Parties may specify additional enhanced levels of mitigation commitments / contributions according to different levels of enhanced support by developed country Parties.

17. All Parties to maintain commitments / contributions / actions at all times.

18. **Option 1:** Parties' proposed mitigation commitments / contributions / actions to be communicated and considered as well as formalized / finalized and reviewed in accordance with section K below;

Option 2: Parties' mitigation commitments / contributions / actions should be communicated and implemented in accordance with Article 12 of the Convention and through relevant arrangements based on the agreed outcome pursuant to the Bali Action Plan.

Parties' mitigation commitments / contributions reflected in two attachments to the agreement, one for developed and one for developing country Parties. One is a common tabular format for developed country Parties and the other a compilation of communications for developing country Parties;

Option 3: Upon joining the agreement, all Parties to submit a schedule reflecting the nationally determined contribution they intend to implement.

Parties to maintain schedule thereafter.

19. Parties may prepare, communicate and implement mitigation commitments / contributions / action jointly in accordance with decisions to be adopted by the governing body and taking into account any arrangements developed under paragraph 92.

20. **Option 1:** The secretariat to keep and update accordingly an online registry of national mitigation targets, and actions; registry to be integral part of the agreement;

Option 2: The secretariat to maintain a list of the schedules of Parties in an information document that is made available online.

21. All Parties to develop low emission strategies.

22. All Parties to take into account joint mitigation and adaptation approaches for the integral and sustainable management of forests.

23. In meeting their commitments / contributions / actions, Parties may make use of market mechanisms and actions in the land-use sector in accordance with X.

23.1 The use of market mechanisms is to:

- a. Mobilize the widest range of potential investments for adaptation and mitigation;
- b. Create incentives for early action;
- c. Incentivize and coordinate effective mitigation and adaptation action from the broadest range of actors, including the private sector, to support the implementation of this agreement;
- d. Ensure consistency with individual commitments / contributions;
- e. Be in accordance with the provisions on transparent accounting as contained in section J (*Transparency of action and support*), in particular to avoid double counting.

23.2 The use of market mechanisms shall be supplementary to domestic action.

Institutional arrangements

24. **Option 1:** Parties to analyse and give full consideration to what actions are necessary to meet the needs arising from the impacts of the implementation of response measures related to the mitigation commitments taken on, particularly the specific needs and concerns of developing country Parties;

Option 2: Strengthen existing arrangements by establishing a cooperative mechanism (platform) under the Convention to manage the transition to low greenhouse gas pathways, which would identify and then measure the impacts, and which would use existing tools as much as possible and further develop tools to address identified gaps and ensure their operationalization:

Option (a): The governing body shall develop and adopt modalities for:

- a. An international / cooperative mechanism under the Convention to manage the transition to low GHG pathways that would identify and then measure the impacts, and which would use existing tools as much as possible and develop further tools to address identified gaps and ensure their operationalization:
 - A no-incident arrangement to be included to safeguard economic development in developing countries;
 - In accordance with Article 4, paragraphs 8–10, of the Convention.
- b. An international institution;
- c. A permanent forum under the Subsidiary Body for Scientific and Technological Advice (SBSTA).

Option (b): No new arrangements for response measures within this agreement.

Structural suggestions on section D:

Accounting rules:

Option 1: Move provisions on accounting rules from section J (transparency) into this section;

Option 2: Retain provisions on accounting rules in section J.

Time frame and steps:

Option 1: Move provisions from section K into this section;

Option 2: Retain provisions in section K.

E. Adaptation and loss and damage

Adaptation

Long-term and global aspects of adaptation

25. **Option 1:** All Parties in accordance with the principles and provisions of the Convention, its Article 4 and their common but differentiated responsibilities, and previous decisions of the Conference of the Parties (COP) to commit to cooperate to adapt to the adverse effects of climate change, ensure resilience and protect citizens and ecosystems in the context of the long-term temperature limit and to achieve sustainable development, while recognizing the local, national and transboundary dimensions of adaptation:

- 25.1 All / Developed country Parties to undertake the steps necessary to ensure that the level of support meets the needs for adaptation in developing countries in the context of the long-term temperature limit: Request to the SBSTA to develop methodologies for this purpose;
- 25.2 All Parties commit to increase efforts to adapt to climate change impacts, reduce vulnerability and increase resilience in the context of the actual increase in global mean temperature, taking into account the relationship between mitigation ambition, associated climate change impacts, and consequent adaptation needs, costs, and co-benefits.

Option 2: Developed county Parties commit to enhance support to developing country Parties in terms of finance, technology, and capacity-building, and to enable developing countries to enhance their adaptation actions so as to ensure their resilience;

Option 3: Establish a global goal for adaptation;

Option 4: No global goal for adaptation;

Option 5: Establish universal individual commitments / actions.

Commitments / contributions / actions / Commitments under Article 4 of the Convention on adaptation

26. **Option 1:** Each Party / Developing country Parties to prepare and implement adaptation commitments / contributions / actions under Article 4 of the Convention by integrating / integrate adaptation within national development planning, mainstream adaptation into national policies, undertake a national adaptation plan (NAP) process, and strengthen governance and enabling environments subject to modalities and procedures to be developed and adopted by the governing body:
- 26.1 Commitments / contributions / actions / commitments under Article 4 of the Convention should be country-driven, gender-sensitive, participatory, and fully transparent, take into account vulnerable groups and ecosystems, be based on science and traditional and indigenous knowledge, and promote the engagement of subnational and local authorities and other stakeholders;
- 26.2 Developed country Parties' commitments / contributions / actions under Article 4 of the Convention to be in accordance with the relevant provisions of the Convention, reflecting / and reflect their obligation to support adaptation in developing countries in accordance with realizable temperature scenarios, in particular in SIDS and the LDCs. / Developed countries to ensure the provision of new and additional, adequate and predictable financial resources and the transfer of technology and capacity-building to meet the costs in developing countries of addressing the adverse effects of climate change and to enable developing countries to enhance their actions to adapt to climate change so that developing countries may achieve sustainable development;
- 26.3 Developed countries commit to provide at least USD 50 billion per year during the period from 2020 to 2025, at least USD 100 billion per year by 2020 for adaptation activities of developing countries, in order to fulfil the obligations under Article 4, paragraphs 4, 5, 8, and 9, of the Convention;
- 26.4 Developed countries should formulate adaptation support plans, including overall objectives, milestones, and sources of finance for supporting adaptation actions in developing countries in terms of finance, technology, and capacity-building to address the urgent needs of developing countries and ensure long-term support;
- 26.5 Developing country Parties' adaptation commitments / contributions / actions to:
- a. Be in accordance with the relevant provisions of the Convention;
 - b. Include economic diversification;
 - c. Encourage developing country Parties to showcase their efforts and needs and to help to recognize national efforts consistent with the long-term temperature limit;
 - d. Be supported by predictable, grant-based, long-term, additional and measurable finance, technology, and capacity-building support from developed country Parties, Parties included in Annex II to the Convention (Annex II Parties), and/or all Parties in a position to do so;
 - e. Not impose additional burdens or reporting requirements on developing country Parties, in particular on SIDS and the LDCs;
 - f. Build on adaptation mechanisms and processes under the Convention, including national adaptation plans (NAPs) and national adaptation programmes of action, and existing arrangements for finance. All developing countries are not in the position to make financial commitments or contributions to any institutional or international mechanisms. Adaptation investments by developing countries should be recognized as their contributions to the global effort to respond to climate change.
- 26.6 **Option (a):** Commitments / contributions / actions to be consistent with / informed by the NAP process subject to modalities and procedures to be developed and adopted by the governing body:
- a. NAPs provide the basis for all countries to assess vulnerabilities and identify and implement adaptation measures;
 - b. NAPs to go beyond planning and mainstreaming / into concrete actions on the ground / implementation / integrating by defining modalities for support and implementation;
 - c. Ensure that the NAP process is undertaken in all interested developing countries, in particular in SIDS and the LDCs, and in Africa;
 - d. The provision of support for NAPs to build on progress made by the Least Developed Countries Fund (LDCF), the Special Climate Change Fund (SCCF), the Green Climate Fund (GCF), the Adaptation Fund, the Least Developed Countries Expert Group, the Adaptation Committee and multilateral and bilateral organizations and agencies.
- Option (b):** Parties, through the NAP process, to strive in the medium and long term to reduce vulnerability to the impacts of climate change and facilitate the integration of climate change adaptation, in a coherent

manner, into relevant new and existing policies, programs and activities, in particular national development planning processes and strategies. National adaptation planning processes should not be mandatory or prescriptive nor result in the duplication of efforts undertaken, but should rather facilitate country-owned, country-driven action.

Option 2: Parties undertake national adaptation planning processes, with a view to integrating climate resilience into national level planning and action in order to reduce vulnerability, and to strengthen governance and enabling environments. All Parties should take adaptation actions. Those Parties with limited capacities require support from those countries in a position to provide such support.

27. Parties to communicate their commitments / contributions / actions / commitments under Article 4 of the Convention / adaptation priorities / support / level of support needs through the intended nationally determined contribution (INDC) process, in accordance with the modalities and procedures to be developed and adopted by the governing body / progress in enhancing adaptation action or integrating adaptation into planning, policies or action through biennial communications:
 - 27.1 National communications and biennial update reports and biennial reports to be the main vehicle for reporting actions, and support and to be strengthened;
 - 27.2 The governing body shall adopt further guidance on reporting on adaptation and further facilitating / may facilitate the sharing of information on progress and experiences in preparing and implementing adaptation actions;
 - 27.3 The governing body shall / may develop a structured dialogue to enhance communication of information on adaptation, in accordance with common but differentiated responsibilities and respective capabilities. Developed countries to enhance reporting on support.
28. Parties to take into account joint mitigation and adaptation approaches referred to in section D, paragraph 22.

Monitoring and evaluation / Monitoring and evaluation for Annex II Parties

29. **Option 1:** Monitoring and evaluation of, reporting on, and learning from plans, policies and programmes shall be strengthened and /or institutionalized:
 - a. Strengthen and improve climate-related research and systematic observation and provide enhanced support;
 - b. Consider indicators for governance and planning;
 - c. Monitor gaps in adaptation and needs under different scenarios;
 - d. Monitoring and evaluation to focus on the provision and adequacy of support.

Option 2: Monitoring and reporting should be on progress and experiences, lessons learned, good practices, and on gaps and opportunities more broadly;

Option 3: Monitoring and evaluation, including reporting and learning from plans, policies and programmes should be a country-driven and country-specific process that would not impose any additional burden on developing country Parties; developed country Parties should support developing country Parties to strengthen and implement climate-related research and systematic observation, and should provide enhanced support and monitor gaps in adaptation and needs under different scenarios.

Sharing information, knowledge and lessons learned

30. All Parties to enhance learning on adaptation through sharing of information, knowledge and lessons learned on adaptation practices, subject to modalities and procedures to be adopted / developed:
 - 30.1 The governing body shall request the SBSTA / Adaptation Committee to develop guidelines for strengthening the sharing of information, knowledge and lessons learned under the Nairobi work programme on impacts, vulnerability and adaptation to climate change:
 - a. Address the knowledge gap in the area of implementation of adaptation;
 - b. Strengthen local and institutional capacity;
 - c. Enhance regional and transboundary aspects;
 - d. Encourage all Parties to implement education and public awareness programmes in accordance with paragraph 12.

Institutional arrangements

31. **Option 1:** Developed country Parties and Annex II Parties and/or all Parties in a position to do so to ensure the effective implementation of arrangements for adaptation through the provision of sufficient adequate, predictable, transparent and additional support to developing country Parties in the context of Article 4, paragraphs 3–5 and 7 of the Convention:

Option 2: Institutional arrangements on adaptation / relevant to adaptation, including the Adaptation Committee and the Least Developed Countries Expert Group, and to loss and damage under the Convention shall serve this agreement and support Parties in the implementation of their adaptation commitments / contributions / actions under this agreement:

31.1 The governing body shall request the Adaptation Committee to:

- a. Review the work of the institutional arrangements under the Convention in 2017 to ensure and enhance the coherence of their work, and prepare recommendations for consideration at COP 23 and/or the governing body;
- b. Establish and maintain stronger linkages with the GCF and other funds;
- c. Evaluate information on support for adaptation;
- d. Provide recommendations on existing methodologies for adaptation.

31.2 The governing body shall strengthen institutional arrangements for adaptation by:

- a. Providing further guidance on how to assist developing country Parties to move to full-scale implementation on the basis of their NAPs;
- b. Articulating linkages between, and enhancing the integrated operation of, institutions and/or optimizing assistance for commitments / contributions on adaptation to ensure that the existing institutions such as the Adaptation Committee, the Technology Executive Committee (TEC), the Standing Committee on Finance (SCF), and the GCF are enhanced and to support adaptation actions of developing countries;
- c. Encouraging the establishment of regional adaptation centres in major regions to help to localize support, conduct research, exchange knowledge and provide training for governments.

31.3 The governing body shall further strengthen institutional arrangements for adaptation by:

Option 1: Establishing new institutional arrangements:

- a. A subsidiary body for adaptation to enhance the implementation of adaptation action;
- b. An adaptation registry that:
 - Records and showcases and/or recognizes national adaptation actions, contributions, and programmes;
 - Enhances cooperation on finance, technology and capacity-building support;
 - Pools information on the work of institutional arrangements under the Convention and makes that information accessible to Parties;
 - Monitors and identifies progress and gaps in adaptation from a global perspective.
- c. An international clearing house and registry that:
 - Acts as the repository for NAPs, adaptation methods, a roster of adaptation experts, biennial adaptation support reports, and for information on technology and capacity-building for adaptation;
- d. An adaptation technical and knowledge platform that works on, inter alia:
 - Methodologies, metrics and indicators;
 - Modelling of climate change scenarios and impacts;
 - Enhancing understanding of global implications of adaptation.
- e. A global knowledge platform that works on, inter alia:
 - Data, information, and lessons learned on adaptation.

Option 2: No new institutional arrangements on adaptation are required for the purposes of this agreement.

Loss and damage

32. **Option 1:** Provision for loss and damage for cases where mitigation and adaptation will not be sufficient:

- 32.1 All Parties are encouraged to develop early warning systems and risk management plans, and communicate them to the secretariat by [X] as part of their national communications, in accordance with the modalities and procedures to be developed and adopted by the governing body;
- 32.2 The governing body shall commence a process no later than at its first meeting to establish a compensation regime for support for developing country Parties, particularly the LDCs, SIDS and countries in Africa affected by slow onset events.

Option 2: Reference to the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts;

Option 3: No reference to loss and damage.

33. **Option 1:** The Warsaw International Mechanism shall serve this agreement and be fully operationalized, with modalities and procedures to be developed and adopted by the governing body:

- 33.1 Developed country Parties and/or Annex II Parties and/or all Parties in a position to do so to support the implementation of the Warsaw International Mechanism through provision of finance;
- 33.2 Guidelines for a comprehensive approach to climate risk management to be developed;
- 33.3 Institutional arrangements under the Convention shall be strengthened to support the implementation of the commitments related to loss and damage under this agreement:
 - a. Provisions for establishing a climate change displacement coordination facility that:
 - Provides support for emergency relief;
 - Assists in providing organized migration and planned relocation;
 - Undertakes compensation measures.
 - b. Provisions for establishing a clearing house for risk transfer that:
 - Provides a repository for information on insurance and risk transfer;
 - Assists Parties in developing risk management strategies and finding best insurance schemes;
 - Facilitates financial support for rehabilitation.

Option 2: No new institutional arrangements on loss and damage are required for the purposes of this agreement. The Warsaw International Mechanism to be strengthened separately from the agreement / is sufficient.

Structural suggestions on section E:

Move paragraph 25 into a common chapter relating to institutions.

Include paragraph 25 in a decision.

Move paragraph 25.1 into the finance chapter.

Move paragraphs 26 and 27 into a common chapter relating to commitments.

Coordinate paragraphs 26 and 27 with section K.

Include paragraphs 29 (a–d) in a decision.

Reflect paragraphs 25 to 27 in the agreement text and paragraphs 29 to 31 in a decision.

Merge paragraph 30 with paragraph 31 on institutions.

Include paragraph 30 into a decision.

Loss and damage should be a separate element.

~~F. Cooperation and support for implementation~~

Note:

Paragraphs in this section relevant to mitigation have been integrated in the mitigation section.

Paragraphs in this section relevant to finance have been integrated in the finance section.

Paragraphs in this section relevant to institutional arrangements have been integrated in section M (subsection on institutional arrangements).

G. Finance

Guiding principles

34. **Option 1:** All developed country Parties and other Parties included in Annex II to provide climate finance as a means to meet the goal of staying below the 2 °C temperature increase and to achieve the transformation required to that end and in line with the needs of developing countries, in accordance with their obligations and commitments under Articles 4, paragraphs 3–5 and 7–9, of the Convention, the principles under the Convention, in particular the principles of common but differentiated responsibilities and respective capabilities and equity, noting that the extent to which developing country Parties will effectively implement their commitments will depend on the effective implementation by developed country Parties of their commitments related to financial resources, transfer of technology and capacity-building, acknowledging that the need for support by developing country Parties may change over time and be accommodated under Article 4, paragraph 7, of the Convention, and acknowledging the need for financing for forestry in line with the Warsaw Framework for REDD-plus;

Option 2: Each Party / All Parties individually or collectively to mobilize climate finance through a diversity of actions from a variety of sources as a means to stay below the long-term temperature limit and to achieve the transformation required to that end, according to and in line with their respective and evolving responsibilities and capabilities / the principles and objectives of the Convention, acknowledging the importance of leadership to be taken by developed country Parties, acknowledging that some Parties need support in order to take action, and acknowledging that the need for support by Parties may change over time or be met with different means of support/ all Parties in a position to do so should provide financial support to Parties in need of support; acknowledging the need for climate-resilient economies and societies.

35.

35.1 The mobilization and provision of finance shall:

- a. Deliver adequate and predictable funding for the full and enhanced implementation of the agreement, enhance addressing climate change as part of promoting sustainable development, in particular in developing countries, including through enabling enhanced mitigation and adaptation actions;
- b. Encourage low-emission growth, reductions in high-carbon investment, and adaptation needs of developing countries, and climate-resilient development;
- c. Support the integration of climate objectives into other policy-relevant areas and activities such as energy, agriculture, planning and transport, national fiscal accounts, development policy and plans in line with country circumstances and according to countries' priorities;
- d. Promote continuous efforts to 'climate-proof' investments, including relevant international public finance flows;
- e. Enhance addressing climate change in addition to the coordination of development aid, acknowledging that climate finance is to be separate from official development aid;
- f. Encourage policy signals by governments / catalyse policy actions by governments and adjustment or improvement of policies;
- g. Deliver additional adequate and predictable funding for adaptation, in particular for the implementation of the Cancun Adaptation Framework, for building institutional capacity and appropriate legal frameworks, integrating adaptation into national development policies, and for monitoring and evaluation processes;
- h. Advance the implementation / fulfilment of commitments by developed country Parties in terms of finance, technology transfer and capacity-building to enable developing country Parties to implement policies, strategies, regulations and action plans on climate change education, training, public awareness, public participation and public access to information and thus enable effective adaptation and mitigation action by all Parties;
- i. Facilitate assistance to developing country Parties for readiness support. / Support readiness for implementation / implementing climate actions.

35.2 Parties / Developed country Parties and other Parties included in Annex II to mobilize and provide financial resources for the enhanced implementation of the Convention under this agreement, in order to / in a manner that:

- a. **Option 1:** Ensures an equal allocation of financing between adaptation and mitigation, ensures an equitable distribution between different regions of developing countries and enhances country ownership in the disbursement of financial resources;
Option 2: Aims at a balanced approach of a 50:50 allocation of financing for adaptation and mitigation while recognizing the importance of financing for adaptation;
Option 3: Prioritizes adaptation, with all financing for adaptation to be grant-based / Encourages Parties to prioritize grant-based assistance for adaptation, while recognizing the importance of financing for mitigation;
- b. Prioritizes developing country needs and identified country-driven plans, strategies and priorities of all countries, recognizing the importance of enhancing national needs assessments;
- c. **Option 1:** Takes into consideration the need for adequacy and predictability in the flows of funds and the need for clarity of appropriate burden-sharing among developed countries;
Option 2: Is new, additional, adequate, predictable and sustainable, within budgetary constraints, and acknowledges the need for adequate financial flows mobilized from a variety of sources, public and private, bilateral and multilateral, including alternative sources, in the context of meaningful mitigation action and transparency of implementation;
- d. Is flexible and systematically and regularly scaled up / updated;
- e. Is results-based / needs-based and delivers the greatest impact possible and targets the effectiveness of mitigation and adaptation action / mitigation and adaptation results that can be measured, reported and verified;
- f. Avoids duplication, allows for flexibility, ensures efficiency and transparency and builds a partnership among governments, development partners and the private sector to invest in a low-emission and climate-resilient future;
- g. Encourages South–South cooperation which is voluntary, free of monitoring and can be supplementary / complementary, but not substitute commitments of Parties included in Annex I to the Convention while acknowledging that South–South cooperation is not a commitment of Parties under the Convention;
- h. Recognizes developing countries' / all Parties' investments in supporting transformational change as part of their contributions;
- i. Applies lower thresholds for receiving support for actions, with clear, transparent and quantifiable targets that go beyond 'business as usual';
- j. Is capable of adapting dynamically to changing realities and future developments and needs, including in respect to climate finance, in line with the provisions and principles of the Convention, in particular the principle of common but differentiated responsibilities / reflecting evolving capabilities and responsibilities;
- k. Takes into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change / Prioritizes the specific needs and special circumstances of the most particularly vulnerable countries, including landlocked countries, recognizing the special circumstances of LDCs and SIDS, giving priority to countries with least capabilities and/or ensuring a fair geographical allocation of resources, while ensuring that the importance of providing support to other developing countries is in no way diminished;
- l. Uses the diversity of available channels and instruments under the Convention so as to limit the proliferation of finance in order to increase its efficiency and effectiveness and encourage the accountability and transparency of the UNFCCC in the provision of financial support, the mobilization of climate finance and the shift towards climate-friendly investments;
- m. Pursues a gender-sensitive and country-driven approach;
- n. Targets the drivers of climate change;
- o. Encourages Parties to build effective enabling environments and provides recognition of the importance of implementing low-carbon, climate-resilient development strategies and NAPs;
- p. Encourages Parties to take steps to eliminate public incentives for high-carbon investments;
- q. Recognizes that climate finance flows are not limited to flows from developed to developing country Parties;
- r. Collectively exceeds the aggregate ambition of individual commitments / contributions;
- s. Develops and improves enabling environments for the enhanced mobilization of support;
- t. Is quantifiable, comparable and transparent;
- u. Establishes links and builds synergies between mitigation and adaptation actions;

- v. Enhances / catalyses international cooperative initiatives and recognizes their contribution to assisting Parties' implementation of this agreement.

36. All Parties to cooperate in the implementation of this agreement in order to:

- a. Support the enhanced ambition of all Parties, through the provision of support from Annex II Parties to developing country Parties;
- b. Enable Parties' best efforts based on their respective capabilities, foster country ownership and achieve sustainable development.

37. Efforts of subnational and local governments, subregional entities and the private sector to be recognized.

Anchoring institutions under the legal agreement

38. The Financial Mechanism shall serve as the financial mechanism of the 2015 agreement:

- a. The GCF shall be the main financial entity under the new agreement and/or anchored in the new agreement and/or strengthened;
- b. The SCF shall assist the governing body of the agreement;
- c. Coordination to be further enhanced among contributors and between institutions.

Option 1: This will also apply to the operating entities of the Financial Mechanism and funds established under the Convention and its Kyoto Protocol. All the rules and guidelines developed by the COP and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol in relation to the operation of the Financial Mechanism, its operating entities and associated funds shall apply mutatis mutandis to the financial mechanism of this agreement:

- a. The GCF shall be strengthened, including regarding funding, as follows:
 - Annex I Parties / Developed country Parties to provide 1 per cent of gross domestic product per year from 2020 and additional funds during the pre-2020 period to the GCF;
 - Annex II Parties to provide a list of specific amounts / percentages reflecting the required share of climate finance to be provided to the GCF, subject to review;
 - All countries in a position to do so to provide funding to the GCF;
 - Funding for the GCF to be drawn mainly from public sources.
- b. Other funding mechanisms serving the agreement shall include:
 - The Adaptation Fund:
 - To be part of the post-2015 climate finance architecture and/or to operate under the new agreement under the guidance of the governing body in relation to activities developed under the agreement;
 - To be enhanced and included under the GCF as an adaptation window, be inscribed in the new climate regime and defined in the financing sphere of the agreement;
 - Institutional arrangements for REDD-plus finance;
 - The LDCF, to provide support to the LDCs for adaptation action;
 - The SCCF, to be anchored in the agreement.

Option 2: No further provisions.

Proposals for decisions related to anchoring institutions under the agreement

- Clear roles should be agreed on the two existing operating entities of the Financial Mechanism of the Convention and coherence should be achieved in climate finance channelled through other financing institutions;
- The COP to be given the authority to adjust institutional settings, to take decisions on consolidating and coordinating institutions and processes, and/or to give guidance to the operational entities as needed, at a later stage;
- Need for the simplification, improvement and rationalization of access, including direct access, especially for the LDCs and SIDS; and/or the harmonization of approval and accreditation processes between various channels and institutions leveraging potential non-climate-specific financing mechanisms and institutions; and/or the operation of all funds under the Convention to be transparent, competitive and based on rules, with operating criteria underpinning those rules that are compatible with the requirements of private investors, in order to effectively stimulate co-investment; and/or information on how all disbursements include provisions for 'climate proofing' measures;
- The Financial Mechanism must continue to be main source of financing;

- The replenishment of the Financial Mechanism and its operating entities to be linked to IPCC scientific assessments;
- Need to establish how the operating entities of the Financial Mechanism will work to implement the finance provisions of the new agreement and how the financial provisions will work with respect to other bodies or mechanisms under the Convention;
- The SCF shall assist the governing body of this agreement and be further strengthened:
 - By enhancing its work on coherence and coordination and on rationalizing the Financial Mechanism.
- Regarding the GCF:
 - The establishment of: a window for REDD-plus; and/or for loss and damage;
 - Need for: improved and prioritized access for the LDCs and SIDS and/or arrangements between thematic bodies of the Convention and the GCF to be strengthened;
 - The GCF to operate under the guidance of the governing body in relation to activities developed under this agreement, and/or to support mitigation readiness activities in developing countries, and/or to capitalize on its knowledge of existing funds and increase its role by helping to finance some of the pipeline projects of those funds;
 - The governing body of this agreement to: explore further options for simplifying the procedures for accessing funds from the GCF; and/or develop, jointly with the COP, specific additional modalities for the operation of the GCF with respect to activities developed under this agreement.
- Decision to address additional rules of the Financial Mechanism and institutions in supporting the implementation of the legal agreement, where appropriate.

Addressing the scale of resources

39. Climate finance to be scaled up to provide the financing, access to technology and capacity-building necessary to meet the goal of limiting the temperature increase to below 2 °C, in line with the needs of developing countries.
40. The importance of providing clarity on the level of support, in particular financial support, that will be provided to developing countries to allow for the enhanced implementation of the Convention, in particular with regard to adaptation, to be recognized as a crucial element in creating the necessary conditions for the enhanced participation of developing countries in the global effort to combat climate change and adapt to its adverse effects.
41. **Option 1:** The provision of finance to be based on a floor of USD 100 billion per year:
 - a. Based on an ex ante process to commit quantified support commensurate with the required effort reflected in the adaptation and mitigation goals / relative to the required effort and in line with developing countries' needs;
 - b. Based on clear burden-sharing arrangements among Annex II Parties to identify the flows of financial support from developed countries, including through the application of an assessed scale of contributions from developed countries;
 - c. Including aggregate and enhanced specific / individual commitments / contributions by Annex II Parties, complemented by other Parties in a position to do so;
 - d. Based on a road map with annual targets for public funding in the post-2020 period or pathways with annual expected levels of climate finance towards achieving short-term quantified goals;
 - e. Based on an agreed percentage formula for the calculation of the contributions of Annex I Parties and differentiated developing country contributions based on GDP or other indicators.

Option 2: Agreement not to specify individual / quantified commitments, quantified targets or specific indicators for the post-2020 period.

42. A short-term collective quantified goal that defines the expected, scaled-up climate finance level for the post-2020 period should be determined in order to enhance the predictability of the provision of climate finance, indicating specific levels of public sources to be provided.

Contributions under the legal agreement

43. In the context of common but differentiated responsibilities and respective capabilities, Annex II Parties have the principle and main responsibility for providing support, including financial resources, for the enhanced implementation of low-emission and climate-resilient development in developing countries, while ensuring the sustainability, predictability and additionality of finances.
44. The contribution of resources under this agreement to consider predictable financial contributions by developed country governments; increasing options for leveraging a greater share of the carbon market-related proceeds, including options for carbon pricing and raising contributions via alternative and innovative sources of finance.
45. A collective goal for support to be achieved by all Parties in order to transition to a world in which all investments are directed at resilient and low-emission actions, and where finance, technology transfer and capacity-building that promote low-emission and resilient actions prevail.
46. **Option 1:** The enhancement of enabling environments, with respect for countries' national prerogative to choose their domestic climate policies, to be a commitment of all Parties, through:
- a. Enhanced national regulatory frameworks, including policies and measures;
 - b. The dedication of sufficient domestic resources by countries seeking support;
 - c. Putting in place conditions to mobilize, attract and absorb climate-related investments;
 - d. The provision of a price signal for emission reductions, including through payments for verified emission reductions.
- Option 2:** Agreement not to specify the enhancement of enabling environments as a commitment or obligation of Parties.
47. Financing for adaptation to be provided in the form of multilateral and/or bilateral financing, including via:
- 47.1 A balanced allocation between adaptation and mitigation, or a 50:50 balance between the support provided for adaptation and mitigation, or at least 50 per cent of support to be provided for adaptation activities;
 - 47.2 The use of levies for adaptation funding from any market-based mechanisms;
 - 47.3 Financial risk management instruments;
 - 47.4 The Adaptation Fund, the LDCF and the SCCF, and including through support to enable the mobilization of private-sector financial flows for adaptation investments, with the GCF providing assurance of support for countries' adaptation efforts;
 - 47.5 **Option 1:** Diverse sources, including private sources, engaged in the provision of financing for adaptation, with public finance to constitute the key instrument in increasing support for adaptation:
 - a. Identification of sources and prioritization of public funding, as well as increase of private sector financial contributions for adaptation;
 - b. Encourage the International Civil Aviation Organization and the International Maritime Organization to develop a levy scheme to provide financial support for the Adaptation Fund.
- Option 2:** Public sources primarily, with supplementary funding to be drawn from private / alternative sources.
48. Support / New and additional finance, independent of adaptation budgets, to be provided for the financing and operationalization of the Warsaw International Mechanism.
49. Support provided to developing country Parties for technology development and transfer and support provided to the Technology Mechanism to ensure the effective implementation of technology to be channelled primarily through the GCF / the operating entities of the Financial Mechanism, taking into account the roles of the public and private sectors in mobilizing finance for technology / primarily from public sources, with supplementary funding to be drawn from private sources.
50. Funding for capacity-building as well as measures to develop, adopt and implement policies, strategies, regulations and/or action plans on climate change education, training, public awareness, public participation and public access to information in developing country Parties:
- 50.1 To be provided by developed country Parties and other Parties and organizations in a position to do so, in an adequate and predictable manner;

- 50.2 To be primarily channelled through the Financial Mechanism, taking into account the potential role of the private sector in supporting capacity-building and the need for enhanced coordination among donors and institutions.
51. Funding for REDD-plus to be adequate, predictable and sustainable, with financing continuing to be provided, including via Annex II Parties and Parties in a position to do so, private and non-market-based sources and results-based finance.
52. Parties in a position to do so / Annex II Parties and other Parties in a position to do so to provide Parties in need of assistance / developing country Parties with financial and technical and capacity-building support in order for them to efficiently and effectively fulfil the reporting requirements of this agreement.

Sources of finance

53. Financial resources to be mobilized and provided from:

Option 1: Primarily public sources, with supplementary funding to be drawn from private / alternative sources:

- a. Stressing that public sources are the main source of finance, the scale of resources needed and the type of investments required, governments to work more closely together with the private sector;
- b. Developed country Parties shall incentivize the private sector to provide funding to developing countries;
- c. Different sources to be considered on the basis of clear criteria in order to avoid incidence on developing countries, and the sustainability, predictability and additionally of sources to be clarified.

Option 2: A wide variety of sources, including public, private and alternative sources, recognizing the need for a diversity of sources and instruments to suit recipients' changing economic circumstances / with different types of financing for different activities and public sources for specific areas, given the limited potential for private investment, in particular in the most vulnerable countries and LDCs.

53.1 With regard to private and alternative finance:

- a. All Parties to commit to cooperate in leveraging private finance and/or to mobilize / utilize public funds and means to facilitate and encourage private investment consistent with their capabilities, recognizing that private-sector financing is complementary to, but not a substitute for, public-sector financing where public finance is needed:
 - A mechanism to attract the private sector to invest in projects, with clear definitions, respective roles and guidance on the mechanism, to achieve a useful balance of public and private sources, ensuring reasonable returns and full transparency;
 - Efforts undertaken by export credit agencies to help investors manage risk;
 - A clear signal to the private sector at all levels for it to contribute to the mobilization of climate finance and to reorient financial flows and trigger the required investments and involvement, including of local private sectors;
 - Public-sector finance to catalyse and avoid crowding out private-sector investments, ensuring that private-sector investment is not displaced, with the efficient use of public resources and effective public policies to be the key focus of post-2020 cooperative efforts among middle- and higher-income countries;
 - Need for strong public-private partnerships, which should be subsidized and incentivized;
 - Be strategic and in line with national priorities and laws and be profitable for the private sector;
 - Enhanced enabling environments for private-sector investment in adaptation;
 - The governing body shall develop modalities for leveraging and freeing up private finance to support the implementation of this agreement.
- b. A tax on oil exports from developing to developed countries to be established;
- c. An international renewable energy and energy efficiency bond facility to be established;
- d. The phasing down of high-carbon investments and fossil fuel subsidies.

Structural suggestions on section G:

Include paragraphs 48 to 51 as part of a decision.

Include paragraphs 35.1 and 35.2 as part of a decision.

Proposals to move provisions on MRV of support to the finance section.

H. Technology development and transfer

General

54. **Option 1:** All Parties to strengthen cooperative action to promote and enhance technology development and transfer, including through the Technology Mechanism / institutional arrangements for technology established under the Convention and through the Financial Mechanism, in order to support the implementation of mitigation and adaptation commitments under this agreement;

Option 2: Parties, consistent with the principles and provisions of the Convention, including Article 4, paragraphs 1, 3 and 5, / in accordance with their common but differentiated responsibilities, to strengthen cooperative action to promote and enhance technology development and transfer and better facilitate the implementation of the Convention, including through the Technology Mechanism / institutional arrangements for technology established under the Convention and through the Financial Mechanism / by enhancing the provision of support by developed country Parties, in order to support the implementation of mitigation and adaptation commitments under this agreement;

Option 3: Parties, consistent with the principles and provisions of the Convention, including Article 4, paragraph 5, reflecting the evolving economic realities, to strengthen cooperative action to promote and enhance technology development and transfer, including through the Technology Mechanism / institutional arrangements for technology established under the Convention and through the Financial Mechanism.

55. *Placeholder:* Global goal on enhanced action on technology development and transfer.

Commitments

56. **Option 1:** Commitments in relation to technology development and transfer to include the following:

56.1 Developed country Parties to undertake steps to address barriers to accessing technology and to establish and strengthen their necessary policy frameworks to facilitate the removal of barriers and enable and accelerate technology development and transfer to developing country Parties; and to leverage enhanced support from the private sector for technology development and transfer to developing country Parties; and to provide financial, human resources, institutional and technical support for technology development and transfer to developing country Parties;

56.2 Developing country Parties, with the support of developed country Parties, to undertake steps to address barriers to accessing technology and to establish and strengthen their national structures, policy frameworks, institutions and capacity, in order to enable and accelerate the endogenous capacity for the absorption, development and transfer of technologies in developing countries / endogenous technology development and transfer, attract investments and enhance country ownership and innovation;

56.3 All Parties, in accordance with the principles of and obligations under the Convention, to establish means to facilitate access to and the deployment of technology, while promoting and rewarding innovation in adaptation and mitigation technologies / environmentally sound technologies:

Option (a):

a. In accordance with Article 4 of Convention, developed country Parties to provide financial resources to address barriers caused by intellectual property rights (IPRs) and facilitate access to and the deployment of technology, including inter alia, by utilizing the Financial Mechanism and/or the establishment of a funding window under the GCF / the operating entities of the Financial Mechanism;

b. An international mechanism on IPRs to be established to facilitate access to and the deployment of technology to developing country Parties;

c. Other arrangements to be established to address IPRs, such as collaborative research and development, shareware, commitments related to humanitarian or preferential licensing, fully paid-up or joint licensing schemes, preferential rates and patent pools.

Option (b): Parties recognize that IPRs create an enabling environment for the promotion of technology innovation in environmentally sound technologies;

Option (c): IPRs are not to be addressed in this agreement.

56.4 Developing country Parties, with the support of developed country Parties, to conduct an assessment of their technology needs, on the basis of national circumstances and priorities, with a view to ensuring nationally

determined and environmentally, economically and socially sound resulting project proposals and to effectively implementing the outcomes of such an assessment supported by developed country Parties, in order to support the implementation of this agreement:

- Parties to strengthen the process of technology needs assessment (TNAs) and enhance the implementation of the outcomes of the TNA process;
- Align TNAs more closely with bankable finance projects / Improve TNAs to result in implementable projects;
- TNAs could be linked to other processes under the Convention, such as NAMAs and NAPs; TNA process should be elaborated to address developments arising from the operationalization of this agreement.

56.5 All Parties, enabled by Annex II Parties / led by developed country Parties, to accelerate global collaboration on the research, development and demonstration of technologies:

- a. Support, including financial and intellectual support, to accelerate the research, development and demonstration of technologies, including endogenous technologies, to be provided by developed country Parties to developing country Parties;
- b. Modalities for a global collaborative programme on the research, development and demonstration of technologies to be established, attracting and integrating relevant stakeholders.

Option 2: No commitments on technology in the agreement.

Institutional arrangements

57. Institutional arrangements for technology development and transfer under the Convention shall support Parties in implementing their commitments / contributions under this agreement:

57.1 Anchoring:

Option 1: The Technology Mechanism established under the Convention, including the TEC and the Climate Technology Centre and Network (CTCN), shall serve this agreement by facilitating enhanced action on technology development and transfer in order to achieve the objectives of this agreement;

Option 2: The institutional arrangements for technology established under the Convention shall serve this agreement by facilitating enhanced action on technology development and transfer in order to achieve the objectives of this agreement.

57.2 Guidance to and strengthening of the Technology Mechanism / institutional arrangements:

The governing body may provide further guidance to and/or strengthen the Technology Mechanism / institutional arrangements for technology established under the Convention serving this agreement, and the guidance provided by the governing body shall not conflict with the guidance provided by the COP.

Option 1: Specific provisions on strengthening:

- a. The TEC and the CTCN / Technology Mechanism of the Convention shall support the operationalization and delivery of the commitments related to technology development and transfer in this agreement, under the Convention:
 - Include provisions on accounting;
 - Take into account the specific needs of developing countries and countries with special circumstances of Africa, LDCs and SIDS.
- b. The Technology Mechanism shall enhance cooperation and synergy with other institutional arrangements under and outside the Convention and stakeholders, as well as the coherence and effectiveness of technology action and initiatives under the Convention:
 - Establish linkages between the Technology Mechanism, the Financial Mechanism and capacity-building institutions;
 - The Poznan strategic programme on technology transfer to be linked to and/or guided by the Technology Mechanism;
 - Provisions or measures related to other technology initiatives or regional centres;
 - Enhance the role of the private sector to support the implementation of the Technology Mechanism;
 - Facilitate the role of public research and development, incentives for commercial research and development, the development of technologies and the reaching of economies of scale.

- c. The governing body shall conduct a periodic assessment of the effectiveness and adequacy of the Technology Mechanism / institutional arrangements for technology development and transfer.

Option 2: No specific provisions on guidance to and/or strengthening of the Technology Mechanism in the agreement.

Structural suggestions on section H:

Include paragraph 57.2 (option 1) in a decision.

I. Capacity-building

General

Option 1:

58. The objective of capacity-building should be to enable developing country Parties / all Parties to identify, design and implement adaptation and mitigation actions and to enable domestic development and absorption of technologies / to enhance the capacities of national governments to be able to absorb technology and finance for the implementation of the Convention.
59. Capacity-building to be guided by the following:
- a. The framework for capacity-building in developing countries established under decision 2/CP.7;
 - b. A formal, structured, clear, predictable, effective, coordinated, demand-driven / country-driven, sustainable and long-term and gender-responsive way;
 - c. Clear and predictable targets and outcomes;
 - d. Responding to national needs and fostering country ownership:
 - Building on existing provisions and lessons learned on capacity-building under the Convention;
 - Using the INDC preparation and measurement, reporting and verification (MRV) processes;
 - Supporting preparatory and readiness programmes, including on climate finance;
 - Until developing country Parties have acquired the capacity to fully implement climate change actions under the Convention / Developing countries will enhance their climate change actions according to the means of implementation provided by Annex I and Annex II Parties under the Convention.
 - e. Responding to needs at the national, subnational and local levels:

Option (a): Taking into account the potential role of the private sector in supporting capacity-building and the need for enhanced coordination among donors and institutions;

Option (b): Public sector bears the main responsibility, and private funding should only be complementary;

Option (c): No provision necessary.
 - f. Ensuring that capacity-building is effective, demand-driven / country-driven and sustainable over the long term.
60. Capacity-building to be enhanced through:
- a. The development of climate policies;
 - b. The mobilization of private sector capital and public engagement;
 - c. The promotion of public awareness and education;
 - d. The strengthening of domestic institutions and the creation of enabling environments;
 - e. Integrating capacity-building activities into mitigation and adaptation programmes / into all other elements.

Option 2: No general provisions on capacity-building.

Commitments

61. **Option 1:** The developed / Annex I Parties and other Parties in a position to do so should cooperate to enhance the capacity of developing countries to support the implementation of their contributions under the agreement based on the principles and provisions of the Convention and other Parties in a position to do so to cooperate to enhance the capacity of developing country Parties in all areas of climate change action, to support the implementation of their commitments / contributions under this agreement and to foster South–South and triangular cooperation schemes;

Option 2: No commitments on capacity-building in the agreement.

Institutional arrangements

62. The institutional arrangements established under the Convention shall enhance and intensify their work on capacity-building:

62.1 The Durban Forum on capacity-building established by decision 2/CP.17 / the institutional arrangements on capacity-building established under the Convention shall serve this agreement by:

- a. Enhancing the monitoring and review of the effectiveness of capacity-building;
- b. Identifying and addressing capacity gaps in developing countries;
- c. Enhancing the coordination between institutions established under the Convention and this agreement as it relates to their work and mandates on capacity-building:
 - The governing body may provide further guidance to the Durban Forum and assign specific functions, as appropriate;
 - The governing body shall periodically review the commitments of developed country Parties to provide capacity-building support to developing country Parties and take appropriate action, which may include the adjustment of such commitments in accordance with the identified national needs and priorities of the developing country Parties;
 - The governing body shall regularly review the outcomes of the Durban Forum and take appropriate action.

63. **Option 1:** An international capacity-building mechanism is hereby established:

63.1 The purpose of the international capacity-building mechanism under this agreement, funded through the Financial Mechanism of the Convention and linked to technology- and adaptation-related institutions established under the Convention, shall be to enhance the capacity of developing country Parties to plan and implement mitigation and adaptation actions, including human skills development for the strengthening of domestic institutions, technology innovation and the development of endogenous technologies, and to make a structured assessment of the capacity needs of developing countries and match them with support.

63.2 The international capacity-building mechanism shall comprise:

- a. A capacity-building committee with the following functions:
 - MRV of support received for capacity-building against needs identified by developing country Parties;
 - Facilitation of the effective implementation of capacity-building interventions at the national and regional levels;
 - Provision of normative guidance on capacity-building related issues concerning this agreement to inform other institutions and mechanisms established under the Convention serving this agreement;
 - Promotion of coherence between relevant institutions and mechanisms established under the Convention and this agreement.
- b. An evaluation mechanism with the function:
 - To assess the effectiveness of the delivery of capacity-building.
- c. Regional capacity-building centres:
 - To facilitate building capacity at the national and regional levels.
- d. An institute for capacity-building to operate as a consortium of tertiary institutions in all major regions of the world:
 - To build capacity in developing countries as a means of strengthening the ability and effectiveness of mitigation and adaptation actions.

63.3 The governing body shall adopt modalities and procedures for the operation of the international capacity-building mechanism. The international capacity-building mechanism should become operational as soon as possible after 2015 to prepare all countries for the implementation of this agreement by 2020.

Option 2: No provisions on the establishment of new institutions;

Option 3: Strengthening and improving existing institutions;

Option 4: Enhance the role of the private sector in the delivery of capacity-building.

*Structural suggestions on section I:**Include references to capacity-building in all other sections.**Include preambular recital on capacity-building and details in decisions.**Include paragraph 62 in a decision.***J. Transparency of action and support***General*

64. **Option 1:** A transparency framework, applicable to all Parties and differentiated between developed and developing countries, under the Convention and in accordance with previous decisions of the COP, shall promote transparency of action and support by providing information on the implementation of each Party's commitments / contributions in an efficient and flexible manner, in order to:

- a. Enhance clarity, comparability between developed countries, accountability and mutual trust and to promote ambition / progressive enhancement;
- b. Facilitate the tracking of progress in the implementation of commitments / contributions;
- c. Ensure that commitments / actions and provision of support by Annex II Parties are implemented and complied with and verified through a robust verification system, and facilitate the comparison of MRV of all types of support received with the needs expressed and identified by developing country Parties;
- d. Facilitate / Ensure the use of mitigation outcomes resulting from international / national market-based mechanisms in the accounting of each Party's commitments / contributions;
- e. Avoid double counting;
- f. Ensure the environmental integrity of this agreement.

Option 2: A single / common transparency framework, applicable to all Parties, shall promote transparency of action and support by providing information on the implementation of each Party's commitments / contributions in an efficient and flexible manner, in order to:

- a. Enhance clarity, comparability, accountability and mutual trust, and promote ambition;
- b. Facilitate the tracking of progress in the implementation of commitments / contributions;
- c. Promote the implementation of action and support, and ensure that efforts are verified through a robust verification system;
- d. Facilitate the use of mitigation outcomes resulting from international market-based mechanisms in the accounting of each Party's commitments / contributions;
- e. Avoid double counting;
- f. Ensure the environmental integrity of this agreement;
- g. Provide the necessary flexibility to Parties through the use of tiers or 'opt-out' provisions.

Option 3: All Parties shall promote transparency of action and support by providing information on the implementation of each Parties' commitments under the Convention, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, in order to:

- a. Ensure the comparability and accountability of the quantified economy-wide emission reduction targets of developed country Parties in a measurable, reportable and verifiable manner;
- b. Ensure that developing country Parties' support-related commitments are implemented, compiled with and verified through a robust accounting, reporting and verification system;
- c. Facilitate the clarity of progress made by developing country Parties on their implementation of actions for addressing climate change and on the support received from developed country Parties.

65. **Option 1:** The transparency framework shall encompass MRV of emissions and removals and the accounting of commitments / contributions, including those related to support, and shall be based on agreed rules / be based on existing MRV arrangements under the Convention and / be guided by:

Option (a):

- a. Article 12 of the Convention;

- b. Taking into account the differing national circumstances / common but differentiated responsibilities / the unique circumstances / and respective capabilities of Parties;
- c. Accommodating different contributions and countries' differing capacities; and/or providing for differentiation in reporting and the common international review of reports;
- d. Avoiding imposing onerous burdens on poor and vulnerable countries or developing countries and, in particular, the LDCs and SIDS, with respect to support received for adaptation, capacity-building and access to and adoption of appropriate technologies;
- e. Recognizing that the transparency framework will evolve, building on existing decisions / experience with existing MRV arrangements;
- f. Tracking post-2020 commitments;
- g. Ensuring transparency, accuracy, completeness, comparability and consistency;
- h. Maintaining or improving levels of transparency over time;
- i. Building countries' capacities over time and institutionalizing reporting capacity.

Option (b):

- a. The principles and provisions of the Convention;
- b. Taking into account Parties' common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances;
- c. Consistent with the level of support provided for developing countries;
- d. Recognizing that the transparency framework will evolve, building on existing decisions.

Option 2: The transparency framework shall encompass reporting through biennial communications, a technical expert review of the submitted biennial communications and a facilitative examination of the implementation of efforts, and shall be based on agreed rules.

66. The transparency framework shall be:

Option 1: Built on the existing MRV arrangements under the Convention:

- a. Developed country Parties / Developed country Parties and other Parties undertaking quantified emission reduction commitments should report information related to their actions and provision of support to developing countries in accordance with the provisions of the Convention and relevant decisions of the COP in their national communications, biennial reports and annual inventory reports. All of that information will be subject to the international assessment and review (IAR) and international expert team review), as well as to a compliance assessment for Annex I Parties that are also Parties to the Kyoto Protocol;
- b. Developing country Parties / Parties not undertaking quantified emission reduction commitments / Developing country Parties, consistent with their obligations under the Convention, their capabilities and the level of support received from developed country Parties, should report information on their actions and support received in accordance with the relevant decisions of the COP in their national communications and biennial update reports (BURs), and the BURs will be subject to international consultation and analysis (ICA).

Option 2: A common framework with common MRV provisions applicable to all Parties, built on the existing MRV system that is fit for purpose and offers appropriate flexibility / offers flexibility for developing country Parties in terms of the level and depth of the application of the common MRV provisions in relation to:

- a. The frequency of reporting;
- b. The broad categories of information to be reported, namely:
 - National inventories of emissions and removals;
 - Progress made towards the achievement of mitigation commitments / contributions;
 - Monitoring and evaluation of adaptation;
 - Tracking the delivery of, and the outcomes achieved through, support.
- c. The consideration of reporting:
 - Expert review;
 - A facilitative, multilateral process.

Option 3: A single system with common MRV provisions applicable to all Parties from 2020;

Option 4: Based on Articles 10, paragraph 2(a) and (b), and 12, paragraphs 1–3, of the Convention:

- a. Enhanced procedures for comparability for Annex I Parties;
 - More frequent reporting, standardized format, common accounting framework with common base year and expressed in terms of CO₂ eq, projections of emission trajectories / pathways.
- b. Current procedures set up under decisions 1/CP.16 and 2/CP.17 for non-Annex I Parties.

Option 5: All Parties shall, on the basis of self-differentiation and national capacity, report information through existing institutions, with no backsliding, and follow the procedural guidelines and provisions provided in the following review methods based on the following tiers:

- a. Monitoring, review and verification under the Convention;
- b. Monitoring, review and verification under the Cancun Agreements;
- c. Monitoring, review and verification under the Kyoto Protocol.

Commitments

67. **Option 1:** Each Party to provide, through their biennial communications, verifiable, transparent, consistent and complete, accurate and comparable information, in accordance with previous decisions of the COP, on the implementation of its commitments / contributions / actions, including in relation to mitigation, adaptation, finance, technology development and transfer and capacity-building;

Option 2: All Parties commit to participating in an agreed, unified transparency system and to continuously improve transparency;

Option 3: Each developed country Party shall provide information on: its quantified economy-wide emission reduction target, its policies and actions for implementing that target, adaptation actions, research, development and demonstration actions related to climate-friendly technologies and capacity-building actions, as well as other relevant information, in order to ensure the provision of consistent, transparent, comparable, accurate and complete information by developed country Parties.

68. All Parties / Annex II Parties / Parties in accordance with their common but differentiated responsibilities, to ensure transparency of support:

- a. MRV of support provided to be enhanced on the basis of national communications, biennial reports, IAR and Kyoto Protocol rules using common but differentiated templates and drawing on the work of the SBSTA on methodologies for the reporting of financial information by Annex I Parties;
- b. Developing countries to provide information on support received and its use, recognizing the special circumstances of countries, ensuring that no additional reporting burdens are imposed on developing countries;
- c. Annex II Parties and Parties in a position to do so to provide biennial reports on adaptation support, indicating the level of support that they are providing to developing country Parties, in particular the LDCs, SIDS and countries in Africa, to inform a regular review by the governing body in line with science;
- d. International financial institutions are invited to provide information on how their development assistance finance incorporates 'climate proofing' measures in all forms of support;
- e. Each Party to provide information on support provided and received, in line with its national circumstances.

Rules and modalities

69. **Option 1:** The governing body shall elaborate the rules related to transparency of action and support, including MRV, as well as related to accounting, in particular rules on the use of market mechanisms and to the land sector in relation to mitigation commitments / contributions, which:

- a. After gathering experience with the agreed transparency system and assessing whether improvement is needed, adjust / enhance / ensure the development of the existing MRV arrangements and accounting rules, building on the experience of existing MRV arrangements, to fit the objectives and purposes of the agreement;
- b. Ensure harmonization and coordination of existing data systems as well as methodological consistency and commonality in defining and tracking the commitments / contributions;
- c. **Option (a):** Apply IPCC greenhouse gas inventory guidelines and common metrics agreed under the Convention;

Option (b): Use common metrics and methodologies adopted by the IPCC and agreed by the COP for the estimation of GHG emissions and removals;

- d. Recognize the importance of greenhouse gas emissions by sources and removals by sinks resulting from land-use change and forestry activities for understanding mitigation contributions and progress in achieving targets, commitments and implementing actions;
- e. **Option (a):** Recognize the use of market mechanisms in relation to mitigation commitments / contributions;
Option (b): Recognize the use of the mechanisms defined in Articles 6 and 12 of the Kyoto Protocol and mechanisms defined in the Convention in relation to mitigation commitments.
 Recognize the use of market activities in relation to mitigation commitments if they meet standards, to be defined, that deliver real, permanent, additional and verified mitigation outcomes, avoid double accounting of effort, achieve a net decrease and/or avoidance of greenhouse gas emissions and are in conformity with these standards;
- f. Recognize the importance of accounting of support for adaptation and means of implementation;
- g. Use comparable accounting mechanisms for support based on common templates / methodologies and common methodology for MRV for developed countries / Annex II Parties;
- h. Place greater emphasis on effectiveness of support and include better provisions for reporting on the use of international support and results achieved with support;
- i. With respect to the provision and receipt of finance:
- Include / enhance information, consistent with previous decisions of the COP, on support provided and received, including on: delivery, use and impact, sources, scale, channels, instruments, and on South–South cooperation;
 - Provide transparency on the levels of financing, what financing is used for, which countries are benefiting, and whether funds are new and additional and outcomes achieved through:
 - **Option 1:** Accounting rules for: mitigation and adaptation actions and for financial support, as well as public and private resources invested;
 - **Option 2:** Accounting rules for Annex II Parties with regard to support.
 - Be enhanced based on annual reporting on delivery of climate finance by developed country Parties;
 - Address the need for a common agreed definition of climate finance and inconsistencies on climate finance data:
 - Providing clarity on what type is most appropriate for what action;
 - Building on the work done by the Organisation for Economic Co-operation and Development Research Collaborative and the SCF on methods for measuring and tracking private climate finance / Building on the work of the SBSTA;
 - As outlined in the MRV proposal from Ecuador.⁴
- j. With respect to the monitoring and reporting of support from developed country Parties / Annex II Parties to developing country Parties on enhanced action on technology development and transfer:
- Overseen by the TEC / Facilitated by the TEC / Technology Mechanism;
 - Develop common format and methodologies for technology support reporting.
- k. With respect to the effectiveness of capacity-building support:
- Based on the impact and knowledge created in developing country Parties against performance indicators at the national level and/or by a committee on capacity-building;
 - Be conducted against needs identified by developing country Parties;
 - Include an assessment of the effectiveness of capacity-building activities based on performance indicators at the international level;
 - Supported by the Durban Forum on capacity-building and the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention.

Option 2: The governing body shall elaborate the rules related to transparency of action and support, including MRV as well as accounting, which:

- a. Develop methodologies on the accounting of support on finance, technology development and transfer and capacity-building provided by developed country Parties to developing country Parties, including common metrics on the climate finance and quantifiable progress indicators on technology transfer and capacity-building support provided by developed countries;

⁴ FCCC/AWGLCA/2012/CRP.1.

- b. Revise and improve the common reporting format on financial support available and provided by developed countries to developing countries;
- c. Develop a common reporting format on the support for technology development and transfer and capacity-building provided by developed country Parties to developing country Parties;
- d. Revise the modalities and procedures of IAR in order to strengthen the review on the progress of provision of financial, technological and capacity-building support by developed country Parties to developing country Parties;
- e. Establish a long-term finance channel under the GCF or the Global Environment Facility to build MRV capacity of developing countries on a continuous basis.

Option 3: The governing body shall elaborate the guidelines related to transparency of action and support, by:

- a. Tailoring the post-2020 transparency arrangements to promote its objective;
- b. Developing guidelines for biennial communications regarding;
- c. National circumstances:
 - The national inventory report of emissions and removals;
 - A description of nationally determined contribution;
 - Progress in achievement of the NDC, including mitigation actions and their effects, estimates of emissions from the land sector, and the use of units from international market-based mechanisms;
 - Projections;
 - Provision of support, including on the provision of finance, technology transfer and capacity-building;
 - Progress in assessing climate risks and vulnerabilities, and in enhancing adaptation action, including through national adaptation planning processes.
- d. Using common reporting templates wherever applicable and beneficial for enhancing transparency;
- e. Elaborating on the following:
 - Parties to include all major emission sources and sinks, pools and gases in their contribution;
 - For major sources and sinks, pools and gases that are not included, Parties to include an explanation for their exclusion, and to strive to include these over time;
 - Parties to use the most relevant IPCC guidance and guidelines, as determined by the COP;
 - Parties not to change their accounting approach or methodologies or baseline during the time frame, except in the case of technical corrections;
 - Parties to have projected baselines transparently assessed;
 - Parties that use market-based approaches to meet standards that deliver real, additional, verifiable and permanent emission reductions, avoid double counting of effort and result in a net mitigation benefit.
- f. Recognizing the importance of greenhouse gas emissions by sources and removals by sinks resulting from land-use change and forestry activities;
- g. Developing guidelines to assist Parties in assessing national climate change impacts, vulnerability and adaptation options;
- h. Developing guidelines for the technical expert review of Parties' biennial communications;
- i. Developing guidelines for a facilitative examination of Parties' progress towards their nationally determined contributions;
- j. With respect to the provision and receipt of support and international cooperation, develop guidelines that:
 - Elicit information on support provided and received, including on: delivery, use and impact, sources, scale, channels, and instruments;
 - Provide transparency on the levels of financing, what financing is used for, which countries are benefiting, and whether funds are new and additional;
 - Place greater emphasis on effectiveness of support and reporting on the use of international support and results achieved with support;
 - Recognize that a variety of types may be appropriate;
 - Consider the ongoing work under the SCF and the work of relevant bodies outside the Convention.

Structural suggestions on section J:

Transparency of support to be addressed in the context of support, transparency of mitigation in the context of mitigation.

Divide into three sub-sections: (1) commitment to participate in a single transparency system; (2) the mechanics, or component parts, of the system; and (3) the guiding principles for the system.

Restructure paragraphs 67 and 68 into three sub-sections: transparency of actions by developed country Parties; transparency of actions by developing country Parties; and transparency of support by developed country Parties.

Move the paragraphs on accounting to the mitigation section.

Merge this section with section K below.

Move paragraph 69 (d) and (e) (option 1) to the mitigation section and retain (a) and (c) in transparency section.

Include content of paragraph 69 k (of option 1) in a decision.

Restructure paragraph 69 into separate paragraphs on transparency of mitigation and transparency of support.

K. Time frames and process related to commitments / contributions / Other matters related to implementation and ambition

Commitments / contributions / actions / scope of implementation and ambition

70. The starting date for the implementation of this agreement to be 1 January 2020 / 31 December 2020 / 1 January 2021; and the end date of this agreement to be 2030 / 2040 / 2050 / 2100 / durable forever.

71. Pursuant to Article 2 of the Convention, Parties to periodically communicate or update their proposed commitments / contributions:

Option 1: Every five years for all Parties;

Option 2: Commitments shall be inscribed every five years, beginning in 2015. All Parties shall communicate proposed commitments in the 12 to 18 months prior to their inscription. The commitments will cover a five-year period, ending 10 years after the inscription year. Parties may also propose an indicative commitment covering a further five-year period, which can be confirmed or enhanced five years later, when formally inscribed (2020);

Option 3: Every five years, indicating the commitment / contribution / action for the subsequent five-year period as well as an indicative commitment / contribution / action for the following five-year period;

Option 4: Every five years for developed country Parties only;

Option 5: Every five years for developed country Parties and every 10 years for developing country Parties;

Option 6: Every five years for the upcoming period and an indication for the following period only for mitigation: annual or biennial time frame for means of implementation in line with national budgets; different time frame for adaptation;

Option 7: By 2030 / 2025 for all Parties;

Option 8: By 2025 and/or 2030 for all developed country Parties only, and with the diversity of end dates for developing country Parties;

Option 9: Every 10 / x years, with a midterm review;

Option 10: For a period to be determined by the governing body.

72. Parties to communicate their proposed commitments / contributions / actions at least 12 months prior to their formalization / finalization, but not earlier than 18 months prior to that.

73. **Option 1:** The scope of the commitments / contributions / actions will:

Option (a): Be nationally determined;

Option (b): Be defined by the provisions of this agreement;

Option (c): Include mitigation, adaptation, finance, technology and capacity-building, and transparency of action and support;

Option (d): Include mitigation, recognizing that commitments on adaptation, finance, technology and capacity-building, and transparency of action and support are subject to separate provisions of this agreement;

Option (e): Include mitigation only.

Option 2: Implementation and ambition are related to:

a. Mitigation, adaptation, finance, technology and capacity-building;

- b. For developed country Parties: mitigation and finance, technology and capacity-building support to developing country Parties for their mitigation and adaptation actions;
- c. For developing country Parties: mitigation and/or adaptation.

74. When communicating their contributions, Parties to provide up-front information, along with their proposed commitments / contributions / actions that:

Option 1: Facilitates the clarity, transparency and understanding of those commitments / contributions / actions, on the basis of the relevant arrangements for reporting information resulting from the Bali Action Plan (as detailed in decision x/CP.x);

Option 2: Facilitates the clarity, transparency and understanding of those commitments / contributions / actions (as detailed in decision x/CP.x).

75. Upon communication, commitments / contributions / actions to be made publicly available by the secretariat.

Ex ante consideration / Further facilitation of transparency and clarity / Consultative process/period

76. **Option 1:** No ex ante consideration process / no arrangements for further facilitating transparency and clarity;

Option 2: After their communication, commitments / contributions / actions will be subject to an ex ante consideration process / further facilitation of transparency and clarity / a consultative period/process in order to:

Option (a):

- a. Facilitate understanding of the level of ambition and fairness / level of ambition of the commitments / contributions and the long-term temperature goal in the context of a Party's long-term low-emission development pathway;
- b. Assess the adequacy and fairness of the aggregated contributions / the adequacy of the aggregated contributions / the aggregated contributions compared with science, as part of the principle-based reference framework;
- c. Assess the extent and availability of support from Annex II Parties to non-Annex I Parties, and, in that context, the potential additional ambition of non-Annex I Parties;
- d. Assist countries that have not communicated their commitments / contributions;
- e. Facilitate understanding of the comparability of effort of the commitments / contributions / actions; and of the global aggregate commitment;
- f. Address / understand / determine / discuss deficits in the light of the ambition required / facilitate the analysis of national mitigation potential and address deficits in the light of the ambition required.

Option (b):

- a. Enhance the clarity, transparency and understanding of the aggregate effect of the communicated intended nationally determined contributions;
- b. Facilitate the efforts by Parties that have not communicated their intended nationally determined contributions up to that point.

Option (c):

- a. Facilitate the clarity of the comparability of the commitments of by developed country Parties, in accordance with their historical responsibilities, requirements of science and leadership in addressing climate change and the requirements of science;
- b. Facilitate understanding of the diversity, barriers and needs of the enhanced actions undertaken by developing country Parties, bearing in mind their first and overriding priority of economic and social development and poverty eradication.

76.1 Parties' commitments / contributions / actions to be considered based on:

Option (a): A consultative process to ensure clarity, transparency and understanding of the commitments / contributions;

Option (b): A principle-based reference framework to be established to ensure clarity, transparency and understanding of the commitments / contributions / actions;

Option (c): Existing arrangements and processes under the Convention.

76.2 The ex ante consideration process / further facilitation of transparency and clarity / consultative period/process is to:

Option (a):

- a. Be science-based and informed by the assessments of the IPCC, moving to assessment reports every five years (e.g. 2019, 2024, 2029);
- b. Be inclusive, consultative, facilitative, supportive, non-prescriptive, non-intrusive, and non-punitive.

Option (b):

- a. Be science-based and informed by the assessments of the IPCC, moving to assessment reports every five years (e.g. 2019, 2024, 2029);
- b. Be inclusive, consultative, facilitative, supportive, non-prescriptive, non-intrusive, and non-punitive;
- c. Be conducted in accordance with Article 4, paragraph 2(d), of the Convention;
- d. Reflecting the differences in Annex A and Annex B;
- e. Be based on the existing experience from the clarification of the commitments of developed country Parties and the understanding of the NAMAs of developing country Parties.

- 76.3 The ex ante consideration process / further facilitation of transparency and clarity / consultative period/process to take place:

Option (a): In the year in which the commitments / contributions / actions are communicated;

Option (b): In the year after the commitments / contributions / actions have been communicated;

Option (c): In the year prior to the inscription of the contribution in the agreement for mitigation and means of implementation / in the 12 months prior to the session at which the commitment would be inscribed;

Option (d): Each Party to go through a consultative period for four to six months after the submission of its intended nationally determined contribution.

- 76.4 On the basis of the ex ante consideration process / further facilitation of transparency and clarity / consultative period/process:

Option (a): Each Party to consider the recommendations resulting from the process;

Option (b): Each Party to revise its commitment / contribution on a voluntary basis;

Option (c): Each Party to adjust / revise on a voluntary basis its commitment / contribution upwards, through an adjustment procedure in accordance with decisions of the governing body;

Option (d): Parties will undertake top-down adjustments based on a global carbon budget.

- 76.5 The governing body shall develop and adopt modalities and procedures for the ex ante consideration process / further facilitation of transparency and clarity / consultative period/process by its [X] session:

- a. A web platform where Parties and other actors are able to pose questions and Parties are encouraged to answer the questions that they receive;
- b. Consultations among Parties, including through workshops and round tables;
- c. A joint Subsidiary Body for Implementation (SBI) / SBSTA programme to prepare recommendations for the COP;
- d. A technical body / panel / task force to be established that undertakes analytical work, examines the adequacy and fairness of commitments / contributions and prepares recommendations; and/or on mitigation and means of implementation;
- e. Inputs to the process, including modalities for the analysis, synthesis and/or compilation of the commitments / contributions.

- 76.6 The governing body shall review, on a periodic basis, the modalities and procedures, with a view to ensuring adaptability, efficiency and effectiveness, taking into account the different characteristics of mitigation and means of implementation and the need to address them in a distinct manner over time.

Formalization / finalization / reflection of enhanced action

77. The commitments / contributions / actions communicated by Parties to be:

Option 1: Inscribed in a single annex to this agreement;

Option 2: Inscribed in annexes to this agreement:

Option (a): Annex A for quantified emission reduction commitments (QERCs) and Annex B for emission limitation commitments and strategies;

Option (b): Annex A: a table of heading numbers of quantified emission reduction commitments of developed country Parties; and Annex B: a compilation of communications of enhanced mitigation actions by developing country Parties.

Option 3: Inscribed in attachments to this agreement:

- Attachment A for developed country Parties' emission reduction commitments;
- Attachment B for developed country Parties' finance, technology and capacity-building commitments;
- Attachment C for developing country Parties' enhanced actions.

Option 4: Adopted by a decision of the governing body;

Option 5: Contained in national schedules, to be communicated to the secretariat. The secretariat shall make all national schedules publicly available;

Option 6: Inscribed in a country contribution document, with a provision in the agreement creating an obligation for each Party to communicate and implement their contribution;

Option 7: Recorded in an online registry of national mitigation targets, which is to form an integral part of this agreement.

78. Parties may, at any time, make upward adjustments to their commitments / contributions / actions by means of a simplified procedure:

Option 1: By way of communication to the secretariat or the depositary;

Option 2: By way of an amendment to the respective annex and in the context of the procedures referred to in section M below;

Option 3: The governing body shall adopt modalities of the simplified procedure / Any modalities to be adopted by the governing body.

79. **Option 1:** A Party to be allowed to exceptionally adjust its commitment / contribution, subject to certain conditions, including: if subsequent rules differ substantially from the Party's assumptions, or force majeure, provided that there is no backsliding;

Option 2: A developing country Party may adjust its contribution when severely affected by an extreme natural event;

Option 3: No other adjustments allowed.

Strategic review of implementation / Aggregate ambition assessment / Enhanced ambition mechanism

80. The governing body shall regularly conduct a strategic review of implementation / aggregate ambition assessment.

81. The purpose of the review / assessment / mechanism is to:

Option 1: Review the effect / ambition and the implementation of the individual commitments / contributions / actions of Parties as well as the aggregate effect / ambition of all Parties' commitments, in order to assess progress towards operationalizing the ultimate objective of the Convention, as set out in its Article 2 of the Convention, pursuant to paragraph 3 above;

Option 2:

- a. Track the performance of the implementation of the post-2020 enhanced action;
- b. Review the adequacy of the long-term aspect in the light of the objective of the Convention;
- c. Review the overall progress towards achieving the objective of the Convention;
- d. Consider the historical responsibilities of Parties in relation to the global temperature increase;
- e. Increase the level of ambition.

82. The review / assessment / mechanism shall take place:

Option 1: Starting in [X] / after the agreement has come into effect, every one / two / four / five years;

Option 2: Immediately following the publication of each IPCC assessment reports.

83. The review / assessment / mechanism shall be:

Option 1: Applicable to developed country Parties;

Option 2: Applicable to all Parties;

Option 3: Applicable to all Parties, as follows:

- a. Implementation and ambition of emission reduction commitments of developed country Parties;
- b. Adequacy and progress of finance, technology and capacity-building support from developed country Parties to developing country Parties;
- c. Implementation and further enhanced mitigation and/or adaptation action by developing country Parties.

84. The review / assessment / mechanism should include:

- a. International revisit of the emission reduction commitments of developed country Parties;
- b. Multilateral consideration of developed country Parties' commitments on finance, technology and capacity-building support;
- c. Domestic reflection and international understanding of enhanced action on mitigation and/or adaptation undertaken by developing country Parties, in a manner that is non-punitive, non-intrusive and respecting national sovereignties;
- d. A forum on lessons learned on innovation of sustainable development pathways among all Parties.

85. The review / assessment / mechanism to be consistent with science, on the basis of equity and sustainable development, and informed by:

Option 1:

- a. Each country's progress towards the achievement of its commitments / contributions, aggregated global emission trends and the aggregate progress towards attaining the global goals established under this agreement;
- b. Assessments undertaken pursuant to other provisions of this agreement of the adequacy and progress related to adaptation and finance, technology and capacity-building support;
- c. A process to facilitate the clarity, transparency and understanding of Parties' commitments / contributions, whereby the ambition and fairness of Parties' mitigation commitments can be considered in the light of the long-term temperature limit;
- d. The assessment reports of the IPCC;
- e. Information reported by Parties on the implementation of their commitments / contributions, as set out in section J below (*Transparency of action and support*);
- f. Information communicated by Parties on their future commitments / contributions, as set out in this section;
- g. A process of technical examination of mitigation potential, opportunities, co-benefits of mitigation action and policy options for enhancing mitigation ambition.

Option 2:

- a. Each country's progress towards the achievement of its commitments / contributions, including information from the national communications, biennial reports, inventories and national inventory reports of developed country Parties, as well as from the review reports and the IAR process; and information from the national communications and BURs, as well as from the ICA process;
- b. Assessments undertaken pursuant to other provisions of this agreement of the adequacy and progress related to adaptation and finance, technology and capacity-building support by from developed country Parties;
- c. Arrangements to facilitate the clarity, transparency and understanding of the commitments / contributions;
- d. The assessment reports of the IPCC;
- e. Assessment against an equity reference framework by a technical panel of experts;
- f. The report on the 2013–2015 review and subsequent reviews;
- g. Reports of all of the existing subsidiary bodies under the Convention and new institutional arrangements established by this agreement;
- h. A process of technical examination of mitigation potential, opportunities and policy options to enhance the level of ambition.

86. On the basis of the review / assessment / mechanism:

Option 1: The governing body shall recommend adjustments to Parties' commitments in response to the findings of the review / action, in order to harness unrealized opportunities to mitigate and adapt to climate change and to mobilize the necessary financial support.

Option 2: Parties to take into account the recommendations arising from the review / assessment / mechanism in preparing their successive commitments / contributions / actions / Parties to increase their level of ambition after the review, including:

Option (a):

- a. Adjusting existing commitments / contributions / actions upward or communicating more ambitious mitigation commitments / contributions related to climate change;
- b. Addressing barriers to and constraints on implementation related to the provision of finance, technology and capacity-building support.

Option (b):

- a. Developed country Parties adjusting their existing commitments / contributions upward or communicating more ambitious mitigation commitments / contributions;
- b. Developed country Parties adjusting their existing commitments / contributions upward or communicating more ambitious finance, technology and capacity-building commitments / contributions / policies / measures;
- c. Addressing barriers and constraints of developing country Parties to implementation related to the provision of finance, technology and capacity-building support, and considering further action on implementation by developing country Parties.

87. **Option 1:** The governing body shall develop and adopt modalities for the review / assessment / mechanism by 2018, drawing on lessons learned from previous review processes under the Convention and its Kyoto Protocol in order to ensure the effectiveness of the review / assessment / mechanism;

Option 2: The modalities and organization of the work on the strategic review to be developed and adopted based on and drawing upon lessons learned from previous review processes under the Convention and its Kyoto Protocol, including inter alia:

- a. The review referred to in Article 4, paragraph 2(d), of the Convention;
- b. The ambition mechanism under the Kyoto Protocol;
- c. IAR and ICA;
- d. The clarification of the quantified emission limitation and reduction commitments of Annex I Parties and the process of understanding the diversity of NAMAs by non-Annex I Parties;
- e. The 2013–2015 review;
- f. The multilateral consultative process for the resolution of questions regarding the implementation of the Convention, as set out in its Article 13:

Option (a): Utilizing the existing IAR and ICA processes after further amending their mandates and guidance;

Option (b): Utilizing the existing 2013–2015 review after further improving the modalities and organization of the work.

Structural suggestions on section K:

Tailor the content of this section to specific areas

Move the content to mitigation section

Divide this section into two parts: section K for transparency for mitigation and section K bis on transparency for contributions on support

Merge the ex ante consideration / consultative period and the strategic review / "aggregate consideration process"

Include details contained in paragraphs 76.1, 76.2, 76.3, 76.4 and 76.5 in decisions

Restructure text in paragraphs 70–73 as follows: objectives / purpose, timing, guidance on modalities

Move para 74 to transparency

Include specific modalities and procedures in decisions

Divide the review into review of individual commitments and aggregate commitments drawing on elements from paragraphs 76 and 81–87.

L. Facilitating implementation and compliance

88. In order to assist Parties in implementing their commitments / contributions and/or to address compliance issues in a manner that is expert-based, non-confrontational and non-judicial:

Option 1: The governing body shall adopt procedures and/or mechanisms;

Option 2: A compliance mechanism or committee / implementation committee / a standing body responsible for promoting implementation and compliance and assessing Parties' performance is established;

Option 3: Implementation shall be strengthened through enhanced transparency, including through the consideration of the multilateral consultative process under Article 13 of the Convention;

Option 4: No specific provisions required.

For option 1 and option 2, arrangements shall cover:

- a. Regarding commitments / contributions (substantive scope):
 - Option (a):** All commitments / contributions in the agreement, including reporting;
 - Option (b):** Specified commitments / contributions, excluding adaptation, including reporting;
 - Option (c):** Implementation of Parties' schedules and the submission of biennial communications;
 - Option (d):** Mitigation, MRV and accounting commitments only.
- b. Regarding Parties:
 - Option (a):** All Parties;
 - Option (b):** Developed country Parties regarding their commitments / contributions on mitigation, finance, transfer of technology and capacity-building.
- c. Structure of the mechanism / committee:
 - Option (a):** Separate branches – an enforcement branch for Parties that have a QERC in Annex A / to review compliance with commitments made by developed country Parties and those developing country Parties that have made economy-wide quantified emission reduction commitments, with respect to their commitments on mitigation, as well as commitments on adaptation, finance, technology transfer and capacity-building, and a facilitative branch for commitments and strategies in Annex B / to review the implementation of contributions made by developing countries and to assist them in their efforts to meet these contributions; the Compliance Committee may establish technical panels to assist them in their task;
 - Option (b):** A standing, non-political, expert body of members who serve in their individual capacity, responsible for facilitating and promoting compliance with the obligations under the agreement;
 - Option (c):** One body for facilitation;
 - Option (d):** Platforms to deal with early warning, facilitation and enforcement.
- d. Modalities such as:
 - Membership;
 - Triggers to commence a procedure:
 - Early warning for potential non-compliance;
 - Technical expert teams triggering questions of implementation.
 - Procedures;
 - Use of economic instruments:
 - Use of economic instruments such as market mechanisms as a way to promote compliance.
 - Measures and/or consequences:
 - **Option (a):** Facilitative measures only;
 - **Option (b):** Facilitative measures and sanctions for recurring non-compliance;
 - **Option (c):** Facilitative measures for non-Annex I Parties and sanctions for Annex I Parties;
 - **Option (d):** Expert groups that support developing country Parties in the preparation and implementation of contributions.
 - The Compliance Committee shall report annually to the Conference of the Parties to this agreement.

M. Procedural and institutional provisions

Institutional arrangements

89. *Provisions relating to the governing body of the agreement (based on Article 13(1) of the Kyoto Protocol):* The Conference of the Parties, the supreme body of the Convention, shall serve as the meeting of the Parties to this agreement.
90. *Provisions relating to the secretariat (based on Article 14 of the Kyoto Protocol):* The secretariat established by Article 8 of the Convention shall serve as the secretariat of this agreement. Article 8, paragraph 2, of the Convention on the functions of the secretariat, and Article 8, paragraph 3, of the Convention on arrangements made for the functioning of the secretariat, shall apply mutatis mutandis to this agreement. The secretariat shall, in addition, exercise the functions assigned to it under this agreement and the governing body.
91. *Provisions on the SBSTA and the SBI (based on Article 15 of the Kyoto Protocol):* The SBSTA and the SBI established by Articles 9 and 10 of the Convention shall serve as, respectively, the SBSTA and the SBI of this agreement. The provisions relating to the functioning of these two bodies under the Convention shall apply mutatis mutandis to this agreement. Sessions of the meetings of the SBSTA and the SBI of this agreement shall be held in conjunction with the meetings of, respectively, the SBSTA and the SBI of the Convention. Parties to the Convention that are not Parties to this agreement may participate as observers in the proceedings of any session of the subsidiary bodies. When the subsidiary bodies serve as the subsidiary bodies of this agreement, decisions under this agreement shall be taken only by those that are Parties to this agreement. When the subsidiary bodies established by Articles 9 and 10 of the Convention exercise their functions with regard to matters concerning this agreement, any member of the Bureaux of those subsidiary bodies representing a Party to the Convention but, at that time, not a Party to this agreement, shall be replaced by an additional member to be elected by and from among the Parties to this agreement.
92. The governing body shall establish, building on the work conducted under the SBSTA regarding the framework for various approaches, means for cooperative arrangements to be defined and accounted for under the agreement, that strengthen and create synergies between mechanisms under the Convention and its related legal instruments and mechanisms established or to be established, jointly or individually, by Parties, and avoid the double counting of efforts, including:
- The Financial Mechanism;
 - The Technology Mechanism;
 - The flexibility mechanisms established by Articles 6 and 12 of the Kyoto Protocol;
 - The new market-based mechanism defined in decision 2/CP.17, paragraph 83;
 - Alternative policy approaches, such as joint mitigation and adaptation;
 - A REDD-plus mechanism / The Warsaw Framework for REDD-plus;
 - A mechanism for climate resilience and sustainable development;
 - A joint mitigation and adaptation mechanism for the integral and sustainable management of forests;
 - Subnational, national and regional emissions trading schemes.

93. *Immunities:*

Option 1: Each Party to this agreement shall accord to the persons exercising their functions on any board, panel, group or other institution established by this agreement, during their journey to and from the place of meeting, immunity from legal process. The governing body shall determine the modalities for the operation of immunities;

Option 2: No provision on immunities.

Procedural provisions / Final clauses

94. *Signature, ratification, acceptance, approval and accession (based on Article 24(1) of the Kyoto Protocol):*
- 94.1 This agreement shall be open for signature and subject to ratification, acceptance or approval by States and regional economic integration organizations (REIOs) which are Parties to the Convention at a specified place and time. Thereafter, the agreement would be open for accession by such States and REIOs;
- 94.2 *Provisions on REIOs (based on Article 22(2) and (3) of the Convention):* Any REIO which becomes a Party to the agreement without any of its member States being a Party shall be bound by all the obligations under

the agreement. In the case of REIOs with one or more member States that are Parties to the agreement, the organization and its member States shall decide on their respective responsibilities for the performance of their obligations under the agreement. In such cases, the organization and the member States shall not be entitled to exercise rights under the agreement concurrently. In their instruments of ratification, acceptance, approval or accession, REIOs shall declare the extent of their competence with respect to the matters governed by the agreement. These organizations shall also inform the Depositary, who shall in turn inform the Parties, of any substantial modification in the extent of their competence;

94.3 Additional requirements on deposit of instruments of ratification, acceptance, approval or accession:

Option 1: Requirements relating to the submission of national schedules at the same time as deposit of instruments of ratification, acceptance, approval or accession;

Option 2: No additional requirements.

95. *Entry into force:*

95.1 **Option 1:** All entry into force provisions set out in paragraph 95.2 to preclude entry into force before 2020;

Option 2: Entry into force provisions to allow for possibility of entry into force by 2020.

95.2 **Option 1:** This agreement shall enter into force on the thirtieth / ninetieth day after the date on which not less than 10/50/[X] (a number that is not over- or under-inclusive) Parties to the Convention have deposited their instruments of ratification, acceptance, approval or accession;

Option 2: The agreement will come into effect on and be implemented from 2020, subject to the deposit of [X] number of instruments of ratification, acceptance, approval, or accession;

Option 3: A double threshold that includes both a number of Parties ratifying and a percentage of global emission reductions covered by the ratifying Parties / a minimum of global emissions from Parties;

Option 4: The agreement will enter into force on [X] date (“from 2020”), provided that [X] number of Parties have deposited their instruments and that the total of emissions of such Parties constitutes [X] per cent of the global total of emissions in year [X]. If such thresholds have not been met by [X] date, the agreement will enter into force [X] days after the thresholds have been met;

Option 5: Entry into force upon either a sufficiently high number ([X]) of Parties or a percentage ([X]) of global GHG emissions covered, whichever occurs first, but not earlier than on 1 January 2020.

95.3 For each State or REIO that ratifies, accepts or approves the agreement or accedes thereto after the entry into force according to paragraph 95.1, the agreement shall enter into force on the ninetieth / [X] day after the date of deposit by such State or REIO of its instrument of ratification, acceptance, approval or accession (*based on Article 23(2) of the Convention*);

95.4 Provisions on REIOs (*based on Article 23 (3) of the Convention*): For the purposes of paragraph 95, any instrument deposited by a REIO shall not be counted as additional to those deposited by States members of the organization;

95.5 Provisional application:

Option 1: A Party to the Convention that intends to ratify, approve, accept or accede to this agreement, may at any time notify the Depositary that it will apply this agreement provisionally for a period not extending beyond the time of entry into force of the agreement;

Option 2: No specific provision on provisional application.

96. *Amendments to the agreement (based on Article 15 of the Convention):*

96.1 Any Party may propose amendments to the agreement;

96.2 Amendments to the agreement shall be adopted at an ordinary session of the governing body. The text of any proposed amendment to the agreement 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 agreement and, for information, to the Depositary;

96.3 The Parties shall make every effort to reach agreement on any proposed amendment to the agreement by consensus. If all efforts at consensus have been exhausted, and no agreement reached, the amendment shall as a last resort be adopted by a three-fourths majority vote of the Parties present and voting at the meeting.

The adopted amendment shall be communicated by the secretariat to the Depositary, who shall circulate it to all Parties for their acceptance;

- 96.4 Instruments of acceptance in respect of an amendment shall be deposited with the Depositary. An amendment adopted in accordance with paragraph 3 above shall enter into force for those Parties having accepted it on the ninetieth day after the date of receipt by the Depositary of an instrument of acceptance by at least three fourths of the Parties to the agreement;
- 96.5 The amendment shall enter into force for any other Party on the ninetieth day after the date on which that Party deposits with the Depositary its instrument of acceptance of the said amendment;
- 96.6 For the purposes of this Article, "Parties present and voting" means Parties present and casting an affirmative or negative vote.

97. *Amendments to any annexes to the agreement:*

Option 1: Amendments to the Annexes to this agreement, which are an integral part of the agreement, shall be adopted by the governing body and shall apply forthwith, without the requirement of a ratification process;

Option 2:

- 97.1 Annexes to the agreement shall form an integral part thereof and, unless otherwise expressly provided for, a reference to the agreement constitutes at the same time a reference to any annexes thereto. Without prejudice to the provisions of Article X, paragraphs x and x, such annexes shall be restricted to lists, forms and any other material of a descriptive nature that is of a scientific, technical, procedural or administrative character;
- 97.2 Annexes to the agreement shall be proposed and adopted in accordance with the procedure set forth in Article X, paragraphs x and x;
- 97.3 An annex that has been adopted in accordance with paragraph 97.2 above shall enter into force for all Parties to the agreement six months after the date of the communication by the Depositary to such Parties of the adoption of the annex, except for those Parties that have notified the Depositary, in writing, within that period of their non-acceptance of the annex. The annex shall enter into force for Parties which withdraw their notification of non-acceptance on the ninetieth day after the date on which withdrawal of such notification has been received by the Depositary;
- 97.4 The proposal, adoption and entry into force of amendments to annexes to the agreement shall be subject to the same procedure as that for the proposal, adoption and entry into force of annexes to the agreement in accordance with paragraphs 97.2 and 97.3 above;
- 97.5 If the adoption of an annex or an amendment to an annex involves an amendment to the agreement, that annex or amendment to an annex shall not enter into force until such time as the amendment to the agreement enters into force.

Option 3: Opt-in (ratification procedure).

Option 4: Simplified procedure for the mitigation commitments.

98. *Settlement of disputes (based on Article 19 of the Kyoto Protocol):* The provisions of Article 14 of the Convention on settlement of disputes shall apply mutatis mutandis to this agreement.

99. *Voting / Right to vote (based on Article 18 of the Convention):*

- 99.1 Each Party shall have one vote, except as follows: REIOs, in matters within their competence, shall exercise their right to vote with a number of votes equal to the number of their member States that are Parties to this agreement. Such an organization shall not exercise its right to vote if any of its member States exercises its right, and vice versa;
- 99.2 *Placeholder* for provisions with respect to Parties who put forward a joint contribution.

100. *Depositary (based on Article 19 of the Convention):* The Secretary-General of the United Nations shall be the Depositary of this agreement:

Option 1: In addition to the normal functions of the Depositary, the Depositary should also hold and manage a repository of country contribution documents;

Option 2: No additional functions for the Depositary.

101. *Reservations (based on Article 24 of the Convention):*

Option 1: No reservations may be made to this agreement;

Option 2: Provide for reservations.

102. *Withdrawal (based on Article 25 of the Convention)*: At any time after [X] years from the date on which this agreement has entered into force for a Party, that Party may withdraw from this agreement by giving written notification to the Depository. Any such withdrawal shall take effect upon expiry of one year from the date of receipt by the Depository of the notification of withdrawal, or on such later date as may be specified in the notification of withdrawal. Any Party that withdraws from the Convention shall be considered as also having withdrawn from this agreement.
103. *Authentic text (based on Article 26 of the Convention)*: The original of this agreement, of which the Arabic, Chinese, English, French, Russian and Spanish texts are equally authentic, shall be deposited with the Secretary-General of the United Nations.

Structural suggestions

All institutional issues should be addressed in one place.

Include specific institutional arrangements under the respective elements of the agreement. Consider the relationship between the various mechanisms once there is clarity on the content of new mechanisms.

Annex / Annex A / Annex B / Attachments (for paragraph 77, options 1, 2 and 3)

[...]

*10th plenary meeting
14 December 2014*



Conference of the Parties

Report of the Conference of the Parties on its twentieth session, held in Lima from 1 to 14 December 2014

Addendum

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

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Decision 2/CP.20

Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

The Conference of the Parties,

Reaffirming the provisions contained in decisions 3/CP.18 and 2/CP.19,

Appreciating the work of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts to develop its initial two-year workplan,

Taking note of the report of the Executive Committee,¹

1. *Approves* the initial two-year workplan of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts;²
2. *Notes* the useful inputs provided by Parties, observers and other organizations as part of the transparent, inclusive and participatory process of developing the initial two-year workplan of the Executive Committee;
3. *Reaffirms* the establishment of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts, under the guidance of, and accountable to, the Conference of the Parties, to guide the implementation of the functions of the Warsaw International Mechanism referred to in decision 2/CP.19, paragraph 5;
4. *Also reaffirms* the request to the Executive Committee to report annually to the Conference of the Parties through the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation and make recommendations, as appropriate;
5. *Decides* that the Executive Committee shall be composed of the following, taking into account the goal of gender balance pursuant to decision 23/CP.18:
 - (a) Ten members from Parties included in Annex I to the Convention (Annex I Parties);
 - (b) Ten members from Parties not included in Annex I to the Convention (non-Annex I Parties), comprising two members each from the African, Asia-Pacific, and the Latin American and Caribbean States, one member from small island developing States, one member from least developed country Parties, and two additional members from non-Annex I Parties;
6. *Encourages* Parties to nominate to the Executive Committee experts with the diversity of experience and knowledge relevant to loss and damage associated with climate change impacts;
7. *Decides* that members shall serve for a term of two years and shall be eligible to serve a maximum of two consecutive terms of office, and that the following rules shall apply:
 - (a) Half of the members shall be elected initially for a term of three years and half of the members shall be elected for a term of two years;

¹ FCCC/SB/2014/4.

² FCCC/SB/2014/4, annex II.

- (b) Thereafter, the Conference of the Parties shall elect members for a term of two years;
- (c) The members shall remain in office until their successors have been elected;
8. *Also decides* that the Executive Committee may establish expert groups, subcommittees, panels, thematic advisory groups or task-focused ad hoc working groups to help execute the work of the Executive Committee in guiding the implementation of the Warsaw International Mechanism, as appropriate, in an advisory role, and that report to the Executive Committee;
9. *Further decides* that decisions of the Executive Committee shall be taken by consensus;
10. *Decides* that the Executive Committee shall elect annually Co-Chairs from among its members to serve for a term of one year, with one being a member from an Annex I Party and the other being a member from a non-Annex I Party;
11. *Also decides* on other related provisions including:
- (a) If one or both Co-Chairs are absent from a particular meeting, any other member designated by the Executive Committee shall temporarily serve as the Co-Chair or Chair of that meeting;
- (b) If a Co-Chair is unable to complete the term of office, the Executive Committee shall elect a replacement to complete that term of office;
12. *Further decides* that the Executive Committee shall meet at least twice per year, while retaining its flexibility to adjust the number of meetings, as appropriate;
13. *Decides* that the Executive Committee shall convene its first meeting as soon as practical following the election of its members commencing at the twentieth session of the Conference of the Parties but no later than March 2015, and at its first meeting shall adopt its rules of procedure and begin implementing its workplan;
14. *Also decides* that the meetings of the Executive Committee shall be open to attendance by admitted observer organizations, except where otherwise decided by the Executive Committee, with a view to encouraging a balanced regional representation of observers;
15. *Further decides* that the decisions and outputs of the Executive Committee shall be made publicly available on the UNFCCC website unless decided otherwise by the Executive Committee;
16. *Decides* that English shall be the working language of the Executive Committee;
17. *Also decides* that the secretariat shall support and facilitate the work of the Executive Committee, subject to the availability of resources.

*10th plenary meeting
13 December 2014*

Decision 3/CP.20

National adaptation plans

The Conference of the Parties,

Recalling decisions 1/CP.16, 5/CP.17, 12/CP.18 and 18/CP.19,

1. *Decides* that a revision of the initial guidelines for the formulation of national adaptation plans is not necessary at this time;
2. *Recognizes* that the process to formulate and implement national adaptation plans is fundamental for building adaptive capacity and reducing vulnerability to the impacts of climate change;
3. *Reiterates* that the national adaptation plan process is a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems, and should be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;
4. *Recognizes* the continuous, iterative and long-term nature of the national adaptation plan process, and that the national adaptation plans can serve as an important tool for ensuring a common understanding and for communicating progress made towards both reducing vulnerability and integrating climate change adaptation into national and development planning;
5. *Acknowledges* the importance of communicating, in a flexible manner, what the process to formulate and implement national adaptation plans involves, as well as the outputs and outcomes of that process;
6. *Decides* that there is a need to enhance the reporting on the process to formulate and implement the national adaptation plans;
7. *Notes* that there is a need to strengthen the existing reporting related to the process to formulate and implement national adaptation plans under the Convention;
8. *Decides* to explore options for enhancing reporting related to the process to formulate and implement national adaptation plans as a part of the workshop referred to in document FCCC/SBI/2014/8, paragraph 106, and the review to monitor and evaluate progress made on the national adaptation plan process referred to in decision 5/CP.17, paragraph 37;
9. *Invites* least developed country Parties and other interested developing country Parties that are not least developed countries that may wish to do so to forward outputs, including national adaptation plan documents, and outcomes related to the process to formulate and implement national adaptation plans, to the NAP Central;
10. *Decides* to further consider how to enhance reporting related to the process to formulate and implement national adaptation plans at the forty-second session of the Subsidiary Body for Implementation (June 2015);
11. *Requests* the Adaptation Committee and the Least Developed Countries Expert Group, in collaboration with the Green Climate Fund, as an operating entity of the Financial Mechanism, to consider how to best support developing country Parties in accessing funding from the Green Climate Fund for the process to formulate and implement

national adaptation plans, and to report thereon to the Subsidiary Body for Implementation at its forty-second session.

*10th plenary meeting
12 December 2014*

Decision 4/CP.20

Report of the Adaptation Committee

The Conference of the Parties,

1. *Welcomes* the report of the Adaptation Committee;¹
2. *Also welcomes* the progress made by the Adaptation Committee in the implementation of its three-year workplan, including:
 - (a) Promoting coherence in adaptation under the Convention, in particular in collaboration with the Least Developed Countries Expert Group, the Technology Executive Committee and the Standing Committee on Finance and in the context of the Nairobi work programme on impacts, vulnerability and adaptation to climate change;
 - (b) Engaging relevant institutions, organizations, frameworks, networks and centres;
 - (c) Conducting a joint meeting with the Nairobi work programme on available tools for the use of indigenous and traditional knowledge and practices for adaptation, needs of local and indigenous communities, and the application of gender-sensitive approaches and tools for adaptation;²
 - (d) Conducting a special in-session event on promoting synergy and strengthening engagement with national, regional and international organizations, centres and networks;³
 - (e) Conducting an in-session meeting of the Adaptation Committee organized in collaboration with Intergovernmental Panel on Climate Change Working Group II;⁴
 - (f) Publishing its 2014 thematic report on institutional arrangements for national adaptation planning and implementation;⁵
3. *Notes with appreciation* the continued work of the Adaptation Committee on providing technical support and guidance to the Parties on adaptation action, including through the work carried out by the task force on national adaptation plans of the Committee;
4. *Requests* Parties, operating entities of the Financial Mechanism and other relevant entities working on adaptation to consider the recommendations contained in chapter V of the report of the Adaptation Committee, as included in the annex;
5. *Reiterates* its encouragement made in decision 2/CP.17, paragraph 103, for Parties to nominate experts to the Adaptation Committee with a diversity of experience and knowledge relevant to adaptation to climate change, while also taking into account the need to achieve gender balance in accordance with decision 36/CP.7;
6. *Welcomes* the initiation of consideration by the Adaptation Committee of its next workplan, starting in 2016.

¹ FCCC/SB/2014/2.

² See <unfccc.int/8020>.

³ See <unfccc.int/8246>.

⁴ The report on the meeting is contained in Adaptation Committee document AC/2014/24, available at <unfccc.int/8467>.

⁵ Available at <unfccc.int/6997.php#AC>.

Annex

Recommendations for the Conference of the Parties

1. The Adaptation Committee (AC) agreed to include the following recommendations in its report⁶ for consideration by the Conference of the Parties (COP) at its twentieth session.

2. The AC recommends that the COP invite Parties, operating entities of the Financial Mechanism and relevant entities working on adaptation to take into account the following recommendations, which are based on the outcomes of the meeting of the task force on national adaptation plans (NAPs) referred to in paragraphs 38 and 39 of the report of the AC referred to in paragraph 1 above:

(a) Recognizing the importance of raising awareness and buy-in for the NAP process by all stakeholders, in order to:

(i) Generate interest in, demand for and leadership of the NAP process at the national level;

(ii) Make available support for the NAP process better known;

(b) Improving coordination, collaboration and coherence among:

(i) Bilateral and multilateral agencies and institutions, including the operating entities of the Financial Mechanism;

(ii) Various national ministries;

(iii) Parties and regions, with a view to:

a. Enhancing the accessibility of NAP support;

b. Further understanding effective pathways to achieving the objectives of the NAP process, on the basis of experience;

c. Fostering coherence in the provision of support, including by better matching needs with support, involving more financial institutions in the NAP process and helping countries to prepare for accessing funding, including from the Green Climate Fund (GCF);

(c) Enhancing learning as stakeholders increasingly engage in the NAP process, particularly around aspects such as the role of institutional arrangements and monitoring and evaluation.

3. In supporting the monitoring and evaluation of adaptation, the AC recommends that the COP invite Parties, operating entities of the Financial Mechanism and relevant entities working on adaptation to take into account the following recommendations:

(a) Monitoring and evaluation frameworks need to be appropriate, relevant to needs and tailored to country circumstances. A common set of global indicators is not useful, owing to the context-specific nature of adaptation;

(b) National-level assessments can play a different role in measuring adaptive capacity from subnational or project-based assessments. National-level assessments could, for example, measure the degree of coordination and integration of adaptation in national priorities;

⁶ FCCC/SB/2014/2.

(c) A positive learning environment, which encourages formal and informal learning, including peer-to-peer learning, and which encourages learning from negative as well as positive experiences, is important;

(d) Planning and allocation of resources, both technical and financial, are key for effective monitoring and evaluation systems.

4. In the context of the monitoring and evaluation of adaptation, the AC also recommends that the COP invite the Board of the GCF, with respect to its Results Management Framework, to consider:

(a) Keeping indicators simple;

(b) Designing indicators that are qualitative as well as quantitative;

(c) Designing indicators in such a way as to capture the progress that countries are able to make in integrating adaptation into their development and sectoral planning, policies and actions;

(d) Giving countries sufficient flexibility to define their indicators in line with their national and local planning, strategies and priorities.

5. Furthermore, the AC agreed to forward the following recommendations resulting from the workshop on best practices and needs of local and indigenous communities referred to in paragraph 45 of its report referred to in paragraph 1 above for consideration by the COP. The COP may wish to:

(a) Invite Parties to underline the importance of indigenous and traditional knowledge and practices, in a manner commensurate with modern science, for the effective planning and implementation of adaptation, including by encouraging the integration of indigenous, traditional and local knowledge into the NAP process;

(b) Encourage the Adaptation Fund, the Global Environment Facility (GEF) and the GCF to enhance their consideration of local, indigenous and traditional knowledge and practices and their integration into adaptation planning and practices, as well as procedures for monitoring, evaluation and reporting.

6. Regarding the operating entities of the Financial Mechanism, the AC recommends the following actions for consideration by the COP:

(a) Inviting the Board of the GCF to consider the significant work undertaken under the Cancun Adaptation Framework and on the NAP process as it continues to provide the governance of the Fund;

(b) Inviting the Board of the GCF to engage with institutions that have started initiatives on countries' readiness to access GCF funding and exploring how more countries can benefit from such initiatives;

(c) Inviting the GEF, in supporting the NAP process and when implementing its new programming strategy on adaptation for the Least Developed Countries Fund and the Special Climate Change Fund for the period 2014–2018, to consider the findings arising from the meeting of the NAP task force referred to in paragraph 84 and the initial conclusions of the AC on the monitoring and evaluation of adaptation referred to in paragraph 85 of the report of the AC referred to in paragraph 1 above.

*10th plenary meeting
12 December 2014*

Decision 5/CP.20

Long-term climate finance

The Conference of the Parties,

Recalling Articles 4 and 11 of the Convention,

Also recalling decision 1/CP.16, paragraphs 2, 4 and 97–101, as well as decisions 1/CP.17, 2/CP.17, paragraphs 126–132, and decisions 4/CP.18 and 3/CP.19,

1. *Welcomes with appreciation* the pledges to the Green Climate Fund and to the sixth replenishment of the Global Environment Facility, and contributions to the Least Developed Countries Fund, the Special Climate Change Fund, and the Adaptation Fund;
2. *Takes note* of the in-session workshop on long-term climate finance held in 2014 and the summary report prepared by the secretariat thereon;¹
3. *Welcomes* the biennial submissions received to date from developed country Parties on updated strategies and approaches for scaling up climate finance from 2014 to 2020 as contained in decision 3/CP.19, paragraph 10, and urges those developed country Parties that have not yet done so to do so;
4. *Also welcomes* the first biennial high-level ministerial dialogue on climate finance convened in accordance with decision 3/CP.19, and looks forward to the summary of the presidency of the Conference of the Parties on the deliberations of this dialogue;
5. *Notes with appreciation* the 2014 Biennial Assessment and Overview of Climate Finance Flows Report;²
6. *Takes note* of decision 11/CP.20 on methodologies for the reporting of financial information by Parties included in Annex I to the Convention, and decision 6/CP.20 on the report of the Standing Committee on Finance;
7. *Calls* on developed country Parties to channel a substantial share of public climate funds to adaptation activities;
8. *Requests* Parties to continue to enhance their enabling environments and policy frameworks to facilitate the mobilization and effective deployment of climate finance, in accordance with decision 3/CP.19;
9. *Recognizes* that developed country Parties commit, in the context of meaningful mitigation actions and transparency on implementation, to a goal of mobilizing jointly USD 100 billion per year by 2020 to address the needs of developing countries;
10. *Requests* developed country Parties, in preparing their next round of updated biennial submissions on strategies and approaches for scaling up climate finance for the period 2016–2020, to enhance the available quantitative and qualitative elements of a pathway, placing greater emphasis on transparency and predictability of financial flows, as per decision 3/CP.19, paragraph 10;

¹ FCCC/CP/2014/3.

² Available at <http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/2014_biennial_assessment_and_overview_of_climate_finance_flows_report_web.pdf>.

11. *Also requests* the secretariat to prepare a compilation and synthesis of the biennial submissions on the strategies and approaches, to inform the in-session workshops;
12. *Further requests* the secretariat to organize annual in-session workshops through to 2020 and to prepare a summary report of the workshops for annual consideration by the Conference of the Parties and the high-level ministerial dialogue on climate finance;
13. *Decides* that the in-session workshops referred in paragraph 12 above will, in 2015 and 2016, focus on the issues of adaptation finance, needs for support to developing country Parties and cooperation on enhanced enabling environments and support for readiness activities in accordance with decision 3/CP.19, paragraph 12;
14. *Invites* the thematic bodies under the Convention, in particular the Standing Committee on Finance, the Adaptation Committee and the Technology Executive Committee, where appropriate, to consider the long-term finance issues referred in decision 3/CP.19, paragraph 12, when implementing their 2015–2016 workplans, as an input to the in-session workshops referred to in paragraph 12 above.

*10th plenary meeting
13 December 2014*

Decision 6/CP.20

Report of the Standing Committee on Finance

The Conference of the Parties,

Recalling Articles 4 and 11 of the Convention,

Also recalling decisions 1/CP.16, paragraph 112, and 2/CP.17, paragraphs 120 and 121, as well as decisions 5/CP.18 and 7/CP.19,

1. *Welcomes, and notes with appreciation,* the report of the Standing Committee on Finance;¹
2. *Also welcomes* the transparency and openness with which the Standing Committee on Finance conducts its work;
3. *Endorses* the workplan of the Standing Committee on Finance for 2015;²
4. *Expresses its appreciation* for the financial contributions provided by the Governments of Belgium, Japan, Norway and Switzerland and the European Union in order to support the implementation of the work programme of the Standing Committee on Finance, and *recalls* decision 2/CP.17, paragraph 124;
5. *Invites* the Standing Committee on Finance to further strengthen its engagement with all relevant stakeholders and bodies of the Convention;
6. *Welcomes* the progress achieved by the Standing Committee on Finance through the successful completion of the 2014 biennial assessment and overview of climate finance flows covering the period 2010–2012;
7. *Notes with appreciation* the 2014 Biennial Assessment and Overview of Climate Finance Flows Report;³
8. *Invites* the relevant bodies under the Convention to take note of the summary and recommendations by the Standing Committee on Finance on the 2014 biennial assessment and overview of climate finance flows;⁴
9. *Requests* relevant technical bodies to consider the recommendations contained in the report on the 2014 biennial assessment and overview of climate finance flows as part of their ongoing deliberations related to climate finance;
10. *Also requests* the Standing Committee on Finance, as part of its ongoing work on measurement, reporting and verification of support, and with a view to recommending improvements to the methodologies for reporting financial information, to consider the findings and recommendations of the biennial assessment in its annual report to the Conference of the Parties for its consideration at its twenty-first session (November–December 2015);
11. *Further requests* the Standing Committee on Finance, in the context of its ongoing work, including the preparation of the biennial assessment and overview of climate finance

¹ FCCC/CP/2014/5.

² FCCC/CP/2014/5, annex VIII.

³ <http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/2014_biennial_assessment_and_overview_of_climate_finance_flows_report_web.pdf>.

⁴ FCCC/CP/2014/5, annex II.

flows, to further explore how it can enhance its work on the measurement, reporting and verification of support, based on the best available information on the mobilization of various resources, including private and alternative resources, through public interventions;

12. *Requests* the Standing Committee on Finance to include, in its report to the Conference of the Parties at its twenty-first session, information on progress made in the implementation of its 2015 workplan, taking into account paragraphs 4–7 of decision 11/CP.20 on methodologies for the reporting of financial information by Parties included in Annex I to the Convention;

13. *Welcomes* the 2014 Standing Committee on Finance forum on the mobilization of adaptation finance;⁵

14. *Takes note* of the report of the 2014 Standing Committee on Finance forum;⁶

15. *Notes with appreciation* the progress of the work by the Standing Committee on Finance on the issue of financing for forests, taking into account different policy approaches;⁷

16. *Looks forward* to the third forum of the Standing Committee on Finance, taking place in 2015, which will focus on issues related to finance for forests;⁸

17. *Encourages* the Standing Committee on Finance to continue to engage with all relevant actors working on forests in the preparation of the forum, with a view to ensuring broad participation;

18. *Invites* the Standing Committee on Finance to consider, in the context of its forum on issues related to finance for forests, inter alia, decisions relevant to activities referred to in decision 1/CP.16, paragraph 70, including decisions 1/CP.16, 2/CP.17 and 12/CP.17 as well as decisions 9/CP.19 to 15/CP.19;

19. *Endorses* the recommendations on the provision of guidance to the operating entities provided in paragraph 10 of the report of the Standing Committee on Finance to the Conference of the Parties;⁹

20. *Requests* the Standing Committee on Finance to provide advice on the issue of the frequency of guidance to the Financial Mechanism and to report back to the Conference of the Parties at its twenty-first session;

21. *Welcomes* the inputs of the Technology Executive Committee and the Adaptation Committee to the work of the Standing Committee on Finance for its consideration in preparing elements of draft guidance to the operating entities;

22. *Requests* the Standing Committee on Finance to consider issues related to possible future institutional linkages and relations between the Adaptation Fund and other institutions under the Convention;

23. *Decides*, in accordance with decision 2/CP.17, annex VI, paragraph 10, to conduct the review of the functions of the Standing Committee on Finance no later than at the twenty-third session of the Conference of the Parties (November 2017);

⁵ See <http://unfccc.int/cooperation_and_support/financial_mechanism/standing_committee/items/8138.php>.

⁶ <http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/2nd_scf_forum_for_web.pdf>.

⁷ Decision 7/CP.19, paragraph 11.

⁸ Decision 9/CP.19, paragraph 20.

⁹ FCCC/CP/2014/5.

24. *Requests* the Standing Committee on Finance to consider the guidance provided to the Standing Committee on Finance in other decisions of the Conference of the Parties.

*10th plenary meeting
13 December 2014*

Decision 7/CP.20

Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund

The Conference of the Parties,

Recalling Articles 4 and 11 of the Convention,

Taking into account decision 11/CP.1,

Recalling decisions 1/CP.16, 3/CP.17, 1/CP.18, 6/CP.18, 7/CP.18, 4/CP.19 and 5/CP.19,

1. *Welcomes* the report of the Green Climate Fund to the Conference of the Parties,¹ in particular the detailed and comprehensive list of responses of the Green Climate Fund Board to guidance received from the Conference of the Parties;²
2. *Notes with appreciation* the progress made by the Green Climate Fund, and the information contained thereon in the report of the Green Climate Fund, in particular the decision on the confirmation of the completion of the essential requirements and the commencement of the initial resource mobilization process;
3. *Welcomes with appreciation* the successful and timely initial resource mobilization process of the Green Climate Fund that led to the mobilization of USD 10.2 billion to date by contributing Parties,³ enabling the Green Climate Fund to start its activities in supporting developing country Parties of the Convention, and making it the largest dedicated climate fund;
4. *Requests* the Green Climate Fund to ensure that the ongoing resource mobilization efforts are commensurate with the ambitions of the Fund, and *calls* for contributions by other developed country Parties,⁴ as well as *invites* financial inputs from a variety of other sources, public and private, including alternative sources,⁵ throughout the initial resource mobilization process;
5. *Urges* the Green Climate Fund, the Interim Trustee, and contributors to confirm the pledges in the form of fully executed contribution agreements/arrangements, taking note that the commitment authority of the Green Climate Fund will become effective when 50 per cent of the contributions pledged by the November 2014 pledging session are reflected in fully executed contribution agreements/arrangements received by the secretariat no later than 30 April 2015 as provided for in Green Climate Fund Board decision B.08/13, annex XIX, paragraph 1(c);
6. *Notes* Green Climate Fund Board decisions, including the decisions made at its 8th meeting, regarding the formal replenishment process for the Fund;

¹ As contained in document FCCC/CP/2014/8.

² As contained in sections II and III of document FCCC/CP/2014/8.

³ Australia, Austria, Belgium, Canada, Colombia, Czech Republic, Denmark, Finland, France, Germany, Indonesia, Italy, Japan, Liechtenstein, Luxembourg, Mexico, Monaco, Mongolia, Netherlands, New Zealand, Norway, Panama, Peru, Republic of Korea, Spain, Sweden, Switzerland, United Kingdom of Great Britain and Northern Ireland, and United States of America.

⁴ As per decision 4/CP.19, paragraph 13.

⁵ As per decision 4/CP.19, paragraph 15.

7. *Welcomes* Green Climate Fund Board decision B.08/07 to start taking decisions on the approval of projects and programmes no later than its 3rd meeting in 2015;
8. *Requests* the Board of the Green Climate Fund to accelerate the operationalization of the adaptation and mitigation windows, and to ensure adequate resources for capacity-building and technology development and transfer, consistent with paragraph 38 of the Governing Instrument;⁶
9. *Also requests* the Board of the Green Climate Fund to accelerate the operationalization of the private sector facility by aiming to ensure that private sector entities and public entities with relevant experience in working with the private sector are accredited in 2015, expediting action to engage local private sector actors in developing country Parties, including small- and medium-sized enterprises in the least developed countries, small island developing States and African States, emphasizing a country-driven approach, expediting action to mobilize resources at scale, and developing a strategic approach to engaging with the private sector;
10. *Further requests* the Board of the Green Climate Fund, in the implementation of its 2015 workplan, to complete its work related to policies and procedures to accept financial inputs from non-public and alternative sources, the investment and risk management frameworks of the Green Climate Fund, the impact analysis on its initial results areas, including options for determining Board level investment portfolios across the structure of the Fund,⁷ and the approval process of the Fund, including methodologies for selecting programmes and projects that best achieve the objectives of the Fund;⁸
11. *Requests* the Board of the Green Climate Fund to consider ways by which to further increase the transparency of its proceedings;
12. *Also requests* the Board of the Green Climate Fund to accelerate the implementation of its work programme on readiness and preparatory support, ensuring that adequate resources are provided for its execution, including from the initial resource mobilization process, providing urgent support to developing countries, in particular the least developed countries, small island developing States and African States, led by their national designated authorities or focal points to build institutional capacities in accordance with Green Climate Fund Board decision B.08/11;
13. *Encourages* the timely implementation of the accreditation framework and *requests* the Board of the Green Climate Fund, in its implementation, to pay adequate attention to the priorities and needs of developing country Parties, including the least developed countries, small island developing States and African States, emphasizing the need to provide readiness support to those national and regional entities eligible for fast tracking that request it;
14. *Invites* developing country Parties to expedite the nomination of their national designated authorities and focal points as soon as possible, as well as the selection of their national and subnational implementing entities, to facilitate their engagement with the Green Climate Fund;
15. *Requests* the Board of the Green Climate Fund, when deciding its policies and programme priorities, to consider the information and lessons learned through engagement with other relevant bodies under the Convention, and other relevant international institutions;

⁶ Annex to decision 3/CP.17.

⁷ Green Climate Fund Board decision B.08/07, paragraph (l).

⁸ Green Climate Fund Board decision B.07/03, paragraph (b).

16. *Also requests* the Green Climate Fund to enhance its collaboration with existing funds under the Convention and other climate relevant funds in order to enhance the complementarity and coherence of policies and programming at the national level;
17. *Further requests* the Board of the Green Climate Fund to further enhance the participation of all stakeholders in accordance with paragraph 71 of the Governing Instrument and other relevant Board decisions;
18. *Requests* the Board of the Green Climate Fund:
- (a) To develop a monitoring and accountability framework in accordance with Green Climate Fund Board decision B.08/02;
- (b) To consider decisions relevant to REDD-plus,⁹ including decisions 1/CP.16, 2/CP.17, 12/CP.17 and decisions 9/CP.19, 10/CP.19, 11/CP.19, 12/CP.19, 13/CP.19, 14/CP.19 and 15/CP.19;
19. *Urges* the Green Climate Fund to ensure that staff selection is open, transparent and based on merit without discrimination, taking into account geographical and gender balance, in accordance with the administrative policies of the Green Climate Fund;¹⁰
20. *Takes note* of Green Climate Fund Board decision B.08/24 on the institutional linkage between the United Nations and the Green Climate Fund, and *requests* the Board of the Green Climate Fund to continue further deliberations on privileges and immunities, and to report on this matter to the Conference of the Parties at its twenty-first session (November–December 2015);
21. *Urges* developing country Parties to enter into bilateral agreements with the Green Climate Fund based on the template to be approved by the Board of the Green Climate Fund, in order to provide privileges and immunities for the Fund, in accordance with Green Climate Fund Board decision B.08/24, paragraph (b);
22. *Requests* the Board of the Green Climate Fund to report biennially to the Conference of the Parties on the status of existing privileges and immunities with regard to its operational activities, starting at the twenty-first session of the Conference of the Parties;
23. *Also requests* the Board of the Green Climate Fund to make available its annual report in a timely manner and no later than 12 weeks prior to a session of the Conference of the Parties in accordance with decision 6/CP.18, paragraph 15, for due consideration by Parties;
24. *Further requests* the Green Climate Fund to include in its annual report to the Conference of the Parties the recommendations of its independent redress mechanism, if any, and any actions taken by the Board in response to those recommendations;¹¹
25. *Requests* the Board of the Green Climate Fund to report to the Conference of the Parties at its twenty-first session on progress made in the implementation of this decision, as well as the elements and provisions of the guidance contained in decisions 3/CP.17, 6/CP.18, 4/CP.19 and 5/CP.19;
26. *Invites* Parties to submit to the secretariat annually, and no later than 10 weeks prior to the subsequent session of the Conference of the Parties, their views and recommendations in writing on the elements to be taken into account in developing guidance to the Green Climate Fund;

⁹ 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.

¹⁰ Green Climate Fund Board decision B.06/03, annex I.

¹¹ In accordance with the annex to decision 5/CP.19, paragraph 9.

27. *Requests* the secretariat to compile the submissions referred to in paragraph 26 above into a miscellaneous document for consideration by Parties in developing guidance through the Standing Committee on Finance to the Green Climate Fund.

*10th plenary meeting
13 December 2014*

Decision 8/CP.20

Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility

The Conference of the Parties,

Recalling decisions 12/CP.2, 3/CP.16, 5/CP.16, 7/CP.16, 11/CP.17, 9/CP.18 and 6/CP.19,

Taking note with appreciation of the annual report of the Global Environment Facility to the Conference of the Parties,¹

Taking note of the recommendations of the Standing Committee on Finance contained in its report to the Conference of the Parties with regard to the provision of draft guidance to the Global Environment Facility,²

1. *Welcomes with appreciation* the sixth replenishment of the Global Environment Facility (July 2014 to June 2018), while urging countries that have not fulfilled their pledges for the fifth replenishment of the Global Environment Facility to do so as soon as possible;
2. *Notes* that the amount of funding available for the climate change focal area was reduced in the sixth replenishment period of the Global Environment Facility and that the country allocation of some countries, including some least developed countries, small island developing States, and African States has decreased as a consequence, while highlighting that funding for climate change related interventions at the Global Environment Facility has continued to increase with pilot integrated approaches;
3. *Welcomes* the pledges and contributions made to the Least Developed Countries Fund and the Special Climate Change Fund, and *calls* for continued support to these funds;
4. *Notes* the actions being taken by the Global Environment Facility to expedite its project cycle;
5. *Encourages* the Global Environment Facility to continue to cooperate with all its implementing and project agencies as well as recipient countries in order to improve its project cycle, taking into account the report of the fifth overall performance study of the Global Environment Facility³ and the recommendations contained therein;
6. *Also encourages* the Global Environment Facility to continue to increase the overall transparency and openness of its operations, particularly with regard to the disclosure of information on the status of the implementation of projects and programmes, the project-level accountability of its implementing agencies and with respect to the timely disbursement of funds, as well as the advice provided to countries on co-financing;
7. *Welcomes* the gender mainstreaming policy of the Global Environment Facility;
8. *Requests* the Global Environment Facility to ensure that gender mainstreaming is implemented both within its portfolio and within its structure;

¹ FCCC/CP/2014/2 and Add.1.

² Annex V to document FCCC/CP/2014/5.

³ Global Environment Facility Evaluation Office, 2014, *Fifth Overall Performance Study of the GEF: At the Crossroads for higher Impact*.

9. *Takes note* of the policy on co-financing of the Global Environment Facility and the concerns regarding the implementation of this policy as raised by some Parties;
10. *Encourages* the Global Environment Facility to improve the communication of its co-financing policy so that it is better understood and appropriately applied by accredited project agencies and the implementing agencies of the Global Environment Facility, while acknowledging the potential impacts of this policy on developing country Parties, in particular the least developed countries, small island developing States, and African States;
11. *Also encourages* the Global Environment Facility to finalize the accreditation of project agencies and to share, in its next report to the Conference of the Parties, lessons learned and progress made in its pilot accreditation of project agencies, particularly in the least developed countries, small island developing States and African States;
12. *Requests* the Global Environment Facility to continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention receive funding to meet their obligations under Article 12, paragraph 1, of the Convention;
13. *Invites* Parties to submit to the secretariat annually, in writing, and no later than 10 weeks prior to the subsequent session of the Conference of the Parties, their views and recommendations on the elements to be taken into account in developing guidance to the Global Environment Facility;
14. *Requests* the Standing Committee on Finance to take into consideration the submissions referred to in paragraph 13 above when providing draft guidance to the Global Environment Facility for consideration by the Conference of the Parties;
15. *Also requests* the Global Environment Facility to include, in its annual report to the Conference of the Parties, information on the steps that it has taken to implement the guidance provided in this decision.

*10th plenary meeting
13 December 2014*

Decision 9/CP.20

Fifth review of the Financial Mechanism

The Conference of the Parties,

Recalling decisions 3/CP.4, 2.CP.12, 1/CP.16, 2/CP.16 and 8/CP.19,

Welcoming the progress made by the Board of the Green Climate Fund in operationalizing the Green Climate Fund,

Noting that the fifth review of the Financial Mechanism focused on the Global Environment Facility owing to the fact that the Green Climate Fund is still developing its operations and that therefore it was premature to review many aspects of the Green Climate Fund,

1. *Welcomes with appreciation* the expert input to the fifth review of the Financial Mechanism provided by the Standing Committee on Finance, contained in the technical paper referred to in paragraph 3 below;
2. *Encourages* the Standing Committee on Finance to build on the same methodology and criteria in future reviews of the Financial Mechanism;
3. *Acknowledges* the executive summary of the technical paper on the fifth review¹, as contained in the annex, including the conclusions and recommendations made by the Standing Committee on Finance;
4. *Encourages* the operating entities of the Financial Mechanism to address, as appropriate, these recommendations in their future work, particularly with regard to the complementarity between the operating entities of the Financial Mechanism;
5. *Recognizes* the general positive assessment of the performance of the Global Environment Facility;
6. *Notes*, however, that the least developed countries and small island developing States still experience challenges in accessing the resources from the Global Environment Facility;
7. *Decides* to consider the timing of guidance provided by the Conference of the Parties to the operating entities of the Financial Mechanism, especially that guidance which has resource implications vis-à-vis the replenishment cycles of the operating entities of the Financial Mechanism, in order to ensure that key guidance is fully considered in the programming strategies and policy recommendations associated with each replenishment period of the operating entities of the Financial Mechanism;
8. *Also decides* to initiate the sixth review of the Financial Mechanism at its twenty-second session (November 2016), in accordance with the criteria contained in the guidelines annexed to decision 8/CP.19, or as these guidelines may be subsequently amended;
9. *Requests* the Standing Committee on Finance to provide expert input to the sixth review of the Financial Mechanism in 2017 with a view to the review being completed by the Conference of the Parties at its twenty-third session (November 2017).

¹ SCF/TP/2014/1.

Annex

Executive summary of the technical paper on the fifth review of the Financial Mechanism

I. Background

1. At its 6th meeting, the Standing Committee on Finance requested the secretariat to prepare a technical paper that will inform the Committee in its deliberations on the effectiveness of the Financial Mechanism and in the drafting of its expert inputs, which will be submitted to the Conference of the Parties (COP) at its twentieth session. The technical paper builds on the criteria for the review agreed by Parties at COP 19.¹ These criteria have been grouped in the following clusters of issues: (i) governance; (ii) responsiveness to COP guidance; (iii) mobilization of financial resources; (iv) delivery of financial resources; (v) results and impacts achieved with the resources provided; (vi) consistency of the activities of the Financial Mechanism with the objectives of the Convention; (vii) consistency and complementarity of the Financial Mechanism with the other sources of investment and financial flows.

2. This technical paper is informed by desk research and literature review of the sources of information identified in the updated guidelines,² complemented with past decisions related to the Financial Mechanism as well as inputs from the secretariats of the operating entities of the Financial Mechanism. Interviews with the stakeholders of the operating entities of the Financial Mechanism were also undertaken in order to generate further information. Furthermore, the technical paper also benefited from information included in the 2014 biennial assessment and overview of financial flows prepared by the Standing Committee on Finance. As there was a time limitation, it was not possible to expand the research beyond the available literature and conduct surveys on an appropriate sample of recipient countries in order to complement the areas where updated information was not available. Such an approach, however, could be undertaken in preparing for the sixth review of the Financial Mechanism.

3. The Standing Committee on Finance, having considered the technical paper, prepared this executive summary to form its expert input to the fifth review of the Financial Mechanism.

II. Key insights, conclusions and possible recommendations

A. Governance

1. Transparency of the decision-making process of the operating entities

4. An independent assessment by Transparency International evaluated the decision-making process of the Global Environment Facility (GEF) as being fairly transparent and democratic to all its stakeholders. The stakeholders of the GEF include the Parties to the relevant Conventions, the COP, donors, civil society organizations and non-governmental organizations. Decisions of the GEF Assembly and the GEF Council are made by consensus, following consultation with stakeholders who have advance access to background documents, which are prepared for these two decision-making bodies. The

¹ Annex to decision 8/CP.19.

² As footnote 1 above.

meetings of the GEF Council are webcast and all Council documents and decisions are available online.³

5. While it was found that there is transparency at the level of the GEF Assembly and the GEF Council, Transparency International indicated that there remains room for improvement with regard to transparency in information disclosure by GEF agencies to GEF stakeholders. Furthermore, the fourth overall performance study of the GEF⁴ also highlighted a lack of transparency at the identification phase of GEF projects.

6. Owing to the fact that the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) follow the policies, procedures and governance structure of the GEF, their stakeholders experience similar challenges to the GEF regarding transparency and accountability at the level of project implementation.

7. The governance structure of the Green Climate Fund (GCF) follows a constituency model, with an established board composed of an equal number of members from developed and developing countries. The GCF Board is independent, accountable to the COP and aims to promote transparent decision-making. The Board members are selected by their respective constituency or by a regional group within their constituency. The GCF Board meetings are not webcast but they are recorded, and the recordings are made available online⁵ three weeks after the meeting for registered users, while the meeting documents are made publicly available online⁶ before each meeting of the Board.

Conclusions

8. Based on the review by Transparency International, there is evidence that the decision-making process at the GEF is transparent. The operations and interactions of the implementing agencies of the GEF with the recipient countries during project implementation could benefit from further transparency of information disclosure on the status of implementation of the projects. This transparency is particularly critical in those recipient countries where project implementation capacity is weak.

9. With respect to the transparency at the project preparation phase, the review found that the national portfolio formulation exercises (NPFs) promoted by the GEF during the fifth replenishment period of the GEF (GEF 5) has helped to improve the transparency of project preparation. Recipient countries are therefore encouraged to continue to undertake the NPFs in order to facilitate the identification of projects.

2. Level of stakeholder involvement

10. The GEF has fostered a high level of participation from civil society organizations (CSOs), and the private sector. The GEF Civil Society Organization Network, which comprises all accredited CSOs to the GEF, takes part in the GEF process from upstream policy development to project implementation at both national and local levels. The GEF Council meetings are preceded by a meeting of the GEF Civil Society Organization Network, and in addition, two CSO representatives participate in GEF Council meetings as observers and are invited to make interventions during those meetings. The GEF is currently reviewing the Policy on Public Involvement in GEF projects, in consultation with the GEF Civil Society Organization Network, in order to formulate draft guidelines for public involvement to be presented to the GEF Council in October 2014.

³ <http://www.thegef.org/gef/council_meetings>.

⁴ Available at <<http://www.thegef.org/gef/OPS4>>.

⁵ <<http://www.gcfund.org/meetings.html>>.

⁶ As footnote 5 above.

11. The Governing Instrument of the GCF mandates the GCF Board to make arrangements, including developing and operating accreditation processes, to allow for effective participation by accredited observers in its meetings and to invite, to participate as active observers, two civil society representatives: one each from developing and developed countries, and two private sector representatives, one each from developing and developed countries.

12. The GCF Board adopted additional rules of procedure for the Board relating to observers and an accreditation process for observers to the Fund was put in place. To date, 183 organizations including CSOs, private sector organizations and international entities have been accredited as observers to GCF Board meetings. Furthermore, all four accredited active observers from civil society and the private sector participate in GCF Board meetings and are invited to make interventions.

Conclusion and recommendation

13. The GEF has been successful in ensuring stakeholder involvement both at the level of the GEF Council and in project implementation.

14. The GCF could build on the experience of and lessons learned from the GEF in terms of stakeholder involvement. In this regard, the GCF may consider establishing a robust consultative process with its observers in order to ensure that adequate and timely consultation is undertaken with respect to the development of its policies, procedures, guidelines, and, later on, during the implementation of programmes and projects of the Fund.

3. Gender-sensitive approaches

15. The sub-study on gender mainstreaming made in the context of the fifth overall performance study of the GEF found that the GEF secretariat had made significant efforts to implement a gender mainstreaming policy, while there was scope for improvement in the application of the policy by GEF agencies. In addition, the policy recommendation of the sixth replenishment period of the GEF on further work on gender mainstreaming emphasized that more concerted efforts need to be made in order to enhance gender mainstreaming within the GEF. Accordingly, the GEF secretariat is currently developing a Gender Action Plan, which will identify ways to enhance gender mainstreaming, including the use of relevant gender-sensitive indicators and sex-disaggregated data. The Action Plan will be presented to the GEF Council in October 2014.

16. In the light of the provisions of its governing instrument to take a Fund-wide “gender-sensitive approach”, the GCF has committed to integrating gender considerations in its procedures and operational modalities. At its seventh meeting, the GCF Board approved an initial results management framework with provisions for sex-disaggregated indicators, including initial criteria for assessing programmes and projects proposals that include gender aspects. The GCF secretariat is currently preparing a draft gender action policy and action plan for consideration by the Board at its meeting in October 2014.

Conclusion and recommendation

17. The GEF has made considerable progress in mainstreaming gender into its activities. Since there is scope for improvement, an action plan is to be approved by the GEF Council in October 2014 and the results of this progress are expected to be reflected in the programmes and projects of the GEF.

18. In developing its own approach to gender mainstreaming, the GCF could build on the experience of the GEF. It is recommended that gender equality be integrated in the structure and organization of the GCF itself, and that gender-sensitive criteria be taken into account in funding approvals of the Fund.

4. Environmental and social safeguards

19. The GEF Policy on Agency Minimum Standards on Environment and Social Safeguards applies across all GEF agencies. Moreover, all entities seeking to be accredited must demonstrate not only that their internal policies and procedures comply with minimum standards, but also that the entities themselves have the institutional capacities and systems in place to implement those standards. To date, all existing GEF agencies are in compliance with the environmental and social safeguards of the GEF.

20. The GCF Board has adopted, on an interim basis, the International Financial Corporation's IFC Performance Standards on Environmental and Social Sustainability, with a view to developing its own environmental and social safeguard policy within three years of becoming operational.

Conclusion and recommendation

21. As the GCF is developing its own environment and social safeguards, it should consider consistency with the safeguards of the GEF.

22. Since the GCF will also be using financial intermediaries such as commercial banks, it is recommended that the GCF also develop an appropriate oversight mechanism to ensure that the institutions to which these intermediaries will channel funding also comply with the environmental policies and social safeguards of the GCF.

5. Fiduciary standards

23. The minimum fiduciary standards of the GEF build on international best practices. GEF agencies are responsible for monitoring and implementing these standards. To date, all existing GEF agencies are in compliance with the minimum fiduciary standards established by the GEF.

24. At its 7th meeting, the GCF Board adopted initial fiduciary principles and standards, which will be reviewed within three years of their adoption. The GCF Board also requested the secretariat to develop, under the guidance of an accreditation panel established by the Board, additional specialized fiduciary standards that may be deemed necessary in order to effectively accommodate all capacities that are required in implementing entities and intermediaries in the initial phase of operations of the Fund.

Recommendation

25. As it monitors the use of its initial fiduciary standards and reviews those standards within the next three years, the GCF should consider maintaining consistency with the standards of the GEF.

B. Responsiveness to Conference of the Parties guidance

1. Level of responsiveness to Conference of the Parties guidance

26. In assessing the responsiveness of the GEF to COP guidance, the fifth overall performance study found that the guidance by the COP is fully reflected in the strategies of the GEF and that requests from the COP are largely taken into account in programming GEF resources. It concludes that the level of responsiveness of the GEF to COP guidance is high both at the strategic and portfolio levels.

27. Some of the Parties and stakeholders of the GEF viewed the GEF to be slow in operationalizing some of the guidance provided by the COP. The fifth overall performance study of the GEF, however, indicated that there are a few issues that made it difficult for the GEF to respond to the guidance received including: (i) the lack of clarity and

prioritization in the guidance; (ii) the repetitive nature of the guidance, which has led to an enormous volume of requests to the GEF; and (iii) the timing of the provision of guidance that falls between replenishments of the GEF.

Conclusion and recommendation

28. The Evaluation Office of the GEF has found that the GEF is highly responsive to COP guidance, and that it has taken considerable steps to report to the COP in this regard. The GEF is encouraged to continue to provide information on how it has responded to the guidance it has received via its report to the COP.

29. As the GCF is under development, it is too early to assess the level of its responsiveness to COP guidance. However, the efforts made by the GCF Board to respond to COP guidance can be acknowledged.

2. Efficiency of the Global Environment Facility project cycle

30. The GEF has been making considerable efforts over the past 10 years to improve the efficiency of its project cycle. Full size projects (FSPs) approved during the first replenishment period of the GEF took an average of 36 months to progress through the project preparation cycle. This already lengthy preparation time increased to 50 months for projects during the second replenishment period of the GEF, and to 66 months for projects during the third replenishment period of the GEF. However, during GEF 5, the average time for preparation of GEF project cycle dropped to 18.5 months, as the GEF Council established a standard time frame of 18 months for project preparation.

31. Since 2012, the GEF has undertaken a series of measures that seek to improve the efficiency of its project cycle, including a pilot project for the harmonization of the GEF and World Bank project cycles. The policy recommendation of the sixth replenishment period of the GEF (GEF 6) on improving the efficiency of the GEF project cycle requested the GEF secretariat to continue to review the performance of the GEF against the current time frame standard of 18 months from GEF Council approval and endorsement by the Chief Executive Officer of the GEF to identify: (i) more effective measures with which to expedite project preparation; and (ii) an appropriate standard project cycle time frame for the GEF 6.

32. Consequently, the GEF secretariat will prepare, for consideration by the GEF Council at its meeting in October 2014, a set of further measures to improve the policies and procedures associated with the full project cycle, including the programmatic approach and a proposal for a policy on the cancellation of projects that exceed time frame targets for project preparation as requested by the GEF Council at its November 2013 meeting.

Conclusion

33. It is recognized that the GEF has undertaken measures to improve the length and efficiency of its project cycle over the years. These measures have resulted in significant improvements and the GEF is encouraged to continue undertaking such measures.

C. Mobilization of financial resources

1. Amount of resources provided to developing countries

34. The GEF Trust Fund has been the primary source of grants provided to developing countries through the Financial Mechanism. Funding for climate change mitigation by the GEF has increased steadily from the GEF pilot phase to GEF 5. As at June 2014, the GEF has funded 787 projects on climate change mitigation amounting to more than USD 4.5 billion. Specifically, during GEF 5, about USD 1.2 billion of GEF funding was

programmed for direct mitigation projects. Moreover in April 2014, donors pledged USD 4.43 billion to the GEF for GEF 6 (July 2014 to June 2018).

35. With the complete programming of the USD 50 million allocation for the strategic priority on adaptation under the GEF Trust Fund, funding in support of adaptation at the GEF is now delivered directly through the LDCF and the SCCF. As at 30 June 2014, about USD 1.3 billion overall has been programmed by the GEF for adaptation.

36. The LDCF and the SCCF rely on voluntary contributions from developed countries and have experienced increasing trends in contributions. Cumulative pledges to the LDCF went from USD 292 million in October 2010 to about USD 900 million in June 2014 (96 per cent has been disbursed by developed countries), while cumulative pledges to the SCCF went from USD 167 million in October 2010 to about USD 344 million in June 2014 (94 per cent has been disbursed by developed countries).

37. An important milestone was achieved at the 7th meeting of the GCF Board, when it completed the eight essential requirements for the Fund to receive, manage, programme and disburse resources, and thereby decided to commence the process for an initial resource mobilization. Although no numerical figure or target was defined for this initial resource mobilization, it was agreed that it would be commensurate with the ambition of the Fund to promote the paradigm shift towards low-emission and climate-resilient development pathways in developing countries.

Conclusion

38. The GEF has mobilized resources via a replenishment process (GEF Trust Fund) and voluntary channels for the LDCF and the SCCF. Additional resources are mobilized by co-financing for GEF funds. Through the aforementioned resources, combined, the GEF has raised considerable funds for climate change.

2. Amount of finance leveraged and modalities of co-financing

39. From the estimates of co-financing ratios achieved by the GEF, climate change has attained the highest co-financing ratios. As a result, climate change constitutes about 50 per cent of the total co-financing mobilized by the GEF. However, caution should be exercised when looking at these ratios, as they mask a high variability in these ratios at the project level, and the flexibility accorded by the GEF to least developed countries (LDCs) and small island developing States (SIDS), from which a higher level of co-financing is not necessarily requested during the approval process.

40. National governments have been the main source of co-financing (equivalent to about 41 per cent of the fourth replenishment of the GEF (GEF 4) and GEF 5 co-financing that has been mobilized), followed by the GEF agencies as the second highest provider of co-financing (about 25 per cent of GEF 4 and GEF 5 total co-financing), the private sector and bilateral, multilateral sources, foundations or NGOs.

41. Two main issues have been raised within the GEF partnership with regards to co-financing. The first is the lack of clarity in the definition and application of co-financing by the GEF. The second is that the process for seeking co-financing can delay the project cycle significantly. At its 46th meeting, in May 2014, the GEF Council approved a “revised co-financing policy”,⁷ in response to the policy recommendations of GEF 6 on co-financing and the request made by the COP to the GEF, in order to clarify the concept of co-financing and its application to the review of funding proposals. The new policy clarifies the definition of co-financing and approaches to promoting effective co-financing. It also sets a

⁷ Available at <http://www.thegef.org/gef/sites/thegef.org/files/documents/document/Co-financing_Policy.pdf>.

goal for the overall GEF portfolio of reaching a co-financing ratio of at least USD 6 (co-financing) to USD 1 (GEF) with the expectation of greater co-financing in upper middle income countries that are not SIDS. There are no project-specific co-financing requirements.

Conclusion and recommendation

42. In order to expedite the project cycle during GEF 6, the GEF should ensure that its co-financing policy is clearly understood and appropriately applied by accredited GEF project agencies and GEF implementing agencies.

3. Adequacy, predictability and sustainability of funds

43. With a replenishment process taking place every four years, funding to the GEF Trust Fund is provided in a predictable and sustainable manner by developed countries. As no assessment of the financing needs of developing countries has been agreed on at the level of the Convention, it is challenging to assess the adequacy of the financing provided to the GEF. Furthermore, since GEF is only a channel through which financial support is provided to developing countries, an assessment of the adequacy of resources mobilized for developing countries that looks only at the operating entities of the Financial Mechanism will be misleading because of its narrow scope.

44. Through the application of its System for Transparent Allocation of Resources (STAR), the GEF has made the funding for its recipient countries, especially SIDS and LDCs, fairly predictable. The midterm evaluation undertaken by the GEF Independent Evaluation Office highlighted that STAR has contributed to making GEF operations more relevant to country needs and priorities and has led to greater transparency in GEF operations. As a result, high levels of utilization of STAR allocations were experienced during GEF 5 by all GEF recipients, with an 85 and 80 per cent utilization of overall STAR allocations by SIDS and the LDCs, respectively. Moreover, the GEF 6 policy recommendation on updating STAR stipulates measures to increase the funding allocations for the LDCs.

45. Although the LDCF has seen considerable growth over recent years, additional contributions are needed if the Fund is to meet the full costs of addressing the urgent and immediate adaptation needs of the LDCs. For example, as at September 2014, no resources were available for new funding approvals under the LDCF, whereas resources amounting to USD 41.8 million were sought for five full-sized projects that had been technically cleared by the GEF secretariat. For the next GEF cycle (2014–2018), the GEF has estimated the financing needs of the LDCF at USD 700–900 million.

46. Despite a successful record both in terms of positive evaluations and accelerated approval and disbursement rates, the main obstacle to adaptation programming under the SCCF remains the lack of adequate and predictable resources. Given the continued high demand for resources from the SCCF, the GEF has reported that, for example during the fiscal year 2014, the SCCF could meet less than 30 per cent of the demand reported in the priority project documents submitted to the GEF secretariat for technical review and in the relevant work programme entry. The GEF has estimated the financing needs of the SCCF for 2014–2018 at USD 400–500 million.

47. STAR does not apply to LDCF and SCCF funding. However, the LDCF applies a principle of 'equitable access' to ensure that funding is available to all LDCs. This principle includes a ceiling intended to prevent countries with strong institutional capacity in preparing projects from depleting the limited resources of the LDCF, to the disadvantage of other LDCs. In April 2014, the ceiling was increased from USD 20 million to USD 30 million in response to the significant, additional contributions received between June and December 2013.

48. The GCF is expected to eventually have a replenishment process, as the GEF does. The GCF will aim for an equal allocation of finance to mitigation and adaptation projects over time, and for at least 50 per cent of the adaptation finance to be allocated to particularly vulnerable countries, including the LDCs, SIDS and the African States. The Board has also decided to maximize the engagement of the private sector, including through significant allocation to the Private Sector Facility of the Fund.

Conclusion and recommendations

49. The financing for climate change from the GEF Trust Fund increased significantly from GEF 4 to GEF 5. While the allocation to the GEF 6 climate change focal area has slightly decreased compared with GEF 5, there are several climate-relevant components in the new integrated approaches and within the sustainable forest management set-aside. Overall, financing for climate change related interventions has continued to increase from GEF 5 to GEF 6. Moreover, the GEF Trust Fund is considered to be predictable and sustainable. Its adequacy, however, cannot be determined since the GEF is only one of the many financing channels for climate change in developing countries.

50. The review has found that the funds provided to the LDCF and SCCF have substantially increased over the period of the review. The needs, however, have also increased during that period and there remains a backlog of fundable projects. Financing is provided to these funds via voluntary channels and is therefore not considered predictable and sustainable.

51. The GEF and the GCF may consider collaborating in the use of funding pathways that may include the LDCF and the SCCF.

D. Delivery of financial resources

1. Accessibility to funds

52. The GEF delivers financing to recipient countries' governments, to NGOs and to the private sector. This is guided by a country allocation for the different focal areas of the GEF Trust Fund. There is no allocation system for the LDCF and the SCCF. However, the GEF has established a ceiling for the LDCF in order to prevent countries with strong institutional capacity in preparing projects from depleting the limited resources of the LDCF, to the disadvantage of the other LDCs. The GEF has also established a process for direct access to the GEF Trust Fund for enabling activities, but only a few countries have applied such direct access.

53. The allocation parameters and procedures of the GEF and its agencies, as well as the capacity of countries to formulate and develop proposals, affect developing countries' access to the GEF. To further assist countries, the GEF secretariat is working to directly engage countries and increase their awareness and understanding of policies and procedures of the GEF. This is done through national dialogues and other such mechanisms.

54. During GEF 5, all developing countries including LDCs and SIDS were able to programme their STAR allocation. Estimates of the overall utilization of STAR allocations by developing countries show an uptake of 93 per cent for the overall GEF Trust Fund, with 80 and 85 per cent of utilization by LDCs and SIDS, respectively. While some of the barriers to accessing the GEF Fund were solved with STAR, co-financing remains an obstacle to access, especially for the LDCs and SIDS.

55. The GEF Council in 2010 decided to accredit up to 10 new GEF project agencies, at least half of them based in developing countries, in order to expand the range of agencies with which GEF recipient countries could work. Out of the 10 new project agencies to be

accredited, the GEF aims to accredit at least 5 national institutions with a regional balance, at least 1 national institution from an LDC and at least 1 national institution from a middle income country. This process has moved slower than expected and the GEF is reviewing its strategy in the light of the findings of the report on the fifth overall performance study of the GEF.

56. The GCF will allow direct access to it by national institutions based in developing countries. The GCF readiness program is intended to foster a better direct engagement between it and its recipient countries. It will provide technical and capacity-building support for implementing entities (particularly national and subnational institutions) that may not meet the standards of the Fund yet.

Conclusion and recommendation

57. The GEF has made a significant effort to inform countries of the programmes and policies of the GEF, and as a result, recipient countries have utilized most of their allocations. Nevertheless, the LDCs and SIDS still face challenges in accessing all of their resources.

58. The GCF would benefit from lessons learned on the accreditation process from other funds, particularly the GEF. In the case of the GEF, the goal of accreditation of 10 project agencies was only partially achieved. The GCF may consider building on existing systems of GEF intermediaries and implementing entities, and may in the process also consider providing financial assistance to support the accreditation of national entities in recipient countries that may need it.

2. Disbursement of funds

59. The speed and efficiency of disbursement appears to be improving at the GEF, despite some challenges. While the number of projects delayed by more than two years is substantially reduced compared with GEF 4 levels, information on the amount of funding that has actually been disbursed by GEF agencies to recipient countries has not been made available in an integrated form owing to a lack of reliability of data, which is due to a lack of standard definitions of when “disbursement” takes place from GEF agencies to recipient countries. Countries have identified slow disbursements as a reason for project delays. The GEF is currently working on harmonizing the timeline for the disbursement of funds and setting performance targets.

60. There has been significant emphasis on disbursement in the LDCF and the SCCF. In the case of the former, the May 2014 annual monitoring report finds that active projects amounted to USD 134.98 million as at 30 June 2013, of which USD 46.49 million had been disbursed, representing an average disbursement rate of 38 per cent. The SCCF had committed USD 94.29 million to 21 projects by 30 June 2013, of which USD 33.22 million or 32 per cent had been disbursed.

Conclusion

61. There is a recognized need to strengthen GEF project monitoring systems in order to be able to provide better information on the level of disbursement of approved funds. The GEF should work with its agencies on establishing a standard definition of “disbursement” in order to generate a common understanding of the term within the GEF partnership and enhance transparency of its processes.

3. Country ownership of programmes and projects

62. Efforts were made to strengthen the country ownership of GEF programmes and projects during GEF 5. In this regard, the midterm reviews of the experiences with STAR suggest that the clarity that countries now have on the scale and scope of their GEF

allocation has contributed to strengthening the ownership of programming at the GEF. Additionally, countries are now also supported to undertake an NPFE to engage across governments and relevant stakeholders on how GEF resources should best be used and prioritized. In the majority of cases, the NPFE provided a helpful framework for interaction between the GEF and stakeholders, but its uptake during GEF 5 was relatively low. Participants to the GEF-6 replenishment process encouraged recipient countries to undertake NPFEs as early as possible so as to facilitate the programming of GEF 6 country allocations.

63. The concept of country ownership has been a driving principle in the design of the GCF. It is also a key element of the GCF investment framework approved in May 2014. Coherence with national policies and strategies and engagement with national stakeholders will be key considerations in fostering country ownership in the actions of the GCF. A transparent no-objection procedure is to be developed to this end. Through early investments in readiness, the GCF secretariat is beginning the process of engagement with countries in order to understand their priorities.

Recommendation

64. There is a recognized need to continue to deepen engagement at different levels of the GEF partnership as a means of fostering ownership of projects and programmes in recipient countries. Upfront support in facilitating national stakeholder engagement on how best to use country allocations has proven to be useful when done through NPFEs. Developing countries should continue to undertake NPFEs in order to facilitate the programming of their GEF 6 STAR allocations.

4. Sustainability of programmes and projects

65. The GEF defines sustainability as the maintenance of the benefits of the project and programs beyond the life of the GEF intervention. In this regard, the review found that 70 per cent of GEF projects have been rated moderately satisfactory or higher in terms of their sustainability. Financial and institutional risks, as well as staff turnover and changes in government priorities have been highlighted as potential impediments to sustainability. Mainstreaming of the activities of the projects has been found to be best practice. However, mainstreaming normally requires time that goes well beyond the life of the project.

Conclusion

66. Policy and legislative changes as well as mainstreaming have been found to promote sustainability, but cannot always be fully implemented within the lifetime of the project.

5. Enabling environments

67. A significant share of GEF 5 programmes have sought to strengthen policy and regulatory environments in order to support low-emission and climate-resilient development. In this regard, a recent evaluation of GEF support for mitigation documented causal links between support and key policy changes in a third of the projects that it reviewed. It emphasized the importance of public sector institutions, strategies and policies for the private sector replication of the approaches piloted. It found that enabling programmes that engaged key non-governmental stakeholders (including the private sector) that could be advocates for policy change were more successful.

68. Country-driven GEF projects that aim to develop and enact key policy changes may improve the enabling environment in recipient countries. However, it should be noted that strengthening policy and regulatory environments may require more time than a single GEF project cycle.

Conclusion

69. There is ample room for the GCF to learn from the experiences of other funds in terms of improving the enabling environments in recipient countries. It can do this by linking investments with focused efforts to engage stakeholders within countries in programming, and by providing technical assistance and capacity-building so as to strengthen enabling environments – institutions, policies, and regulations – that support mitigation and adaptation actions in developing countries.

E. Results and impacts

70. In an effort to assess the impacts of its activities, the GEF has created a results-based management (RBM) framework and monitoring and evaluation (M&E) requirements. The fifth overall performance study, however, has reported that the RBM framework and M&E requirements of the GEF are too onerous to be executed and had recommended that the RBM framework of GEF 6 include a limited number of outcomes that can be measured through existing or easily generated data.

71. As a result, the GEF has made and is continuing to make efforts to streamline its RBM framework in order to improve the measurement of the results and impacts of its activities.

1. Mitigation results

72. The fifth overall performance study of the GEF found that as at 30 June 2013, the GEF had allocated a total of USD 3.3 billion to 615 projects that address climate change mitigation, of which USD 3.1 billion has been allocated to 547 projects with mitigation targets. The total amount of direct and indirect mitigation impact expected from these projects is 2.6 and 8.2 billion tonnes of carbon dioxide equivalent (CO₂ eq) emissions, respectively, or 10.8 billion tonnes of CO₂ eq combined.

73. Despite improving the methodologies for the measurement of greenhouse gas (GHG) emission reductions, evaluations by the GEF of mitigation impact stress the difficulties of consistent reporting. The key underpinning parameters are dynamic, and this may result in substantial changes to realized GHG emission reductions. Similarly, assessing the cost-effectiveness of interventions is difficult. The GEF has initiated a work programme in order to improve its methodologies and systems for measuring GHG reductions more consistently.

2. Adaptation results

74. Over the years, the adaptation programme of the GEF (the GEF Trust Fund, the LDCF and the SCCF) has supported focused efforts to help developing countries to adapt to and strengthen their resilience to the impacts of climate change. As at 26 September 2014, a total of 79 LDCF projects provided an estimate of the expected number of direct beneficiaries. These projects, with LDCF resources amounting to USD 386.31 million, seek to reduce the vulnerability of an estimated 8.1 million people directly. Forty-nine LDCF projects support 35 countries in their efforts to integrate climate change adaptation into 112 national development policies, plans and frameworks. The LDCF also assists countries in laying the groundwork for climate-resilient development planning through 51 projects that will enable 34 countries to strengthen their national hydro-meteorological and climate information services.

75. Under the SCCF, 32 projects provided an estimated number of direct beneficiaries as at 26 September 2014. These projects, to which SCCF resources amounting to USD 135.72 million have been allocated, aim to reduce the vulnerability of an estimated 3.54 million people directly. In addition, 19 SCCF projects are already supporting 34 countries

in their efforts to integrate climate change adaptation into 102 national development policies, plans and frameworks.

Recommendation to strengthen adaptation and mitigation results

76. The GEF and the GCF may consider collaborating to harmonize impact indicators and set new norms around reporting practice, especially in the context of adaptation finance. Furthermore, the operationalization of the GCF results-based management framework presents an opportunity to make progress in this regard.

3. Technology transfer

77. During GEF 5, the GEF promoted technology transfer at various stages of the technology development cycle, from demonstration of innovative emerging low-emission and climate-resilient technologies to diffusion of commercially proven environmentally sound technologies and practices. Moreover, support for technology transfer has also been delivered in the context of the Poznan strategic programme on technology transfer for which a funding window of USD 50 million was created at the GEF with funds from both the GEF Trust Fund and the SCCF. The GEF has also supported the operationalization of the Climate Technology Centre and Network.

4. Capacity-building

78. The GEF has made significant investments in capacity-building, including through cross-cutting capacity-building projects as well as through capacity gained in the design and implementation of projects. Investments of the GEF covered most of the priority areas listed in the framework for capacity-building in developing countries. Furthermore, capacity-building replication and scaling up, and climate change mainstreaming into national development planning are becoming increasingly common practice within the GEF. For example, several GEF small grant projects developed into medium- and full-sized projects.

Conclusion on results and impacts

79. There is evidence that good results and impacts have been achieved with the resources provided by the GEF. Efforts to harmonize and improve the methodologies for measuring the results and impacts of the supported activities need to continue.

F. Consistency of the Financial Mechanism with the objective of the Convention

80. Article 2 of the Convention stipulates that the ultimate objective of this Convention and any legal instrument adopted by the Convention is to achieve, in accordance with the relevant provisions of the Convention, stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system, within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner. Furthermore, in accordance with decision 1/CP.16, paragraph 4, the long-term goal of holding the increase in the global average temperature below 2 °C above pre-industrial levels was recognized.

81. The review found that as an operating entity of the Financial Mechanism, the GEF, through its projects and programmes, contributes to supporting developing countries in meeting the objective of the Convention, while enhancing their resilience to the adverse effects of climate change. In relation to the below 2 °C goal, the Intergovernmental Panel on Climate Change (IPCC) has noted that emission patterns that limit temperature increase

from pre-industrial levels to no more than 2 °C require considerably different patterns of investment.

Conclusion

82. The GEF programmes and policies are consistent with the objectives of the Convention.

G. Consistency and complementarity of the Financial Mechanism with the other financial flows and sources of investment

83. Decision 11/CP.1, paragraph 2(a), provides that “consistency should be sought and maintained between the activities (including those related to funding) relevant to climate change undertaken outside the framework of the financial mechanism and the policies, programme priorities and eligibility criteria for activities as relevant, established by the Conference of the Parties”.

84. In terms of activities funded outside the framework of the Financial Mechanism of the Convention, the clean development mechanism (CDM) has been a successful incentive to implement mitigation action in developing countries. By the end of 2013, over 7,400 CDM projects had been registered in 93 developing countries, representing an estimated investment in excess of USD 400 billion and amounting to 1.46 billion certified emission reductions issued (or a reduction of 1.46 billion tonnes of CO₂ eq).

85. Additionally, the Clean Technology Fund (of the Climate Investment Funds (CIFs)), currently the largest multilateral mitigation fund with a cumulative capitalization of USD 5.5 billion, has been providing grants and concessional loans to developing countries.

86. While the Adaptation Fund (AF) has been an important vehicle in providing support for adaptation in developing countries. It was established to finance concrete adaptation projects and programmes in developing countries, and since its inception has allocated USD 232 million of grants to 40 developing countries. The AF has also pioneered direct access with the accreditation of national implementing entities (NIEs) in developing countries which can directly access the Fund without having to go through intermediaries. To date, 17 NIEs have been accredited to the AF.

87. Another channel that has supported adaptation in developing countries is the Pilot Programme for Climate Resilience (PPCR) of the CIFs. The PPCR funds technical assistance and investments in order to support countries’ efforts to integrate climate risk and resilience into core development planning and implementation. With total pledges amounting to USD 1.3 billion, the PPCR provides incentives for scaled-up action and initiates transformational change by catalysing a shift from ‘business as usual’ to broad-based strategies for achieving climate resilience at the national level.

88. In terms of ensuring complementarity with the other financial flows and sources of investment, the GEF has reported that it continues to work collaboratively with other organizations on financing complementary activities. For example, synergies have been highlighted between the Clean Technology Fund and the GEF climate change focal area, as well as between the pilot programme on climate resilience and the LDCF and the SCCF. Furthermore, the GEF and the AF have been working collaboratively in order to enhance synergies and avoid duplication of their respective actions in developing countries.

89. With the establishment of the GCF, the risk of overlap among the activities financed within and outside the Convention is high. Although duplication is not desirable, it may not be the most important issue at this time, since, as outlined in the IPCC Fifth Assessment Report, much more significant climate financing is needed than that provided at present

through all of these funds combined. Moreover, the funds can collaborate with each other to learn lessons from one another's programmes and to set common performance targets. In this context, the respective funds under the Convention should be actively engaging on their strategic positioning towards the GCF and how they could foster complementarity with it.

90. The governing instrument of the GCF provides that the Board will develop methods to enhance complementarity between the activities of the Fund and the activities of other relevant bilateral, regional and global funding mechanisms and institutions to better mobilize the full range of financial and technical capacities.

Conclusions and recommendations

91. The GEF has developed policies and programmes that have allowed it to be complementary to the community of climate finance providers.

92. The operating entities of the Financial Mechanism and the funds under the Convention should collaborate with the view to taking advantage of the complementarity of their respective policies and programmes. The operating entities of the Financial Mechanism should provide information on the progress made in ensuring the complementarity with the other sources of climate finance in their respective reports to the COP.

93. The Standing Committee on Finance could take into account the information on the efforts of the operating entities to enhance complementarity, when providing draft guidance for consideration by the COP.

*10th plenary meeting
13 December 2014*

Decision 10/CP.20

Further guidance to the Least Developed Countries Fund

The Conference of the Parties,

Recognizing the specific needs and special circumstances of the least developed countries, as referred to in Article 4, paragraph 9, of the Convention,

Recalling decisions 6/CP.9, 3/CP.11, 5/CP.14, 5/CP.16, 9/CP.17 and 10/CP.18,

Also recalling the least developed countries work programme, as defined in decision 5/CP.7,

1. *Welcomes* the increased allocation and disbursement of funds to the least developed country Parties under the Least Developed Countries Fund;
2. *Notes with appreciation* the additional contributions made by Parties to the Least Developed Countries Fund;
3. *Notes* the report of the Global Environment Facility to the Conference of the Parties at its twentieth session,¹ and the synthesis report prepared by the secretariat on the progress made in the implementation of the remaining elements of the least developed countries work programme;²
4. *Also notes* the submission from a Party on behalf of a group of Parties on information on experiences with the implementation of the remaining elements of the least developed countries work programme;³
5. *Further notes* that the Least Developed Countries Fund has financed the preparation of 51 national adaptation programmes of action, of which 50 have been completed, and has approved the funding for 159 national adaptation programmes of action implementation projects and for programmes in 48 least developed countries (as at 3 December 2014);
6. *Encourages* developed country Parties and other Parties in a position to do so to continue contributing on a voluntary basis to the Least Developed Countries Fund in order to support the implementation of the least developed countries work programme;
7. *Invites* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to continue to support the remaining activities contained in the least developed countries work programme;
8. *Requests* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to share, in its next report, lessons learned and progress made in its pilot accreditation of Global Environment Facility national project agencies;
9. *Invites* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to include, in its annual report to the Conference of the Parties, information on specific actions that it has undertaken to implement the remaining elements of the least developed countries work programme, including the updating and implementation of

¹ FCCC/CP/2014/2.

² FCCC/SBI/2014/INF.17.

³ FCCC/SBI/2014/MISC.3.

national adaptation programmes of action, with a view to the Conference of the Parties determining, at its twenty-first session (November–December 2015), appropriate further guidance to be provided to the Global Environment Facility;

10. *Requests* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to enhance communication with its implementing agencies and to encourage its implementing agencies to enhance their communication with countries to facilitate a timely implementation of other elements of the least developed countries work programme including national adaptation programmes of action.

*10th plenary meeting
12 December 2014*

Decision 11/CP.20

Methodologies for the reporting of financial information by Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling Articles 4, 5, 7, 10 and 12 of the Convention,

Also recalling decisions 9/CP.2, 11/CP.4, 4/CP.5 and 1/CP.16, paragraph 40,

1. *Decides* to extend by one year the deadline of the mandate given to the Subsidiary Body for Scientific and Technological Advice, as referred to in decision 2/CP.17, paragraph 19, with a view to recommending a decision on the methodologies for the reporting of financial information, as referred to in decision 2/CP.17, paragraph 19, to the Conference of the Parties at its twenty-first session (November–December 2015);
2. *Invites* Parties and observer organizations to submit to the secretariat, by 25 March 2015, views on the methodologies for the reporting of financial information, as referred to in decision 2/CP.17, paragraph 19, for compilation into a miscellaneous document;
3. *Requests* the secretariat to prepare a technical paper, prior to the forty-second sessions of the subsidiary bodies (June 2015), summarizing existing international methodologies and drawing on relevant information contained in submissions from Parties included in Annex I to the Convention, as referred to in decision 2/CP.17, paragraph 17, on their experience with reporting the first biennial reports, the submissions referred to in paragraph 2 above, information submitted by Parties on appropriate methodologies and systems used to measure and track climate finance, as referred to in decision 5/CP.18, paragraph 10, and the work of the Standing Committee on Finance on the 2014 biennial assessment and overview of climate finance flows;
4. *Also requests* the secretariat to organize a joint in-session technical workshop in conjunction with the forty-second sessions of the subsidiary bodies, drawing on the information referred to in paragraphs 2 and 3 above, so as to inform the work of the Subsidiary Body for Scientific and Technological Advice, as referred to in decision 2/CP.17, paragraph 19;
5. *Decides* that the workshop referred to in paragraph 4 above shall be jointly organized under the auspices of the Subsidiary Body for Scientific and Technological Advice, the Subsidiary Body for Implementation and the Standing Committee on Finance;
6. *Requests* the Standing Committee on Finance, as a part of its work on measurement, reporting and verification of support beyond the biennial assessment and overview of climate finance flows, taking into consideration the outcomes of the joint in-session technical workshop referred to in paragraph 4 above, to include its recommendations on the methodologies for the reporting of financial information, as referred to in decision 2/CP.17, paragraph 19, in its annual report to the Conference of the Parties at its twenty-first session;
7. *Also requests* the Standing Committee on Finance to present an update on its work on this matter to the Subsidiary Body for Scientific and Technological Advice for its consideration at its forty-third session (November–December 2015);
8. *Takes note* of the estimated budgetary implications of the activities to be undertaken by the secretariat pursuant to the provisions contained in paragraphs 3 and 4 above;

9. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

*10th plenary meeting
12 December 2014*

Decision 12/CP.20

Fifth Assessment Report of the Intergovernmental Panel on Climate Change

The Conference of the Parties,

Recalling decisions 6/CP.1, 6/CP.2, 25/CP.7 and 5/CP.13,

1. *Welcomes* the Fifth Assessment Report of the Intergovernmental Panel on Climate Change;
2. *Expresses* its appreciation and gratitude to all those involved in the preparation of the Fifth Assessment Report for their excellent work;
3. *Recognizes* that the Fifth Assessment Report represents the most comprehensive and robust assessment of climate change to date, providing an integrated scientific, technical and socioeconomic perspective on relevant issues;
4. *Acknowledges* that the Fifth Assessment Report provides the scientific foundation for the Ad Hoc Working Group on the Durban Platform for Enhanced Action;
5. *Urges* Parties to the Convention to make use of the information contained in the Fifth Assessment Report in their discussions under all relevant agenda items;
6. *Encourages* Parties to draw on the information contained in the Fifth Assessment Report in the development of their national policies on climate change, as appropriate;
7. *Invites* the Intergovernmental Panel on Climate Change to continue to provide relevant information to Parties on the scientific, technical and socioeconomic aspects of climate change, taking into account the work of the UNFCCC in determining its future products and assessment cycles;
8. *Encourages* Parties to continue to support the work of the Intergovernmental Panel on Climate Change.

*10th plenary meeting
12 December 2014*



Conference of the Parties

Report of the Conference of the Parties on its twentieth session, held in Lima from 1 to 14 December 2014

Addendum

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

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Decision 13/CP.20

Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling the relevant provisions of the Convention, in particular its Articles 4 and 12, and decisions 2/CP.1, 9/CP.2, 6/CP.3, 6/CP.5, 33/CP.7, 19/CP.8, 2/CP.9, 18/CP.10, 1/CP.13, 1/CP.16, 2/CP.17, 23/CP.19 and 24/CP.19,

Noting the work programme established in decision 2/CP.17 on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews,

Also noting that, while the revision of the review guidelines for national communications and biennial reports was completed at the nineteenth session of the Conference of the Parties, the revision of the review guidelines for greenhouse gas inventories was to be completed by the twentieth session of the Conference of the Parties,

Recognizing the improvements that Parties included in Annex I to the Convention (Annex I Parties) have made in providing complete and timely annual greenhouse gas inventories,

Having considered the experience gained in the review of information submitted by Annex I Parties to date and the need to have a cost-effective, efficient and practical review process that does not impose an excessive burden on Parties, experts or the secretariat,

Having also considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice,

1. *Decides* to revise the “Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention”, adopted by decision 23/CP.19, to make the necessary changes to include “Part III: UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention”;
2. *Also decides* that the “Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention” contained in the annex shall be used for the review of biennial reports, national communications and greenhouse gas inventories, effective immediately;
3. *Requests* the secretariat to coordinate the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention in accordance with the provisions of the guidelines contained in the annex, subject to the availability of financial resources;
4. *Also requests* the secretariat to develop and implement a standardized set of data comparisons, and to select a group of experienced review experts from among the lead reviewers of the greenhouse gas inventories to conduct an assessment of those data comparisons every five years;

5. *Decides* that the group referred to in paragraph 4 above, using the assessment described in the same paragraph, should, for consideration at the next meeting of lead reviewers for greenhouse gas inventories:

(a) Explore additional standardized data comparisons, based on the requirements in paragraph 68 of the annex, as well as the past experiences with the data comparisons carried out in previous review cycles;

(b) Consider whether the standardized set of data comparisons implemented remains useful;

6. *Requests* the secretariat to include in the report referred to in paragraph 44 of the annex any revised set of the standardized data comparisons, for consideration by the Subsidiary Body for Scientific and Technological Advice;

7. *Also requests* the secretariat, in view of the adoption of “Part III: UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention”, to modify the relevant information technology tools, as needed, to support the implementation of the review process, recognizing that the modification of those tools will require time and effort and that the implementation of the modifications will need to take place during the 2015–2016 review cycles;

8. *Further requests* the secretariat, as part of the technical review of annual national greenhouse gas inventories, to compile and tabulate aggregate information¹ and trends concerning greenhouse gas emissions by sources and removals by sinks from the latest available greenhouse gas inventory submissions of Parties included in Annex I to the Convention (Annex I Parties), and any other inventory information, and to publish this information on the UNFCCC website electronically as well as in a stand-alone document;

9. *Notes* that the document referred to in paragraph 8 above:

(a) Will provide aggregate information to the Conference of the Parties on greenhouse gas emissions by sources and removals by sinks and their trends for all Annex I Parties;

(b) Allows comparisons across Annex I Parties, as well as compiles and compares information across Annex I Parties in a tabular and, as appropriate, graphical format;

(c) May also be used as an input to the individual technical review process;

10. *Decides* that a summary of the document mentioned in paragraph 8 above will be published in electronic format for consideration by the Conference of the Parties and the subsidiary bodies, and that this summary will include trends in greenhouse gas emissions by sources and removals by sinks and an assessment of the adherence of the reported inventory information to the “Guidelines for the preparation of national communications by

¹ Containing the information on:

(a) For key categories, based on approach 1 of the 2006 IPCC Guidelines for National Greenhouse Gas Inventories (hereinafter referred to as the 2006 IPCC Guidelines), and other selected categories: (i) methodologies used in the preparation of the inventories; (ii) implied emission factors, default values and ranges contained in the 2006 IPCC Guidelines; (iii) reported activity data and data from authoritative sources, taking into account the conclusions of the meeting of the lead reviewers for greenhouse gas inventories and agreed by the Subsidiary Body for Scientific and Technological Advice if possible; (iv) other information provided in the various common reporting format tables;

(b) Estimates of carbon dioxide emissions from fuel combustion using the Intergovernmental Panel on Climate Change reference approach compared with estimates of carbon dioxide emissions from fuel combustion using a national (sectoral) approach;

(c) Inventory recalculations.

Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories” and the provisions of relevant decisions of the Conference of the Parties, including information on any delays in submitting the annual inventory information;

11. *Recognizes* that the deadline, as set out in decision 24/CP.19, paragraph 5, for providing the upgraded CRF Reporter to Annex I Parties, enabling them to submit their greenhouse gas inventories, was not met;

12. *Notes* that version 5.0.0 of the CRF Reporter is not functioning² in order to enable Annex I Parties to submit their common reporting format tables for the year 2015;

13. *Reiterates* that Annex I Parties in 2015 may submit their common reporting format tables after 15 April, but no longer than the corresponding delay in the CRF Reporter availability;

14. *Urges* Annex I Parties to submit the information referred to in paragraph 13 above as soon as practically possible;

15. *Requests* the Subsidiary Body for Scientific and Technological Advice to consider, at its forty-eighth session (April–May 2018), the experiences in conducting desk reviews, taking into consideration any relevant conclusions of the meetings of lead reviewers for greenhouse gas inventories up to 2017.

² ‘Functioning’ software means that the data on greenhouse emissions/removals are reported accurately both in terms of common reporting format tables and Extensible Markup Language format.

Annex

Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention

PART I: STRUCTURE OF THE REVIEW GUIDELINES

1. The UNFCCC guidelines for review of annual inventories are composed of part II and part III of these guidelines.
2. The UNFCCC guidelines for review of biennial reports are composed of part II and part IV of these guidelines.
3. The UNFCCC guidelines for review of national communications are composed of part II and part V of these guidelines.

PART II: GENERAL APPROACH TO THE REVIEW

A. Applicability

4. Information provided by Parties included in Annex I to the Convention (Annex I Parties) in their greenhouse gas (GHG) inventories, biennial reports (BRs) and national communications (NCs) will be subject to reviews pursuant to relevant decisions of the Conference of the Parties (COP), in accordance with the provisions of these guidelines.

B. Objectives

5. The objectives of the review of information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP are the following:
 - (a) To provide, in a facilitative, non-confrontational, open and transparent manner, a thorough, objective and comprehensive technical review of all aspects of the implementation of the Convention by individual Annex I Parties and Annex I Parties as a whole;
 - (b) To promote the provision of consistent, transparent, comparable, accurate and complete information by Annex I Parties;
 - (c) To assist Annex I Parties in improving their reporting of information contained in GHG inventories, BRs and NCs, and pursuant to other relevant decisions of the COP and the implementation of their commitments under the Convention;
 - (d) To ensure that the COP has accurate, consistent and relevant information in order to review the implementation of the Convention.
6. The objectives of the review guidelines are to promote consistency, comparability and transparency in the review of information reported under the Convention related to GHG inventories, BRs and NCs.

C. General approach

7. The provisions of these guidelines will apply to the review of information reported under the Convention related to GHG inventories, BRs and NCs, and pursuant to relevant decisions of the COP.
8. Specific provisions for the review of GHG inventories, NCs and BRs are included in specific parts of these review guidelines.
9. The same information submitted by an Annex I Party in its BR, NC and GHG inventory will be reviewed only once, by an expert review team (ERT).
10. The ERTs shall provide a thorough and comprehensive technical review of all aspects of the implementation of the Convention by Annex I Parties and shall identify any potential issues referred to in paragraphs 81 (inventory section), 105 and 119 below. The ERTs shall conduct technical reviews to provide information expeditiously to the COP in accordance with the procedures detailed in these guidelines.
11. At any stage in the review process, the ERTs may put questions to, or request additional or clarifying information from, the Annex I Parties under review regarding identified issues. The ERTs should offer suggestions and advice to those Annex I Parties on how to resolve such issues, taking into account the national circumstances of the Party under review. The ERTs shall also provide technical advice to the COP or the Subsidiary Body for Implementation (SBI), upon request.
12. The Annex I Parties under review should provide the ERTs with access to the information necessary to substantiate and clarify the implementation of their commitments under the Convention, in accordance with the relevant reporting guidelines adopted by the COP, and, during in-country visits, should also provide appropriate working facilities. The Parties should make every reasonable effort to respond to all questions and requests of the ERTs for additional clarifying information.

Confidentiality

13. In response to a request from the ERT for additional data or information, or access to data used in the preparation of the GHG inventory, BR and NC reports, an Annex I Party may indicate whether such information or data are confidential. In such a case, the Party should provide the basis for protecting such information, including any domestic law, and, upon receipt of assurance that the data will be maintained as confidential by the ERT, will submit the confidential data in accordance with domestic law and in a manner that allows the ERT access to sufficient information or data for the assessment of the implementation of the commitments under the Convention by Annex I Parties and the conformity with the relevant methodological guidance as agreed by the COP. Any confidential information or data submitted by a Party in accordance with this paragraph shall be maintained as confidential by the ERT, in accordance with any decisions on this matter adopted by the COP.
14. An ERT member's obligation not to disclose confidential information and data submitted by a Party in accordance with paragraph 13 above shall continue after the termination of his or her service on the ERT.

D. Timing and procedures

I. Review of greenhouse gas inventories

15. Each GHG inventory submitted under the Convention by an Annex I Party will be subject to review, in accordance with part II and part III of these guidelines.

II. Review of biennial reports

16. Each BR submitted under the Convention by an Annex I Party will be subject to a review by an ERT, in accordance with part II and part IV of these guidelines.
17. The ERTs shall make every effort to complete the individual review of BRs within 15 months of the due date of their submission for each Annex I Party.
18. In the years when NCs and BRs are submitted together, both the NC and BR will be subject to an in-country review.
19. In the years when the BR is not reported in conjunction with the NC, the BR shall be subject to a centralized review. However, the ERT, based on the findings of the review,¹ can recommend that the next review be an in-country review and, upon a Party's request, the secretariat shall organize an in-country review for that Party.
20. The secretariat, where appropriate, may consider other UNFCCC review processes when coordinating BR and NC reviews, in particular with a view to addressing the need to improve the cost-effectiveness of the review process and national circumstances.

III. Review of national communications

21. The ERTs shall make every effort to complete the individual review of NCs within 15 months of the due date of their submission for each Annex I Party.
22. Each NC submitted under the Convention by an Annex I Party shall be subject to a scheduled in-country review by an ERT, in accordance with part II and part V of these guidelines.
23. The secretariat, where appropriate, shall consider other UNFCCC review processes when coordinating BR and NC reviews, in particular with a view to addressing the need to improve the cost-effectiveness of the review process and national circumstances.

E. Expert review teams and institutional arrangements

I. Expert review teams

24. Each submission of information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP shall be assigned to a single ERT, which shall be responsible for performing the review thereof in accordance with the procedures and time frames established in these guidelines. The submissions of an Annex I Party shall not be reviewed in two successive reviews by an ERT with identical composition.
25. Each ERT shall provide a thorough and comprehensive technical review of the information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP and shall, under its collective responsibility, prepare a review report, assessing the implementation of the commitments of the Annex I Party and identifying any potential issues referred to in paragraphs 81 (GHG inventory section), 105 and 119 below. The ERTs shall refrain from making any political judgement.
26. The ERTs shall be coordinated by the secretariat and shall be composed of experts selected on an ad hoc basis from the UNFCCC roster of experts and shall include lead reviewers. The ERTs formed to carry out the tasks under the provisions of these guidelines may vary in size and composition, taking into account the national circumstances of the Party under review, the format of the review, the number of reports and the different needs for expertise for each review task. Additional experts may be added to a review team where necessary.

¹ The findings from the ERT are related to issues indicated in paragraph 105.

27. Participating experts shall serve in their personal capacity.
28. Experts shall be nominated by Parties to the Convention to the UNFCCC roster of experts and, as appropriate, by intergovernmental organizations.
29. Participating experts shall have recognized competence in the areas to be reviewed in accordance with these guidelines. The training to be provided to the experts, and the subsequent assessment after the completion of the training² and/or any other means needed to ensure the necessary competence of the experts for their participation in ERTs, shall be designed and operationalized by the secretariat in accordance with relevant decisions of the COP.
30. Experts selected for a specific review activity shall neither be nationals of the Party under review nor be nominated or funded by that Party.
31. Participating experts from Parties not included in Annex I to the Convention (non-Annex I Parties) and Annex I Parties with economies in transition shall be funded according to the existing procedures for participation in UNFCCC activities. Experts from other Annex I Parties shall be funded by their governments.
32. In conducting reviews, the ERTs shall adhere to these guidelines and work on the basis of established and published procedures agreed upon by the COP and the Subsidiary Body for Scientific and Technological Advice (SBSTA), including quality assurance (QA) and quality control (QC) and confidentiality provisions.

II. Competences of the expert review teams

33. The competences required to be a member of an ERT for the technical review of GHG inventories are in the areas referred to in paragraph 75 in part III of these guidelines.
34. The competences required to be a member of an ERT for the technical review of BRs are in the areas referred to in paragraph 104(c) in part IV of these guidelines.
35. The competences required to be a member of an ERT for the technical review of NCs are in the areas referred to in paragraph 118(c) below in part V of these guidelines.

III. Composition of the expert review teams

36. The secretariat shall select the members of the ERTs to review the GHG inventories, BRs and NCs submitted under the Convention and pursuant to relevant decisions of the COP in such a way that the collective skills and competencies of the ERTs address the areas mentioned in paragraphs 33, 34 and 35 above, respectively.
37. The secretariat shall select the members of the ERTs with a view to achieving a balance between experts from Annex I and non-Annex I Parties in the overall composition of the ERTs, without compromising the selection criteria referred to in paragraph 36 above. The secretariat shall make every effort to ensure geographical balance among the experts selected from non-Annex I Parties and among those selected from Annex I Parties.
38. The secretariat shall ensure that in any ERT one co-lead reviewer shall be from an Annex I Party and one from a non-Annex I Party.
39. Without compromising the selection criteria referred to in paragraphs 33, 34 and 35 above, the formation of ERTs should ensure, to the extent possible, that at least one member is fluent in the language of the Party under review.

² The experts that opt not to participate in the training have to undergo a similar assessment successfully to enable them to qualify for participation in ERTs.

40. The secretariat shall prepare an annual report to the SBSTA on the composition of ERTs, including the selection of experts for the review teams and the lead reviewers, and on the actions taken to ensure the application of the selection criteria referred to in paragraphs 36 and 37 above.

IV. Lead reviewers

41. Lead reviewers shall act as co-lead reviewers for the ERTs in accordance with these guidelines.

42. Lead reviewers should ensure that the reviews in which they participate are performed by each ERT according to the relevant review guidelines and consistently across Parties. They should also ensure the quality and objectivity of the thorough and comprehensive technical examinations in the reviews and provide for the continuity, comparability and timeliness of the reviews.

43. With the administrative support of the secretariat, lead reviewers shall, for each review:

(a) Ensure that the reviewers have all of the necessary information provided by the secretariat prior to the review;

(b) Monitor the progress of the review;

(c) Coordinate the submission of queries of the ERT to the Party under review and coordinate the inclusion of the answers in the review report;

(d) Provide technical advice to the members of the ERT, if needed;

(e) Ensure that the review is performed and the review report is prepared in accordance with these guidelines;

(f) Ensure that the ERT gives priority to issues raised in previous review reports.

44. Lead reviewers shall also collectively prepare an annual report to the SBSTA as part of the annual report referred to in paragraph 40 above, containing suggestions on how to improve the quality, efficiency and consistency of the reviews in the light of paragraph 5 above of these guidelines.

V. Ad hoc review experts

45. Ad hoc review experts shall be selected by the secretariat from those nominated by Parties or, exceptionally and only when the required expertise for the task is not available among them, from those nominated by relevant intergovernmental organizations belonging to the UNFCCC roster of experts for specific reviews. They shall perform individual review tasks in accordance with the duties set out in their nomination.

46. Review experts shall, as necessary, perform desk review tasks in their home countries and participate in in-country visits and centralized reviews.

VI. Role of the secretariat

47. The secretariat shall organize the reviews, including the preparation of a schedule for the review, the coordination of the practical arrangements concerning the review and the provision of all relevant reported information to the ERT concerned.

48. The secretariat shall develop review tools and materials and templates for review reports under the guidance of the lead reviewers.

49. The secretariat shall coordinate, together with the lead reviewers, the communication during the review between the ERT concerned and the Party under review and shall maintain a record of communications between ERTs and Parties.

50. The secretariat, together with the lead reviewers, shall compile and edit the final review reports.

51. The secretariat shall facilitate annual meetings of the lead reviewers for GHG inventories, BRs and NCs. It shall summarize information on issues raised in the reviews to facilitate the work of lead reviewers in fulfilling their task to ensure consistency in the reviews across Parties.

52. The secretariat shall design and implement training activities for review experts, including lead reviewers, and the subsequent assessment of the experts' qualifications, under the guidance of the SBSTA (see para. 29 above).

VII. Guidance provided by the Subsidiary Body for Scientific and Technological Advice

53. The SBSTA shall provide general guidance to the secretariat on the selection of experts and the coordination of the ERTs, and to the ERTs on the expert review process. The reports mentioned in paragraphs 40 and 44 above are intended to provide the SBSTA with inputs for elaborating such guidance.

F. Reporting and publication

54. The ERTs shall, under their collective responsibility, produce review reports. The review of the same information (see para. 9 above) shall be reflected in one report only. The following review reports should be produced for each Annex I Party:

(a) For the review of GHG inventories, a final report on the review of the GHG inventory, in accordance with part II and part III of these guidelines;

(b) For the review of BRs, a technical report on the review of the BR, in accordance with part II and part IV of these guidelines;

(c) For the review of NCs, a report on the review of the NC, in accordance with part II and part V of these guidelines.

55. The review reports for each Annex I Party shall follow a format and outline comparable to that set out in paragraph 56 below and shall include the specific elements described in parts III–V of these guidelines.

56. All review reports prepared by ERTs shall include the following elements:

(a) An introduction and a summary;

(b) A description of the technical review of each of the elements reviewed according to the relevant sections on the scope of the review detailed in parts III–V of these guidelines, including:

(i) A description of any potential issues identified in accordance with paragraphs 81, 105 and 119 below;

(ii) Any suggestions provided by the ERT to resolve the potential issues;

(iii) An assessment of any efforts made by the Annex I Party under review to address any potential issues identified by the ERT during the current review or during previous reviews that have not been addressed;

(iv) The sources of information used in the formulation of the final report.

57. Following their completion, all review reports shall be published and forwarded by the secretariat, together with a written comment on the final review report made by the Party under review, to the Party concerned, the COP and the subsidiary bodies, as appropriate, following these guidelines.

PART III: UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention

A. Purpose of the review

58. The purpose of the technical review of Annex I Parties' GHG inventories is:

(a) To ensure that the COP has adequate and reliable information on annual inventories and emission trends of anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol;

(b) To provide the COP with an objective, consistent, transparent, thorough and comprehensive technical assessment of the annual quantitative and qualitative inventory information submitted by Annex I Parties, and a technical assessment of the implementation of Annex I Parties' commitments under Article 4, paragraph 1(a), and Article 12, paragraph 1(a), of the Convention;

(c) To examine, in a facilitative and open manner, the reported inventory information for consistency with 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" (decision 24/CP.19) (hereinafter referred to as the UNFCCC Annex I inventory reporting guidelines), the Intergovernmental Panel on Climate Change (IPCC) *2006 IPCC Guidelines for National Greenhouse Gas Inventories* (hereinafter referred to as the 2006 IPCC Guidelines) as implemented through the UNFCCC Annex I inventory reporting guidelines and, if applied, the *2013 Supplement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories: Wetlands* (hereinafter referred to as the Wetlands Supplement) and any additional guidance adopted by the COP;

(d) To assist Annex I Parties in improving the quality of their GHG inventories;

(e) To inform the review of BRs and NCs and to ensure that the COP has reliable information on the implementation of commitments under the Convention by each Annex I Party and Annex I Parties as a whole with a view to promoting comparability and building confidence.

B. General procedures

59. GHG inventory submissions, comprising the national inventory report (NIR) and the common reporting format (CRF) tables, from all Annex I Parties will be subject to an annual technical review.

60. The annual technical review process comprises two stages which consider different aspects of the inventories in such a way that all of the purposes described above are achieved by the end of the process. The two stages are:

(a) Initial assessment by the secretariat;

(b) Review of individual annual inventories by the ERT.

61. The stages of the technical review process complement each other so that, in general, for each Annex I Party, one stage is concluded before the next one is undertaken.

62. Three operational approaches may be used during the second stage of the technical review, namely desk reviews, centralized reviews and in-country reviews, assuming

available resources. During a desk review, the inventory information of Annex I Parties will be sent to experts, who will conduct the reviews in their own countries. During a centralized review, the experts will meet in a single location to review the inventory information of Annex I Parties. During an in-country review, experts will visit an Annex I Party to review the inventory information of that Party.

63. The review of individual inventories of Annex I Parties will be conducted annually either as a desk review, as a centralized review or as an in-country review. The GHG inventory of each Annex I Party shall be subject to a desk review at most once every three years. Desk reviews will be conducted only by experienced experts. The GHG inventory of each Annex I Party will be subject to an in-country review at least once every five years. In-country visits will be scheduled, planned and take place with the consent of, and in close coordination with, the Annex I Party subject to review. In general, during a centralized review, up to four GHG inventories should be reviewed; during a desk review up to two GHG inventories should be reviewed. In exceptional circumstances where an individual member of an ERT is unable to attend the centralized or in-country review, that member may contribute to that review from his/her desk. The scope of the individual review differs between years with desk reviews and years with centralized reviews as defined in paragraphs 75 and 76 below.

64. The ERT, based on the findings of the review,³ can recommend that the next review be an in-country review. The ERT shall provide in the review report a rationale for the additional in-country review as well as a list of questions and issues to be addressed during the in-country review. The in-country review shall then be scheduled for the year following the review that recommended such a visit.

65. Upon an Annex I Party's request, the secretariat shall organize an in-country review for that Party. The request for an in-country review shall be submitted to the secretariat no later than the inventory submission due date.

66. At all stages of the inventory review process, individual Annex I Parties under review will have the opportunity to clarify issues or provide additional information. The secretariat will send to these Annex I Parties drafts and the final version of their status report, assessment report and their individual inventory review report. The ERT shall provide a list of preliminary main findings to the Annex I Party at the end of the review week. The ERT shall produce the final version of the review report, taking into account the comments of the Annex I Party. Every effort will be made to reach agreement with each Annex I Party on the content of a report prior to its publication. In the case of an Annex I Party and the expert team being unable to agree on an issue, the Party may provide explanatory text to be included in a separate section of the final review report. All final review reports shall be published and forwarded by the secretariat, together with any written comments on the final review report by the Annex I Party that is the subject of the report, to the COP.

C. Scope of the review

I. Initial assessment

67. The secretariat shall conduct an initial assessment annually to examine that each Annex I Party has submitted a consistent, complete and timely annual inventory in the correct format, including the NIR and the CRF tables, and to identify issues for further consideration during the review of individual inventories.

68. The checks will include a standardized set of data comparisons mainly based on the CRF data and identify:

³ The findings from the ERT are related to issues as defined in paragraph 81 below.

- (a) Whether an Annex I Party has submitted an annual inventory or the NIR or the CRF tables by the due date, or within six weeks of the due date;
- (b) Whether the submission is complete in terms of whether an NIR and all CRF tables were submitted;
- (c) Whether all required sources, sinks and gases⁴ included in the UNFCCC Annex I inventory reporting guidelines as well as any additional guidance adopted by the COP are reported and if any additional gases or sources have been reported;
- (d) Whether all CRF tables have been completed and any gaps have been explained in the CRF tables by the use of notation keys (such as “C”, “IE”, “NA”, “NE”, “NO”);⁵
- (e) Whether emission estimates are provided for all required years;
- (f) Whether methodologies are indicated with notations in the CRF tables;
- (g) Whether estimates for CO₂ emissions from fossil fuel combustion are reported using the IPCC reference approach in addition to estimates derived using a sectoral approach;
- (h) Whether emission estimates for hydrofluorocarbons and perfluorocarbons are reported by individual chemical species;
- (i) Whether any recalculations are reported for the entire time series and explanatory information relating to these recalculations is provided in the NIR;
- (j) Whether emissions from fuel used in international transportation are reported separately from national totals;
- (k) Whether key categories have been reported in the NIR and whether the results are consistent with those automatically reported in the CRF tables;
- (l) Whether the tables on uncertainties have been reported;

69. The initial assessment will cover the national inventory submission and previous national inventory submissions, where relevant, and will also:

- (a) Identify whether there are any irregularities or inconsistencies in implied emission factors and other inventory data, including emission or removal estimates and activity data, across Annex I Parties and compared with data of previous years or from previous submissions;
- (b) Identify whether there are irregularities in activity data compared with activity data from other relevant authoritative sources, if available, taking into account the conclusions of the meeting of the lead reviewers for GHG inventories and agreed by the SBSTA;
- (c) Identify whether there are issues within source or sink categories requiring further consideration or clarification during the individual review stage, particularly

⁴ In part III “UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention” of the present guidelines, required sources, sinks and gases are those sources, sinks and gases referred to in a provision with a “shall” in the UNFCCC Annex I inventory reporting guidelines.

⁵ C = confidential, IE = included elsewhere, NA = not applicable, NE = not estimated, NO = not occurring.

recurring issues, taking into account responses from previous reviews or recommendations provided in previous reviews;

(d) Examine inventory recalculations and the consistency of the time series;

(e) Identify whether there are any inconsistencies between the information in the CRF tables and related information in the NIR.

70. The secretariat shall compare any findings from the initial assessment specific to individual Annex I Parties with findings and responses from Parties from previous reviews. For this purpose, a communication tool with findings and responses from Annex I Parties should be developed and maintained that registers findings from the initial assessment and questions from ERTs together with responses from Parties over time. The ERTs should have access to past exchanges between Annex I Parties and reviewers via this tool.

71. The secretariat shall immediately notify the Annex I Party concerned of any omissions or issues identified with a Party's submission that prevent the performance of the initial assessment.

II. Review of individual annual inventories

72. ERTs, coordinated by the secretariat, shall conduct reviews of individual GHG inventories in order to assess whether the COP has accurate, consistent and relevant information on annual GHG inventories. The individual reviews will be conducted in accordance with paragraphs 75 and 76 below. The individual inventory review shall cover each Annex I Party's national inventory, supplementary material submitted by the Party and, if necessary for the review of recalculations and inventory improvements, previous inventory submissions.

73. ERTs shall pay particular attention to key categories, those areas of the inventory where issues have been identified and recommendations made in previous reviews, or stages of the review, progress in the implementation of the planned improvements, or where recalculations or other changes have been reported by the Annex I Party. Focus should be given to issues that have an impact on the level and/or trend of total national GHG emissions and removals, taking into account national circumstances, as appropriate. The Party may respond to an ERT identification of an issue with information about the amount of effort and resources required for an improvement relative to the impact on the level and/or trend of total national GHG emissions or removals for consideration by the ERT. ERTs should not perform an individual review in cases where an NIR has not been provided.

74. In addition to the tasks mentioned in paragraph 75 below, ERTs conducting in-country reviews will consider the 'paper trail' of the inventory from the collection of data to the reported emission estimates and will examine procedures and institutional arrangements for inventory development and management, including QA and QC, record-keeping and documentation procedures. During subsequent centralized reviews, the ERTs will identify any changes that may have occurred in these procedures and institutional arrangements, based on the information provided in the NIRs of Annex I Parties and further information from the Parties provided to the ERT.

75. Each ERT shall for centralized and in-country reviews:

(a) Examine application of the requirements of the UNFCCC Annex I inventory reporting guidelines and any further guidance adopted by the COP, and, if applied, the Wetlands Supplement, and identify any departure from these requirements;

(b) Examine whether the 2006 IPCC Guidelines as implemented through the UNFCCC Annex I inventory reporting guidelines and any supplementary methodologies adopted by the COP and, if applied, the Wetlands Supplement was applied and

documented, in particular noting the identification of key categories, selection and use of methodologies and assumptions, development and selection of emission factors, collection and selection of activity data, reporting of recalculations and consistent time series, reporting of uncertainties related to inventory estimates, methodologies used for estimating those uncertainties and QA/QC procedures, and identify any inconsistencies;

(c) Compare emission or removal estimates, activity data, implied emission factors and any recalculations with data from previous submissions of the Annex I Party to identify any irregularities or inconsistencies;

(d) Identify any missing categories and examine any explanatory information relating to their exclusion from the GHG inventory;

(e) Assess the consistency of information in the CRF tables with that in the NIR;

(f) Assess the extent to which issues raised in the initial assessment of annual inventories, and issues and questions raised by ERTs in previous reports, have been addressed and resolved. The ERT shall assess information on changes in response to recommendations from the previous ERT, which may include the progress made in implementing improvements taking into consideration the publication date of the previous review report and national circumstances;

(g) Where applicable, identify areas for further improvement of the inventories taking into account, inter alia, paragraph 73 above and note possible ways for improving the estimation and the reporting of inventory information;

(h) Assess whether the national inventory arrangements for the estimation of anthropogenic GHG emissions by sources and removals by sinks are performing the required functions and facilitating the continuous improvement of the GHG inventory;

(i) Whether all emissions are reported without corrections relating, for example, to climate variations or trade of electricity.

76. During desk reviews, the ERT shall prioritize addressing the following tasks and should address the elements in paragraph 75 above for key categories:

(a) Assess the extent to which issues raised in the initial assessment of annual inventories, and issues and questions raised by ERTs in previous reports, have been addressed and resolved. The ERT shall assess information on changes in response to recommendations from the previous ERT, which may include the progress made in implementing improvements taking into consideration the publication date of the previous review report and national circumstances;

(b) Analyse any recalculations that have changed the emission/removal estimate for a category by more than 2 per cent and/or national total emissions by more than 0.5 per cent as provided in the CRF tables for any of the recalculated years and assess the reasons provided by the Annex I Party for the recalculations and improvements performed as well as the consistency of the revised estimates with the 2006 IPCC Guidelines as implemented through the UNFCCC Annex I inventory reporting guidelines.

77. The ERT may compare the activity data of the Annex I Party with relevant authoritative sources taking into account the conclusions of the meeting of the lead reviewers for GHG inventories and agreed by the SBSTA, if feasible, and identify if there are significant differences which have not been explained by the Party. In cases where significant differences between the data sources are identified, the ERT shall provide the Annex I Party with the data used to make its assessment where it is possible to do so. Recommendations based on the outcome of the data comparison should not appear in the review report in cases where it is not possible to provide the Party with the data.

78. The secretariat shall support the individual review with the development of review tools and materials that support the tasks of the ERTs in order to improve the efficiency and consistency of the reviews. Such tools and materials shall be periodically revised and updated taking into account the needs of the review process. New and revised tools and materials shall be presented and discussed at the meetings of lead reviewers for GHG inventories and shall also be presented in the annual report on the technical review of GHG inventories from Annex I Parties and shall be made available to Parties upon request. The meeting of lead reviewers should discuss which review tools should also be made available to the general public and make recommendations in this regard to the SBSTA.

79. If an Annex I Party fails to provide the ERT with responses to the questions raised and does not provide the data and information necessary for the assessment of conformity with the UNFCCC Annex I inventory reporting guidelines and any further guidance adopted by the COP, the ERT shall assume that the reporting was not prepared in accordance with the UNFCCC Annex I inventory reporting guidelines and any further guidance adopted by the COP and clearly identify such cases in the review report.

III. Identification of issues

80. The individual inventory review shall identify any issues related to adherence to the UNFCCC Annex I inventory reporting guidelines.

81. Issues will be identified as a failure to follow the requirements⁶ and definitions in the UNFCCC Annex I inventory reporting guidelines. Issues will also be identified as failure to follow general IPCC good practice for any other category that the Party included in its national estimates in accordance with the UNFCCC Annex I inventory reporting guidelines. These may be further subdivided as issues of:

- (a) Transparency;
- (b) Consistency;
- (c) Comparability, including failure to use agreed reporting formats;
- (d) Completeness;
- (e) Accuracy;
- (f) Adherence to the UNFCCC Annex I inventory reporting guidelines.

82. In assessing completeness, when a category has been reported as not estimated based on it being insignificant, the ERT shall assess if the information reported by the Annex I Party meets the criteria set out in paragraph 37(b) of the UNFCCC Annex I inventory reporting guidelines.

83. The ERT will identify issues, in particular those relating to accuracy and completeness for key categories as described in paragraph 73 above, missing categories as described in paragraph 75(d) above, or potential key categories as identified by the ERT and that could not be clarified with the Party during the review week. In the case where, after such an issue has been identified in three successive reviews, in accordance with paragraphs 75(f) and 76(a) above, and has not been addressed by the Party, the ERT will include a prominent paragraph in the review report noting the issue, the number of successive reviews in which the Party has been notified of the issue, and that the Party has not addressed the issue.

⁶ In Part III “UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention” of the present guidelines, a requirement refers to a provision with a “shall” in the UNFCCC Annex I inventory reporting guidelines.

84. All main issues which are identified by the ERT in relation to requirements in the UNFCCC Annex I inventory reporting guidelines, including any issues described in paragraph 83 above, should be summarized by the ERT in the list of provisional main findings. The provisional main findings shall be communicated to the Annex I Party at the end of the week in which the individual review is performed. The Party may provide further clarifications related to the provisional main findings within two weeks. Any provisional main findings should, as appropriate, form the basis for the recommendations in the review report.

D. Timing

I. Initial assessment

85. The secretariat will complete the initial assessment in accordance with paragraph 68 above and should prepare a draft status report within three weeks after the submission date of the annual GHG inventory and send it to the Annex I Party for comments. Each Annex I Party should provide comments on the draft status report within three weeks of its receipt by the Party.

86. The secretariat will complete the initial assessment containing the elements in paragraph 69 above. The secretariat will incorporate all submissions and any resubmissions from Annex I Parties that were provided as a response to the status report and were received within six weeks from the due date for submissions. Annex I Parties should provide comments within three weeks of receipt of the draft assessment report. The secretariat will send a draft of the assessment report to the Annex I Party at the latest seven weeks prior to the scheduled individual review, and the Party will provide comments within three weeks. The assessment report and the Annex I Party's comments will be forwarded to the ERT as input for the individual review.

87. Any information, corrections, additional information or comments on the draft status report received from the Annex I Party within six weeks of the submission due date shall be subject to the initial assessment. A delay in the submission of the annual inventory shortens the time available for the Annex I Party concerned to comment on the draft status report.

II. Review of individual annual inventories

88. The secretariat should forward all relevant information to the members of the ERTs one month prior to the start of the review of the individual annual inventories. The ERT shall examine the information and raise questions for clarification to Annex I Parties under review, if necessary, two weeks prior to the start of the review. Annex I Parties should make all efforts to respond promptly to the questions received.

89. To achieve consistent review reports and a comparable treatment of Annex I Parties in the review process, the secretariat shall implement QA procedures. The QA procedures developed by the secretariat should be presented to and discussed at the meeting of the lead reviewers for GHG inventories. The purpose of the QA procedures is to ensure a consistent identification and treatment of issues. Editorial streamlining should take place only to the extent that the timelines for publication of the review reports are not compromised.

90. Each review should be completed within 20 weeks. In general, the timetable for the individual review activities, assuming available resources, should conform to the following:

- (a) Each ERT performs an individual review and prepares a draft review report for each Party under review, within six weeks after the end of the review week;
- (b) The secretariat applies QA/QC procedures, edits and formats the draft reports within four weeks and sends them to the respective Annex I Parties for comments;
- (c) The Annex I Parties respond within four weeks;

(d) The ERT shall produce the final version of the annual review report, taking into account the comments of the Annex I Party, within four weeks⁷ of receipt of the comments;

(e) All final review reports, together with any written comments on the final review report by the Annex I Party that is the subject of the report, shall be published on the UNFCCC website within two weeks and forwarded by the secretariat to the COP.

E. Reporting

I. Status report

91. The results of the initial assessment for each Annex I Party will be published on the UNFCCC website as a status report, mainly in tabular format. The status report will:

(a) Indicate the date of receipt of the GHG inventory submission by the secretariat;

(b) Determine whether the submission is complete and identify any gaps in the reported data, covering the elements listed in paragraph 68 above.

II. Assessment report

92. The results of the initial assessment, as described in paragraph 69 above, containing a preliminary analysis of individual Annex I Party inventories, will be sent to the respective Party for comments. The results, together with the comments provided by the respective Party, will be provided to the corresponding ERT as input for the individual review.

93. The assessment report for each individual inventory will contain the results of the checks described in paragraph 69 above.

III. Individual review reports

94. Under its collective responsibility, the ERT will produce an individual inventory review report for publication in electronic format on the UNFCCC website based on the results of the tasks listed in paragraphs 75 and 76 above. The review reports should contain an objective assessment of the adherence of the inventory information to the UNFCCC Annex I inventory reporting guidelines and the provisions of relevant COP decisions, and should not contain any political judgement. The review report shall, as appropriate, also contain recommendations and encouragements from the ERT regarding ways in which the Annex I Party can improve the quality of its inventory.

95. The following specific elements shall be included in the individual review report:

(a) A summary of the results of the inventory review and a general assessment of the inventory;

(b) A technical review of the elements specified in paragraphs 75 and 76 above;

(c) An identification of issues in accordance with paragraphs 81, 82 and 83 above, as appropriate;

(d) An assessment of the overall organization of the national inventory arrangements, including a discussion on the effectiveness and reliability of the institutional, procedural and legal arrangements for estimating GHG emissions.

96. The review reports should not extensively duplicate information already publically available, for example, through the CRF tables and NIRs reported by Annex I Parties.

⁷ Four weeks or 20 working days if the Party has a public holiday occurring within the four-week time frame.

97. The report should include standardized tables whenever possible, to increase the efficiency of communication. To the extent possible, the text of the report should not duplicate the information in the tables. The status of implementation of previous review recommendations should be listed in one of these standardized tables.

98. The report of all reviews shall be as concise as possible and the ERT shall make every effort that the report does not exceed 30 pages, including a 2–3 page summary.

PART IV: UNFCCC guidelines for the technical review of biennial reports from Parties included in Annex I to the Convention

A. Purpose of the review

99. The technical review of BRs is the first step of the international assessment and review (IAR) process. The overall objectives of the IAR process are to review the progress made by developed country Parties in achieving emission reductions and to assess the provision of financial, technological and capacity-building support to developing country Parties, as well as to assess emissions and removals related to quantified economy-wide emission reduction targets under the SBI, taking into account national circumstances, in a rigorous, robust and transparent manner, with a view to promoting comparability and building confidence. In addition, the IAR process aims at assessing the implementation of methodological and reporting requirements.

100. The purposes of the technical review of BRs from Annex I Parties are the following:

(a) To provide a thorough and comprehensive technical review of the parts of BRs that are not otherwise covered in the annual GHG inventory review;

(b) Taking into account paragraph 100(a) above, to examine in an objective and transparent manner whether quantitative and qualitative information was submitted by Annex I Parties in accordance with the “UNFCCC biennial reporting guidelines for developed country Parties” adopted by the COP;⁸

(c) To promote consistency of the information contained in BRs submitted by Annex I Parties;

(d) To assist Annex I Parties in improving their reporting of information and the implementation of their commitments under the Convention;

(e) To undertake an examination of the Party’s progress in achieving its economy-wide emission reduction target.

(f) To ensure that the COP has reliable information on the implementation of commitments under the Convention by each Annex I Party with a view to promoting comparability and building confidence.

B. General procedures

101. Each Annex I Party’s BR will be reviewed. A Party’s BR shall be reviewed in conjunction with its NC in the years in which both the BR and the NC are submitted.

102. Prior to the review, as part of its preparation, the ERT shall conduct a desk review of the BR of the Annex I Party under review. The ERT, through the secretariat, shall notify the Party concerned of any questions the team has regarding the information provided in the BR and of any focal areas for the review.

103. The output of the technical review will be a technical review report, building on existing reporting standards and including an examination of the Party’s progress in achieving its economy-wide emission reduction target.

⁸ Decision 2/CP.17, annex I; decision 19/CP.18.

C. Scope of the review

104. The individual review will:

- (a) Provide an assessment of the completeness of the BR, in accordance with the reporting requirements contained in decisions 2/CP.17 and 19/CP.18, and an indication of whether it was submitted on time;
- (b) Examine the consistency of the BR with the annual GHG inventory and NC but it will not include in-depth examination of the inventory itself;
- (c) Undertake a detailed technical examination of only those parts of the BR that are not included in the annual GHG inventory review, including the following:
 - (i) All emissions and removals related to the Party's quantified economy-wide emission reduction target;
 - (ii) Assumptions, conditions and methodologies related to the attainment of the Party's quantified economy-wide emission reduction target;
 - (iii) Progress the Party has made towards the achievement of its quantified economy-wide emission reduction target;
 - (iv) The Party's provision of financial, technological and capacity-building support to developing country Parties;
- (d) In the years in which an NC is submitted at the same time as the BR, serve as part of the review of the NC, where there is an overlap between the content of the BR and that of the NC.

Identification of issues

105. The issues identified during the technical review of individual sections of the BR shall be identified as relating to the following:

- (a) Transparency;
- (b) Completeness;
- (c) Timeliness;
- (d) Adherence to the biennial report reporting guidelines as per decision 2/CP.17.

D. Timing

106. If an Annex I Party expects difficulties with the timeliness of its BR submission by the due date, it should inform the secretariat thereof by the due date of the submission, to the extent possible, in order to facilitate the arrangements of the review process.

107. The ERTs shall make every effort to complete the individual review of BRs within 15 months of the due date of their submission for each Annex I Party.

108. If additional information is requested during the review week, the Annex I Party should make every reasonable effort to provide the information within two weeks after the review week.

109. The ERT for the review of the BR of each Annex I Party shall, under its collective responsibility, produce a draft technical review report following the format detailed in paragraph 112 below, to be finalized within eight weeks after the review week.

110. The draft technical review report of each BR shall be sent to the Annex I Party subject to the review for comment. The Party concerned shall be given four weeks⁹ from its receipt of the draft report to provide comments thereon.

111. The ERT shall produce the final version of the BR technical review report, taking into account the comments of the Annex I Party within four weeks of receipt of the comments. All final review reports shall be published and forwarded by the secretariat, together with any written comments on the final review report by the Party that is the subject of the report, to the COP.

E. Reporting

112. The following specific elements shall be included in the technical review report referred to in paragraph 54(b) above:

(a) The results of the technical examination of the elements specified in paragraph 104(c) above, including an examination of the Party's progress in achieving its economy-wide emission reduction target;

(b) An identification of issues in accordance with paragraph 105 above.

PART V: UNFCCC guidelines for the technical review of national communications from Parties included in Annex I to the Convention

A. Purpose

113. The purposes of the review of NCs from Annex I Parties are the following:

(a) To establish a process for a thorough and comprehensive technical review of the implementation of the commitments under the Convention by individual Annex I Parties and Annex I Parties as a group;

(b) Taking into account paragraph 113(a) above, to examine in an objective and transparent manner whether quantitative and qualitative information was submitted by Annex I Parties in accordance with the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications" adopted by the COP;

(c) To promote consistency of the information contained in the NCs of Annex I Parties;

(d) To assist Annex I Parties in improving their reporting of information under Article 12 of the Convention and the implementation of their commitments under the Convention;

(e) To ensure that the COP has reliable information on the implementation of commitments under the Convention by each Annex I Party and Annex I Parties as a whole.

B. General procedures

114. Each Annex I Party's NC will be reviewed, where relevant in conjunction with the review of the BR.

115. Each NC submitted under the Convention by an Annex I Party shall be subject to an in-country review.

116. Annex I Parties with total GHG emissions of less than 50 Mt CO₂ eq (excluding land use, land-use change and forestry) in accordance with their most recent GHG inventory

⁹ Four weeks or 20 working days if the Party has a public holiday occurring within the four-week time frame.

submission, with the exception of Parties included in Annex II to the Convention, may choose to undergo a centralized review for their NCs.

117. Prior to the review, the ERT shall conduct a desk review of the NC of the Annex I Party under review. The ERT, through the secretariat, shall notify the Party concerned of any questions the team has regarding the NC and of any focal areas for the review.

C. Scope of the review

118. The individual review will, noting paragraph 9 above:

(a) Provide an assessment of the completeness of the NC in accordance with the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications” adopted by the COP, and an indication of whether it was submitted on time;

(b) Check the consistency of information contained in the NC with that contained in the BR and GHG inventory. If the same information is reported elsewhere, the information should be reviewed only once;

(c) Undertake a detailed technical examination of the unique information contained in the NC and the procedures and methodologies used for the preparation of the information therein, noting that the outline of the NC is included in the list below:

- (i) National circumstances relevant to GHG emissions and removals;
- (ii) GHG inventory information;
- (iii) Policies and measures;
- (iv) Projections and the total effect of policies and measures;
- (v) Vulnerability assessment, climate change impacts and adaptation measures;
- (vi) Financial resources;
- (vii) Transfer of technology;
- (viii) Research and systematic observation;¹⁰
- (ix) Education, training and public awareness;

(d) Giving consideration to national circumstances, identify any potential issues referred to in paragraph 119 below.

Identification of issues

119. The issues identified during the technical review of individual sections of the NC shall be identified as relating to the following:

- (a) Transparency;
- (b) Completeness;
- (c) Timeliness;
- (d) Adherence to the NC reporting guidelines as per decision 4/CP.5.

¹⁰ Information provided under this heading includes a summary of the information provided on global climate observing systems.

D. Timing

120. If an Annex I Party expects difficulties with the timeliness of its NC submission by the due date, it should inform the secretariat thereof by the due date of the submission, to the extent possible, in order to facilitate the arrangements of the review process.

121. The ERTs shall make every effort to complete the individual review of NCs within 15 months of the due date of their submission for each Annex I Party.

122. If additional information is requested during the review week, the Annex I Party should make every reasonable effort to provide the information within two weeks after the review week.

123. The ERT for the review of the NC of each Annex I Party shall, under its collective responsibility, produce a draft of the review report following the format detailed in paragraph 126 below, to be finalized within eight weeks after the review week.

124. The draft of each NC review report shall be sent to the Annex I Party subject to the review for comment. The Party concerned shall be given four weeks¹¹ from its receipt of the draft report to provide comments thereon.

125. The ERT shall produce the final version of the NC review report, taking into account the comments of the Annex I Party within four weeks of receipt of the comments. All final review reports shall be published and forwarded by the secretariat, together with any written comments on the final review report by the Party that is the subject of the report, to the COP.

E. Reporting

126. The following specific elements shall be included in the report referred to in paragraph 54(c) above:

- (a) A technical review of the elements specified in paragraph 118(c) above;
- (b) An identification of issues in accordance with paragraphs 118(d) and 119 above.

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¹¹ Four weeks or 20 working days if the Party has a public holiday occurring within the four-week time frame.

Decision 14/CP.20

Training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling Articles 4, 7 and 12 of the Convention,

Also recalling decisions 19/CP.8, 12/CP.9 and 10/CP.15,

Further recalling decisions 1/CP.16 and 2/CP.17, which established a work programme under the Subsidiary Body for Scientific and Technological Advice for the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews,

Recalling decision 24/CP.19, by which the revised “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” were adopted and decision 13/CP.20, by which the “Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention” were adopted,

Having considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice,

Recognizing the importance of the training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention,

1. *Requests* the secretariat to implement the training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention, as outlined in the annex, including the examination of experts, and to give priority to organizing an annual training seminar for the basic course;
2. *Encourages* Parties included in Annex I to the Convention in a position to do so to provide financial support for the implementation of the training programme;
3. *Requests* the secretariat to include, in its annual report to the Subsidiary Body for Scientific and Technological Advice on the composition of expert review teams, information on the training programme, in particular on examination procedures and the selection of trainees and instructors, in order for Parties to assess the effectiveness of the programme.

Annex

Training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention

A. Details of the training programme

1. The courses are intended to train review experts for the technical review of information reported under the Convention related to greenhouse gas (GHG) inventories by Parties included in Annex I to the Convention. All training courses will be available online. For trainees without easy access to the Internet, courses will be distributed electronically; for courses facilitated by instructors, trainees will communicate electronically with the instructor during the training period. At the request of any Party, the training courses will also be made available to other experts interested in the technical review of GHG inventories, provided that this does not require additional resources. All courses will be available upon request to trainees all year round, without facilitation by instructors.
2. A closing seminar for the basic course of the training programme will be offered annually for around 30 participants (new review experts for the technical review of GHG inventories).
3. Additional regional training seminars for new review experts for the technical review of GHG inventories and a refresher seminar for experienced review experts for the technical review of GHG inventories may be offered annually, depending on the availability of resources. The refresher seminars may be offered in conjunction with meetings of lead reviewers, in order to enhance their knowledge and that of other experienced review experts for the technical review of GHG inventories.
4. All training courses will include an examination. Examination procedures will be standardized, objective and transparent.
5. When participants attend a training seminar, the examination will generally take place during that seminar. In all other circumstances, other arrangements for examinations will be made, provided that the examinations take place under the supervision of the secretariat and that no additional resources are required. For courses without a training seminar, the examination will take place online.
6. New review experts for the technical review of GHG inventories who successfully complete the relevant requirements of the training programme and pass the examinations will be invited to participate in centralized or in-country reviews, working alongside experienced review experts.
7. New review experts who do not pass a course examination at the first attempt may retake the examination once only, provided that the expert has fulfilled all of the tasks assigned during the training course in a timely manner and that the retake does not require the secretariat to incur additional costs.
8. Experienced review experts for the technical review of GHG inventories will be invited to take the online training courses. Examinations are not mandatory for experienced review experts but are encouraged, and may take place in conjunction with meetings of lead reviewers.

9. Experienced review experts with relevant GHG inventory reporting and review expertise will be invited to act as instructors for relevant courses of the training programme, ensuring that their collective skills cover the subjects addressed in each course. The secretariat will seek to achieve a geographical balance among the instructors participating in the training programme.

10. When selecting new review experts to attend training courses facilitated by instructors, the secretariat will give priority to review experts with relevant GHG inventory reporting expertise, nominated to the UNFCCC roster of experts, from Parties that do not have review experts who have previously participated in review activities.

B. Courses of the training programme

1. Basic course for the review of greenhouse gas inventories of Parties included in Annex I to the Convention

Description: This course covers a comprehensive introduction to the “Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention”, an overview 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 greenhouse gas inventories”, guidance on procedures and approaches for the technical review of GHG inventories and general Intergovernmental Panel on Climate Change (IPCC) inventory guidance (*2006 IPCC Guidelines for National Greenhouse Gas Inventories*), as well as specific aspects of the review of the following IPCC sectors: energy; industrial processes and product use; agriculture; land use, land-use change and forestry; and waste. This course also provides guidance on drafting substantive review reports that are consistent among review teams and reader friendly.

Preparation: 2015

Implementation: 2015–2016

Target audience: New and experienced review experts for the technical review of GHG inventories

Type of course: E-learning, facilitated by instructors, with a closing seminar

Examination requirements and format: New review experts for the technical review of GHG inventories must pass the general examination as well as a sectoral examination before participating in expert review teams. Lead reviewers and experienced review experts for the technical review of GHG inventories are encouraged to take the examinations. The examinations will be conducted in person.

2. Review of complex models and higher-tier methods

Description: This course provides general guidance and procedures, as well as guidance on specific aspects of the review of emission estimations performed using complex models and higher-tier methods (tier 3 methods).

Preparation: 2010

Implementation: 2014–2016

Target audience: Lead reviewers and review experts for the technical review of GHG inventories

Type of course: E-learning, without an instructor

Examination requirements and format: Optional; self-check electronic examination

3. Improving communication and facilitating consensus in expert review teams

Description: This course provides guidance and tools to improve the work of expert review teams and to facilitate teamwork

Preparation: 2003

Implementation: 2014–2016

Target audience: Lead reviewers and review experts for the technical review of GHG inventories

Type of course: E-learning, without an instructor

Examination requirements and format: Optional; self-check electronic examination

C. Refresher seminar for experienced greenhouse gas inventory review experts

Description: This annual seminar provides general guidance on specific and complex aspects of the technical review of GHG emission estimates. It enables experienced review experts for the technical review of GHG inventories to strengthen and refresh their knowledge, in relation to both cross-cutting aspects and sector-specific issues.

Implementation: 2014–2016, subject to the availability of resources

Target audience: Lead reviewers and experienced review experts for the technical review of GHG inventories

*10th plenary meeting
12 December 2014*

Decision 15/CP.20

Training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling Articles 4, 7 and 12 of the Convention and decisions 2/CP.1, 9/CP.2, 6/CP.3, 4/CP.5, 33/CP.7, 18/CP.10, 1/CP.13, 2/CP.17 and 19/CP.18, on national communications and biennial reports,

Also recalling decision 23/CP.19, on the guidelines for the review of biennial reports and national communications, including national inventory reviews,

Having considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice,

Recognizing the importance of the training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention,

1. *Requests* the secretariat to develop and implement the training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention, including the examination of experts, as outlined in the annex;
2. *Encourages* Parties included in Annex I to the Convention in a position to do so to provide financial support for the implementation of the training programme;
3. *Requests* the secretariat to include, in its annual report to the Subsidiary Body for Scientific and Technological Advice on the composition of expert review teams, information on the training programme, in particular on examination procedures and the selection of trainees, so that Parties may assess the effectiveness of the programme.

Annex

Training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention

A. Details of the training programme

1. The courses are intended to train review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention. All training courses will be available online. For trainees without easy access to the Internet, courses will be distributed through electronic means. At the request of any Party, the courses will also be made available to others interested in the review process, provided that this does not require additional resources. All courses will be available upon request to trainees all year round, without facilitation by instructors.
2. All training courses will include an examination. Examination procedures will be standardized, objective and transparent.
3. The examination will take place online. In exceptional circumstances, other arrangements for examinations will be made, provided that the examinations take place under the supervision of the secretariat and that this does not require additional resources.
4. New review experts who successfully complete the relevant requirements of the training programme and pass the examinations will be invited to participate in a centralized or in-country review, working alongside experienced review experts.
5. Experts who do not pass an examination for a course at the first attempt may retake the examination once only, provided that the expert has fulfilled all of the tasks assigned during the training course in a timely manner and that the retake does not require the secretariat to incur additional costs.

B. Courses of the training programme

1. General and cross-cutting aspects of the review of national communications and biennial reports

Description: This course covers the reporting requirements and the procedures for the general aspects of the review process of national communications and biennial reports under the Convention, and aims to provide a comprehensive overview of the reporting and review requirements and guidance to expert review teams on the process and steps for conducting reviews under the international assessment and review process. The course promotes consistency and fairness in the review process by providing technical guidance on the general review approaches and use of tools.

Preparation: 2014

Implementation: 2014–2016

Target audience: New review experts and lead reviewers

Type of course: E-learning, without an instructor

Examination requirements and format: New review experts and lead reviewers must pass the examination before participating in expert review teams. Online examination.

2. **Technical review of targets and of policies and measures, their effects and their contribution to achieving those targets**

Description: This course provides general guidance and approaches for the technical review of information on national policy context and greenhouse gas (GHG) mitigation targets, policies and measures (PaMs), the effects of each individual PaM and their contribution to the reduction of GHG emissions.

Preparation: 2014

Implementation: 2014–2016

Target audience: New review experts reviewing targets and PaMs, and lead reviewers

Type of course: E-learning, without an instructor

Examination requirements and format: New review experts must pass the examination before participating in expert review teams. Online examination.

3. **Technical review of greenhouse gas emissions, emission trends, projections and the total effect of policies and measures**

Description: This course provides general guidance and approaches for the technical review of information on GHG emissions, emission trends, projections and the total effect of PaMs.

Preparation: 2014

Implementation: 2014–2016

Target audience: New review experts reviewing emission trends, projections and the total effect of PaMs, and lead reviewers

Type of course: E-learning, without an instructor

Examination requirements and format: New review experts must pass the examination before participating in expert review teams. Online examination.

4. **Technical review of the provision of financial support, technology transfer and capacity-building**

Description: This course provides general guidance and approaches for the technical review of information on the provision of financial resources by Parties included in Annex II to the Convention to Parties not included in Annex I to the Convention, the promotion, facilitation and financing of the transfer of technology, and capacity-building, including creating national expertise on climate change related issues, strengthening institutions and developing educational, training and awareness-raising activities.

Preparation: 2014

Implementation: 2014–2016

Target audience: New review experts reviewing the provision of financial support, technology transfer and capacity-building, and lead reviewers

Type of course: E-learning, without an instructor

Examination requirements and format: New review experts must pass the examination before participating in expert review teams. Online examination.

*10th plenary meeting
12 December 2014*

Decision 16/CP.20

Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013

The Conference of the Parties,

Recalling decisions 1/CP.16, 2/CP.17, 4/CP.17, 1/CP.18, 13/CP.18, 14/CP.18 and 25/CP.19,

Also recalling decisions 13/CP.18, paragraph 8, and 14/CP.18, paragraph 11,

1. *Welcomes* the joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013,¹ and the work these bodies undertook in 2013 to facilitate the effective implementation of the Technology Mechanism;

Activities and performance of the Technology Executive Committee in 2013

2. *Also welcomes* the effective implementation of the rolling workplan of the Technology Executive Committee for 2012–2013 and the key messages contained in the report referred to in paragraph 1 above;

3. *Adopts* the modalities of the Technology Executive Committee on linkages with other relevant institutional arrangements under and outside of the Convention contained in the annex to the report referred to in paragraph 1 above, with a view to promoting coherence and cooperation across technology activities under and outside of the Convention;²

Activities and performance of the Climate Technology Centre and Network in 2013

4. *Welcomes* the progress made by the United Nations Environment Programme, as the host of the Climate Technology Centre, in making the arrangements necessary for the full operationalization of the Climate Technology Centre and Network in 2013;

5. *Also welcomes* the timely completion of the mandated activities of the Advisory Board of the Climate Technology Centre and Network in 2013, which provided the necessary means for the Climate Technology Centre and Network to receive and respond to requests from developing country Parties in accordance with decision 1/CP.16, paragraph 123;

6. *Urges* Parties that have not yet nominated their national designated entity to promptly communicate their nomination to the secretariat through their national focal point;

7. *Invites* developing country Parties to submit requests, through their national designated entity, to the Climate Technology Centre and Network in accordance with decision 1/CP.16, paragraph 123;

8. *Acknowledges* with appreciation the financial support provided by Parties for the activities of the Climate Technology Centre and the mobilization of the services of the Network.

*10th plenary meeting
12 December 2014*

¹ FCCC/SB/2013/1.

² The text in the annex to the report referred to in paragraph 1 above will replace chapters V and VI of the modalities of the Technology Executive Committee adopted by decision 4/CP.17.

Decision 17/CP.20

Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014

The Conference of the Parties,

Recalling decisions 1/CP.16, 2/CP.17, 4/CP.17, 1/CP.18, 13/CP.18, 14/CP.18 and 25/CP.19,

Also recalling decision 1/CP.16, paragraph 126,

1. *Welcomes with appreciation* the joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014¹ and its joint key messages;
2. *Notes* that through the work of these bodies in 2014 the Technology Mechanism is progressing in an effective manner towards fulfilling its mandate as provided for in the Cancun Agreements and the Durban Outcomes;
3. *Notes with appreciation* the collaboration between the Technology Executive Committee and the Climate Technology Centre and Network, and encourages them to continue collaborating to enhance coherence and synergy in the work of the Technology Mechanism;
4. *Decides* that the Technology Executive Committee and the Climate Technology Centre and Network shall continue to prepare a joint annual report to the Conference of the Parties, through the subsidiary bodies, on their respective activities and the performance of their respective functions;

Activities and performance of the Technology Executive Committee in 2014

5. *Welcomes* the rolling workplan of the Technology Executive Committee for 2014–2015² and the progress made by the Committee in advancing the implementation of the workplan;
6. *Recognizes* the key messages of the Technology Executive Committee on climate technology financing, technologies for adaptation and technology needs assessments, as contained in the report referred to in paragraph 1 above;
7. *Welcomes* the work of the Technology Executive Committee in 2014 on technologies for adaptation, including the TEC Briefs on technologies for adaptation in the agriculture and water sectors, and looks forward to the Committee's work on technologies for mitigation as part of the implementation of its rolling workplan for 2014–2015;
8. *Notes* that the Technology Executive Committee held a workshop on national systems of innovation in October 2014, and requests the Technology Executive Committee to continue its work on enabling environments and barriers as stipulated in activity 4 of its rolling workplan for 2014–2015;
9. *Notes with appreciation* the effective implementation by the Technology Executive Committee of its linkage modalities with institutional arrangements through its active collaboration with bodies under and outside of the Convention, including the Adaptation Committee, the Standing Committee on Finance and the Global Environment Facility;

¹ FCCC/SB/2014/3.

² Technology Executive Committee document TEC/2014/8/10, annex II.

10. *Acknowledges* that the Technology Executive Committee, in response to an invitation by the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation,³ has undertaken activities in 2014 to strengthen linkages with organizations under and outside of the Convention;

11. *Encourages* the Technology Executive Committee to continue to strengthen the linkages referred to in paragraph 10 above in the implementation of its rolling workplan for 2014–2015;

12. *Recognizes* the need for the technology needs assessment process to be improved in order to facilitate the implementation of the project ideas emanating from it. This can be done through the provision of technical assistance and finance to each technology needs assessment, which should also aim to integrate economic, environmental and social aspects into the development of the technology needs assessment;

13. *Requests* the Technology Executive Committee to provide guidance on how the results of the technology needs assessments, in particular the technology action plans, can be developed into projects that can be ultimately implemented, and to provide an interim report on its preliminary findings to the subsidiary bodies at their forty-third sessions (November–December 2015);

Activities and performance of the Climate Technology Centre and Network in 2014

14. *Welcomes with appreciation* the progress made by the Climate Technology Centre and Network in implementing its programme of work, including by: responding to requests from developing countries; fostering collaboration and access to information; and strengthening networks, partnerships and capacity-building;

15. *Welcomes* the elaboration and approval by the Advisory Board of the Climate Technology Centre and Network of the Climate Technology Centre network criteria and the Climate Technology Centre and Network prioritization criteria for national designated entity requests, and encourages the Advisory Board of the Climate Technology Centre and Network to elaborate these criteria as needed;

16. *Encourages* the Climate Technology Centre and Network to further elaborate its procedures for handling requests and to inform Parties and stakeholders of these activities in the joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network;

17. *Welcomes* the work of the Advisory Board of the Climate Technology Centre and Network in 2014 to facilitate the operation and services of the Climate Technology Centre and Network;

18. *Notes* the ongoing consultations between the Global Environment Facility and the Climate Technology Centre and Network, and requests the Climate Technology Centre and Network to report on those consultations in future joint annual reports of the Technology Executive Committee and the Climate Technology Centre and Network;

19. *Also notes* document FCCC/SB/2014/3, paragraphs 64–66, and invites the Climate Technology Centre and Network to continue to report on these issues, as well as on funding resources available for responding to requests, in future joint annual reports of the Technology Executive Committee and the Climate Technology Centre and Network.

*10th plenary meeting
12 December 2014*

³ FCCC/SBSTA/2014/2, paragraph 32, and FCCC/SBI/2014/8, paragraph 133.

Decision 18/CP.20

Lima work programme on gender

The Conference of the Parties,

Recalling decisions 36/CP.7, 1/CP.16 and 23/CP.18 on improving the participation of women in Convention negotiations and in the representation of Parties in bodies established under the Convention,

Underscoring the importance of coherence between gender-responsive climate policies and balanced participation of women and men in the Convention process, and the provisions of international instruments such as the Convention on the Elimination of All Forms of Discrimination against Women and the Beijing Declaration and Platform for Action,

Acknowledging the progress made in advancing gender balance and gender equality within the context of climate change policies and in line with the individual country circumstances and gender-responsive climate policy through the decisions referred to above, and the need for gender mainstreaming through all relevant targets and goals in activities under the Convention as an important contribution to increase their effectiveness,

Noting that, notwithstanding the progress made by Parties in implementing the decisions referred to above, there is a need for women to be represented in all aspects of the Convention process, including through membership of their national delegations and the chairing and facilitation of formal and informal negotiating groups,

Also noting that gender-responsive climate policy still requires further strengthening in all activities related to adaptation and mitigation as well as decision-making on the implementation of climate policies,

1. *Decides* to enhance the implementation of decisions 36/CP.7, 1/CP.16 and 23/CP.18 by inviting Parties to advance gender balance, promote gender sensitivity in developing and implementing climate policy, and achieve gender-responsive climate policy in all relevant activities under the Convention;
2. *Also decides* that additional efforts need to be made by Parties to improve the participation of women in their delegations and in all of the bodies established under the Convention, as stipulated in decisions 36/CP.7 and 23/CP.18;
3. *Further decides* to establish a two-year work programme for promoting gender balance and achieving gender-responsive climate policy, developed for the purpose of guiding the effective participation of women in the bodies established under the Convention, the elements of which are contained in paragraphs 4 to 7 below;
4. *Requests* the secretariat to include in its next annual report, as referred to in decision 23/CP.18, paragraph 8, information regarding the implementation by the secretariat of those decisions that include a gender approach, in keeping with applicable gender-related policies under the Convention;
5. *Decides* to strengthen the existing work on gender balance in the thematic priority areas set out in paragraphs 6 to 12 below;
6. *Encourages* Parties to support (a) training and awareness-raising for female and male delegates on issues related to gender balance and climate change, and (b) building the skills and capacity of their female delegates to effectively participate in UNFCCC meetings via training on, inter alia, negotiation skills, drafting of legal language and strategic communication;

7. *Also encourages* interested Parties and relevant organizations to support these training and capacity-building efforts, particularly for delegates from Parties that are particularly vulnerable to the adverse effects of climate change, including the least developed countries, small island developing States and countries in Africa;
8. *Requests* the secretariat to support the organization of these training and capacity-building efforts, inter alia, in conjunction with sessions of the subsidiary bodies;
9. *Invites* Parties to increase the representation of women and active participation of women in the bodies established under the Convention;
10. *Decides* to clarify the meaning of the term “gender-responsive climate policy” from an implementation perspective, and improve the development and effective implementation of gender-responsive climate policy;
11. *Requests* the secretariat to organize an in-session workshop on gender-responsive climate policy with a focus on mitigation action and technology development and transfer during the forty-second session of the Subsidiary Body for Implementation (June 2015), and prepare a report on the workshop for consideration at its forty-third session (November–December 2015);
12. *Also requests* the secretariat to organize an in-session workshop on gender-responsive climate policy with a focus on adaptation and capacity-building, and training for delegates on gender issues during the forty-fourth session of the Subsidiary Body for Implementation (May 2016) and prepare a report on the workshop for consideration at its forty-fifth session (November 2016). Future work could include in-session workshops on other themes;
13. *Invites* Parties and admitted observer organizations to submit to the secretariat, by 18 February 2015 and 3 February 2016, respectively, their views on the matters to be addressed at the in-session workshops referred to in paragraphs 11 and 12 above;
14. *Requests* the secretariat to prepare a technical paper on guidelines or other tools on integrating gender considerations into climate change related activities under the Convention for consideration by the Subsidiary Body for Implementation at its forty-fourth session;
15. *Invites* Parties and admitted observer organizations to provide information on progress made in meeting the goals of achieving gender balance and gender-responsive climate policy;
16. *Agrees* to review this information at its twenty-second session (November 2016) with a view to taking any necessary action needed to strengthen the progress of furthering these goals;
17. *Requests* the Executive Secretary to appoint a senior gender focal point, who is an expert in this subject matter, to develop and ensure the implementation of, within existing resources, an action plan for the two-year work programme on gender and climate change;
18. *Invites* Parties and relevant organizations to provide the means for implementing gender-related activities within the two-year work programme;
19. *Takes note* of the budgetary implications of the activities to be undertaken by the secretariat referred to in this decision;
20. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

*10th plenary meeting
12 December 2014*

Decision 19/CP.20

The Lima Ministerial Declaration on Education and Awareness-raising

The Ministers and Heads of Delegation attending the twentieth session of the Conference of the Parties and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, held in Lima, Peru, from 1 to 12 December 2014,

Reaffirming the importance of Article 6 of the Convention and Article 10(e) of the Kyoto Protocol,

Recalling decision 15/CP.18,

Concerned about the impacts of climate change on both current and future generations,

Recognizing that education, including formal, non-formal and informal education, and public awareness programmes should promote the attitudes and behaviour needed to prepare our societies to adapt to the impacts of climate change,

Reaffirming that public participation, access to information and knowledge are crucial for developing and implementing effective policies to combat climate change and adapt to its impacts, as well as to engage actively, as appropriate, all stakeholders, including children, youth, the elderly, women, persons with disabilities, indigenous and local communities and non-governmental organizations in the implementation of these policies,

Underlining that effective climate change action requires public understanding of the issues at stake and the potential benefits of climate action, and that there is a need for public understanding that a transformation is necessary now to avoid increasingly serious consequences in the future,

Acknowledging the progress made by Parties, international organizations, civil society and other stakeholders in planning, coordinating and implementing activities related to education, training, public awareness, public participation and access to information,

Recalling the outcomes of major United Nations conferences and summits related to education,

Considering, in this context, the importance of the United Nations Educational, Scientific and Cultural Organization World Conference on Education for Sustainable Development held in Aichi-Nagoya, Japan, from 10 to 12 November 2014, which called for urgent action to further strengthen and scale up education for sustainable development,

1. *Stress* that education, training, public awareness, public participation, public access to information, knowledge and international cooperation play a fundamental role in meeting the ultimate objective of the Convention and in promoting climate-resilient sustainable development;

2. *Reaffirm* our commitment to promote and facilitate, at the national and, as appropriate, at subregional and regional levels, and in accordance with national laws and regulations, and within the respective capacities, the development and implementation of educational and public awareness programmes on climate change and its effects, of public access to information on climate change and its effects and of public participation in addressing climate change;

3. *Encourage* governments to develop education strategies that incorporate the issue of climate change in curricula and to include awareness-raising on climate change in the design and implementation of national development and climate change strategies and policies in line with their national priorities and competencies;
4. *Urge* all Parties to give increased attention, as appropriate, to education, training, public awareness, public participation and public access to information on climate change;
5. *Encourage* all Parties to participate in, and to benefit from, the work of intergovernmental panels and expert groups established under the United Nations on matters related to climate change education, natural science and public awareness;
6. *Express* our resolve to cooperate and engage through multilateral, bilateral and regional complementary initiatives that aim to raise awareness and enhance education on climate change and its impacts, opportunities and co-benefits;
7. *Reaffirm* our commitment to the implementation of the Doha work programme on Article 6 of the Convention.¹

*10th plenary meeting
13 December 2014*

¹ See decision 15/CP.18.

Decision 20/CP.20

Forum and work programme on the impact of the implementation of response measures

The Conference of the Parties,

Decides to forward the text of the draft decision contained in the annex for consideration by the subsidiary bodies at their forty-second sessions (June 2015), with a view to recommending a draft decision on this matter for adoption by the Conference of the Parties at its twenty-first session (November–December 2015).

Annex

[English only]

Recommendation of the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice

The Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice, at their forty-first sessions, recommended the following draft decision for consideration and adoption by the Conference of the Parties at its twentieth session:

Draft decision -/CP.20

Forum and work programme on the impact of the implementation of response measures

The Conference of the Parties,

[Recalling the ultimate objective of the Convention,]

[Reaffirming the importance of the objective of the Convention, and the relevant principles and provisions of the Convention related to the economic and social consequences of response measures, in particular its Articles 2, 3 and 4,]

Recalling decisions 5/CP.7, 1/CP.10, 1/CP.13, 1/CP.16, 2/CP.17, 8/CP.17, 1/CP.18 and 31/CMP.1, and Article 4, paragraphs 8, 9 and 10 of the Convention, as well as Article 2, paragraph 3, and Article 3, paragraph 14, of its Kyoto Protocol,

[Acknowledging Parties' repeated calls for a continued and structured exchange of information on both the positive and negative consequences of response measures and on ways to maximize the positive and minimize the negative consequences for Parties, in line with the work programme on this matter developed by the subsidiary bodies,]

Recalling decision 8/CP.17, paragraph 3, which established the forum on the impact of the implementation of response measures to implement the work programme on the impact of the implementation of response measures, [and decision 2/CP.17, paragraph 91, which consolidated all progressive discussions related to response measures under the Convention,]

[Also reaffirming that developed country Parties are urged to strive to implement policies and measures to respond to climate change in such a way as to avoid negative social and economic consequences for developing country Parties, taking into account Article 3 of the Convention, and to assist these Parties to address such consequences by providing support, including financial resources, transfer of technology and capacity building, in accordance with Article 4 of the Convention, to build up the resilience of societies and economies negatively affected by response measures,]

[Also recalling that Parties should cooperate to promote a supportive and open international economic system that would lead to sustainable economic growth and development in all Parties, particularly developing country Parties, thus enabling them better to address the problems of climate change; measures taken to combat climate change, including unilateral ones, should not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade,]

Noting that the initial review of the work of the forum on the impact of the implementation of response measures, pursuant to decision 8/CP.17, paragraph 5, indicates that a more focused consideration of issues is needed for the effectiveness of the process,

Option 1:

1. *Decides* to hereby continue the forum on the impact of the implementation of response measures [which consolidates all progressive discussions related to response measures under the Convention] [until 2015] in order to provide a platform allowing Parties to share, in an interactive manner, information, experiences, case studies, best practices and views;
2. *Decides* to focus future work under the forum on the impact of the implementation of response measures on expert input and the provision of concrete examples, case studies and practices in order to enhance the capacity of Parties, in particular developing country Parties, to deal with [all] [positive and negative] impacts of the implementation of response measures;
3. *Requests* the Chairs of the subsidiary bodies to convene the forum , to implement the updated work programme on the impact of the implementation of response measures, which shall meet [once] [twice] a year, in conjunction with the sessions of the subsidiary bodies;
4. [*Requests* the subsidiary bodies, at their forty-second sessions (June 2015), to update the work programme on the impact of the implementation of response measures, and the modalities to implement that work programme;]
5. [*Requests* the subsidiary bodies, in updating the work programme, to take into consideration the following elements:
 - (a) Economic diversification and transformation;
 - (b) Just transition of the work force, and the creation of decent work and quality jobs;
 - (c) Assessment and analysis of impacts[, including economic modelling];]
6. [*Requests* the subsidiary bodies to review at their forty-fifth sessions the work of the forum, including the need for its continuation, with a view to providing recommendations to the Conference of the Parties at its twenty-second session (November–December 2016);]
7. [*Requests* the secretariat to prepare, subject to the availability of financial resources, a guidance document to assist developing countries to assess the impacts of the implementation of response measures, including guidance on modeling tools, as well as technical materials to assist developing countries on their economic diversification initiatives, for consideration at SBI 42 and SBSTA 42 (June 2015);]

*Option 2:**(Provisions related to the colloquium)**Option 1:*

8. *Decides* to establish a Mechanism for Enhanced Action on Response Measures, and requests the subsidiary bodies to develop the functions and modalities of the mechanism at their forty-second sessions, for consideration and adoption by the Conference of the Parties at its twenty-first session (November–December 2015).

*Option 2:**(No text)*

9. *Takes* note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 4 above. They requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

*10th plenary meeting
12 December 2014*

Decision 21/CP.20

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

The Conference of the Parties,

Reaffirming decisions 26/CP.7, 1/CP.16, 2/CP.17 and 1/CP.18, which recognized that Turkey is in a situation different from that of other Parties included in Annex I to the Convention,

Also reaffirming the importance of financial, technological and capacity-building support to Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties in order to assist these Parties in implementing the Convention,

1. *Recognizes* the opportunities for Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties to benefit, at least until 2020, from support from relevant bodies established under the Convention and other relevant bodies and institutions to enhance mitigation, adaptation, technology, capacity-building and access to finance;
2. *Encourages* Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties to fully utilize those opportunities;
3. *Urges* Parties included in Annex II to the Convention which are in a position to do so, through multilateral agencies, including the Global Environment Facility within its mandate, relevant intergovernmental organizations, international financial institutions, other partnerships and initiatives, bilateral agencies and the private sector, or through any further arrangements, as appropriate, to provide financial, technological, technical and capacity-building support to Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties in order to assist them in implementing their national strategies, actions and plans on climate change mitigation and adaptation, and in developing their low-emission development strategies or plans in accordance with decision 1/CP.16.

*10th plenary meeting
12 December 2014*

Decision 22/CP.20

Administrative, financial and institutional matters

The Conference of the Parties,

Recalling decision 27/CP.19, in which the programme budget for the biennium 2014–2015 was approved and the Executive Secretary was requested to report to the Conference of the Parties at its twentieth session on income and budget performance and to propose any adjustments that might be needed in the programme budget for the biennium 2014–2015,

Also recalling paragraph 11 of the financial procedures of the Conference of the Parties,¹

Having considered the information contained in the documents prepared by the secretariat on administrative, financial and institutional matters,²

I. Audited financial statements for the biennium 2012–2013

1. *Takes note* of the audited financial statements for the biennium 2012–2013, the audit report of the United Nations Board of Auditors, which includes recommendations, and the comments of the secretariat thereon;
2. *Expresses its appreciation* to the United Nations for arranging the audits of the accounts of the Convention, and for the valuable observations and recommendations of the auditors;
3. *Urges* the Executive Secretary to implement the recommendations of the auditors, as appropriate;

II. Budget performance report for the biennium 2014–2015

4. *Takes note* of the report on budget performance for the biennium 2014–2015 as at 30 June 2014 and the status of contributions as at 15 November 2014 to the trust funds administered by the secretariat;
5. *Expresses its appreciation* to Parties that made contributions to the core budget in a timely manner;
6. *Calls upon* Parties that have not yet made contributions to the core budget to do so without delay, bearing in mind that contributions are due on 1 January of each year in accordance with the financial procedures of the Conference of the Parties;
7. *Expresses its appreciation* for the contributions received from Parties to the Trust Fund for Participation in the UNFCCC Process and to the Trust Fund for Supplementary Activities;
8. *Urges* Parties to further contribute to the Trust Fund for Participation in the UNFCCC Process, in order to ensure the widest possible participation in the negotiations in 2015, and to the Trust Fund for Supplementary Activities;

¹ Decision 15/CP.1, annex I.

² FCCC/SBI/2014/10, FCCC/SBI/2014/16 and Add.1 and 2, and FCCC/SBI/2014/INF.23.

9. *Reiterates* its appreciation to the Government of Germany for its annual voluntary contribution to the core budget of EUR 766,938 and its special contribution of EUR 1,789,522 as Host Government of the secretariat;

III. Programme budget for the biennium 2016–2017

10. *Requests* the Executive Secretary to submit, for consideration by the Subsidiary Body for Implementation at its forty-second session (June 2015), a proposed programme budget for the biennium 2016–2017;

11. *Also requests* the Executive Secretary, when preparing the programme budget for the biennium 2016–2017, to prepare a contingency for funding conference services,³ should this prove necessary in the light of decisions taken by the General Assembly at its seventieth session;

12. *Further requests* the Subsidiary Body for Implementation to recommend, at its forty-second session, a programme budget for adoption by the Conference of the Parties at its twenty-first session and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session (November–December 2015);

13. *Authorizes* the Executive Secretary to notify Parties of their indicative contributions for 2016 on the basis of the recommended budget.

*10th plenary meeting
12 December 2014*

³ See document FCCC/SBI/2013/6, paragraphs 59–62, for an overview.

Decision 23/CP.20

Revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat

The Conference of the Parties,

Noting that the United Nations General Assembly, by its resolution 60/283, approved the adoption of the International Public Sector Accounting Standards for the presentation of financial statements within the United Nations system,

Also noting that the UNFCCC secretariat, in keeping with the timeline established by the United Nations Secretariat, is scheduled to prepare its first financial statements in accordance with the International Public Sector Accounting Standards in April 2015,

Having considered the proposed revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat required for the adoption of the International Public Sector Accounting Standards,¹

Approves the proposed revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat required for the adoption of the International Public Sector Accounting Standards contained in the annex to document FCCC/SBI/2014/INF.9.

*10th plenary meeting
12 December 2014*

¹ FCCC/SBI/2014/INF.9.

Decision 24/CP.20

Dates and venues of future sessions

The Conference of the Parties,

Recalling Article 7, paragraph 4, of the Convention,

Also recalling United Nations General Assembly resolution 40/243 of 18 December 1985 on the pattern of conferences,

Further recalling rule 22, paragraph 1, of the draft rules of procedure being applied regarding the rotation of the office of President among the five regional groups,

I. Dates and venues of future sessions

A. Twenty-second session of the Conference of the Parties and twelfth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

1. *Notes with appreciation* the expression of interest received from the Government of Morocco in relation to hosting the twenty-second session of the Conference of the Parties and the twelfth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, which will be held from Monday, 7 November to Friday, 18 November 2016;

2. *Requests* the secretariat to initiate a fact-finding mission to Morocco and to report to the Bureau of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, by June 2015, on whether all logistical, technical, legal and financial elements for hosting the sessions are available there, in conformity with United Nations General Assembly resolution 40/243;

3. *Also requests* the Subsidiary Body for Implementation to consider, at its forty-second session (June 2015), the issue of the host of the twenty-second session of the Conference of the Parties and the twelfth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, and to recommend a draft decision on this matter for consideration and adoption by the Conference of the Parties at its twenty-first session (November–December 2015);

B. Twenty-third session of the Conference of the Parties and thirteenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

4. *Notes* that, in keeping with the principle of rotation among regional groups, the President of the twenty-third session of the Conference of the Parties and the thirteenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol would come from the Asia-Pacific States;

5. *Invites* Parties to undertake further consultations on the hosting of those sessions, which will be held from Monday, 6 November to Friday, 17 November 2017;

6. *Requests* the Subsidiary Body for Implementation, at its forty-second session, to consider the issue of the host of the twenty-third session of the Conference of the Parties and the thirteenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and to recommend a draft decision on this matter for consideration and adoption by the Conference of the Parties at its twenty-first session;

II. Calendar of meetings of the Convention and Kyoto Protocol bodies

7. *Takes note* that, as recommended by the Subsidiary Body for Implementation at its fortieth session,¹ future May/June sessions of the subsidiary bodies should commence on a Monday, and that, in order to enhance efficiency and time management, work should be completed one day earlier than previously, so as to finish the sessions on the Thursday of the second week, and that all meetings at those sessions taking place on the Saturday should be completed by midday in order to enhance the efficiency, timeliness and transparency of the work;

8. *Decides* to adopt the following dates for the sessional periods in 2015, 2016, 2017, 2018 and 2019:

(a) 2015: Monday, 1 June to Thursday, 11 June and Monday, 30 November to Friday, 11 December;

(b) 2016: Monday, 16 May to Thursday, 26 May and Monday, 7 November to Friday, 18 November;

(c) 2017: Monday, 8 May to Thursday, 18 May and Monday, 6 November to Friday, 17 November;

(d) 2018: Monday, 30 April to Thursday, 10 May and Monday, 5 November to Friday, 16 November;

(e) 2019: Monday, 17 June to Thursday, 27 June and Monday, 11 November to Friday, 22 November.

*10th plenary meeting
12 December 2014*

¹ FCCC/SBI/2014/8, paragraphs 212 and 213.

Resolution 1/CP.20

Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima

Draft resolution submitted by France

The Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Having met in Lima from 1 to 12 December 2014 at the invitation of the Government of the Republic of Peru,

1. *Express their profound gratitude* to the Government of the Republic of Peru for having made it possible for the twentieth session of the Conference of the Parties and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to be held in Lima;
2. *Request* the Government of the Republic of Peru to convey to the city and people of Lima the gratitude of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for the hospitality and warmth extended to the participants.

*10th plenary meeting
14 December 2014*



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

**Report of the Conference of the Parties serving as the
meeting of the Parties to the Kyoto Protocol on its tenth
session, held in Lima from 1 to 14 December 2014**

Part one: Proceedings

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FCCC/KP/CMP/2014/9/Add.1

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- 1/CMP.10 Report of the Adaptation Fund Board
- 2/CMP.10 Second review of the Adaptation Fund
- 3/CMP.10 Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period
- 4/CMP.10 Guidance relating to the clean development mechanism
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- 1/CMP.10 Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima

I. Opening of the session

(Agenda item 1)

1. The tenth 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 United Nations Climate Change Conference, Lima, Peru, on 1 December 2014 by the Minister of the Environment of Peru, Mr. Manuel Pulgar-Vidal, President of CMP 10.¹

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda sub-item 2(a))

2. At its 1st meeting,² on 1 December, the CMP considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/KP/CMP/2014/1). The provisional agenda was prepared in agreement with the President of CMP 9, after consultation with the Bureau of the CMP.

3. The President of CMP 10 proposed that the provisional agenda be adopted with a change to agenda item 12, separating it into two sub-items.

4. Following the proposal of the President, 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;
 - (e) Status of ratification of the Doha Amendment to the Kyoto Protocol.
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. Issues relating to the clean development mechanism.
5. Issues relating to joint implementation.
6. Report of the Compliance Committee.

¹ CMP 10 was held in conjunction with the twentieth session of the Conference of the Parties (COP). The proceedings of the COP are contained in a separate report (FCCC/CP/2014/10). References to statements and an address of welcome made at the opening of the United Nations Climate Change Conference in Lima are contained in the report of the COP. The proceedings of the joint meetings of the COP and the CMP convened during the sessions are reproduced in both reports.

² Meetings of the CMP referred to in this report are plenary meetings.

7. Adaptation Fund:
 - (a) Report of the Adaptation Fund Board;
 - (b) Second review of the Adaptation Fund.
8. Report on the high-level ministerial round table on increased ambition of Kyoto Protocol commitments.
9. Reporting from and review of Parties included in Annex I:³
 - (a) National communications;
 - (b) Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period;
 - (c) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol.
10. Clarification of the text in section G (Article 3, paragraph 7 ter) of the Doha Amendment to the Kyoto Protocol, in particular the information to be used to determine the “average annual emissions for the first three years of the preceding commitment period”.
11. Capacity-building under the Kyoto Protocol.
12. Matters relating to:
 - (a) Article 2, paragraph 3, of the Kyoto Protocol;
 - (b) Article 3, paragraph 14, of the Kyoto Protocol.
13. Other matters referred to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol by the subsidiary bodies.
14. Administrative, financial and institutional matters:
 - (a) Audited financial statements for the biennium 2012–2013;
 - (b) Budget performance for the biennium 2014–2015.
15. High-level segment:
 - (a) Statements by Parties;
 - (b) Statements by observer organizations.
16. Other matters.
17. Conclusion of the session:
 - (a) Adoption of the report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its tenth session;
 - (b) Closure of the session.

B. Election of replacement officers

(Agenda sub-item 2(b))

5. This item was considered at the 1st and resumed 10th meetings, on 1 and 13 December respectively, of the CMP. No election of replacement officers was required.⁴

³ The term “Party included in Annex I” is defined in Article 1, paragraph 7, of the Kyoto Protocol.

⁴ See document FCCC/CP/2014/10, paragraphs 11 and 12. The list of officers elected to the COP 20/

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

(Agenda sub-item 2(c))

6. At the 1st meeting, the President referred the CMP to the annotations to the provisional agenda.⁵ He noted that the subsidiary bodies would be convened with the aim of developing, before the session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) ended on 6 December and before the launch of the multilateral assessment process by the Subsidiary Body for Implementation (SBI) on the same day, draft decisions and conclusions for consideration by the CMP, and that, given the challenges of time management during the session of the CMP it would not be possible to extend the sessions of the subsidiary bodies. The President informed the CMP that the above-mentioned first multilateral assessment process which was to be launched by the SBI on 6 December would continue until 8 December.

7. On a proposal by the President, the CMP decided to refer the following agenda items to the subsidiary bodies:

Subsidiary Body for Scientific and Technological Advice

Item 10 Clarification of the text in section G (Article 3, paragraph 7 ter) of the Doha Amendment to the Kyoto Protocol, in particular the information to be used to determine the “average annual emissions for the first three years of the preceding commitment period”

Item 12(a) Matters relating to Article 2, paragraph 3, of the Kyoto Protocol

Subsidiary Body for Implementation

Item 7(b) Second review of the Adaptation Fund

Item 9 Reporting from and review of Parties included in Annex I

Item 11 Capacity-building under the Kyoto Protocol

Item 12(b) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol

Item 14 Administrative, financial and institutional matters

8. With regard to agenda item 15, “High-level segment”, the President informed the CMP that the arrangements would follow the approach outlined at the 1st meeting of the Conference of the Parties (COP).⁶

9. The President reminded Parties of his approach to time management, as outlined at the 1st meeting of the COP,⁷ and stated that, with such an approach in place, the CMP would take up the results of its work on 12 December.

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

11. At the joint 2nd meeting of the COP and the CMP, on 1 December, general statements were made by representatives of the Plurinational State of Bolivia (on behalf of the Group of 77 and China), Australia (on behalf of the Umbrella Group), the European Union (on behalf of the European Union and its 28 member States), Mexico (on behalf of the Environmental Integrity Group), Nauru (on behalf of the Alliance of Small Island States), the Sudan (on behalf of the African Group), Nicaragua (on behalf of the Like-minded Developing Countries (LMDCs)) and Nepal (on behalf of the least developed countries).

CMP 10 Bureau is available at <http://unfccc.int/bodies/election_and_membership/items/6558.php>.

⁵ FCCC/KP/CMP/2014/1.

⁶ See document FCCC/CP/2014/10, paragraphs 18–21.

⁷ See document FCCC/CP/2014/10, paragraph 22.

12. At the same meeting, statements were made by representatives of two non-governmental organization (NGO) constituencies (women and gender, and youth).

13. At the resumed joint 2nd meeting of the COP and the CMP, on 1 December, general statements were made by representatives of South Africa (on behalf of Brazil, China, India and South Africa), the Bolivarian Republic of Venezuela (on behalf of the Bolivarian Alliance for the Peoples of Our America – Peoples' Trade Treaty), Saudi Arabia (on behalf of the Arab Group), Pakistan (on behalf of the LMDCs), Panama (on behalf of the Coalition for Rainforest Nations), Chile (on behalf of the Independent Association for Latin America and the Caribbean) and Belize (on behalf of the Central American Integration System).

14. At the same meeting, statements were made by representatives of four NGO constituencies (environmental, indigenous peoples, local government and municipal authorities, and trade unions).

15. During the session, the President convened a number of informal stocktaking plenaries, the purpose of which was to enhance the openness, inclusiveness and transparency of the negotiations and to provide an overview to all participants of the organization of work, of the steps being taken and of how the negotiations were advancing.⁸

D. Approval of the report on credentials

(Agenda sub-item 2(d))

16. At the 10th meeting, on 12 December, the President recalled that the CMP, at its first session, had adopted decision 36/CMP.1, which states that credentials from Parties to the Kyoto Protocol would apply for the participation of their representative in sessions of the COP and of the CMP, and that a single report on credentials would be submitted for approval, following established procedures, to the Bureau.

17. The President referred to the report on credentials,⁹ which indicates that the Bureau, in accordance with rule 20 of the draft rules of procedure being applied, examined and approved the credentials of the representatives of Parties.

18. The CMP, on the basis of the report of the Bureau and additional credentials provided by one Party (Peru), accepted the credentials of Parties attending the session. In addition, the secretariat received the credentials from Rwanda and the Bahamas on 15 and 22 January 2015, respectively.

E. Status of ratification of the Doha Amendment to the Kyoto Protocol

(Agenda sub-item 2(e))

19. At its 3rd meeting, on 3 December, the CMP considered the status report presented by the Executive Secretary on the instruments of acceptance of the Doha Amendment received by the Depositary.

20. The Executive Secretary recalled that, on 8 December 2012, the Doha Amendment to the Kyoto Protocol was adopted at CMP 8.¹⁰ She outlined that, on the basis of the current number of Parties to the Kyoto Protocol (192), the Doha Amendment requires 144 instruments of acceptance in order to enter into force. She noted that, as at 2 December 2014, the Depositary had received instruments of acceptance of the Doha Amendment

⁸ See <<http://unfccc6.meta-fusion.com/cop20/events>>.

⁹ FCCC/KP/CMP/2014/8.

¹⁰ Decision 1/CMP.8.

from 19 Parties.^{11, 12} She urged all Parties to expedite their domestic procedures to ratify the Doha Amendment and to deposit their instruments of acceptance with the Depository as soon as possible.

21. Representatives of two Parties made statements.

22. The President also urged Parties to expedite the deposit of their instruments of acceptance of the Doha Amendment and to deposit them as soon as possible with the Depository. On a proposal by the President, the CMP agreed that it would consider conclusions prepared by the President on the status of ratification of the Doha Amendment.

23. At the 10th meeting, the President stated that the Depository had received two additional instruments of acceptance of the Doha Amendment. On 1 December 2014, an instrument of acceptance was received from Nauru, and on 4 December 2014, an instrument of acceptance was received from Tuvalu. He congratulated both Parties for accepting the Doha Amendment and noted that the Amendment requires an additional 123 instruments of acceptance in order to enter into force.¹³

24. On a proposal by the President, the CMP took note of the statements made by the Executive Secretary and the President at the 3rd meeting, urging all Parties to expedite their domestic procedures to ratify the Doha Amendment and to deposit their instrument of acceptance with the Depository as soon as possible.

F. Attendance

25. The sessions in Lima were attended by representatives of 183 Parties to the Kyoto Protocol, as well as representatives of five observer States, 49 United Nations bodies and programmes, convention secretariats, specialized agencies and institutions, and related organizations of the United Nations system, as listed in annex I.

26. The session was also attended by representatives of 53 intergovernmental organizations (IGOs) and representatives of 624 NGOs, as listed in document FCCC/CP/2014/INF.2.

27. According to decision 36/CMP.1, the admission of organizations as observers as decided by the COP also applies to the CMP. Observer organizations newly admitted to the sessions of the COP and the CMP are listed in document FCCC/CP/2014/4.¹⁴

G. Documentation

28. The documents before CMP 10 are listed in annex III.

¹¹ In addition, the Depository notified Parties, on 17 December 2014, of the deposit of the instrument of acceptance from Comoros on 7 September 2014.

¹² Information on the status of the Doha Amendment is available at <http://unfccc.int/kyoto_protocol/doha_amendment/items/7362.php>.

¹³ See footnotes 11 and 12 above.

¹⁴ For the complete proceedings related to the COP agenda sub-item on the admission of organizations as observers, see document FCCC/CP/2014/10, paragraph 13.

III. Reports of the subsidiary bodies

(Agenda item 3)

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

(Agenda sub-item 3(a))

29. At the 10th meeting, the Chair of the SBSTA, Mr. Emmanuel Dumisani Dlamini (Swaziland), introduced the draft report on SBSTA 41¹⁵ and gave an oral report on the results of SBSTA 40 and 41 pertaining to the CMP.

30. At the same meeting, on a proposal by the President, the CMP took note of the report on SBSTA 40,¹⁶ the draft report on SBSTA 41¹⁷ and the oral report provided by the Chair of the SBSTA. The President expressed his appreciation to Mr. Dlamini for his skilful guidance of the work of the SBSTA.

31. The SBSTA recommended one draft decision¹⁸ for consideration and adoption by the CMP. On a recommendation by the SBSTA, the CMP adopted decision 7/CMP.10, entitled “Outcome of the work programme on modalities and procedures for possible additional land use, land-use change and forestry activities under the clean development mechanism”.

32. At the same meeting, the President informed the CMP that, following the closure of SBSTA 41, he had requested the Chair of the SBSTA to undertake consultations under his authority, as Parties were not able to reach consensus on SBSTA 41 agenda sub-item 11(a), “Implications of the implementation of decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8 on the previous decisions on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8 of the Kyoto Protocol”.¹⁹

33. The CMP, acting on a proposal by the President,²⁰ adopted conclusions on the implications of the implementation of decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8 on the previous decisions on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8 of the Kyoto Protocol as contained in paragraphs 34 and 35 below.

34. The CMP noted that the SBSTA continued its work on the implications of the implementation of decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8 on the previous decisions on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8 of the Kyoto Protocol, but was not able to conclude it. The CMP requested the SBSTA to continue its consideration of these implications at SBSTA 42 (June 2015) on the basis of the draft decision texts available in the annex to document FCCC/KP/CMP/2014/L.6, with a view to recommending draft decisions on this matter for adoption at CMP 11 (November–December 2015).

35. The CMP also noted the conclusion of the SBSTA that it will continue to consider, at its forty-second session, the accounting, reporting and review requirements for Parties included in Annex I to the Convention without a quantified emission limitation and

¹⁵ FCCC/SBSTA/2014/L.20.

¹⁶ FCCC/SBSTA/2014/2 and Add.1.

¹⁷ As footnote 15 above.

¹⁸ FCCC/SBSTA/2014/L.24 and Add.1.

¹⁹ FCCC/SBSTA/2014/2, paragraph 87.

²⁰ FCCC/KP/CMP/2014/L.6.

reduction commitment for the second commitment period, along with the updated training programme for members of expert review teams participating in annual reviews under Article 8 of the Kyoto Protocol.

36. At the same meeting, representatives of six Parties made statements, including on behalf of the European Union and its 28 member States.

37. In addition, on 14 December, the secretariat received a written statement from Ukraine stating the conditions for it not to perform any international trade/sales of assigned amount units carried over from the first commitment period of the Kyoto Protocol, and requested that this statement be included in the report on the session.

B. Report of the Subsidiary Body for Implementation

(Agenda sub-item 3(b))

38. At the 10th meeting, the Chair of the SBI, Mr. Amena Yauvoli (Fiji), introduced the draft report on SBI 41²¹ and gave an oral report on the results of SBI 40 and 41 pertaining to the CMP.

39. At the same meeting, the CMP, on a proposal by the President, took note of the report on SBI 40,²² the draft report on SBI 41²³ and the oral report provided by the Chair of the SBI. The President expressed his appreciation to Mr. Yauvoli for his skilful guidance of the work of the SBI.

40. The SBI recommended four draft decisions²⁴ for consideration and adoption by the CMP. The CMP, on a recommendation by the SBI,²⁵ adopted decision 6/CMP.10, entitled “Synergy relating to accreditation under the mechanisms of the Kyoto Protocol”, as orally amended.

41. At the same meeting, representatives of four Parties made statements, including on behalf of the European Union and its 28 member States.

IV. Issues relating to the clean development mechanism

(Agenda item 4)

42. At the 3rd meeting, the President referred to document FCCC/KP/CMP/2014/5, containing the annual report of the Executive Board of the clean development mechanism (CDM), which covers its activities in the period from 5 October 2013 to 30 September 2014.

43. The Chair of the CDM Executive Board, Mr. Hugh Sealy (Grenada), reported to the CMP on the progress of the work of the Executive Board. He drew attention to the recommendations of the Board to the CMP. The President thanked all of the Board members for their hard work and acknowledged the achievements made in the past year.

44. Representatives of two Parties made statements. A statement was also made by a representative of the World Bank.

²¹ FCCC/SBI/2014/L.25.

²² FCCC/SBI/2014/8 and Add.1.

²³ As footnote 21 above.

²⁴ FCCC/SBI/2014/8/Add.1, FCCC/SBI/2014/L.39 and FCCC/SBI/2014/L.28.

²⁵ For the recommendation, see document FCCC/SBI/2014/8, paragraph 57. For the text of the draft decision, see document FCCC/SBI/2014/8/Add.1.

45. On a proposal by the President, the CMP established a contact group on this matter, co-chaired by Mr. Jeffery Spooner (Jamaica) and Mr. Marko Berglund (Finland).

46. At the 10th meeting, on a proposal by the President,²⁶ the CMP adopted decision 4/CMP.10, entitled “Guidance relating to the clean development mechanism”.

47. At the resumed 10th meeting, on 13 December, the President informed the CMP that the consultations had been concluded on the nominations to the Executive Board of the CDM. The CMP, on a proposal by the President, elected the following members and alternate members of the Executive Board of the CDM.²⁷

Executive Board of the clean development mechanism

	Member	Alternate
African States	Mr. Balisi Gopolang (Botswana)	Mr. Joseph Amougou (Cameroon)
Asia-Pacific States	Mr. Muhammad Irfan Tariq (Pakistan)	Mr. Daegyun Oh (Korea)
Latin American and Caribbean States	Mr. Eduardo Calvo (Peru)	Mr. Arthur Rolle (Bahamas)
Western European and other States	Mr. Martin Enderlin (Switzerland)	Mr. Olivier Kassi (Belgium)
Parties included in Annex I	Mr. Lambert Schneider (European Union)	Mr. Kazunari Kainou (Japan)
		Mr. Piotr Dombrowicki (Poland) ²⁸

V. Issues relating to joint implementation

(Agenda item 5)

48. At the 3rd meeting, the President referred to document FCCC/KP/CMP/2014/4, containing the annual report of the Joint Implementation Supervisory Committee (JISC), which covers its activities in the period from 24 September 2013 to 17 September 2014.

49. The Chair of the JISC, Mr. Piotr Dombrowicki (Poland), reported on the progress of the work of the JISC. He highlighted the recommendations of the JISC to be considered by the CMP. The President thanked all the members and alternate members of the JISC for their hard work over the past year.

50. On a proposal by the President, the CMP established a contact group on this matter, co-chaired by Mr. Yaw Osafo (Ghana) and Mr. Dimitar Nikov (France).

51. At the 10th meeting, on a proposal by the President,²⁹ CMP adopted decision 5/CMP.10, entitled “Guidance on the implementation of Article 6 of the Kyoto Protocol”.

²⁶ FCCC/KP/CMP/2014/L.3.

²⁷ The latest list of members is available at <http://unfccc.int/bodies/election_and_membership/items/6558.php>.

²⁸ As this nomination has been pending since CMP 9, the alternate member is deemed to have been elected at CMP 9 (see document FCCC/KP/CMP/2013/9, para. 57).

²⁹ FCCC/KP/CMP/2014/L.2.

52. At the resumed 10th meeting, on 13 December, the President noted that nominations to the JISC were outstanding and urged Parties included in Annex I to continue consultations and submit the pending nomination to the Executive Secretary as soon as possible and by 31 January 2015 at the latest. Once the nomination is received, the alternate member will be deemed to have been elected at CMP 10, in accordance with established practice.

53. The CMP, acting on a proposal by the President, elected by acclamation the following members and alternate members of the JISC.³⁰

Joint Implementation Supervisory Committee

	Member	Alternate
Parties included in Annex I	Mr. Hiroki Kudo (Japan)	Mr. Jakob Lenz (Austria)
	Mr. Benoit Leguet (France)	
Parties included in Annex I with economies in transition	Ms. Veneta Borikova (Bulgaria)	Ms. Irina Voitekhovitch (Belarus)
	Ms. Gherghita Nicodim (Romania)	Mr. Mykhailo Chyzhenko (Ukraine)
Parties not included in Annex I	Ms. Julia Justo Soto (Peru)	Mr. Komi Tomyeba (Togo)

VI. Report of the Compliance Committee

(Agenda item 6)

54. At the 3rd meeting, the President referred to document FCCC/KP/CMP/2014/2, containing the ninth annual report of the Compliance Committee to the CMP, which covers its activities in the period from 19 September 2013 to 5 September 2014.

55. The co-chairperson of the plenary of the Compliance Committee, Mr. Delano Verwey (Netherlands), provided an overview of the annual report to the CMP. The President thanked all the members of the Committee for their hard work over the past year. On a proposal by the President, the CMP took note of the report of the Committee.

56. At the resumed 10th meeting, on 13 December, the President noted that nominations for the alternate member of the facilitative branch of the Compliance Committee were outstanding and urged Parties not included in Annex I to continue consultations and submit the pending nomination to the Executive Secretary as soon as possible and by 31 January 2015 at the latest. Once this nomination is received, the alternate member will be deemed to have been elected at CMP 10, in accordance with established practice.

57. The CMP, acting on a proposal by the President, elected the following replacement members and alternate member of the Compliance Committee.³¹

³⁰ As footnote 27 above.

Compliance Committee – facilitative branch

	Replacement member	Replacement alternate
Parties not included in Annex I	Mr. Mamadou Diobe Gueye (Senegal)	

Compliance Committee – enforcement branch

	Replacement alternate
Western European and other States	Mr. Tuomas Kuokkanen (Finland)

VII. Adaptation Fund

(Agenda item 7)

A. Report of the Adaptation Fund Board

(Agenda sub-item 7(a))

58. At the 3rd meeting, the President referred to document FCCC/KP/CMP/2014/6, containing the annual report of the Adaptation Fund Board, which covers its activities in the period from 1 August 2013 to 31 July 2014.

59. At the invitation of the President, the Chair of the Adaptation Fund Board, Mr. Mamadou Honadia (Burkina Faso), gave a report to the CMP highlighting the results achieved during the last reporting period. The President thanked all of the members and alternate members of the Adaptation Fund Board for their hard work.

60. Representatives of two Parties made statements.

61. On a proposal by the President, the CMP established a contact group on this matter, co-chaired by Ms. Suzanty Sitorus (Indonesia) and Ms. Ana Fornells de Frutos (Spain).

62. At its 10th meeting, on a proposal by the President,³² the CMP adopted decision 1/CMP.10, entitled “Report of the Adaptation Fund Board”.

63. At the resumed 10th meeting, on 13 December, the President informed that consultations had been concluded on the nominations to the Adaptation Fund Board. The CMP, on a proposal by the President, elected the following members and alternate members of the Adaptation Fund Board.³³

Adaptation Fund Board

	Member	Alternate
African States	Mr. Yerima Peter Tarfa (Nigeria)	Mr. Petrus Muteyauli (Namibia)
Asia-Pacific	Mr. Ahmed Waheed (Maldives)	Mr. Albara Tawfiq (Saudi Arabia)

³¹ As footnote 27 above.

³² FCCC/KP/CMP/2014/L.5.

³³ As footnote 27 above.

States		Mr. W. L. Sumathipala (Sri Lanka) ³⁴
Eastern European States	Ms. Gabriela Popescu (Romania)	Ms. Umayra Tagiyeva (Azerbaijan)
Latin American and Caribbean States	Mr. Emilio Sempris (Panama)	Ms. Irina Pineda (Honduras)
Western European and other States	Ms. Su-Lin Garbett-Shiels (United Kingdom of Great Britain and Northern Ireland)	Ms. Yuka Greiler (Switzerland)
	Mr. Hans Olav Ibrek (Norway)	Mr. Marc-Antoine Martin (France)
Parties included in Annex I	Ms. Tove Zetterström-Goldman (Sweden)	Mr. Markku Kanninen (Finland)
Parties not included in Annex I	Ms. Patience Dampsey (Ghana)	Ms. Margarita Caso Chavez (Mexico)
	Ms. Fatuma Hussein (Kenya)	
Small island developing States	Mr. Paul Elreen Phillip (Grenada)	Mr. Samuela Lagataki (Fiji)

B. Second review of the Adaptation Fund

(Agenda sub-item 7(b))

64. At its 1st meeting, the CMP decided to refer this agenda sub-item to the SBI for its consideration.

65. At its 10th meeting, on a recommendation by the SBI,³⁵ the CMP adopted decision 2/CMP.10, entitled “Second review of the Adaptation Fund”.

VIII. Report on the high-level ministerial round table on increased ambition of Kyoto Protocol commitments

(Agenda item 8)

66. At the 3rd meeting, the President referred to document FCCC/KP/CMP/2014/3, containing the report³⁶ on the high-level ministerial round table on increased ambition of Kyoto Protocol commitments, held on 5 June 2014.

67. The President emphasized the need for the expedited entry into force of the Doha Amendment and the importance of Parties included in Annex I with commitments in the second commitment period of the Kyoto Protocol having ambitious emission reduction targets.

³⁴ As this nomination has been pending since CMP 9, the alternate member is deemed to have been elected at CMP 9 (see document FCCC/KP/CMP/2013/9, para. 81).

³⁵ FCCC/SBI/2014/L.39.

³⁶ As requested in decision 1/CMP.8, paragraph 10.

68. Statements were made by representatives of the Plurinational State of Bolivia (on behalf of the Group of 77 and China) and the European Union (on behalf of the European Union and its 28 member States). Representatives of nine Parties made statements.

69. Statements were also made by two representatives of the environmental NGO constituency.

70. On a proposal by the President, the CMP agreed that the President would consult with Parties informally on a way forward and report back to the CMP.

71. At its 10th meeting, on a proposal by the President, the CMP agreed to include this agenda item on the provisional agenda of CMP 11, pursuant to rules 10(c) and 16 of the draft rules of procedure being applied.

72. A statement was made by a representative of one Party.

IX. Reporting from and review of Parties included in Annex I³⁷

(Agenda item 9)

A. National communications

(Agenda sub-item 9(a))

73. At its 1st meeting, the CMP decided to refer this sub-agenda item to the SBI for consideration.

74. At its 10th meeting, the CMP took note of the SBI conclusions³⁸ on this item.

B. Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period

(Agenda sub-item 9(b))

75. At its 10th meeting, on a recommendation by the SBI,³⁹ the CMP adopted decision 3/CMP.10, entitled “Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period”.

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

(Agenda sub-item 9(c))

76. At its 1st meeting, the CMP decided to refer this agenda item to the SBI for its consideration.

77. At its 10th meeting, on a recommendation by the SBI,⁴⁰ the CMP took note of the annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014.⁴¹

³⁷ The term “Party included in Annex I” is defined in Article 1, paragraph 7, of the Kyoto Protocol.

³⁸ FCCC/SBI/2014/L.30.

³⁹ For the recommendation, see document FCCC/SBI/2014/8, paragraph 22. For the text of the draft decision, see document FCCC/SBI/2014/8/Add.1.

⁴⁰ FCCC/SBI/2014/21, paragraph 17.

⁴¹ FCCC/KP/CMP/2014/7 and Add.1.

X. Clarification of the text in section G (Article 3, paragraph 7 ter) of the Doha Amendment to the Kyoto Protocol, in particular the information to be used to determine the “average annual emissions for the first three years of the preceding commitment period”

(Agenda item 10)

78. At its 1st meeting, the CMP decided to refer this agenda item to the SBSTA for its consideration.

79. At its 10th meeting, the CMP took note of the SBSTA conclusions⁴² on this item.

XI. Capacity-building under the Kyoto Protocol

(Agenda item 11)

80. At its 1st meeting, the CMP decided to refer this agenda item to the SBI for its consideration.

81. At its 10th meeting, the CMP took note of the SBI conclusions⁴³ on this item.

XII. Matters relating to:

(Agenda item 12)

A. Article 2, paragraph 3, of the Kyoto Protocol

(Agenda sub-item 12(a))

82. At its 1st meeting, the CMP decided to refer this agenda sub-item to the SBSTA for consideration.

83. At the 10th meeting, the President recalled that the SBSTA Chair had reported that this issue was considered jointly with the CMP agenda sub-item 12(b), “Matters relating to Article 3, paragraph 14, of the Kyoto Protocol”, under the SBSTA agenda sub-item 9(a), “Forum and work programme”.

84. The CMP, on a proposal by the President, took note of decision 20/CP.20.

B. Article 3, paragraph 14, of the Kyoto Protocol

(Agenda sub-item 12(b))

85. At its 1st meeting, the CMP decided to refer this agenda sub-item to the SBI for consideration.

86. At the 10th meeting, the President recalled that the SBI Chair had reported that this issue was considered jointly with the CMP agenda sub-item 12(a), “Matters relating to Article 2, paragraph 3, of the Kyoto Protocol”, under the SBI agenda sub-item 14(a), “Forum and work programme”.

87. The CMP, on a proposal by the President, took note of decision 20/CP.20.

⁴² FCCC/SBSTA/2014/L.25.

⁴³ FCCC/SBI/2014/L.41.

XIII. 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 13)

88. No other matters were raised under this agenda item.

XIV. Administrative, financial and institutional matters

(Agenda item 14)

A. Audited financial statements for the biennium 2012–2013

(Agenda sub-item 14(a))

B. Budget performance for the biennium 2014–2015

(Agenda sub-item 14(b))

89. At its 1st meeting, the CMP decided to refer these agenda sub-items to the SBI for its consideration.

90. At its 10th meeting, the CMP, on a recommendation by the SBI,⁴⁴ adopted decision 8/CMP.10, entitled “Administrative, financial and institutional matters”.

XV. High-level segment

(Agenda item 15)

91. At the joint 4th meeting of the COP and the CMP, on 9 December, the joint high-level segment was opened by the President of COP 20 and CMP 10, Mr. Pulgar-Vidal.

92. The opening of the joint high-level segment was attended by the Secretary-General of the United Nations, Mr. BAN Ki-moon, the President of the United Nations General Assembly, Mr. Sam Kutesa, the President of the Council of Ministers of Peru, Ms. Ana Jara Velásquez, the Executive Secretary of the UNFCCC, Ms. Christiana Figueres and other dignitaries.

93. To mark the opening of the high-level segment, the Government of Peru presented a cultural event.

94. Statements at the opening of the joint high-level segment were made by the President of COP 20 and CMP 10, the Executive Secretary of the UNFCCC, the President of the United Nations General Assembly, the Secretary-General of the United Nations, the President of the Plurinational State of Bolivia, Mr. Juan Evo Morales Ayma (on behalf of the Group of 77 and China as well as the Plurinational State of Bolivia) the President of Nauru, Mr. Baron Divavesi Waqa (on behalf of the Alliance of Small Island Developing States) and the Prime Minister of Tuvalu, Mr. Enele Sopoaga. Statements at the opening of the joint high-level segment were also made by representatives of seven Parties on behalf of negotiating and other groups.⁴⁵

95. The presidential segment of the joint high-level segment was held in the morning of 10 December. The opening was attended by the Secretary-General of the United Nations,

⁴⁴ FCCC/SBI/2014/L.28.

⁴⁵ Statements made during the joint high-level segment are available at <http://unfccc.int/meetings/lima_dec_2014/statements/items/8733.php>. These statements are considered to be part of the official records of the session.

the Executive Secretary of the UNFCCC, the President of Peru, Mr. Ollanta Humala Tasso, the President of Chile, Ms. Michelle Bachelet, the President of Colombia, Mr. Juan Manuel Santos, the Vice-President of Argentina, Mr. Amado Boudou, and other dignitaries.

96. Statements at the presidential segment were made by the President of Peru, the President of Chile, the President of Colombia, the Secretary-General of the United Nations, and the Vice-President of Argentina.

A. Statements by Parties

(Agenda sub-item 15(a))

97. During the high-level segment, statements were made by 141 Parties, of which 5 were given by Heads of State and Government, 3 by either Vice-Presidents or Deputy Prime Ministers, 89 by ministers and 44 by representatives of Parties.^{46, 47, 48, 49, 50}

B. Statements by observer organizations

(Agenda sub-item 15(b))

98. At the joint 9th meeting of the COP and the CMP, on 11 December, statements were made by representatives of IGOs and NGOs.⁵¹

XVI. Other matters

(Agenda item 16)

99. At the 3rd meeting, the President took up this agenda item. No issues were raised by Parties under this item.

XVII. Conclusion of the session

(Agenda item 17)

A. Adoption of the report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its tenth session

(Agenda sub-item 17(a))

100. At its resumed 10th meeting, on 14 December, the CMP considered the draft report on its tenth session⁵² and, on a proposal by the President, the CMP authorized the Rapporteur to complete the report on the session, under the guidance of the President and with the assistance of the secretariat.

⁴⁶ As footnote 45 above.

⁴⁷ Two Parties (Kazakhstan and Ukraine) requested that their written statements be made available on the UNFCCC website in lieu of oral delivery.

⁴⁸ An intervention was made by Israel from the floor. Details of the intervention are available at <https://unfccc.int/meetings/lima_dec_2014/meeting/8141/php/view/webcasts.php>.

⁴⁹ An intervention was made by China from the floor. Details of the intervention are available at <https://unfccc.int/meetings/lima_dec_2014/meeting/8141/php/view/webcasts.php>.

⁵⁰ In addition, five statements were made by observer States.

⁵¹ As footnote 45 above.

⁵² FCCC/KP/CMP/2014/L.1.

B. Closure of the session

(Agenda sub-item 17(b))

101. At its resumed 10th meeting, on 14 December, on a proposal by France,⁵³ the CMP adopted resolution 1/CMP.10, entitled “Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima”. The President then declared CMP 10 closed.

⁵³ FCCC/CP/2014/L.6–FCCC/KP/CMP/2014/L.4.

Annex I

[English only]

Parties to the Kyoto Protocol, observer States and United Nations organizations that attended the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

A. Parties to the Kyoto Protocol

Afghanistan	Comoros	Guinea-Bissau
Albania	Congo	Guyana
Algeria	Cook Islands	Haiti
Angola	Costa Rica	Honduras
Antigua and Barbuda	Côte d'Ivoire	Hungary
Argentina	Croatia	Iceland
Armenia	Cuba	India
Australia	Cyprus	Indonesia
Austria	Czech Republic	Iran (Islamic Republic of)
Azerbaijan	Democratic People's Republic of Korea	Iraq
Bahamas	Democratic Republic of the Congo	Ireland
Bahrain	Denmark	Israel
Bangladesh	Djibouti	Italy
Barbados	Dominican Republic	Jamaica
Belarus	Ecuador	Japan
Belgium	Egypt	Jordan
Belize	El Salvador	Kazakhstan
Benin	Equatorial Guinea	Kenya
Bhutan	Estonia	Kiribati
Bolivia (Plurinational State of)	Ethiopia	Kuwait
Botswana	European Union	Kyrgyzstan
Brazil	Fiji	Lao People's Democratic Republic
Brunei Darussalam	Finland	Latvia
Bulgaria	France	Lebanon
Burkina Faso	Gabon	Lesotho
Burundi	Gambia	Liberia
Cabo Verde	Georgia	Libya
Cambodia	Germany	Liechtenstein
Cameroon	Ghana	Lithuania
Central African Republic	Greece	Luxembourg
Chad	Grenada	Madagascar
Chile	Guatemala	Malawi
China	Guinea	Malaysia
Colombia		Maldives

Mali	Rwanda	United Kingdom of Great Britain and Northern Ireland
Malta	Saint Kitts and Nevis	United Republic of Tanzania
Marshall Islands	Saint Lucia	Uruguay
Mauritania	Saint Vincent and the Grenadines	Uzbekistan
Mauritius	Samoa	Venezuela (Bolivarian Republic of)
Mexico	Sao Tome and Principe	Viet Nam
Micronesia (Federated States of)	Saudi Arabia	Yemen
Monaco	Senegal	Zambia
Mongolia	Serbia	Zimbabwe
Montenegro	Seychelles	
Morocco	Sierra Leone	
Mozambique	Singapore	
Myanmar	Slovakia	
Namibia	Slovenia	
Nauru	Solomon Islands	
Nepal	Somalia	
Netherlands	South Africa	
New Zealand	Spain	
Nicaragua	Sri Lanka	
Niger	Sudan	
Nigeria	Suriname	
Norway	Swaziland	
Oman	Sweden	
Pakistan	Switzerland	
Palau	Tajikistan	
Panama	Thailand	
Papua New Guinea	Timor-Leste	
Paraguay	Togo	
Peru	Tonga	
Philippines	Trinidad and Tobago	
Poland	Tunisia	
Portugal	Turkey	
Qatar	Tuvalu	
Republic of Korea	Uganda	
Republic of Moldova	Ukraine	
Romania	United Arab Emirates	
Russian Federation		

B. Observer States

Canada
Holy See
South Sudan
State of Palestine
United States of America

C. United Nations bodies and programmes

United Nations
UN AIDS – Joint United Nations Programme on HIV and AIDS
United Nations Capital Development Fund
United Nations Children’s Fund
United Nations Conference on Trade and Development
United Nations Department of Economic and Social Affairs
United Nations Development Programme
United Nations Development Programme – Peru
United Nations Economic Commission for Africa
United Nations Economic Commission for Asia and the Pacific
United Nations Economic Commission for Europe
United Nations Economic Commission for Latin America and the Caribbean
United Nations Entity for Gender Equality and the Empowerment of Women
United Nations Environment Programme
United Nations Global Compact
United Nations High Commissioner for Refugees
United Nations Office of the Commissioner for Human Rights
United Nations Human Settlements Programme
United Nations Information Centre Lima
United Nations Institute for Training and Research
United Nations Office for Disaster Risk Reduction
United Nations Office for Project Services
United Nations Population Fund
United Nations System Chief Executives Board for Coordination
United Nations University
United Nations University – Institute for Environment and Human Security
United Nations Volunteers
World Food Programme

D. Convention secretariats

Convention on Biological Diversity

United Nations Convention to Combat Desertification

E. Specialized agencies and institutions of the United Nations system

Food and Agriculture Organization of the United Nations

Global Environment Facility

Intergovernmental Oceanographic Commission

Intergovernmental Panel on Climate Change

International Civil Aviation Organization

International Fund for Agricultural Development

International Maritime Organization

International Telecommunication Union

United Nations Educational, Scientific and Cultural Organization

United Nations Industrial Development Organization

World Health Organization

World Intellectual Property Organization

World Meteorological Organization

F. Related organizations of the United Nations system

Green Climate Fund secretariat

International Atomic Energy Agency

International Monetary Fund

International Labour Organization

World Bank

World Trade Organization

Annex II

[English only]

Calendar of meetings of Convention and Kyoto Protocol bodies, 2015–2019

- First sessional period in 2015: 1–11 June
- Second sessional period in 2015: 30 November to 11 December
- First sessional period in 2016: 16–26 May
- Second sessional period in 2016: 7–18 November
- First sessional period in 2017: 8–18 May
- Second sessional period in 2017: 6–17 November
- First sessional period in 2018: 30 April to 10 May
- Second sessional period in 2018: 5–16 November
- First sessional period in 2019: 17–27 June
- Second sessional period in 2019: 11–22 November

Annex III

[English only]

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

FCCC/KP/CMP/2014/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/KP/CMP/2014/2	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/2014/3	Report on the high-level ministerial round table on increased ambition of Kyoto Protocol commitments
FCCC/KP/CMP/2014/4	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/2014/5	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/2014/6	Report of the Adaptation Fund Board. Note by the Chair of the Adaptation Fund Board
FCCC/KP/CMP/2014/7	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014. Note by the secretariat
FCCC/KP/CMP/2014/7/Add.1	Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014. Note by the secretariat. Addendum. Compilation and accounting information by Party
FCCC/CP/2014/9– FCCC/KP/CMP/2014/8	Report on credentials. Report of the Bureau
FCCC/KP/CMP/2014/L.1	Draft report of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol on its tenth session
FCCC/KP/CMP/2014/L.2	Guidance on the implementation of Article 6 of the Kyoto Protocol. Proposal by the President
FCCC/KP/CMP/2014/L.3	Guidance relating to the clean development mechanism. Proposal by the President
FCCC/KP/CMP/2014/L.5	Report of the Adaptation Fund Board. Proposal by the President

FCCC/KP/CMP/2014/L.6	Implications of the implementation of decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8 on the previous decisions on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8 of the Kyoto Protocol. Proposal by the President
FCCC/CP/2014/L.6– FCCC/KP/CMP/2014/L.4	Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima. Draft resolution submitted by France
FCCC/SBSTA/2014/2 and Add.1	Report of the Subsidiary Body for Scientific and Technological Advice on its fortieth session, held in Bonn from 4 to 15 June 2014
FCCC/SBSTA/2014/3	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBSTA/2014/L.20	Draft report of the Subsidiary Body for Scientific and Technological Advice on its forty-first session
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FCCC/SBI/2014/8 and Add.1	Report of the Subsidiary Body for Implementation on its fortieth session, held in Bonn from 4 to 15 June 2014
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**Conference of the Parties serving as the meeting
of the Parties to the Kyoto Protocol**

**Report of the Conference of the Parties serving as the
meeting of the Parties to the Kyoto Protocol on its tenth
session, held in Lima from 1 to 14 December 2014**

Addendum

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

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Decision 1/CMP.10

Report of the Adaptation Fund Board

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

Welcoming the report of the Adaptation Fund Board,¹

Noting with concern the level of market prices for certified emission reductions and their expected impact on the availability of funding from the Adaptation Fund and on its ability to fulfil its mandate,

1. *Adopts* the amendment to the terms and conditions of services to be provided by the International Bank for Reconstruction and Development (the World Bank) as trustee for the Adaptation Fund, on an interim basis, contained in the annex;
2. *Notes* the following information, actions and decisions relating to the Adaptation Fund Board contained in the report of the Adaptation Fund Board and the oral report made by the Chair of the Adaptation Fund Board in December 2014:
 - (a) The accreditation of 17 national implementing entities that can directly access resources from the Adaptation Fund, including one accredited during the reporting period; and the accreditation of four regional implementing entities, including two during the reporting period;
 - (b) Cumulative project and programme approvals reaching USD 264.8 million as at November 2014;
 - (c) Approval of the environmental and social policy of the Adaptation Fund;
 - (d) Approval of the readiness programme for direct access to climate finance, launched on 1 May 2014, and of its execution arrangements and eligibility criteria for the allocation of funds to accredited implementing entities for specific activities;
 - (e) Approval of one annual intersessional project/programme review cycle during an intersessional period of 24 weeks or more between two consecutive Board meetings;
 - (f) Approval of 16 project/programme proposals, totalling USD 80.6 million, submitted by implementing entities from July 2013 to November 2014, including 10 proposals submitted by national implementing entities totalling USD 43.2 million;
 - (g) Establishment of a new fundraising target of USD 80 million per calendar year in 2014 and 2015;
3. *Also notes* the cumulative receipts of USD 407.9 million into the Adaptation Fund Trust Fund;
4. *Further notes* that the pledges have surpassed the initial fundraising target set by the Adaptation Fund Board of USD 100 million for the calendar years 2012 and 2013;
5. *Urges* those developed country Parties that responded to the initial fundraising target of the Adaptation Fund Board but have not completed the process to do so at their earliest opportunity;

¹ FCCC/KP/CMP/2014/6.

6. *Welcomes* the target for the resource mobilization strategy set by the Adaptation Fund Board of USD 80 million per calendar year in 2014 and 2015;
7. *Continues to encourage* Parties included in Annex I to the Convention to provide funding to support the target referred to in paragraph 6 above and to scale up funding, with a view to the resource mobilization goal of the Board being reached from resources that are additional to the share of proceeds from clean development mechanism project activities, the first international transfers of assigned amount units and the issuance of emission reduction units for activities under Article 6 of the Kyoto Protocol;
8. *Welcomes* the financial contributions that have been made to the Adaptation Fund in 2014 and the pledge of EUR 50 million made by Germany towards the target referred to in paragraph 6 above;
9. *Invites* further support for the readiness programme of the Adaptation Fund Board for direct access to climate finance in accordance with decision 2/CMP.10, paragraph 5;
10. *Requests* the Adaptation Fund Board, in its future reports to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, to provide further clarity on the effect of the fluctuation of the price of certified emission reductions and the impact of this fluctuation on the resources available to the Fund;
11. *Also requests* the Adaptation Fund Board to continue its work on options for permanent institutional arrangements for the secretariat and the trustee, including via an open and competitive bidding process for the selection of a permanent trustee for the Adaptation Fund on the basis of the cost and time frame of each option and its legal and financial implications in order to ensure there is no discontinuity of the trustee service.

Annex

Amended and restated terms and conditions of services to be provided by the International Bank for Reconstruction and Development as trustee for the Adaptation Fund

I. Recitals

- (a) A clean development mechanism (CDM) was established under Article 12 of the Kyoto Protocol to the United Nations Framework Convention on Climate Change (the Convention) (the Kyoto Protocol).
- (b) The Conference of the Parties decided in its decision 10/CP.7 that an adaptation fund (the Adaptation Fund) shall be established to finance concrete adaptation projects and programmes in developing country Parties that are Parties to the Kyoto Protocol, as well as activities identified in decision 5/CP.7, paragraph 8.
- (c) The decision was further endorsed by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) through its decision 28/CMP.1.
- (d) In decision 1/CMP.3, the CMP decided that the Adaptation Fund shall finance concrete adaptation projects and programmes that are country driven and are based on the needs, views and priorities of eligible Parties, and that the Adaptation Fund Board shall be established as the operating entity of the Adaptation Fund.
- (e) The CMP, in its decision 1/CMP.3, invited the International Bank for Reconstruction and Development (the World Bank) to serve as the trustee for the Adaptation Fund (the World Bank in such capacity, the Trustee) on an interim basis, and requested the Adaptation Fund Board to present the necessary legal arrangements to be concluded between the CMP and the trustee, for adoption by the CMP at its fourth session.
- (f) The CMP and the World Bank concluded the legal arrangements necessary for the World Bank to serve as Trustee on an interim basis by way of adopting and accepting the terms and conditions of services to be provided by the International Bank for Reconstruction and Development as trustee for the Adaptation Fund (the Terms and Conditions) as contained in the appendix to annex III to decision 1/CMP.4.
- (g) The Terms and Conditions were amended twice to extend the term of the Trustee's services thereunder on an interim basis, as set out in decision 5/CMP.6, paragraph 1, and decision 1/CMP.9, paragraph 1.
- (h) The CMP, in its decision 1/CMP.9, requested the Adaptation Fund Board to develop and approve the legal arrangements with the trustee regarding the services for the 2 per cent share of proceeds levied in accordance with decision 1/CMP.8, paragraph 21, for approval by the CMP.
- (i) The Adaptation Fund Board has developed and approved the legal arrangements with the Trustee for approval by the CMP, which are proposed to be concluded between the CMP and the Trustee by amending and restating the Terms and Conditions.
- (j) The CMP and the World Bank wish to amend and restate the Terms and Conditions as follows.

II. Terms and conditions

A. Role and responsibilities of the Trustee

1. The World Bank shall act as the Trustee on an interim basis in accordance with the Terms and Conditions set forth herein.
2. The Trustee shall comply with the principles and modalities for operations stipulated in the relevant decisions of the CMP and decisions of the Adaptation Fund Board. The Trustee shall be closely consulted in the development of decisions, taken by the CMP or the Adaptation Fund Board after the effective date of the Terms and Conditions, which relate in any way to the functions of the Trustee performed or to be performed, and the Terms and Conditions stipulated below shall be applicable. The Trustee shall perform its functions under the Terms and Conditions in accordance with the applicable provisions of the World Bank's Articles of Agreement, by-laws, policies and procedures.
3. The CMP hereby: (1) confirms its designation, under its decision 1/CMP.3, of the Adaptation Fund Board as its designee and delegatee in respect of the Adaptation Fund, acting under the authority and guidance of the CMP; and (2) imbues the Adaptation Fund Board with the capacity, power and authority to render decisions and provide instructions, directions and guidance to the Trustee hereunder and to cause to be effectuated the sale or disposal, for the purpose of monetization (Sale), of certified emission reductions (CERs), assigned amount units (AAUs) or emission reduction units (ERUs) collected as the share of proceeds for the Adaptation Fund (any such CERs, AAUs or ERUs, hereinafter referred to individually or collectively as the Share of Proceeds), pursuant to paragraphs 24–28 below.
4. The Trustee, in the performance of its functions under the Terms and Conditions, shall be accountable to the Adaptation Fund Board.
5. Without prejudice to any other provisions of the Terms and Conditions, the Trustee shall, in performing its functions under the Terms and Conditions, act upon decisions, instructions, directions or guidance of the CMP or the Adaptation Fund Board (or such other person designated in writing by the Adaptation Fund Board for that purpose (Authorized Designee)) only if such decisions, instructions, directions or guidance are provided to the Trustee in writing. The Trustee shall not be responsible for inquiring or investigating if any decisions, instructions, directions or guidance of the Adaptation Fund Board or, as the case may be, any Authorized Designees, do not contravene an existing decision or act of the CMP, and shall have no liability for relying in good faith on any written decision, instruction, direction or guidance of the CMP, Adaptation Fund Board or any Authorized Designees, without further inquiry or investigation on its part or otherwise for any actions taken, or omitted to be taken, in good faith.
6. The CMP acknowledges that the Trustee may disclose information obtained by it in connection with its functions under the Terms and Conditions, if such disclosure is required or otherwise necessary in carrying out the services and activities set out herein, in accordance with the World Bank's policies and procedures.
7. The Trustee shall establish a trust fund for the Adaptation Fund (the Trust Fund), and shall hold in trust, as a legal owner, and administer the funds, assets and receipts, which constitute the Trust Fund, on behalf of the Adaptation Fund supervised and managed by the Adaptation Fund Board.
8. For the purpose of the monetization of the Share of Proceeds for the Adaptation Fund, the Trustee, in its capacity as agent of the CMP, is hereby authorized by the CMP to administer Sales of the Share of Proceeds under the instructions, direction and guidance of

the Adaptation Fund Board consistent with its responsibility for the monetization of the Share of Proceeds, pursuant to paragraphs 24–28 below.

9. The Trustee shall be responsible only for performing those duties and responsibilities specifically and expressly set forth in the Terms and Conditions and shall not be subject to any other duties or responsibilities (express or implied), including, without limitation, any duties or obligations that might otherwise apply to a fiduciary or trustee under general principles of equity, trust or fiduciary obligations and/or any other legal or equitable principles. To the extent that Sales of the Share of Proceeds are conducted by the Trustee pursuant to paragraphs 24–28 below, the Trustee shall not be responsible for the legality, validity or enforceability of any such Sales of the Share of Proceeds, the value obtained from such Sales of the Share of Proceeds (including any reduction in the value of the CERs, AAUs or the ERUs from the time they are credited to the CDM Account (as defined in paragraph 24 below) to the time such Sales are consummated) or any expenses or liabilities incurred in connection with such Sales.

10. The Trustee shall not be liable for any failure to carry out its obligations under the Terms and Conditions where such failure is a result of a Force Majeure Event and, for so long as such circumstances continue, shall be relieved of its obligations under the Terms and Conditions which it has been prevented from fulfilling as a result of that Force Majeure Event without liability; provided that the Trustee shall, notwithstanding that it is relieved from its obligations hereunder, take all reasonable and practical steps to minimize any loss and/or disruption resulting from any such Force Majeure Event. For the purpose of this paragraph, “Force Majeure Event” means any event beyond the reasonable control of the person affected including, without limitation, labour dispute, act of God, war, act or circumstance of terrorism, riot, civil commotion, malicious damage, accident, breakdown of essential computer software, hardware or system failure, fire, flood and/or storm and other unforeseen circumstances materially and adversely affecting the performance of the functions of the Trustee under the Terms and Conditions.

11. The CMP acknowledges that the World Bank shall have the right to engage in any of the types of activities described in the Terms and Conditions for its own account or for the account of clients other than the Adaptation Fund whether acting as trustee, adviser or in any other capacity vis-à-vis such clients. The CMP agrees that the World Bank, in carrying out such activities for its own account or for the account of others, may decide to adopt approaches and courses of actions, which differ from the approaches and courses of action that the Trustee decides to take in performing the services for the Adaptation Fund described in the Terms and Conditions. In engaging in such activities for its own account or for the account of others, the World Bank will put in place measures designed to avoid or mitigate conflicts of interest arising from its functions under the Terms and Conditions relating to the Sale of the Share of Proceeds for the Adaptation Fund.

12. If a decision by the CMP or the Adaptation Fund Board after the effective date of the Terms and Conditions relates to the functions of the Trustee performed or to be performed under the Terms and Conditions, such a decision shall be developed in close consultation with the Trustee. In the absence of such consultation with and the agreement of the Trustee, the Trustee shall not be bound by any decision of the CMP or the Adaptation Fund Board, to the extent that such a decision relates to the functions of the Trustee performed or to be performed under the Terms and Conditions.

13. The CMP agrees that the Trustee shall be fully indemnified, out of the assets held for the Adaptation Fund, including the Trust Fund resources, for any liabilities, claims, losses, costs and expenses, including attorneys’ fees and expenses, incurred by the Trustee in connection with or in any way arising out of its activities as Trustee, including but not limited to any activities of the Trustee in connection with the Sale or the facilitation of the Sale of the Share of Proceeds. Such indemnity shall not include any liabilities, claims,

losses, costs or expenses incurred by the Trustee as a direct result of its own gross negligence or wilful misconduct.

14. The privileges and immunities accorded to the World Bank shall apply to the property, assets, archives, operations and transactions of the Trust Fund. Nothing in the Terms and Conditions shall be considered a waiver of any privileges or immunities of the World Bank under its Articles of Agreement or any applicable law, all of which are expressly reserved.

15. The CMP agrees that the Trustee shall be reimbursed annually from the assets held for the Adaptation Fund, including the Trust Fund resources, for the fees, costs and expenses incurred by it in connection with performing its functions under the Terms and Conditions, including, without limitation, the costs and expenses incurred in connection with the establishment and administration of the Trust Fund, the Sale of the Share of Proceeds, and any and all services provided hereunder, including attorneys' fees and expenses and external auditors' costs, costs of insurance policies and relevant service providers' fees. For this purpose, the Trustee shall submit to the Adaptation Fund Board a proposal for mutual agreement for the services and activities to be provided by the Trustee and estimated fees, costs and expenses to carry out such services and activities for the initial and/or upcoming fiscal year, as applicable. Upon approval by the Adaptation Fund Board of such a proposal, the Trustee shall deduct and transfer the amount of the estimated fees, costs and expenses to its own account from the Trust Fund resources or such other assets held for the Adaptation Fund; provided that the amount of the fees, costs and expenses transferred may be subject to an end of year adjustment based on actual costs and expenses incurred, as such an arrangement may be agreed between the Adaptation Fund Board and the Trustee in connection with the aforementioned proposal.

16. In order to enable the Trustee to carry out its functions enumerated in the Terms and Conditions, the Trustee shall be entitled to attend any meetings of the Adaptation Fund Board and, as an observer, any meetings of the CMP which may concern the operations and activities of the Adaptation Fund. Further, the CMP hereby requests the secretariat servicing the Adaptation Fund Board in accordance with decision 1/CMP.3, and the secretariat of the Convention (the UNFCCC secretariat), to cooperate fully with the Trustee.

B. Administration of the Trust Fund

17. The Trustee shall receive and hold in the Trust Fund any proceeds from the Sale of the Share of Proceeds conducted pursuant to paragraphs 24–28 below. If requested by the Adaptation Fund Board, the Trustee may accept, on terms mutually agreed between the Trustee and the Adaptation Fund Board, contributions from donors to support the operations of the Adaptation Fund. For the avoidance of doubt, no Share of Proceeds shall be held in the Trust Fund.

18. Subject to paragraphs 2 and 12 above, the Trustee shall administer the funds, assets and receipts of the Trust Fund only for the purpose of, and in accordance with, the Terms and Conditions and the relevant decisions of the CMP and the Adaptation Fund Board.

19. In accordance with decision 1/CMP.3, paragraph 21, and in conformity with the administrative and investment arrangements of the Trustee, the Trustee shall hold the funds, assets and receipts that constitute the Trust Fund separate and apart from the funds of the World Bank. The Trustee shall establish and maintain separate records and accounts to identify the resources of the Trust Fund, the commitments financed out of the Trust Fund, and the receipts and transfers of funds in the Trust Fund.

20. The Trustee shall invest the funds held in the Trust Fund, pending their transfer under paragraphs 15 above and 22 below, in accordance with the Trustee's policies and procedures for the investment of trust funds administered by the World Bank, including commingling of the resources of the Trust Fund for administrative and investment purposes with other trust fund assets maintained by the World Bank. The commingling of Trust Fund resources for administrative and investment purposes should not affect the amount of resources from proceeds of monetization of the Share of Proceeds available in the Trust Fund for transfer of funds for Adaptation Fund operations, activities, projects and programmes. The Trustee shall credit all income from such investment to the Trust Fund to be used for the same purposes as other funds held in the Trust Fund. The CMP acknowledges that no warranty is given by the Trustee as to the performance or profitability of the investment of the funds held in the Trust Fund.

21. The funds held in the Trust Fund may be freely exchanged by the Trustee into other currencies as may facilitate their administration and transfer.

22. The Trustee shall, subject to the availability of resources held in the Trust Fund, record commitments and make transfers of funds from the Trust Fund in the manner agreed between the Trustee and the Adaptation Fund Board, and only at, and in accordance with, the written direction provided to the Trustee by the Adaptation Fund Board or any Authorized Designee. Upon the transfer of funds, the Trustee shall not have any responsibility for the use of the Trust Fund funds transferred and activities carried out therewith, including but not limited to any responsibility with respect to supervising, monitoring, reporting on or verifying activities carried out with the Trust Fund funds transferred by the Trustee herein.

23. The Trustee shall prepare and furnish the Adaptation Fund Board with financial reports of the Trust Fund annually (or at any other such frequency agreed between the Trustee and the Adaptation Fund Board), and provide records and accounts of the Trust Fund for audit by its external auditors annually (or at any other such frequency agreed between the Trustee and the Adaptation Fund Board), in accordance with the policies and procedures of the Trustee. Furthermore, the Trustee shall prepare and furnish the Adaptation Fund Board with reports on the Sale of the Share of Proceeds for the Adaptation Fund and on the status of commitments and transfers of Trust Fund funds annually (or at any other such frequency agreed between the Trustee and the Adaptation Fund Board).

C. Sales of Share of Proceeds

24. The CMP hereby authorizes the Sale of the Share of Proceeds from the account established and maintained at the CDM registry for the Adaptation Fund to hold and transfer the Share of Proceeds to assist in meeting the costs of adaptation in accordance with Article 12, paragraph 8, of the Kyoto Protocol (the CDM Account) in the manner set forth hereunder.

25. The Sale of the Share of Proceeds from the CDM Account shall be administered under the instructions, direction and guidance of the Adaptation Fund Board consistent with its responsibility to supervise and manage the Adaptation Fund and for the monetization of the Share of Proceeds.

26. Pursuant to the authority provided under paragraph 3 above, the Adaptation Fund Board may cause to be entered into any and all contracts necessary for the Sale of the Share of Proceeds from the CDM Account by granting to the Trustee any necessary power of attorney on behalf of the CMP, so that the Trustee may execute contracts of Sale with the relevant third-party Share of Proceeds purchasers and such other contracts necessary in

connection with the Sale or the facilitation of the Sale of the Share of Proceeds, at the direction of the Adaptation Fund Board pursuant to paragraph 28 below.

27. Pursuant to the authority provided under paragraph 8 above, and in furtherance of paragraphs 24–26 above, the Trustee may, at the direction of the Adaptation Fund Board pursuant to paragraph 28 below: (1) cause the transfer of the title to the Share of Proceeds to the relevant third-party purchasers, or the cancellation of the Share of Proceeds, upon receipt of payment in respect of the transfer or cancellation; (2) enter into arrangements with the CDM Registry Administrator to effectuate such transfers or cancellations of the Share of Proceeds; (3) engage with relevant service providers for the purposes of execution, clearance, settlement and other logistic matters in connection with the Sale or the facilitation of the Sale of the Share of Proceeds; and (4) take other such actions as necessary to effectuate the Sale of the Share of Proceeds for the benefit of the Adaptation Fund.

28. Sale of the Share of Proceeds and transfer of title or cancellation of the Share of Proceeds in respect of such Sale pursuant to paragraphs 24–27 above shall be effected by the Trustee only in accordance with the guidelines agreed in writing between the Trustee and the Adaptation Fund Board.

D. Dispute resolution: notices

29. The CMP and the Trustee shall, to the extent possible, strive to resolve promptly and amicably questions of interpretation and application of the Terms and Conditions and settle any disputes, controversy or claim arising out of or relating to the Terms and Conditions.

30. Any dispute, controversy or claim arising out of or relating to the Terms and Conditions, which has not been settled by agreement between the CMP and the Trustee, shall be submitted to arbitration in accordance with the Arbitration Rules of the United Nations Commission on International Trade Law (UNCITRAL) in force on the effective date of the Terms and Conditions, and the following provisions: (1) the appointing authority shall be the Secretary-General of the Permanent Court of Arbitration; and (2) the language of the arbitral proceedings shall be English.

31. Any arbitral award under paragraph 30 above shall be final and binding upon the CMP and the Trustee. The provisions set forth in paragraphs 29 and 30 above shall be in lieu of any other procedure for the settlement of disputes between the CMP and the Trustee.

32. Any notice or request required or permitted to be given or made under the Terms and Conditions and any other agreement between any of the parties contemplated by the Terms and Conditions shall be in writing. Any such notice or request shall be deemed to have been duly given or made once it has been delivered by hand, mail, facsimile or, if so designated by the parties, by other electronic means, to the World Bank or the UNFCCC secretariat, in the case of the CMP, to which it is required or permitted to be given or made at such party's address designated by notice to the World Bank or in the case of the CMP, the UNFCCC secretariat, giving such notice or making such a request. Deliveries made by facsimile or other electronic means shall also be confirmed by mail.

E. Amendment and termination

33. Any amendment to the Terms and Conditions shall become effective only upon approval and acceptance by the CMP and the World Bank.

34. The Trustee's role as trustee servicing the Adaptation Fund under the Terms and Conditions shall be automatically terminated on 30 May 2017, unless the CMP and the

Trustee affirmatively agree in writing to extend beyond this date the term of the Trustee's services under the Terms and Conditions.

35. Notwithstanding paragraph 34 above, the CMP may at any time terminate the appointment of the Trustee as trustee servicing the Adaptation Fund under the Terms and Conditions. The Trustee's role as trustee servicing the Adaptation Fund shall be terminated three months after receipt by the Trustee of the notice in writing of the termination of the appointment.

36. Notwithstanding paragraph 34 above, the Trustee may at any time terminate its role as trustee servicing the Adaptation Fund by giving the CMP notice in writing no less than three months prior to any session of the CMP. The Trustee's role as trustee servicing the Adaptation Fund shall be terminated immediately after the session of the CMP which immediately follows the notice by the Trustee. In the event that no session of the CMP is held within 12 months of the Trustee giving notice, however, the Trustee's role shall be terminated 12 months after the Trustee has given notice.

37. Following termination of the Trustee's role as trustee servicing the Adaptation Fund pursuant to paragraphs 34, 35 or 36 above, the Trustee shall carry on no business for the Adaptation Fund except for the purpose of winding up its affairs. The Trustee shall take all necessary action for winding up its affairs in an expeditious manner, and for meeting the commitments already made by the Trustee and the transfer of any remaining funds, assets and receipts in the Trust Fund, as directed by the Adaptation Fund Board. The CMP hereby mandates that in such circumstances the Adaptation Fund Board shall provide such direction to the Trustee without undue delay. All of the powers and rights of the Trustee under the Terms and Conditions, including the right to be reimbursed for the fees, costs and expenses incurred under paragraph 15 above, shall continue until the affairs of the Trustee shall have been wound up.

F. Effectiveness

38. The Terms and Conditions or any amendments to the same shall become effective and constitute an agreement between the CMP and the World Bank upon decisions by the CMP and the World Bank to approve and accept the Terms and Conditions or any amendments to the same.

*10th plenary meeting
12 December 2014*

Decision 2/CMP.10

Second review of the Adaptation Fund

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

Underlining the crucial importance of the Adaptation Fund as an essential channel for supporting adaptation action and the main promoter of direct access, together with its focus on funding the full costs of concrete adaptation projects and programmes in developing countries,

Noting with deep concern the continued issues related to the sustainability, adequacy and predictability of funding from the Adaptation Fund, given the current prices of certified emission reductions, which affect its ability to fulfil its mandate,

1. *Takes note* of the report of the Adaptation Fund Board¹ and the technical paper on the second review of the Adaptation Fund;²
2. *Underlines* the urgent implementation of the resource mobilization strategy of the Adaptation Fund Board;
3. *Encourages* the Adaptation Fund Board to consider the following options for addressing the predictability of resources, in particular:
 - (a) The scale of resources;
 - (b) Regular estimates of the resources needed;
 - (c) Continuous review of the status of projects;
4. *Requests* the Adaptation Fund Board to consider options, including those contained in the technical paper referred to in paragraph 1 above, for addressing the diversification of revenue streams of the Adaptation Fund, in accordance with the mandate of the Fund;
5. *Also requests* the Adaptation Fund Board to consider, under its readiness programme, the following options for enhancing the access modalities of the Adaptation Fund:
 - (a) Targeted institutional strengthening strategies to assist developing countries, in particular the least developed countries, to accredit more national or regional implementing entities to the Adaptation Fund;
 - (b) Ensuring that accredited national implementing entities have increased and facilitated access to the Adaptation Fund, including for small-sized projects and programmes;
6. *Further requests* the Adaptation Fund Board to consider options for developing operational linkages, as appropriate, between the Adaptation Fund and constituted bodies under the Convention, taking into consideration the mandates of the respective bodies;
7. *Takes note* of decision 6/CP.20 concerning the request of the Conference of the Parties to the Standing Committee on Finance to consider issues related to possible future institutional linkages and relations between the Adaptation Fund and other institutions under the Convention;

¹ FCCC/KP/CMP/2014/6.

² FCCC/TP/2014/7.

8. *Decides* to extend to June 2017 the interim arrangements with the secretariat of the Adaptation Fund Board and the trustee of the Adaptation Fund, with a view to further consideration by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol of options for permanent institutional arrangements for the secretariat and trustee, including via an open and competitive bidding process and on the basis of the cost and time frame of each option and its legal and financial implications;

9. *Requests* the Subsidiary Body for Implementation, at its forty-fourth session (May 2016), to initiate the third review of the Adaptation Fund, in accordance with the terms of reference contained in the annex to decision 2/CMP.9, or as they may be subsequently amended, and to report back to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its twelfth session (November–December 2016), with a view to the review being undertaken by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its thirteenth session (November–December 2017);

10. *Also requests* the Adaptation Fund Board to include in its report to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session (November–December 2015) information on the progress made in relation to the matters referred to in paragraphs 3–6 above.

*10th plenary meeting
12 December 2014*

Decision 3/CMP.10

Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period

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

Recalling decision 27/CMP.1, annex, section XIII,

Also recalling decisions 13/CMP.1, 14/CMP.1 and 22/CMP.1,

Emphasizing the importance of the expert review process under Article 8 of the Kyoto Protocol for the last year of the commitment period, in view of the central role of this process in the assessment of Party compliance with commitments under Article 3, paragraph 1, of the Kyoto Protocol,

Concerned that a significant proportion of annual inventory review reports have not been finalized by 15 April of the year following the submission of annual reports in recent annual review cycles, despite measures identified to facilitate their timely completion,

Recognizing that the 2014 review process may encounter further difficulty due to the complexity of the process, as it is the last review for the first commitment period and that delays may result from factors that are not within the control of the Party subject to review,

Recalling that the secretariat maintains a compilation and accounting database to compile and account for emissions and assigned amounts, pursuant to Article 3, paragraphs 7 and 8, of the Protocol and of additions to, and subtractions from, assigned amounts, pursuant to the same paragraphs, for the accounting of the compliance assessment, in order to facilitate the assessment of the compliance of each Party included in Annex I with its commitment under Article 3, paragraph 1, of the Protocol,

Noting the importance of transparent information on the status of the 2014 compliance review in advance of the eleventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, to be held from 30 November to 11 December 2015,

1. *Decides* that the expert review process under Article 8 of the Kyoto Protocol for the last year of the first commitment period shall be completed by 10 August 2015 and decides that if the expert review process is not completed by this date, it shall continue, and the date of completion shall be the date of publication of the last inventory review report for the last year of the first commitment period;
2. *Urges* the secretariat to expedite the review process to satisfy this deadline;
3. *Decides* that the report upon expiration of the additional period for fulfilling commitments for the first commitment period, covering the information required in decision 13/CMP.1, annex, paragraph 49, using the standard electronic format tables as agreed in decision 14/CMP.1, shall be submitted as soon as practicable but not later than 45 days after the expiration of the additional period for fulfilling commitments for the first commitment period (hereinafter referred to as the true-up period);
4. *Also decides* that the secretariat shall produce, in electronic format, on 30 September 2015 and every four weeks thereafter, until the month of the completion of the true-up

period, the following information for each Party with a commitment in Annex B for the first commitment period, indicating clearly the source of this information:

- (a) Inventory data for each year of the commitment period;
- (b) Total emissions over the commitment period;
- (c) Total quantity of units held in Party holding accounts, cancellation accounts, and the retirement account;

5. *Further decides* that this information should include the total quantity of aggregated holdings in the clean development mechanism registry;

6. *Decides* that information on the review processes remaining to be completed should be provided by the secretariat together with the information referred to in paragraph 4 above, including information on which reviews are incomplete, which stage the incomplete review processes have reached, on what dates previous stages were completed and, to the extent possible, when outstanding stages are expected to be completed.

*10th plenary meeting
12 December 2014*

Decision 4/CMP.10

Guidance relating to the clean development mechanism

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

Recalling the provisions of the Kyoto Protocol and decision 1/CMP.8,

Cognizant of decision 3/CMP.1 and subsequent guidance provided by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol relating to the clean development mechanism,

I. General

1. *Welcomes* the annual report for 2013–2014 of the Executive Board of the clean development mechanism;¹
2. *Commends* the Executive Board for the substantial work undertaken over the past year;
3. *Expresses* satisfaction with the progress of the clean development mechanism of the Kyoto Protocol, which to date has been responsible for:
 - (a) Over 7,500 project activities being registered in over 95 countries;
 - (b) Over 1,700 component project activities being included in over 270 programmes of activities registered in over 75 countries;
 - (c) Over 1.5 billion certified emission reductions being issued and over USD 215 billion being invested;
 - (d) Over 1.6 million certified emission reductions being voluntarily cancelled;
 - (e) Over 30 million certified emission reductions being transferred through the share of proceeds to the Adaptation Fund;
 - (f) Over USD 190 million of revenue being accrued for the Adaptation Fund from the sale of certified emission reductions;
 - (g) 56 loans under the clean development mechanism loan scheme being approved and over USD 5 million of total commitment;
 - (h) 16 sustainable development co-benefits description reports being published using the voluntary sustainable development tool;²
4. *Designates* as operational entities those entities that have been accredited, and provisionally designated, as operational entities by the Executive Board to carry out the sector-specific validation and verification functions described in annex I;

¹ FCCC/KP/CMP/2014/5.

² Referred to in decision 5/CMP.8.

II. Baseline and monitoring methodologies and additionality

5. *Requests* the Executive Board to further consider the implications of allowing requests for revision of a baseline and monitoring methodology without a draft project design document in cases where the Executive Board considers that the assessment of such a request can be conducted without project-specific information, in order to provide flexibility in the provisions contained in decision 3/CMP.1, annex, paragraph 38, and report back to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session for its consideration;
6. *Encourages* the Executive Board to continue its work on the simplification and streamlining of baseline and monitoring methodologies with the aim of reducing transaction costs for all project activities and programmes of activities, taking into account that countries, regions and subregions underrepresented in the clean development mechanism are especially affected by high transaction costs;
7. *Decides* to replace decision 5/CMP.1, annex, paragraph 32, related to the flexibility in the timing of verification for afforestation and reforestation project activities, with the paragraph contained in annex II;
8. *Requests* the Executive Board to explore additional cost-effective approaches to demonstrating the eligibility of land to qualify as a clean development mechanism afforestation or reforestation project activity, and report back on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session for its consideration;

III. Registration of clean development mechanism project activities and issuance of certified emission reductions

9. *Decides* to allow the validation by a designated operational entity and the submission for approval by the Executive Board of a monitoring plan at any time up to the first request for issuance of certified emission reductions for all scales of project activities and programmes of activities in order to provide flexibility in the provisions contained in sections G. and H. of the annex to decision 3/CMP.1;
10. *Endorses* the development of a procedure by the Executive Board that would allow for the voluntary deregistration of clean development mechanism project activities by project participants, while ensuring environmental integrity and the consultation of Parties involved;
11. *Requests* the Executive Board to report on the implementation of the procedure for voluntary deregistration to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session;
12. *Also requests* the Executive Board to publish its procedures for dealing with communications from stakeholders;
13. *Further requests* the Executive Board to further analyse options to allow the simplified registration of project activities and programmes of activities that qualify as automatically additional and report back to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session for its consideration; the options would include, inter alia, that registration is approved on the basis of a standardized pre-approved registration template using objective criteria without prior validation through a designated operational entity, combined with ex post confirmation by a designated

operational entity during the first verification of the compliance with the registered template of the implemented project activity or programme of activities;

14. *Requests* the Executive Board to analyse the implications, and possible provisions for ensuring environmental integrity, of allowing the same designated operational entity to carry out validation and verification for the same project activity or programme of activities of all scales and report back on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session for its consideration;

15. *Also requests* the Executive Board to develop and digitize methodology-specific design document forms for project activities and programmes of activities;

16. *Decides* that, for multi-country programmes of activities, a request for review of a request for issuance raised by a host Party of a programme of activities shall affect only the component project activities in the territory of that Party;

17. *Requests* the Executive Board to streamline provisions relating to programmes of activities in the “CDM project standard”, “CDM validation and verification standard”, “CDM project cycle procedure” and other relevant documents, with a view to achieving consistency in a consolidated set of rules;

18. *Also requests* the Executive Board to consider adjusting, and if appropriate implement, the rules governing programmes of activities to reflect the special features of programmes of activities in order to facilitate effective implementation and reduce associated transaction costs while ensuring environmental integrity, taking into account the implications for liability with regard to the issuance of certified emission reductions resulting from significant deficiencies in validation, verification and certification reports, including rules that:

(a) Apply microscale thresholds at the unit level rather than at the component project activity level;

(b) Allow, as an option, a simplified validation and registration process for activities that satisfy microscale thresholds and are considered automatically additional; this option shall allow for:

(i) Validation of a programme of activities without the submission of a specific-case component project activity;

(ii) Inclusion on the basis of a pre-approved standardized inclusion template of component project activities carried out directly by the coordinating/managing entity without prior validation through a designated operational entity;

IV. Regional and subregional distribution

19. *Requests* the Executive Board to explore and analyse options to improve accreditation of operational entities in regions underrepresented in the clean development mechanism, and report back on this matter to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session for its consideration;

V. Resources for work on the clean development mechanism

20. *Requests* the Executive Board to ensure the prudent management of the resources of the clean development mechanism and its ability to perform its duties in maintaining and developing the mechanism up to the end of the true-up period of the second commitment period of the Kyoto Protocol.

Annex I

Entities accredited and provisionally designated by the Executive Board of the clean development mechanism in the reporting period, including entities for which the scope of accreditation was extended (5 October 2013 to 30 September 2014)

<i>Name of entity</i>	<i>Sectoral scopes (validation and verification)</i>
BRTÜV Avaliações da Qualidade S.A. (BRTÜV) ^a	1–5, 12–14
Bureau Veritas Certification Holding SAS (BVCH) ^b	1–15
Carbon Check (Pty) Ltd. (Carbon Check) ^d	1–5, 8–10, 13
Carbon Check (Pty) Ltd. (Carbon Check) ^c	14
CEPREI Certification Body (CEPREI) ^d	1–5, 8–10, 13, 15
China Classification Society Certification Company (CCSC) ^b	1–10, 13
China Environmental United Certification Center Co. Ltd. (CEC) ^b	1–15
China Quality Certification Center (CQC) ^b	1–15
Colombian Institute for Technical Standards and Certification (ICONTEC) ^d	1–5, 7, 10, 13–15
Conestoga-Rovers & Associates Ltd. (CRA) ^b	1, 4, 5, 8–10, 12, 13
Deloitte Tohmatsu Evaluation and Certification Organization Co. Ltd. (Deloitte–TECO) ^d	1–5, 8, 10, 12, 13, 15
Deloitte Tohmatsu Evaluation and Certification Organization Co. Ltd. (Deloitte–TECO) ^e	6
DNV Climate Change Services AS (DNV) ^b	1–15
Earthood Services Private Limited ^a	1, 3–5, 8, 10, 12, 13, 15
EPIC Sustainability Services Pvt. Ltd. (EPIC) ^b	1–11, 13–15
ERM Certification and Verification Services Limited (ERM CVS) ^b	1–5, 8–10, 13, 15
Ernst & Young Associés (France) (EYG) ^b	14
Foundation for Industrial Development – Management System Certification Institute (Thailand) (MASCI) ^b	1, 3, 4, 9, 10, 13, 15
Germanischer Lloyd Certification GmbH (GLC) ^b	1–5, 7–10, 13, 15
Hong Kong Quality Assurance Agency (HKQAA) ^b	1
IBOPE Instituto Brasileiro de Opinião Pública e Estatística Ltda. (IBOPE) ^b	1
Indian Council of Forestry Research and Education (ICFRE) ^b	14
JACO CDM Ltd. (JACO CDM) ^d	1, 3, 13, 14
Japan Consulting Institute (JCI) ^f	1, 2, 4, 5, 8–10, 13
Japan Management Association (JMA) ^b	1–4, 6, 8, 9, 14

<i>Name of entity</i>	<i>Sectoral scopes (validation and verification)</i>
Japan Quality Assurance Organization (JQA) ^b	1, 3–5, 9, 10, 13, 14
Japan Quality Assurance Organization (JQA) ^e	11
KBS Certification Services Pvt. Ltd. (KBS) ^b	1, 3–5, 7, 9, 10, 12, 13, 15
Korea Energy Management Corporation (KEMCO) ^b	1, 3–5, 7, 9, 11–15
Korea Energy Management Corporation (KEMCO) ^e	2, 6, 8, 10
Korea Environment Corporation (KECO) ^b	1, 3, 13
Korea Environment Corporation (KECO) ^e	2, 4, 5, 6, 7, 9, 10, 14, 15
Korea Testing & Research Institute (KTR) ^b	1, 4–5, 9–11, 13
Korean Foundation for Quality (KFQ) ^b	1–5, 8–11, 13
Korean Register of Shipping (KR) ^b	1, 7, 13
Korean Standards Association (KSA) ^b	1–5, 9, 10, 13
LGAI Technological Center S.A. (LGAI) ^b	1, 13
Lloyd's Register Quality Assurance Ltd. (LRQA) ^b	1–13
Northeast Audit Co. Ltd. (NAC) ^b	1–13, 15
Perry Johnson Registrars Carbon Emissions Services (PJRCS) ^d	1–4, 7, 9, 10, 12, 13, 15
Re-consult Ltd. (Re-consult) ^b	1
RINA Services S.p.A. (RINA) ^b	1–11, 13–15
SGS United Kingdom Ltd. (SGS) ^b	1–7, 9–13, 15
Shenzhen CTI International Certification Co. Ltd. (CTI) ^b	1–4, 6–10, 13
SIRIM QAS International Sdn. Bhd. (SIRIM) ^b	1–4, 7–10, 13, 15
Spanish Association for Standardisation and Certification (AENOR) ^d	1–15
Swiss Association for Quality and Management Systems (SQS) ^f	1–15
TÜV NORD CERT GmbH (TÜV NORD) ^b	1–16
TÜV Rheinland (China) Ltd. (TÜV Rheinland) ^b	1–15
TÜV SÜD South Asia Private Ltd. (TÜV SÜD) ^b	1–15
URS Verification Private Limited (URS) ^b	1, 13

^a Accreditation granted for five years as per decision 5/CMP.8, paragraph 20.

^b Accreditation period extended from three to five years as per decision 5/CMP.8, paragraph 20.

^c Extension of sectoral scopes. Only the new sectoral scopes are indicated.

^d Reaccreditation granted for five years as per decision 5/CMP.8, paragraph 20.

^e Voluntary withdrawal of accreditation. Only the withdrawn sectoral scopes are indicated.

^f Voluntary withdrawal of accreditation in its entirety.

Annex II

Flexibility in the timing of the verification of afforestation and reforestation project activities

Replacement of decision 5/CMP.1, annex, paragraph 32:

“The initial verification and certification of an afforestation or reforestation project activity under the clean development mechanism may be undertaken at a time selected by the project participants. In the case of afforestation or reforestation project activities for which tCERs are issued, subsequent verification and certification may be carried out at most once in each subsequent commitment period, at a time selected by the project participants. For afforestation or reforestation project activities for which ICERs are issued, subsequent verifications and certifications shall be carried out within eight years of the date when the previous certification report was submitted until the end of the crediting period.”

*10th plenary meeting
12 December 2014*

Decision 5/CMP.10

Guidance on the implementation of Article 6 of the Kyoto Protocol

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

Recalling the provisions of Articles 3 and 6 of the Kyoto Protocol and decision 1/CMP.8,

Cognizant of decision 9/CMP.1 and subsequent guidance provided by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol relating to joint implementation,

1. *Takes note* of the achievements of joint implementation in the period 2006–2014, accounting for 548 Track 1 projects,¹ 51 Track 2 projects,² five accredited independent entities and over 856 million emission reduction units issued for emission reductions generated for the first commitment period of the Kyoto Protocol;

2. *Takes note with appreciation* of the annual report for 2013–2014 of the Joint Implementation Supervisory Committee³ and the status of work undertaken by the Committee, in particular:

(a) The additional recommendations on the transition from the existing to the revised joint implementation guidelines, as a further complement to the recommendations submitted by the Committee to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol in 2012 and 2013;

(b) The recommendations and the report on progress made in relation to the accreditation system for joint implementation aligned with that of the clean development mechanism;

3. *Reiterates* its concern regarding the difficult market situation currently faced by participants in joint implementation and the need to ensure the continued success of the mechanism in order to assist Parties with a quantified emission limitation or reduction commitment inscribed in the third column of Annex B in the Doha Amendment, contained in annex I to decision 1/CMP.8 in meeting their commitments for the second commitment period under Article 3 of the Kyoto Protocol;

4. *Takes note* of the ongoing work of the Subsidiary Body for Implementation on the review of the joint implementation guidelines,⁴ as contained in the annex to decision 9/CMP.1;

5. *Requests* the secretariat to prepare a technical paper, for consideration by the Subsidiary Body for Implementation at its forty-second session (June 2015), on the opportunities for cost savings and efficiencies for joint implementation, learning from the experiences of the clean development mechanism, while recognizing the respective mandates of the two mechanisms;

¹ Decision 9/CMP.1, annex, paragraph 23.

² The verification procedure under the Joint Implementation Supervisory Committee, defined in decision 9/CMP.1, annex, paragraphs 30–45.

³ FCCC/KP/CMP/2014/4.

⁴ See document FCCC/SBI/2014/21, paragraphs 54 and 55.

6. *Invites* Parties to submit to the secretariat, by 16 March 2015, examples of voluntary technical approaches, designed by host Parties for their joint implementation projects, that could assist the host Parties in achieving their quantified emission limitation or reduction commitments under the Kyoto Protocol;
7. *Requests* the secretariat to synthesize these submissions into a synthesis report for consideration by the Subsidiary Body for Implementation at its forty-second session;
8. *Also requests* the Joint Implementation Supervisory Committee to submit elaborated recommendations, for consideration by the Subsidiary Body for Implementation at its forty-second session, on the review of the joint implementation guidelines;
9. *Further requests* the Joint Implementation Supervisory Committee to ensure sufficient infrastructure and capacity for the mechanism's use by Parties until at least the end of the additional period for fulfilling commitments under the second commitment period of the Kyoto Protocol, and to keep the joint implementation management plan under review, making necessary adjustments to ensure the efficient, cost-effective and transparent functioning of joint implementation.

*10th plenary meeting
12 December 2014*

Decision 6/CMP.10

Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

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

Recalling decision 6/CMP.8, paragraph 15(b),

1. *Requests* the Executive Board of the clean development mechanism and the Joint Implementation Supervisory Committee to collaborate in considering the establishment of a joint accreditation committee under their authority and supervision and in the operation of accreditation, within the mandates established by decisions 3/CMP.1 and 9/CMP.1 and other relevant decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol related to accreditation;
2. *Also requests* the Executive Board of the clean development mechanism and the Joint Implementation Supervisory Committee to report on the progress of the actions referred to in paragraph 1 above to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session (November–December 2015).

*10th plenary meeting
12 December 2014*

Decision 7/CMP.10

Outcome of the work programme on modalities and procedures for possible additional land use, land-use change and forestry activities under the clean development mechanism

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

Affirming that the implementation of land use, land-use change and forestry activities included under the provisions of the Kyoto Protocol shall be consistent with the objectives and principles of, and any decisions taken under, the Convention and its Kyoto Protocol,

Recalling decisions 5/CMP.1, 6/CMP.1 and 16/CMP.1,

Having considered decision 2/CMP.7,

1. *Requests* the Executive Board of the clean development mechanism, in the context of the work programme referred to in decision 2/CMP.7, paragraph 6, to assess the applicability of the modalities and procedures contained in decisions 5/CMP.1 and 6/CMP.1 to project activities involving revegetation, based on the definition contained in decision 16/CMP.1, annex, paragraph 1(e), including in areas with agroforestry and silvopastoral practices where the established vegetation is not likely to reach the forest thresholds selected by the host Party under decision 5/CMP.1, annex, paragraph 8, in the event that such project activities would be eligible under the clean development mechanism;
2. *Also requests* the Executive Board of the clean development mechanism to report to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, at its eleventh session (November–December 2015), on the outcome of the assessment referred to in paragraph 1 above, including an indication of sections of the modalities and procedures in which modifications would be needed in respect of the project activities referred to in paragraph 1 above;
3. *Further requests* the Subsidiary Body for Scientific and Technological Advice, in the context of the work referred to in paragraph 4 below, to consider the report of the Executive Board of the clean development mechanism referred to in paragraph 2 above at its forty-third session (November–December 2015);
4. *Requests* the Subsidiary Body for Scientific and Technological Advice to continue, under the work programme referred to in paragraph 1 above, its consideration of additional land use, land-use change and forestry activities under the clean development mechanism at its forty-fourth session (May 2016), with a view to recommending a draft decision on this matter for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its twelfth session (November–December 2016).

*10th plenary meeting
12 December 2014*

Decision 8/CMP.10

Administrative, financial and institutional matters

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

Recalling Article 13, paragraph 5, of the Kyoto Protocol,

Also recalling decision 27/CP.19, in particular paragraph 11,

Further recalling paragraph 11 of the financial procedures of the Conference of the Parties, which also applies to the Kyoto Protocol,¹

Taking note of decision 22/CP.20,

Having considered the information contained in the documents prepared by the secretariat on administrative, financial and institutional matters,²

I. Audited financial statements for the biennium 2012–2013

1. *Takes note* of the audited financial statements for the biennium 2012–2013, the audit report of the United Nations Board of Auditors, which includes recommendations, and the comments of the secretariat thereon;
2. *Expresses its appreciation* to the United Nations for arranging the audits of the accounts of the Convention and for the valuable observations and recommendations of the auditors;
3. *Urges* the Executive Secretary to implement the recommendations of the auditors, as appropriate;

II. Budget performance report for the biennium 2014–2015

4. *Takes note* of the report on budget performance for the biennium 2014–2015 as at 30 June 2014 and the status of contributions as at 15 November 2014 to the trust funds administered by the secretariat;
5. *Expresses its appreciation* to Parties that made contributions to the core budget and to the international transaction log³ in a timely manner;
6. *Calls upon* Parties that have not yet made contributions to the core budget or to the international transaction log to do so without delay, bearing in mind that contributions are due on 1 January of each year in accordance with the financial procedures of the Conference of the Parties;
7. *Expresses its appreciation* for the contributions received from Parties to the Trust Fund for Participation in the UNFCCC Process and to the Trust Fund for Supplementary Activities;

¹ Annex I to decision 15/CP.1.

² FCCC/SBI/2014/10, FCCC/SBI/2014/16 and Add.1 and 2, and FCCC/SBI/2014/INF.23.

³ See document FCCC/SBI/2014/INF.23.

8. *Urges* Parties to further contribute to the Trust Fund for Participation in the UNFCCC Process, in order to ensure the widest possible participation in the negotiations in 2015, and to the Trust Fund for Supplementary Activities;
9. *Reiterates* its appreciation to the Government of Germany for its annual voluntary contribution to the core budget of EUR 766,938 and its special contribution of EUR 1,789,522 as Host Government of the secretariat;

III. Programme budget for the biennium 2016–2017

10. *Requests* the Executive Secretary to submit, for consideration by the Subsidiary Body for Implementation at its forty-second session (June 2015), a proposed programme budget for the biennium 2016–2017;
11. *Also requests* the Executive Secretary, when preparing the programme budget for the biennium 2016–2017, to prepare a contingency for funding conference services,⁴ should this prove necessary in the light of decisions taken by the General Assembly at its seventieth session;
12. *Further requests* the Subsidiary Body for Implementation to recommend, at its forty-second session, a programme budget for adoption by the Conference of the Parties at its twenty-first session and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session (November–December 2015);
13. *Authorizes* the Executive Secretary to notify Parties of their indicative contributions for 2016 on the basis of the recommended budget.

*10th plenary meeting
12 December 2014*

⁴ See document FCCC/SBI/2013/6, paragraphs 59–62, for an overview.

Resolution 1/CMP.10

Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima

Draft resolution submitted by France

The Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Having met in Lima from 1 to 12 December 2014 at the invitation of the Government of the Republic of Peru,

1. *Express their profound gratitude* to the Government of the Republic of Peru for having made it possible for the twentieth session of the Conference of the Parties and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to be held in Lima;
2. *Request* the Government of the Republic of Peru to convey to the city and people of Lima the gratitude of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for the hospitality and warmth extended to the participants.

*10th plenary meeting
14 December 2014*



Ad Hoc Working Group on the Durban Platform for Enhanced Action

Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the seventh part of its second session, held in Lima from 2 to 13 December 2014

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I. Opening of the session

(Agenda item 1)

1. The seventh part of the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) was held at the United Nations Climate Change Conference, Lima, Peru, from 2 to 13 December 2014.¹
2. The Co-Chairs of the ADP, Mr. Kishan Kumarsingh (non-Annex I) and Mr. Artur Runge-Metzger (Annex I), resumed the second session and opened the 13th plenary meeting on 2 December. They welcomed all Parties and observers. They also welcomed Ms. Anna Serzysko (Annex I) as Rapporteur of the ADP.²
3. The Co-Chairs stressed the need for the ADP to provide to the Conference of the Parties (COP) a clear and solid foundation for the new global climate change agreement to be adopted at COP 21, which would signal to the world the determination of Parties to deliver a successful outcome at that session of the COP, to be held in Paris, France. The Co-Chairs reminded delegates of the need to identify the information that will be provided in relation to the intended nationally determined contributions (INDCs) in accordance with decision 1/CP.19 and called for the strengthening and acceleration of climate action prior to 2020 through a decision that was to be considered and adopted at COP 20.
4. Statements were made by representatives of 13 Parties, including on behalf of the Group of 77 and China, the European Union and its 28 member States, the Umbrella Group, the Environmental Integrity Group, the African Group, the Alliance of Small Island States, the least developed countries (LDCs), the Independent Association for Latin America and the Caribbean (AILAC), the Central American Integration System, the League of Arab States, the BASIC countries (Brazil, China, India and South Africa), the Like-minded Developing Countries and the Coalition for Rainforest Nations. In addition, statements were made on behalf of environmental non-governmental organizations (NGOs), farmers NGOs, indigenous peoples organizations, local government and municipal authorities, trade union NGOs, women and gender NGOs, youth NGOs and business and industry NGOs.

II. Organizational matters

(Agenda item 2)

A. Election of officers

(Agenda item 2(a))

5. The ADP considered this sub-item at its 14th meeting, on 13 December. The Co-Chairs reported that the consultations on the election of the Bureau of the ADP had been successfully concluded.

¹ The report on the first and second parts of the second session of the ADP is contained in document FCCC/ADP/2013/2; the reports on the third, fourth, fifth and sixth parts of the second session are contained in documents FCCC/ADP/2013/3, FCCC/ADP/2014/1, FCCC/ADP/2014/2 and FCCC/ADP/2014/3, respectively.

² The Bureau of the ADP was elected in accordance with the arrangement set out in document FCCC/ADP/2012/2, paragraph 7, which was endorsed by decision 2/CP.18. The ADP elected the current members of its Bureau at the second and third parts of its second session, as reflected in documents FCCC/ADP/2013/2, paragraph 6, and FCCC/ADP/2013/3, paragraph 5, respectively.

6. On a proposal of the Co-Chairs, the ADP elected by acclamation Mr. Ahmed Djoghlaif (non-Annex I) and Mr. Daniel Reifsnnyder (Annex I) as its Co-Chairs and Ms. Yang Liu (non-Annex I) as its Rapporteur.

B. Adoption of the agenda

(Agenda item 2(b))

7. The agenda for the second session of the ADP was adopted by the ADP at the 1st meeting of the session, on 29 April 2013.³

C. Organization of the work of the session

(Agenda item 2(c))

8. At the 13th meeting, on 2 December, the Co-Chairs drew the attention of the delegates to the scenario note prepared for the seventh part of the session,⁴ and outlined the arrangements made in the light of the organization of work previously agreed by the ADP, the mandates of the ADP, including those given at COP 19,⁵ and pre-session consultations. The organization of the work on agenda item 3 included a contact group established at the fourth part of the session.⁶

9. At the same meeting, the Co-Chairs stressed the importance of optimizing the use of the limited time available and informed the ADP of the greater efforts on time management undertaken by the Chairs of the subsidiary bodies in consultation with the Bureau of the COP and the negotiating groups to strengthen inclusivity, discipline, respect and fairness.

10. In addition, the Co-Chairs informed Parties of their intention to hold a special event with observers during the session. This event took place on 5 December.

III. Implementation of all the elements of decision 1/CP.17

(Agenda item 3)

1. Proceedings

11. The ADP considered this item at its 13th meeting, as well as at its 14th meeting, on 13 December. It had before it documents FCCC/ADP/2014/3, FCCC/ADP/2014/L.4, FCCC/ADP/2014/L.5, FCCC/ADP/2014/CRP.4 and FCCC/2014/TP/13 and Add.1–4, as well as the informal notes prepared for the seventh part of the session.⁷

12. At the 13th meeting, the Co-Chairs recalled the establishment of the contact group on item 3, referred to in paragraph 8 above, and its mandate to work in accordance with the agreed agenda and established UNFCCC practice. They also recalled the core principles guiding the work of the ADP, namely that the process will continue to be Party-driven and build on inputs from Parties, and that any outputs of the process will reflect inputs from Parties.

13. At the same meeting, the Co-Chairs drew the attention of delegates to the informal documents prepared by the Co-Chairs and aimed at supporting delegates by providing focus

³ FCCC/ADP/2013/2, paragraphs 8 and 9.

⁴ ADP.2014.10.InformalNote.

⁵ Decision 1/CP.19.

⁶ FCCC/ADP/2014/1, paragraph 19.

⁷ The informal notes are listed in annex II.

to the negotiations and capturing the progress made by the ADP as well as the submissions received, namely:

(a) A non-paper on elements for a draft negotiating text updating the earlier non-paper;⁸

(b) A draft decision text on advancing the Durban Platform for Enhanced Action.⁹

14. The Co-Chairs underlined the need to continue the consideration and further elaboration of the elements for a draft negotiating text with a view to making a negotiating text available before May 2015, in line with the mandates contained in decisions 2/CP.18 and 1/CP.19. The Co-Chairs also stressed the need for the ADP to consider how to take forward its work on the elements, and how to forward the results of this work to 2015.

15. In addition, the Co-Chairs informed the ADP of the calls from Parties for textual negotiations. In this context, the Co-Chairs encouraged delegates to make specific suggestions that seek to build bridges and clarify options so as to allow the contact group to collectively advance its work towards a draft negotiating text. In the light of the limited time available to the ADP to advance this work, the Co-Chairs proposed that focused negotiations in the contact group on the elements for a draft negotiating text be undertaken in parallel and facilitated by either one of the Co-Chairs.

16. At the same meeting, the Co-Chairs recalled the work undertaken by the ADP on draft decision texts on the identification of the information that Parties will provide when putting forward their INDCs and on accelerating the implementation of enhanced pre-2020 climate action. The Co-Chairs proposed that the contact group continue its work on these issues through textual negotiations with a view to agreeing on a draft decision to be recommended for consideration and adoption at COP 20.

17. The Co-Chairs further drew the attention of delegates to the updated technical paper titled “Updated compilation of information on the mitigation benefits of actions, initiatives and options to enhance mitigation ambition”,¹⁰ prepared by the secretariat as requested by the ADP at the third part of its second session.¹¹ The Co-Chairs encouraged delegates to read the updated technical paper and to bring it to the attention of the relevant implementation officials in their respective governments.

18. In the context of pre-2020 action, the Co-Chairs also informed the ADP of their request to the secretariat to cluster and enhance the visibility of side events and exhibits in Lima that were directly relevant to the thematic areas explored by the technical expert meetings in 2014, and that further information on these events and exhibits was available on the UNFCCC website.¹²

19. At the same meeting, the Co-Chairs drew the attention of delegates to the high-level ministerial dialogue on climate finance and the high-level ministerial dialogue on the Durban Platform for Enhanced Action, which were to be held on 9 and 10 December, respectively. They expressed their appreciation to Mr. Manuel Pulgar-Vidal, President of COP 20 and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), and his team for the great efforts made to facilitate the ADP process.

⁸ ADP.2014.11.NonPaper.

⁹ ADP.2014.12.DraftText.

¹⁰ FCCC/TP/2014/13 and Add.1–4.

¹¹ FCCC/ADP/2013/3, paragraph 30(c)(ii).

¹² <<http://unfccc.int/bodies/awg/items/8682.php>>.

20. The Co-Chairs encouraged delegates to attend the numerous briefings, forums and events on areas of relevance to the work of the ADP being held in Lima and informed delegates that a list of these events was available on the UNFCCC website.¹³

21. At the same meeting, the ADP agreed to the proposals by the Co-Chairs on the organization of work by the ADP on item 3.

22. The ADP met on 6 December to take stock of progress made and to consider the possible way forward. Further to this informal meeting and in response to an invitation by the President of COP 20/CMP 10, on 8 December the Co-Chairs issued a revised version of the draft decision text referred to in paragraph 16 above and of the draft text containing the elements for a draft negotiating text. At the request of Parties, a compilation of textual inputs received from Parties¹⁴ was made available on the UNFCCC website.¹⁵

23. Following the stocktaking meeting and the issuance of the draft texts referred to in paragraph 22 above, the ADP further focused its work, including through line-by-line negotiations on the draft decision text on agenda item 3. The progress of this work was captured in:

(a) A revised version of the draft text containing the elements for a draft negotiating text, issued on 10 December;

(b) Revised versions of the draft decision text on agenda item 3 reflecting the status of the negotiations, made available on the UNFCCC website on 9, 10 and 11 December.¹⁶

24. Progress was also reflected in the oral reports by the ADP Co-Chairs to the informal stocktaking plenaries convened by the President of COP 20/CMP 10 on 10, 11 and 12 December.

25. In addition to the consultations with Parties undertaken by the President of COP 20/CMP 10 and the ongoing ADP negotiations, on 12 December the President launched ministerial consultations on ADP issues facilitated on his behalf by ministers Vivian Balakrishnan (Singapore) and Tine Sundtoft (Norway) with a view to facilitating a successful outcome of the ADP process.

26. On 13 December, the Co-Chairs convened an informal ADP meeting to introduce a further revised draft decision on agenda item 3 with an annex containing the elements for a draft negotiating text referred to in paragraph 23(a) above.¹⁷

27. On the same day, the Co-Chairs opened the 14th plenary meeting and invited the ADP to consider the draft decision referred to in paragraph 26 above.

28. At the beginning of the meeting, the President of COP 20/CMP 10 recalled the expectations for a successful outcome of the United Nations Climate Change Conference in Lima, which would provide a solid foundation for reaching an agreement in Paris. The President called for flexibility and encouraged Parties to work together to achieve the successful outcome needed.

29. Statements were made by representatives of 41 Parties, including on behalf of the Environmental Integrity Group, the African Group, the European Union and its 28 member States, the LDCs, AILAC, the Like-minded Developing Countries, the League of Arab States and the BASIC countries.

¹³ <http://unfccc.int/files/bodies/awg/application/pdf/lima_conference_adp_relevant_events.pdf>.

¹⁴ <<http://unfccc.int/bodies/awg/items/8757.php>>.

¹⁵ <http://unfccc.int/files/bodies/awg/application/pdf/compilation_of_inputs.pdf>.

¹⁶ <<http://unfccc.int/bodies/awg/items/8743.php>>.

¹⁷ FCCC/ADP/2014/L.5.

2. Conclusions

30. The Co-Chairs, in the light of the discussion held at the 14th meeting of the ADP, informed the ADP that, confident that further consultations among Parties would result in an agreement, they would transmit under their own authority the text contained in document FCCC/ADP/2014/L.5 to the President of the COP in order for him to lead consultations for Parties to agree on a text for consideration and adoption at COP 20.¹⁸

IV. Other matters

(Agenda item 4)

31. The ADP considered this item at its 13th meeting. No other matters were raised.

V. Report on the seventh part of the second session

(Agenda item 5)

32. At its 14th meeting, the ADP considered and adopted the draft report on the seventh part of its second session.¹⁹ At the same meeting, on a proposal by the Co-Chairs, the ADP authorized the Rapporteur to complete the report on the seventh part of the session, with the assistance of the secretariat and under the guidance of the Co-Chairs.

VI. Suspension of the session

33. At its 14th meeting, the ADP agreed on a proposal by the Co-Chairs to suspend the second session and resume it on 8 February 2015 in Geneva, Switzerland.

34. At the same meeting, the Co-Chairs of the ADP expressed their appreciation to Parties for their work and support and declared the second session of the ADP suspended.

¹⁸ On 13 December, on a recommendation by the President, the COP adopted decision 1/CP.20.

¹⁹ FCCC/ADP/2014/L.4.

Annex I

Documents before the Ad Hoc Working Group on the Durban Platform for Enhanced Action at the seventh part of its second session

Documents prepared for the seventh part of the session

FCCC/ADP/2014/L.4	Draft report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the seventh part of its second session, held in Lima from 2 to 11 December 2014
FCCC/ADP/2014/L.5	Implementation of all the elements of decision 1/CP.17. Draft conclusions proposed by the Co-Chairs
FCCC/ADP/2014/CRP.4	Submission from the African Group
FCCC/TP/2014/13 and Add.1–4	Updated compilation of information on the mitigation benefits of actions, initiatives and options to enhance mitigation ambition. Technical paper

Other documents before the session

FCCC/CP/2013/10 and Add.1	Report of the Conference of the Parties on its nineteenth session, held in Warsaw from 11 to 23 November 2013
FCCC/CP/2012/8 and Add.1	Report of the Conference of the Parties on its eighteenth session, held in Doha from 26 November to 8 December 2012
FCCC/CP/2011/9 and Add.1 and 2	Report of the Conference of the Parties on its seventeenth session, held in Durban from 28 November to 11 December 2011
FCCC/ADP/2014/3	Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the sixth part of its second session, held in Bonn from 20 to 25 October 2014
FCCC/ADP/2014/2	Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the fifth part of its second session, held in Bonn from 4 to 14 June 2014
FCCC/ADP/2014/1	Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the fourth part of its second session, held in Bonn from 10 to 14 March 2014
FCCC/ADP/2013/3	Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the third part of its second session, held in Warsaw from 12

FCCC/ADP/2013/2

to 23 November 2013

Report of the Ad Hoc Working Group on the Durban Platform for Enhanced Action on the first and second parts of its second session, held in Bonn from 29 April to 3 May 2013 and from 4 to 13 June 2013

Annex II

Informal notes prepared for the Ad Hoc Working Group on the Durban Platform for Enhanced Action at the seventh part of its second session

ADP.2014.10.InformalNote	Scenario note on the seventh part of the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action, including reflections on progress made at the sixth part of the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action. Note by the Co-Chairs
ADP.2014.11.NonPaper	Non-paper on elements for a draft negotiating text
ADP.2014.12.DraftText	Advancing the Durban Platform for Enhanced Action



Subsidiary Body for Implementation

**Report of the Subsidiary Body for Implementation on its
forty-first session, held in Lima from 1 to 8 December 2014**

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I. Opening of the session

(Agenda item 1)

1. The forty-first session of the Subsidiary Body for Implementation (SBI) was held at the United Nations Climate Change Conference, Lima, Peru, from 1 to 8 December 2014.
2. The Chair of the SBI, Mr. Amena Yauvoli (Fiji), opened the session on Monday, 1 December, and welcomed all Parties and observers. He also welcomed Mr. Ilhomjon Rajabov (Tajikistan) as Vice-Chair of the SBI and Ms. Mabafokeng Mahahabisa (Lesotho) as Rapporteur.

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda sub-item 2(a))

3. At its 1st meeting, on 1st December, the SBI considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/SBI/2014/9).
4. At the same meeting, the agenda was adopted as follows, with agenda sub-item 4(a) held in abeyance, and on the understanding that the issue of membership on the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE), referred to the SBI by the Conference of the Parties (COP), would be considered under agenda item 20 (“Other matters”):
 1. Opening of the session.
 2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session;
 - (c) Multilateral assessment working group session under the international assessment and review process;
 - (d) Election of officers other than the Chair.
 3. Reporting from and review of Parties included in Annex I to the Convention:
 - (a) Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention;
 - (b) Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention;
 - (c) Compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol;
 - (d) Revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”;

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- (e) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2012;
 - (f) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014.
 4. Reporting from Parties not included in Annex I to the Convention:
 - (a) Information contained in national communications from Parties not included in Annex I to the Convention (*agenda sub-item held in abeyance*);
 - (b) Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention;
 - (c) Provision of financial and technical support.
 5. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions.
 6. Matters relating to the mechanisms under the Kyoto Protocol:
 - (a) Review of the modalities and procedures for the clean development mechanism;
 - (b) Review of the joint implementation guidelines;
 - (c) Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units;
 - (d) Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism;
 - (e) Report of the administrator of the international transaction log under the Kyoto Protocol.
 7. Matters relating to the least developed countries.
 8. Report of the Adaptation Committee.
 9. National adaptation plans.
 10. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.
 11. Matters relating to finance:
 - (a) Second review of the Adaptation Fund;
 - (b) Further guidance to the Least Developed Countries Fund.
 12. Development and transfer of technologies and implementation of the Technology Mechanism:
 - (a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network;
 - (b) Poznan strategic programme on technology transfer.
 13. Capacity-building:
 - (a) Capacity-building under the Convention;
 - (b) Capacity-building under the Kyoto Protocol.

14. Impact of the implementation of response measures:
 - (a) Forum and work programme;
 - (b) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol;
 - (c) Progress on the implementation of decision 1/CP.10.
15. The 2013–2015 review.
16. Gender and climate change.
17. Arrangements for intergovernmental meetings.
18. Administrative, financial and institutional matters:
 - (a) Audited financial statements for the biennium 2012–2013;
 - (b) Budget performance for the biennium 2014–2015.
19. Reports on other activities:
 - (a) Report on the expert meeting on an information hub for information on the results of the activities referred to in decision 1/CP.16, paragraph 70, and results-based payments;
 - (b) Summary report on the 2nd Dialogue on Article 6 of the Convention.
20. Other matters.
21. Closure of and report on the session.

5. At the 1st meeting, statements were made by representatives of 13 Parties, including one on behalf of the Group of 77 and China (G77 and China), one on behalf of the Umbrella Group, one on behalf of the Environmental Integrity Group (EIG), two on behalf of the Alliance of Small Island States (AOSIS),¹ one on behalf of the African Group, one on behalf of the European Union and its 28 member States, one on behalf of the least developed countries (LDCs), one on behalf of the Independent Association for Latin America and the Caribbean, one on behalf of the Central American Integration System, and one on behalf of the Coalition for Rainforest Nations. Statements were also made on behalf of business and industry non-governmental organizations (NGOs), indigenous peoples organizations, women and gender NGOs, youth NGOs, and by representatives of environmental NGOs.²

B. Organization of the work of the session

(Agenda sub-item 2(b))

6. The SBI considered this agenda sub-item at its 1st meeting, at which the Chair drew attention to the proposed programme of work posted on the SBI 41 webpage.³ He reminded the SBI that the first part of the SBI closing plenary meeting had been scheduled for the afternoon of Friday, 5 December, to allow the SBI to adopt conclusions on all substantive items before the launch of the multilateral assessment (MA) working group session on Saturday, 6 December. He also reminded Parties that the second part of the SBI closing

¹ Including one statement on issues relating to agenda item 6 (“Matters relating to the mechanisms under the Kyoto Protocol”).

² The texts of statements, including those that could not be delivered during the plenary meeting owing to the lack of time, are available on the submission portal at <www.unfccc.int/5900> (select SBI, then search for “statements”).

³ <www.unfccc.int/8500>.

plenary would be held immediately after the completion of the MA process, in the late afternoon on Monday, 8 December. In line with previously adopted SBI conclusions⁴ on the timely conclusion of negotiations and related working practices, the Chair informed the SBI that no meetings will be organized after 6 p.m. On a proposal by the Chair, the SBI agreed to proceed on the basis of the programme of work referred to above.

C. Multilateral assessment working group session under the international assessment and review process

(Agenda sub-item 2(c))

Proceedings

7. The SBI considered this agenda sub-item at its 1st meeting and took note of the information provided by the Chair on the organization of the first MA working group session, which was to be convened on 6 and 8 December 2014.

8. A summary report for each of the 17 Parties that underwent assessment at SBI 41 is available on the UNFCCC website under those Parties' records,⁵ and is also presented in annex I.

D. Election of officers other than the Chair

(Agenda sub-item 2(d))

Proceedings

9. The SBI considered this agenda sub-item at its 1st meeting, as well as at its 2nd meeting, on 5 December. At the 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. At the same meeting, the SBI noted that the consultations on the nominations of the SBI Vice-Chair and Rapporteur are being coordinated with the consultations being conducted on the nominations to all other bodies under the Convention and the Kyoto Protocol by Mr. Cheikh Ndiaye Sylla (Senegal), Vice-President of the COP and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), under the authority of the President of the COP and the CMP.

10. At the 2nd meeting, the Chair informed Parties that nominations for the post of Vice-Chair had not been received. As an exception to rule 27, paragraph 6, of the draft rules of procedure being applied, the SBI invited the COP to elect the Vice-Chair and the Rapporteur of the SBI at the closing plenary of COP 20.⁶

⁴ FCCC/SBI/2014/8, paragraphs 218–221.

⁵ See <www.unfccc.int/8451>.

⁶ The COP elected Mr. Guoshun Sun (China) as Vice-Chair and Mr. Sidat Yaffa (Gambia) as Rapporteur, who will serve at SBI 42 and 43 (FCCC/CP/2014/10, para. 52).

III. Reporting from and review of Parties included in Annex I to the Convention

(Agenda item 3)

A. Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention

(Agenda sub-item 3(a))

Proceedings

11. The SBI considered this agenda sub-item at its 1st meeting and took note of the information contained in document FCCC/SBI/2014/INF.19.

B. Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention

(Agenda sub-item 3(b))

Proceedings

12. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/INF.20 and Add.1 and 2. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Fatuma Hussein (Kenya) and Ms. Helen Plume (New Zealand). At the 2nd meeting, the Chair reported that the consultations did not result in any conclusions. In accordance with rules 10(c) and 16 of the draft rules of procedure being applied, this matter will be included in the provisional agenda for SBI 42 (June 2015).

C. Compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol

(Agenda sub-item 3(c))

1. Proceedings

13. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/INF.21. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Hussein and Ms. Plume. At its 2nd meeting, the SBI considered and adopted the conclusions below.⁷

2. Conclusions

14. The SBI welcomed the compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention (Annex I Parties) that are also Parties to the Kyoto Protocol⁸ and took note thereof.

⁷ Draft conclusions presented in document FCCC/SBI/2014/L.30.

⁸ FCCC/SBI/2014/INF.21.

D. Revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications”

(Agenda sub-item 3(d))

Proceedings

15. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/TP/2014/5. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Hussein and Ms. Plume. At the 2nd meeting, the Chair reported that the consultations did not result in any conclusions. In accordance with rule rules 10(c) and 16 of the draft rules of procedure being applied, this matter will be included in the provisional agenda for SBI 42.

E. Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2012

(Agenda sub-item 3(e))

Proceedings

16. The SBI considered this agenda sub-item at its 1st meeting and took note of the information contained in document FCCC/SBI/2014/20.

F. Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014

(Agenda sub-item 3(f))

Proceedings

17. The SBI considered this agenda sub-item at its 1st meeting. It recommended that the CMP take note of the information contained in document FCCC/KP/CMP/2014/7 and Add.1.

IV. Reporting from Parties not included in Annex I to the Convention

(Agenda item 4)

A. Information contained in national communications from Parties not included in Annex I to the Convention

(Agenda sub-item 4(a) *held in abeyance*)

B. Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

(Agenda sub-item 4(b))

1. Proceedings

18. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2014/17, FCCC/SBI/2014/18, FCCC/SBI/2014/19,

FCCC/SBI/2014/INF.15 and FCCC/SBI/2014/INF.16. At its 1st meeting,⁹ the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Plume and Ms. Lilian Portillo (Paraguay). At its 2nd meeting, the SBI considered and adopted the conclusions below.¹⁰

2. Conclusions

19. The SBI noted the progress reports¹¹ of the CGE and the work programme of the CGE for the period 2014–2018.¹² The SBI commended the CGE for developing and implementing its work programme. It also thanked the Annex I Parties¹³ that have made financial contributions for the implementation of the work of the CGE in 2014.

20. The SBI welcomed the progress made by the CGE in implementing its activities, including the following:

(a) The compilation of information in a technical report¹⁴ on problems and constraints, as well as lessons learned and best practices, in the process of and the preparation of national communications and biennial update reports (BURs) by Parties not included in Annex I to the Convention (non-Annex I Parties). The SBI encouraged the CGE to take into consideration the relevant elements identified in that report in the implementation of its work programme, as appropriate;

(b) The organization of two regional training workshops on the preparation of BURs from non-Annex I Parties.¹⁵ The SBI expressed its gratitude to the Governments of Panama and Armenia for hosting the workshops. It encouraged the CGE to make every effort to conduct the remaining regional training workshop, for the African region, in the first quarter of 2015;

(c) The translation of the supplementary CGE training materials on the preparation of BURs into Arabic, French and Spanish. The SBI requested the secretariat to make arrangements, subject to the availability of financial resources, for the translation of the training materials into the other official United Nations languages in 2015;¹⁶

(d) The development of the CGE e-learning programme on the preparation of national communications from non-Annex I Parties, which is based on the updated CGE training materials.¹⁷ The SBI encouraged non-Annex I Parties to make use of the e-learning programme and to encourage national experts to participate in the programme.

21. The SBI also welcomed the progress made in the development of the training programme for the team of technical experts undertaking the technical analysis of BURs under the international consultation and analysis process, and extended its appreciation to the experts who engaged in the peer review of the materials for the training programme.¹⁸ It encouraged the CGE to finalize the training materials by the first quarter of 2015.

⁹ A statement by the Chair of the CGE on this agenda sub-item is available at <www.unfccc.int/8500>.

¹⁰ Draft conclusions presented in document FCCC/SBI/2014/L.26.

¹¹ FCCC/SBI/2014/17, FCCC/SBI/2014/18, FCCC/SBI/2014/19, FCCC/SBI/2014/INF.15 and FCCC/SBI/2014/INF.16.

¹² FCCC/SBI/2014/17, annex I.

¹³ Belgium, Canada, European Union and Japan.

¹⁴ FCCC/SBI/2014/INF.16.

¹⁵ The report on the two workshops is contained in document FCCC/SBI/2014/18.

¹⁶ The translated materials are available at <<http://unfccc.int/7915.php>>.

¹⁷ The updated CGE training materials on the preparation of national communications are available at <<http://unfccc.int/349.php>>.

¹⁸ The report on the workshop on the peer review of the materials for the training of the team of technical experts is contained in document FCCC/SBI/2014/19.

22. The SBI further welcomed the long-term strategy (2015–2018) of the CGE,¹⁹ which outlines strategies to enhance the provision of technical assistance to non-Annex I Parties in a more effective, adequate and sustainable manner at the regional, subregional and national levels. The SBI noted that the strategy provides a good basis for the CGE to deliver its mandate in a comprehensive manner and encouraged the CGE to take into consideration the relevant elements of the strategy in revising and implementing its work programme.

23. The SBI, recalling decision 20/CP.19, paragraph 2, encouraged Parties to nominate, as early as possible, technical experts with the relevant qualifications to the UNFCCC roster of experts. It also encouraged the CGE to organize, as early as possible in 2015, training for the nominated technical experts, as requested in paragraph 4 of the same decision.

24. The SBI noted the plans of the CGE to initiate the revision of its updated training materials on vulnerability and adaptation assessments during the first half of 2015 and to organize the regional hands-on training workshops on vulnerability and adaptation assessments in the second half of 2015, subject to the availability of financial resources.

25. The SBI urged developed country Parties included in Annex II to the Convention and other developed country Parties in a position to do so to provide financial resources to enable the CGE to implement the activities planned in its work programme. In addition, it invited multilateral programmes and organizations to collaborate with the CGE, as appropriate, in the provision of technical support to non-Annex I Parties for preparing their national communications and BURs.

26. The SBI took note of the estimated budgetary implications of the activities to be undertaken by the CGE, with the assistance of the secretariat, including those referred to in paragraphs 20–24 above.²⁰

27. It requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

C. Provision of financial and technical support

(Agenda sub-item 4(c))

1. Proceedings

28. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2014/INF.12, FCCC/SBI/2014/INF.22 and FCCC/CP/2014/2. At its 1st meeting,²¹ the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Plume and Ms. Portillo. At its 2nd meeting, the SBI considered and adopted the conclusion below.²²

2. Conclusions

29. The SBI took note of the information provided by the secretariat of the Global Environment Facility (GEF) on the financial support provided by the GEF for the preparation of national communications and BURs by non-Annex I Parties.²³

¹⁹ The long-term strategy (2015–2018) of the CGE is contained in document FCCC/SBI/2014/INF.15.

²⁰ The estimated resource requirements to implement the CGE work programme for 2015–2018 are contained in annex II to document FCCC/SBI/2014/17.

²¹ A statement by a representative of the Global Environment Facility on this agenda sub-item is available at <www.unfccc.int/8500>.

²² Draft conclusions presented in document FCCC/SBI/2014/L.29.

²³ FCCC/SBI/2014/INF.22 and FCCC/CP/2014/2.

30. The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of national communications by non-Annex I Parties, including information on the dates of approvals of funding and disbursement of funds. It also invited the GEF to continue providing information on an approximate date of completion of the draft national communications and an approximate date of submission to the secretariat of the national communications, for consideration at SBI 43 (November–December 2015).

31. The SBI further invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approvals of funding and disbursement of funds, as well as an approximate date of submission to the secretariat of the BURs, for consideration at SBI 42.

32. The SBI noted the information provided by the GEF, in its report to COP 20,²⁴ on the funding available to non-Annex I Parties for the preparation of their national communications and BURs under its latest replenishment, and on the total amount of funding available in its climate change focal area.

33. The SBI also noted that, by 4 December 2014, one non-Annex I Party had submitted its first BUR in accordance with decision 2/CP.17, paragraph 41(a), and that a further seven non-Annex I Parties are expected to submit them by 31 December 2014. It further noted that, as at 1 December 2014, the GEF secretariat had received 48 requests from non-Annex I Parties for funds for the preparation of their BURs. In addition, the SBI noted that the GEF Council approved, in October 2014, a project for 35 small island developing States and LDCs to complete their BURs.

34. Recalling decision 2/CP.17, paragraph 41(d), the SBI reiterated its urging of the non-Annex I Parties that have yet to submit, as applicable, their requests to the GEF for support for the preparation of their first BURs to do so in a timely manner.²⁵ In addition, it encouraged GEF agencies to continue to facilitate the preparation and submission of project proposals by non-Annex I Parties for the preparation of their BURs.

35. The SBI invited the GEF to provide, in its report to COP 21 (November–December 2015), information on the procedures available to facilitate access by non-Annex I Parties to funding for the preparation of their national communications and multiple BURs with one application.

36. The SBI noted the progress made by the GEF in the operationalization of its Global Support Programme (GSP).²⁶ It encouraged non-Annex I Parties to take advantage of the opportunities for technical assistance and support available under the GSP.

37. The SBI welcomed the report²⁷ provided by the secretariat on the regional hands-on training workshops on the use of the national greenhouse gas inventory software for non-Annex I Parties, which were held in the period 2013–2014. Noting the need to train additional experts, it requested the secretariat to make all efforts to provide further relevant training, once the updated software has been made available in other United Nations languages.

38. The SBI noted with appreciation that, as at 4 December 2014, 147 initial, 105 second, 9 third, 1 fourth and 1 fifth national communications from non-Annex I Parties had

²⁴ FCCC/CP/2014/2.

²⁵ FCCC/SBI/2012/15, paragraph 53.

²⁶ A project administered jointly by the United Nations Development Programme and the United Nations Environment Programme with the objective of enhancing the support provided to non-Annex I Parties for the timely preparation of their national communications and BURs.

²⁷ FCCC/SBI/2014/INF.12.

been submitted. It also noted that it is expected that, by the end of 2014, 20 second and 11 third national communications from non-Annex I Parties will have been submitted.

39. The SBI took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 37 above.

40. It requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

V. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions

(Agenda item 5)

1. Proceedings

41. The SBI considered this agenda item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2014/INF.11 and FCCC/SBI/2014/INF.24. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations co-facilitated by Ms. Ann Gan (Singapore) and Mr. Dimitar Nikov (France). At its 2nd meeting, the SBI considered and adopted the conclusions below.²⁸

2. Conclusions

42. The SBI concluded the work programme to further the understanding of the diversity of nationally appropriate mitigation actions (NAMAs), established pursuant to decision 1/CP.18, paragraph 19 (hereinafter referred to as the work programme).

43. The SBI noted the activities implemented during the work programme:

(a) The compilation of information on NAMAs to be implemented by developing country Parties;²⁹

(b) The in-session workshops held at SBI 39 and SBI 40 and the reports thereon;³⁰

(c) The first and second reports on the extent of the matching of mitigation actions with financial, technical and capacity-building support under the NAMA registry;³¹

(d) The annual regional capacity-building workshops to facilitate the preparation and implementation of NAMAs.³²

44. The SBI acknowledged that information and experiences shared under the work programme, both on NAMAs and on the provision of support for NAMAs, furthered the understanding of the diversity of NAMAs.

45. The SBI also acknowledged the value of information relating to NAMAs, as specified in decision 2/CP.17, paragraphs 33 and 34, including underlying assumptions and methodologies, sectors and gases covered, global warming potential values used and estimated mitigation outcomes, provided under the work programme.

46. The SBI recognized the existence of needs for financial, technology and capacity-building support for the preparation and implementation of specific measurable, reportable

²⁸ Draft conclusions presented in document FCCC/SBI/2014/L.36.

²⁹ FCCC/SBI/2013/INF.12/Rev.2.

³⁰ FCCC/SBI/2014/INF.1 and FCCC/SBI/2014/INF.11.

³¹ FCCC/SBI/2014/INF.10 and FCCC/SBI/2014/INF.24.

³² Available at <<http://unfccc.int/focus/mitigation/items/7429.php>>.

and verifiable NAMAs, as well as of support available and provided, access modalities and related experience gained.

47. The SBI acknowledged that the matching of mitigation actions with financial, technology and capacity-building support in the NAMA registry has started to occur.³³

48. The SBI requested the secretariat to ensure the sound operation of the NAMA registry, with a view to facilitating both the recording of information on NAMAs and support for them, as well as the matching of NAMAs with support.

VI. Matters relating to the mechanisms under the Kyoto Protocol

(Agenda item 6)

A. Review of the modalities and procedures for the clean development mechanism

(Agenda sub-item 6(a))

1. Proceedings

49. The SBI considered this agenda sub-item at its 1st and 2nd meetings. A representative of one Party made a statement on behalf of AOSIS. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Marko Berglund (Finland) and Mr. Giza Gaspar Martins (Angola). At the 2nd meeting, the Chair thanked Mr. Jeffery Spooner (Jamaica) for accepting to co-facilitate the consultations in place of Mr. Martins, who was unable to attend the session. At the same meeting, the SBI considered and adopted the conclusions below.³⁴

2. Conclusions

50. In accordance with decision 4/CMP.9, the SBI continued its consideration of possible changes to the modalities and procedures for the clean development mechanism (CDM).

51. The SBI took note of the technical paper³⁵ on possible changes to the CDM modalities and procedures, prepared by the secretariat in accordance with decision 4/CMP.9, and of the views³⁶ submitted by Parties related to this agenda sub-item.

52. The SBI agreed to continue its consideration of this matter at SBI 42.

B. Review of the joint implementation guidelines

(Agenda sub-item 6(b))

1. Proceedings

53. The SBI considered this agenda sub-item at its 1st and 2nd meetings. A representative of one Party made a statement on behalf of AOSIS. At its 1st meeting, the SBI agreed to

³³ FCCC/SBI/2014/INF.24.

³⁴ Draft conclusions presented in document FCCC/SBI/2014/L.35.

³⁵ FCCC/TP/2014/1.

³⁶ Submissions made in 2013 are compiled in document FCCC/SBI/2013/MISC.1 and Add.1, while submissions made in 2014 (for SBI 40 and 41) are available at <<http://www4.unfccc.int/submissions/SitePages/sessions.aspx?showOnlyCurrentCalls=1&populateData=1&expectedsubmissionfrom=Parties&focalBodies=SBI>>.

consider this agenda sub-item in informal consultations co-facilitated by Mr. Nikov and Mr. Yaw Osafo (Ghana). At its 2nd meeting, the SBI considered and adopted the conclusions below.³⁷

2. Conclusions

54. The SBI continued its consideration of the review of the guidelines for the implementation of Article 6 of the Kyoto Protocol³⁸ (joint implementation guidelines), in accordance with decision 6/CMP.8, paragraphs 14–16.

55. The SBI agreed to continue its consideration of this matter at SBI 42, on the basis of the draft decision text and its appendix proposed by the co-facilitators of the informal consultations on this agenda sub-item and contained in the annex to document FCCC/SBI/2014/L.34, with a view to recommending a draft decision on the matter for consideration and adoption at CMP 11 (November–December 2015).

C. Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units

(Agenda sub-item 6(c))

1. Proceedings

56. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/TP/2014/4. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Nikov and Mr. Osafo. At its 2nd meeting, the SBI considered and adopted the conclusions below.³⁹

2. Conclusions

57. The SBI continued its consideration of modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units, in accordance with decision 1/CMP.8, paragraph 16.

58. The SBI took note with appreciation of the technical paper prepared by the secretariat concerning the technical implications for the processes and systems under the Kyoto Protocol⁴⁰ arising from the draft modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units contained in the annex to document FCCC/SBI/2014/L.9.

59. The SBI was unable to conclude discussions, and agreed to continue discussing this matter at SBI 42.

³⁷ Draft conclusions presented in document FCCC/SBI/2014/L.34.

³⁸ Annex to decision 9/CMP.1.

³⁹ Draft conclusions presented in document FCCC/SBI/2014/L.33.

⁴⁰ FCCC/TP/2014/4.

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

(Agenda sub-item 6(d))

1. Proceedings

60. The SBI considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Osafo and Mr. Kunihiko Shimada (Japan). At its 2nd meeting, the SBI considered and adopted the conclusions below.⁴¹

2. Conclusions

61. The SBI continued its discussion of the issue of procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the CDM, in accordance with the mandate set out in decision 3/CMP.6, paragraph 18.

62. The SBI agreed to continue its consideration of this matter on the basis of, inter alia, the co-facilitators' draft text contained in document FCCC/SBI/2012/33/Add.1 at SBI 42, with a view to recommending a draft decision for consideration at CMP 12 (November 2016).

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

(Agenda sub-item 6(e))

Proceedings

63. The SBI considered this agenda sub-item at its 1st meeting and took note of document FCCC/SBI/2014/INF.18.

VII. Matters relating to the least developed countries

(Agenda item 7)

1. Proceedings

64. The SBI considered this agenda item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/13. At its 1st meeting,⁴² the SBI agreed to consider this agenda item in informal consultations facilitated by Mr. Collin Beck (Solomon Islands). At its 2nd meeting, the SBI considered and adopted the conclusions below.⁴³

2. Conclusions

65. The SBI took note of the report provided by the Chair of the Least Developed Countries Expert Group (LEG) on the implementation of the LEG work programme for 2014–2015.⁴⁴

⁴¹ Draft conclusions presented in document FCCC/SBI/2014/L.31.

⁴² A written statement by the Chair of the Least Developed Countries Expert Group on this agenda item is available at <www.unfccc.int/8500>.

⁴³ Draft conclusions presented in document FCCC/SBI/2014/L.24.

⁴⁴ The report is available at <<http://unfccc.int/8500>>.

66. The SBI welcomed the report on the 26th meeting of the LEG,⁴⁵ held in Bonn, Germany, from 4 to 7 August 2014, and the outcome of the NAP Expo,⁴⁶ also held in Bonn, on 8 and 9 August 2014.

67. The SBI acknowledged the progress made by the LEG under its work programme for 2014–2015 and welcomed the launch of the regional training workshops on national adaptation plans (NAPs) for the LDCs for 2014–2015.⁴⁷

68. The SBI expressed its appreciation to the Governments of Belgium, Canada, Finland, Ireland and Norway for providing financial support for the work of the LEG.

69. The SBI noted with appreciation the contributions made by some Parties to the Least Developed Countries Fund (LDCF), with cumulative pledges amounting to USD 906.64 million as at 30 June 2014,⁴⁸ and encouraged other Parties also to contribute, recognizing the importance of supporting the full implementation of national adaptation programmes of action (NAPAs).

70. The SBI welcomed the submission of proposals to the LDCF for the funding of the implementation of NAPA projects. It noted with appreciation that, as at 30 June 2014, 48 countries had accessed USD 823.95 million for 146 projects to implement NAPAs.⁴⁹

71. The SBI invited the GEF to continue to explore ways of simplifying access to the LDCF.

72. The SBI took note of the preparations undertaken by the LEG for the meeting to take stock of its work referred to in decision 6/CP.16, paragraph 9(a).

73. The SBI requested that the LEG keep it informed of the efforts of the LEG in implementing its work programme for 2014–2015.

74. The SBI invited Parties in a position to do so to continue to provide support for the implementation of the LEG work programme.

VIII. Report of the Adaptation Committee

(Agenda item 8)

Proceedings

75. The SBI considered this agenda item at its 1st meeting, as well as at its resumed 2nd meeting, on 5 December 2014. It had before it document FCCC/SB/2014/2. A representative of one Party made a statement on behalf of AOSIS. At its 1st meeting,⁵⁰ the SBI agreed to consider this agenda item together with agenda item 4 of the Subsidiary Body for Scientific and Technological Advice (SBSTA) in informal consultations co-facilitated by Mr. Makoto Kato (Japan) and Ms. Jimena Nieto (Colombia). At its resumed 2nd meeting, the SBI considered and recommended a draft decision⁵¹ on this matter for consideration and adoption at COP 20.⁵²

⁴⁵ FCCC/SBI/2014/13.

⁴⁶ Information on the NAP Expo is available at <<http://unfccc.int/8425>>.

⁴⁷ Information on the workshops is available at <<http://unfccc.int/6989.php#NAPs>>.

⁴⁸ FCCC/CP/2014/2, annex, paragraph 110.

⁴⁹ As footnote 48 above.

⁵⁰ A written statement by the Chair of the Adaptation Committee on this agenda item is available at <www.unfccc.int/8500>.

⁵¹ For the text of the draft decision, see document FCCC/SB/2014/L.7.

⁵² For the text as adopted, see decision 4/CP.20.

IX. National adaptation plans

(Agenda item 9)

1. Proceedings

76. The SBI considered this agenda item at its 1st and resumed 2nd meetings. It had before it documents FCCC/SBI/2014/13, FCCC/SBI/2014/INF.14, FCCC/SBI/2014/INF.25, FCCC/SB/2014/2 and FCCC/CP/2014/2. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations co-facilitated by Mr. Beck and Mr. Tomasz Chruszczow (Poland). At its resumed 2nd meeting, the SBI considered and adopted the conclusions below.⁵³

2. Conclusions

77. The SBI welcomed the information submitted by Parties on their experiences with the application of the initial guidelines for the formulation of NAPs, as well as information relevant to the formulation and implementation of NAPs provided by Parties and relevant organizations through their submissions.⁵⁴

78. The SBI also welcomed the documents prepared for the session, including the following:

(a) Information paper on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs;⁵⁵

(b) Information paper on the NAP process.⁵⁶

79. The SBI recommended a draft decision⁵⁷ on NAPs for consideration and adoption at COP 20.⁵⁸

X. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

(Agenda item 10)

1. Proceedings

80. The SBI considered this agenda item at its 1st and resumed 2nd meetings. It had before it document FCCC/SB/2014/4. Statements were made by representatives of three Parties, including one on behalf of the LDCs. At its 1st meeting, the SBI agreed to consider this agenda item together with agenda item 7 of the SBSTA in informal consultations co-facilitated by Ms. Beth Lavender (Canada) and Mr. Alf Wills (South Africa). At its resumed 2nd meeting, the SBI considered and adopted the conclusions below.⁵⁹

⁵³ Draft conclusions presented in document FCCC/SBI/2014/L.42.

⁵⁴ FCCC/SBI/2014/MISC.1.

⁵⁵ FCCC/SBI/2014/INF.14.

⁵⁶ FCCC/SBI/2014/INF.25.

⁵⁷ For the text of the draft decision, see document FCCC/SBI/2014/L.42/Add.1.

⁵⁸ For the text as adopted, see decision 3/CP.20.

⁵⁹ Draft conclusions presented in document FCCC/SB/2014/L.8.

2. Conclusions

81. The SBSTA and the SBI agreed to recommend that COP 20 continue consideration of this matter on the basis of the text contained in the annex to document FCCC/SB/2014/L.8.⁶⁰

XI. Matters relating to finance

(Agenda item 11)

A. Second review of the Adaptation Fund

(Agenda sub-item 11(a))

Proceedings

82. The SBI considered this agenda sub-item at its 1st and resumed 2nd meetings. It had before it documents FCCC/SBI/2014/MISC.4 and FCCC/TP/2014/7. A representative of one Party made a statement. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Ana Fornells de Frutos (Spain) and Ms. Suzanty Sitorus (Indonesia). At its resumed 2nd meeting, the SBI recommended a draft decision⁶¹ on this matter for consideration and adoption at CMP 10.⁶²

B. Further guidance to the Least Developed Countries Fund

(Agenda sub-item 11(b))

Proceedings

83. The SBI considered this agenda sub-item at its 1st and resumed 2nd meetings. It had before it documents FCCC/SBI/2014/INF.17, FCCC/SBI/2014/MISC.3 and FCCC/CP/2014/2. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Kamal Djemouai (Algeria) and Mr. Herman Sips (Netherlands). At its resumed 2nd meeting, the SBI recommended a draft decision⁶³ on this matter for consideration and adoption at COP 20.⁶⁴

⁶⁰ For the text as adopted, see decision 2/CP.20.

⁶¹ For the text of the draft decision, see document FCCC/SBI/2014/L.39.

⁶² For the text as adopted, see decision 2/CMP.10

⁶³ For the text of the draft decision, see document FCCC/SBI/2014/L.38.

⁶⁴ For the text as adopted, see decision 10/CP.20.

XII. Development and transfer of technologies and implementation of the Technology Mechanism

(Agenda item 12)

A. Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network

(Agenda sub-item 12(a))

Proceedings

84. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SB/2014/3. At its 1st meeting,⁶⁵ the SBI agreed to consider this agenda sub-item together with agenda item 5 of the SBSTA in informal consultations co-facilitated by Mr. Carlos Fuller (Belize) and Ms. Elfriede More (Austria). At its 2nd meeting, the SBI recommended a draft decision⁶⁶ for consideration and adoption at COP 20.⁶⁷

B. Poznan strategic programme on technology transfer

(Agenda sub-item 12(b))

1. Proceedings

85. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SB/2014/3 and FCCC/CP/2014/2 and Add.1. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Fuller and Ms. More. At its 2nd meeting, the SBI considered and adopted the conclusions below.⁶⁸

2. Conclusions

86. The SBI welcomed the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer.⁶⁹

87. The SBI noted the consultations between the GEF and the Advisory Board of the Climate Technology Centre and Network (CTCN) and the progress made on aligning the implementation of the element of the Poznan strategic programme related to support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, which were carried out in response to an invitation from SBI 40.⁷⁰ It also noted the areas of collaboration⁷¹ between the regional technology transfer and finance centres supported by the GEF under the Poznan strategic programme and the CTCN and invited the GEF to report on this collaboration as part of its future progress reports.

88. The SBI noted that the Technology Executive Committee (TEC), in response to an invitation from SBI 40⁷² to evaluate the Poznan strategic programme, initiated its

⁶⁵ Written statements by the Chair of the TEC and the Chair of the Advisory board of the CTCN on this agenda sub-item are available at <www.unfccc.int/8500>.

⁶⁶ For the text of the draft decision, see document FCCC/SB/2014/L.5.

⁶⁷ For the text as adopted, see decision 17/CP.20.

⁶⁸ Draft conclusions presented in document FCCC/SBI/2014/L.32.

⁶⁹ FCCC/CP/2014/2, annex, part II.4, and FCCC/CP/2014/2/Add.1.

⁷⁰ FCCC/SBI/2014/8, paragraph 141.

⁷¹ FCCC/CP/2014/2/Add.1, annex, paragraph 14.

⁷² FCCC/SBI/2014/8, paragraph 142.

deliberations on this matter at its 9th meeting, held in Bonn in August 2014.⁷³ The SBI also noted that the TEC will undertake the evaluation of the Poznan strategic programme in 2015, guided by the terms of reference to be developed by its task force on this matter. It invited the TEC to provide an interim report on its preliminary findings to SBI 42 and a final report to the COP through SBI 43.

XIII. Capacity-building

(Agenda item 13)

A. Capacity-building under the Convention

(Agenda sub-item 13(a))

1. Proceedings

89. The SBI considered this agenda sub-item at its 1st and resumed 2nd meetings. It had before it document FCCC/SBI/2014/14. Statements were made by representatives of two Parties: one on behalf of the G77 and China and one on behalf of AOSIS. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Bubu Jallow (Gambia) and Ms. Ulrika Raab (Sweden). At its resumed 2nd meeting, the SBI considered and adopted the conclusions below.⁷⁴

2. Conclusions

90. The SBI welcomed the summary report on the 3rd meeting of the Durban Forum for in-depth discussion on capacity-building held at SBI 40.⁷⁵

91. The SBI invited Parties to submit to the secretariat, by 18 February 2015, as part of their annual submissions pursuant to decision 4/CP.12, their views on specific thematic issues relating to capacity-building under the Convention in developing countries, to be considered at the 4th meeting of the Durban Forum on capacity-building, to be held at SBI 42, as well as their views on the organization of that meeting.

92. The SBI also invited Parties to submit, by the same date, their views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries, to be initiated at SBI 42, with a view to completing the review at COP 22 (November 2016).⁷⁶

93. The SBI continued, but did not conclude, its consideration of capacity-building for developing countries under the Convention. It agreed to continue its consideration of the matter at SBI 42, with a view to recommending a draft decision for consideration and adoption at COP 21.

B. Capacity-building under the Kyoto Protocol

(Agenda sub-item 13(b))

1. Proceedings

94. The SBI considered this agenda sub-item at its 1st and resumed 2nd meetings. It had before it document FCCC/SBI/2014/14. At its 1st meeting, the SBI agreed to consider this

⁷³ FCCC/SB/2014/3, paragraph 50.

⁷⁴ Draft conclusions presented in document FCCC/SBI/2014/L.40.

⁷⁵ FCCC/SBI/2014/14.

⁷⁶ Decision 13/CP.17.

agenda sub-item in informal consultations co-facilitated by Mr. Jallow and Ms. Raab. At its resumed 2nd meeting, the SBI considered and adopted the conclusions below.⁷⁷

2. Conclusions

95. The SBI welcomed the summary report on the 3rd meeting of the Durban Forum on capacity-building.⁷⁸

96. The SBI invited Parties to submit to the secretariat, by 18 February 2015, as part of their annual submissions pursuant to decision 6/CMP.2, their views on specific thematic issues relating to capacity-building under the Kyoto Protocol in developing countries, to be considered at the 4th meeting of the Durban Forum on capacity-building, to be held at SBI 42, as well as their views on the organization of that meeting.

97. The SBI also invited Parties to submit to the secretariat, by the same date, their views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries established under decision 2/CP.7. The review is to be initiated at SBI 42, with a view to it being completed at CMP 12.⁷⁹

98. The SBI continued, but did not conclude, its consideration of capacity-building for developing countries under the Kyoto Protocol. It agreed to continue its consideration of the matter at SBI 42, with a view to recommending a draft decision for consideration and adoption at CMP 11.

XIV. Impact of the implementation of response measures

(Agenda item 14)

A. Forum and work programme

(Agenda sub-item 14(a))

1. Proceedings

99. The SBI considered this agenda sub-item at its 1st and resumed 2nd meetings. It had before it documents FCCC/SB/2014/INF.4 and FCCC/TP/2014/12. At its 1st meeting, the SBI agreed to consider this agenda sub-item jointly with agenda sub-item 9(a) of the SBSTA in a contact group co-chaired by the Chair of the SBI, Mr. Yauvoli, and the Chair of the SBSTA, Mr. Emmanuel Dumisani Dlamini (Swaziland). The SBI also agreed to consider this agenda sub-item, at this session, jointly with agenda sub-items 14(b) and (c).

100. At the resumed 2nd meeting, the Chair thanked Mr. Eduardo Calvo Buendia (Peru) and Mr. Delano Verwey (Netherlands), who helped him and the SBSTA Chair to facilitate the informal consultations on this agenda sub-item. At the same meeting, the SBI considered and adopted the conclusions below.⁸⁰

⁷⁷ Draft conclusions presented in document FCCC/SBI/2014/L.41.

⁷⁸ FCCC/SBI/2014/14.

⁷⁹ In line with decision 15/CMP.7, paragraph 8.

⁸⁰ The draft conclusions presented in document FCCC/SB/2014/L.6 were adopted as orally revised in plenary. The draft conclusions as orally revised are presented in document FCCC/SB/2014/L.6/Rev.1.

2. Conclusions

101. The SBI and the SBSTA took note of the submissions made by Parties⁸¹ and relevant organizations⁸² on options to strengthen opportunities for cooperation and collaboration among Parties related to this joint agenda sub-item.

102. The SBI and the SBSTA considered the technical paper,⁸³ prepared by the secretariat, on areas of convergence related to areas of cooperation, as well as the synthesis paper,⁸⁴ both based on the reports on the work of the forum, the submissions made by Parties and relevant organizations, presentations and statements made and the review of the work of the forum, without prejudice to the consideration by the COP referred to in paragraph 103 below.

103. The SBI and the SBSTA could not conclude their consideration of this item and agreed to recommend that COP 20 continue consideration of this matter,⁸⁵ on the basis of the text contained in the annex to document FCCC/SB/2014/L.6/Rev.1.

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

(Agenda sub-item 14(b))

Proceedings

104. The SBI considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, on a proposal by the Chair, the SBI agreed to consider this agenda sub-item jointly with agenda sub-item 14(a) of the SBI and agenda sub-item 9(a) of the SBSTA. At the same meeting, the SBI also agreed that the SBI Chair would undertake consultations with interested Parties on how to take up this sub-item at the next session. At its 2nd meeting, the SBI agreed to continue, at SBI 42, consultations on how to take up this agenda sub-item.

C. Progress on the implementation of decision 1/CP.10

(Agenda sub-item 14(c))

Proceedings

105. The SBI considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, on a proposal by the Chair, the SBI agreed to consider this agenda sub-item jointly with agenda sub-item 14(a) of the SBI and agenda sub-item 9(a) of the SBSTA. At the same meeting, the SBI also agreed that the SBI Chair would undertake consultations with interested Parties on how to take up this sub-item at the next session. At its 2nd meeting, the SBI agreed to continue, at SBI 42, consultations on how to take up this agenda sub-item.

⁸¹ The submissions made by Parties are available on the UNFCCC submission portal at <www.unfccc.int/5900>.

⁸² The submissions made by observer organizations are available on the UNFCCC website at <http://unfccc.int/documentation/submissions_from_observers/items/7481.php>.

⁸³ FCCC/TP/2014/12.

⁸⁴ FCCC/SB/2014/INF.4.

⁸⁵ For the text as adopted, see decision 20/CP.20.

XV. The 2013–2015 review

(Agenda item 15)

1. Proceedings

106. The SBI considered this agenda item at its 1st and resumed 2nd meetings. It had before it documents FCCC/SB/2014/1 and FCCC/SB/2014/INF.3. At its 1st meeting, the SBI agreed to consider this agenda item jointly with agenda sub-item 8(c) of the SBSTA in a contact group co-chaired by Mr. Leon Charles (Grenada) and Ms. Gertraud Wollansky (Austria). At its resumed 2nd meeting, the SBI considered and adopted the conclusions below.⁸⁶

2. Conclusions

107. The SBSTA and the SBI took note of the submissions from Parties of their views on additional inputs to the structured expert dialogue (SED), on how to conclude the 2013–2015 review, and on the final reporting of the SBSTA and the SBI to COP 21,⁸⁷ as well as of the summary report on the 3rd meeting of the SED, held from 6 to 8 June 2014 in Bonn.⁸⁸

108. The SBSTA and the SBI welcomed the Synthesis Report of the Fifth Assessment Report (AR5) of the Intergovernmental Panel on Climate Change (IPCC),⁸⁹ and recognized the usefulness for the 2013–2015 review of the contributions of all IPCC working groups to the AR5.

109. The SBSTA and the SBI also welcomed the 1st meeting of the fourth session of the SED, held on 2 and 3 December 2014 in Lima and looked forward to the resumed fourth session of the SED, which will take place on 8 and 9 February 2015 in Geneva, Switzerland. They further welcomed the progress made by the SED as reported by its co-facilitators to COP 20.⁹⁰

110. The SBSTA and the SBI noted with appreciation the contributions made by the representatives of the Food and Agriculture Organization of the United Nations, the IPCC, the International Energy Agency, the United Nations Environment Programme, the World Bank and the World Health Organization at the 1st meeting of the fourth session of the SED. They also noted with appreciation the financial contributions provided by Belgium, Japan, Switzerland and United Kingdom of Great Britain and Northern Ireland to the 2013–2015 review.

111. The SBSTA and the SBI:

(a) Took note of, and expressed their appreciation to the secretariat for, the document on national information available for consideration by the SED;⁹¹

(b) Recalled the conclusions adopted at their fortieth sessions⁹² requesting the SED to consider the information sources identified in decision 2/CP.17, paragraph 161, in particular subparagraphs (b–d), at the resumed fourth session of the SED, noting decision 1/CP.18, paragraph 89, with a view to ensuring a balanced consideration of the information referenced in document FCCC/SB/2014/INF.3;

⁸⁶ Draft conclusions presented in document FCCC/SB/2014/L.9.

⁸⁷ The submissions are available at <www.unfccc.int/5900>.

⁸⁸ The summary report is available at <http://unfccc.int/files/science/workstreams/the_2013-2015_review/application/pdf/sed3_summary_report.pdf>.

⁸⁹ Available at <<http://www.ipcc.ch/report/ar5/syr/>>.

⁹⁰ FCCC/SB/2014/1.

⁹¹ FCCC/SB/2014/INF.3.

⁹² FCCC/SBSTA/2014/2, paragraph 75, and FCCC/SBI/2014/8, paragraph 194.

(c) Requested the co-facilitators of the SED to take into account the information contained in this document and the views of Parties referred to in paragraph 107 above and contained in submissions made under this agenda item when preparing for the resumed fourth session of the SED.

112. The SBSTA and the SBI recalled decision 1/CP.17, paragraph 6, and noted paragraph 79 of the report on SBSTA 40⁹³ reflecting the discussion on how the 2013–2015 review informs the broader UNFCCC process, including the work of its bodies.

113. The SBSTA and the SBI recalled the conclusions adopted at their fortieth sessions⁹⁴ and noted the consultations between the co-facilitators of the SED and Parties at SBSTA 41 and SBI 41 on the resumed fourth session of the SED.

114. The SBSTA and the SBI looked forward to the summary report on the fourth session of the SED, to be made available no later than 20 March 2015.

115. The SBSTA and the SBI encouraged the organizations mentioned in paragraph 110 above, as well as other relevant organizations and agencies as referred to in decision 2/CP.17, paragraph 161, to support the future work of the SED, including through consideration of the issues that emerged at previous meetings of the SED, and noted that the resumed fourth session of the SED will be its final meeting.

116. In fulfilment of the mandate given in decision 1/CP.18, paragraph 86(b), the SBSTA and the SBI requested the co-facilitators of the SED to prepare, with the assistance of the secretariat, a final factual report that includes a compilation and a technical summary of the summary reports on the meetings of the SED and to make it available no later than 3 April 2015.

117. The SBSTA and the SBI invited Parties to submit to the secretariat, by 1 May 2015, taking into account the work of the SED and being mindful of decision 1/CP.18, paragraph 91, the following:

(a) Any other information or gaps in information relevant to the 2013–2015 review, in accordance with decision 2/CP.17, paragraph 161, decision 1/CP.18, paragraph 84, and paragraph 132 of the report on SBSTA 39;⁹⁵

(b) Their views on 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 the long-term global goal, including a consideration of the implementation of the commitments under the Convention.

118. SBSTA 42 and SBI 42 will consider the report referred to in paragraph 116 above and the submissions from Parties referred to in paragraph 117 above, with a view to informing the COP, which shall take appropriate action based on the 2013–2015 review, in accordance with previous relevant decisions.

XVI. Gender and climate change

(Agenda item 16)

Proceedings

119. The SBI considered this agenda item at its 1st and resumed 2nd meetings. It had before it document FCCC/CP/2014/7. Statements were made by representatives of three

⁹³ FCCC/SBSTA/2014/2.

⁹⁴ FCCC/SBSTA/2014/2, paragraphs 77 and 78, and FCCC/SBI/2014/8, paragraphs 196 and 197.

⁹⁵ FCCC/SBSTA/2013/5.

Parties, including one on behalf of the LDCs. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations co-facilitated by Ms. Portillo and Mr. Shimada.

120. At its resumed 2nd meeting, the SBI recommended a draft decision⁹⁶ on this matter for consideration and adoption at COP 20, and requested the secretariat to inform Parties, at SBI 42, of the existing gender-related policies within the secretariat.⁹⁷ At the same meeting, representatives of two Parties, including one speaking on behalf of the LDCs, proposed that the work programme be named the “Lima work programme on gender and climate change”.

XVII. Arrangements for intergovernmental meetings

(Agenda item 17)

1. Proceedings

121. The SBI considered this agenda item at its 1st and resumed 2nd meetings. It had before it documents FCCC/SBI/2014/11 and FCCC/SBI/2014/12. At its 1st meeting, the SBI agreed to consider this agenda item in a contact group chaired by the Chair of the SBI. At its resumed 2nd meeting, the SBI considered and adopted the conclusions below.⁹⁸

2. Conclusions

122. The SBI welcomed the views of Parties on the frequency and organization of sessions of the COP, the CMP and their subsidiary bodies.

123. The SBI also welcomed the views of Parties on adjusting the timing of the election of the President of such sessions and options for strengthening coordination between Presidencies.

124. The SBI requested that the secretariat provide further information and analysis on the options for the frequency and organization of sessions outlined in document FCCC/SBI/2014/11. The SBI recommended that this information be further considered at SBI 42.

125. With regard to the frequency and organization of sessions, including the organization of the high-level segment, the SBI noted the views of some Parties on the need to examine the implications of possibly shifting to an implementation mode of work in the intergovernmental process, as well as high-level participation. The SBI recognized the need to take into account the important role of implementation in work after 2015. Furthermore, it noted that additional consideration should be given to enhance coherence between the outcome of COP 21/CMP 11 and organizational arrangements.

126. The SBI recognized the need to take into consideration and further analyse the implications of hosting the COP and CMP sessions, noting that it is a major undertaking and also noting the views of Parties that sessions held at the seat of the secretariat could increase the opportunity for all Parties to serve as President of the COP and the CMP.

127. The SBI proposed that further consideration be given to the organization of high-level segments at future COP and CMP sessions, keeping in mind that ministers should be engaged when political leadership is needed and the considerable resource implications related to their participation. The SBI further proposed the consideration of alternative modes of ministerial engagement during the high-level segment, including those outlined in document FCCC/SBI/2014/11.

⁹⁶ For the text of the draft decision, see document FCCC/SBI/2014/L.43/Rev.1.

⁹⁷ For the text as adopted, see decision 18/CP.20.

⁹⁸ Draft conclusions presented in document FCCC/SBI/2014/L.37.

128. The SBI requested the secretariat to provide further information on the scenarios outlined in document FCCC/SBI/2014/11 for consideration at SBI 42. The information should include clarification on the budgetary implications of:

(a) Biennial sessions of the COP and the CMP, as well as of meetings of their subsidiary bodies;

(b) Sessions alternating between a host country and the seat of the secretariat.

129. The information should also outline the implications for the Headquarters Agreement of the secretariat for sessions at venues alternating every year between a host country and the seat of the secretariat.

130. The SBI requested that the secretariat provide further information on and analysis of the options for adjusting the timing of the election of the President, as outlined in document FCCC/SBI/2014/12, including on the rotation of the Presidencies when sessions alternate between a host country and the seat of the secretariat. The SBI agreed to consider this information at SBI 42.

131. With regard to adjusting the timing of the election of the President, the SBI highlighted that the importance of a smooth transition between current and future Presidencies should be kept in mind for future considerations.

132. The SBI reaffirmed the conclusions as contained in document FCCC/SBI/2014/8, paragraphs 218–221.

XVIII. Administrative, financial and institutional matters

(Agenda item 18)

A. Audited financial statements for the biennium 2012–2013

(Agenda sub-item 18(a))

Proceedings

133. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/16 and Add.1. At its 1st meeting, the SBI took note of the document prepared for the session. At the same meeting, the Chair proposed to prepare draft conclusions and draft decisions on this matter, with the assistance of the secretariat and in consultation with interested Parties. At its 2nd meeting, the SBI recommended a draft decision⁹⁹ for consideration and adoption at COP 20¹⁰⁰ and a draft decision¹⁰¹ for consideration and adoption at CMP 10.¹⁰²

B. Budget performance for the biennium 2014–2015

(Agenda sub-item 18(b))

Proceedings

134. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2014/10 and FCCC/SBI/2014/INF.23. At its 1st meeting, the SBI took note of the documents prepared for the session. At the same meeting, the Chair

⁹⁹ For the text of the draft decision, see document FCCC/SBI/2014/L.27.

¹⁰⁰ For the text as adopted, see decision 22/CP.20.

¹⁰¹ For the text of the draft decision, see document FCCC/SBI/2014/L.28.

¹⁰² For the text as adopted, see decision 8/CMP.10.

proposed to prepare draft conclusions and draft decisions on this matter, with the assistance of the secretariat and in consultation with interested Parties. At its 2nd meeting, the SBI recommended a draft decision¹⁰³ for consideration and adoption at COP 20¹⁰⁴ and a draft decision¹⁰⁵ for consideration and adoption at CMP 10.¹⁰⁶

XIX. Reports on other activities

(Agenda item 19)

A. Report on the expert meeting on an information hub for information on the results of the activities referred to in decision 1/CP.16, paragraph 70, and results-based payments

(Agenda sub-item 19(a))

Proceedings

135. The SBI considered this agenda sub-item at its 1st meeting. The SBI took note of the information contained in document FCCC/SBI/2014/INF.13 and requested the secretariat to establish the information hub. At the resumed 2nd meeting of the SBI, a representative of one Party proposed that the information hub be named the “Lima REDD information hub”. The Chair informed the SBI that he would convey this recommendation to the COP.¹⁰⁷

B. Summary report on the 2nd Dialogue on Article 6 of the Convention

(Agenda sub-item 19(b))

Proceedings

136. The SBI considered this agenda sub-item at its 1st meeting and took note of the information contained in document FCCC/SBI/2014/15.

XX. Other matters

(Agenda item 20)

1. Proceedings

137. The SBI considered this item at its 1st and resumed 2nd meetings. At its 1st meeting, the SBI acknowledged that the COP had referred to it the issue of membership on the CGE for consideration. At the same meeting, the SBI agreed that the Chair would undertake bilateral consultations with interested Parties on this matter. At the resumed 2nd meeting, the Chair reported on the outcome of the consultations. The SBI agreed that his statement, capturing the outcome of these consultations, would be included in the report on SBI 41. Accordingly, the statement is presented in annex II.

¹⁰³ For the text of the draft decision, see document FCCC/SBI/2014/L.27.

¹⁰⁴ For the text as adopted, see decision 22/CP.20.

¹⁰⁵ For the text of the draft decision, see document FCCC/SBI/2014/L.28.

¹⁰⁶ For the text as adopted, see decision 8/CMP.10.

¹⁰⁷ See document FCCC/CP/2014/10, paragraph 50.

2. Conclusions

138. The SBI agreed to continue the consideration of this matter at SBI 45 (November 2016), in conjunction with the review by the COP of the mandate and terms of reference of the CGE, in accordance with decision 19/CP.19, paragraph 8.

139. The SBI encouraged a representative of non-Annex I Parties that are not represented on the CGE according to the regional distribution specified in decision 3/CP.8, annex, paragraph 3(a), to continue participating in the work of the CGE in accordance with the conclusions adopted at COP 19.¹⁰⁸

XXI. Closure of and report on the session

(Agenda item 21)

1. Administrative and budgetary implications

140. At the resumed 2nd meeting, the Executive Secretary provided a preliminary evaluation of the administrative and budgetary implications of the conclusions adopted during the session pursuant to decision 16/CP.9, paragraph 20, whereby the Executive Secretary is to provide an indication of the administrative and budgetary implications of decisions¹⁰⁹ if these cannot be met from existing resources within the core budget.

141. The Executive Secretary informed Parties that a few activities resulting from the negotiations at this session call for further support by the secretariat and, therefore, require additional resources in the coming year over and above the core budget for 2014–2015.

142. Namely, under agenda sub-item 4(c), “provision of financial and technical support”, funding in the amount of EUR 575,000 is required for the resources related to travel of participants, logistics, and resource persons for the three regional training workshops planned in 2015. This amount is preliminary and is based on the information available at this time.

2. Closure of and report on the session

143. At the resumed 2nd meeting, closing statements were made by representatives of six Parties, including on behalf of the Umbrella Group, of the European Union and its 28 member States, of EIG, of AOSIS, and of the LDCs. Statements were also made by representatives of environmental NGOs, women and gender NGOs, and youth NGOs.

144. At the 3rd meeting, on 8 December, upon completion of the MA working group session, the SBI adopted the draft report on the session,¹¹⁰ and authorized the Rapporteur, with the assistance of the secretariat and under the guidance of the Chair, to complete the report on the session and to make it available to all Parties.

145. At the same meeting, a representative of one Party made a statement on behalf of the G77 and China, after which the Chair thanked Parties for their support during this session and closed the session.

¹⁰⁸ FCCC/CP/2013/10, paragraph 131.

¹⁰⁹ While decision 16/CP.9 refers to “decisions”, it also has implications for the conclusions of the subsidiary bodies.

¹¹⁰ FCCC/SBI/2014/L.25.

Annex I

[English only]

Summary reports on multilateral assessments at the forty-first session of the Subsidiary Body for Implementation

Background

1. The Conference of the Parties, by decision 1/CP.16, decided that developed country Parties should enhance the reporting in their national communications and submit biennial reports on their progress in achieving emission reductions. It also established a new process under the Subsidiary Body for Implementation (SBI) – the international assessment and review (IAR) of emissions and removals related to developed country Parties' quantified economy-wide emission reduction targets – that aims to promote the comparability of efforts among all developed country Parties. The first round of the IAR process is to be conducted during the period 2014–2015.

2. According to the modalities and procedures for IAR specified in annex II to decision 2/CP.17, the multilateral assessment (MA), being part of the IAR process, is to be conducted for each developed country Party at a working group session of the SBI, with the participation of all Parties. The aim of the MA is to assess each Party's progress in implementation towards the achievement of emission reductions and removals related to its quantified economy-wide emission reduction target.

3. The first working group session was convened during SBI 41 under the chairmanship of Mr. Amena Yauvoli (Fiji), the SBI Chair, and was preceded by a three-month period of questions and answers; in the first month, any Party may submit written questions to the Party being assessed, which may respond to the questions within the remaining two months. A summary report for each of the 17 Parties that underwent assessment at SBI 41 is presented below. The reports are also available on the UNFCCC website under those Parties' records.¹

4. In closing each MA, the SBI Chair reminded Parties that they can submit any other observations on their MA process within two months of the working group session, and that this will form part of their Party record for the MA. The SBI Chair thanked all Parties and the secretariat for each successful MA session.

¹ See <www.unfccc.int/8451>.

Summary report on the multilateral assessment of Austria

1. The first MA of Austria was held on 6 December 2014. Austria was represented by Mr. Helmut Hojesky, Director of the Division for Climate Change and Air Quality of the Federal Ministry of Agriculture, Forestry, Environment and Water Management.

2. Questions for Austria had been submitted in writing two months before the working group session by Algeria, Bosnia and Herzegovina, Brazil, China, Egypt, Saudi Arabia and the United States of America. The United States also submitted written questions after the deadline. A list of the questions received and the answers provided by Austria can be found on the IAR web page for Austria.¹

3. Mr. Hojesky made an opening presentation, addressing the questions received prior to the working group session and the answers provided. He described Austria's greenhouse gas (GHG) emission trends since 1990, highlighting a decoupling of emissions from gross domestic product and population growth and stating that Austria's GHG emissions per capita are close to the European Union (EU) average. Mr. Hojesky elaborated on the national circumstances of Austria as a country located in the heart of Europe, its changing political situation since 1988 and its role as a transit country located at the crossroads between Western and South-Eastern Europe.

4. Mr. Hojesky explained that as an EU member State, Austria is committed to achieving the joint unconditional quantified economy-wide emission reduction target of the EU of 20 per cent by 2020 compared with 1990 levels. He highlighted the country's target of a 16 per cent reduction, by 2020, in emissions not covered by the EU Emissions Trading System (non-ETS). Regarding the progress made towards this target, it was acknowledged that additional measures will be needed. To that effect, Austria is in the process of elaborating a programme, expected to be finalized in 2015, that focuses on transport, buildings and energy supply. A strong emphasis is placed on the increase in the use of renewable energy sources, with the very ambitious target of reaching a 34 per cent share of renewables in the energy mix by 2020. Mr. Hojesky presented emission trends and key drivers for the transport and buildings sectors since 2005, and explained the ongoing decoupling of GHG emissions and economic growth.

5. The opening presentation was followed by further questions from Brazil and China. These questions were on additional domestic policies and measures (PaMs) included in the emission projection scenario for the period ending in 2020 and on EU-wide and domestic planned and additional PaMs in the transport sector. In response to these questions, Austria provided further explanations. Details can be found in the webcast of this session on the IAR web page for Austria.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-austria-full.pdf>.

Summary report on the multilateral assessment of Croatia

1. The first MA of Croatia was held on 6 December 2014. Croatia was represented by Ms. Visnja Grgasovic, Head of the Service for Climate Change and Ozone Layer Protection, Ministry of Environmental and Nature Protection.

2. Questions for Croatia had been submitted in writing two months before the working group session by Algeria, Bosnia and Herzegovina, Brazil, China and Egypt. A list of the questions received and the answers provided by Croatia can be found on the IAR web page for Croatia.¹

3. Ms. Grgasovic made an opening presentation, summarizing the progress made by Croatia in implementation towards the achievement of emission reductions and removals related to its quantified economy-wide emission reduction target. Regarding the period 1990–2012, emissions in Croatia decreased in the early 1990s as a consequence of the war in the country, followed by an increase from 1995 onward owing to the economic recovery. Emissions decreased again from 2007 onward owing to the economic crisis. According to Croatia, the emission intensity in 2012 was 20 per cent lower than in 1995, which demonstrates a decoupling of GHG emissions from economic growth.

4. Within the EU framework, Croatia has a target of limiting emission growth in non-ETS sectors to 11 per cent by 2020. In addition, Croatia has a target of increasing the share of renewable energy in gross final energy consumption to 20 per cent by 2020, and an energy efficiency target of a 9 per cent increase in energy savings by 2020 in comparison with the final energy consumption in the period 2001–2005. Ms. Grgasovic outlined the PaMs Croatia has put in place to achieve the targets in renewable energy, energy efficiency and the transport sector by 2020, while acknowledging the challenge it, as a new EU member State, faces in implementing the demanding measures from the EU 2020 climate and energy package.

5. The opening presentation was followed by interventions and questions from Brazil, China and the United States. These were on PaMs for sectors other than the energy sector; the difficulties in reversing the increasing emission trend by 2020 given the efforts already put in place; the relationship between the national emission reduction target and the EU target; the estimation of the quantified mitigation effects of existing and planned PaMs; and separate GHG projections for the emissions in the sectors under the EU Emissions Trading System (EU ETS) and non-ETS sectors. In response, Croatia provided further explanations. Details of these interventions can be found in the webcast of this session on the IAR web page for Croatia.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-croatia-full.pdf>.

Summary report on the multilateral assessment of Cyprus

1. The first MA of Cyprus was held on 6 December 2014. Cyprus was represented by Mr. Theodoulos Mesimeris, Head of the Climate Action Unit, Department of Environment, Ministry of Agriculture, Natural Resources and Environment.
2. Questions for Cyprus had been submitted in writing two months before the working group session by China, Egypt and the United States. A list of the questions received and the answers provided by Cyprus can be found on the IAR web page for Cyprus.¹
3. Mr. Mesimeris made an opening presentation, summarizing the progress of Cyprus in implementation towards the achievement of emission reductions and removals related to its quantified economy-wide emission reduction targets. Cyprus has been a Party included in Annex I to the Convention since 2013. Within the EU framework, Cyprus has a target of reducing its emissions from non-ETS sectors by 5 per cent by 2020, compared with the 2005 level. Mr. Mesimeris outlined the national policies of Cyprus and its measures in the energy, transport, agriculture and waste sectors to reduce GHG emissions. According to its GHG emission projections, Cyprus is well on track to achieve its non-ETS sector target by 2020.
4. The opening presentation was followed by interventions and a further clarification question from China. This question was related to the latest GHG inventory of Cyprus, which documents an emission increase of 52 per cent in 2012 compared with the 1990 level. This seemed to contradict the sharp decrease in emissions around 2012 that was depicted in the GHG emission projection chart presented by Cyprus during the MA session. In response, Cyprus provided further explanations. Details can be found in the webcast of this session on the IAR web page for Cyprus.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-cyprus-full.pdf>.

Summary report on the multilateral assessment of Denmark

1. The first MA of Denmark was held on 6 December 2014. Denmark was represented by Ms. Mercan-Ellen Bodil Kaya Nielsen, Head of Delegation, Danish Energy Agency, Ministry of Climate, Energy and Building.

2. Questions for Denmark had been submitted in writing two months before the working group session by Brazil, China, Egypt, Saudi Arabia and the United States. The United States also submitted written questions after the deadline. A list of the questions received and the answers provided by Denmark can be found on the IAR web page for Denmark.¹

3. Ms. Nielsen made an opening presentation, summarizing the questions received prior to the working group session and the answers provided. She explained that as an EU member State, Denmark is committed to achieving the joint unconditional quantified economy-wide emission reduction target of the EU of 20 per cent by 2020 compared with the 1990 level. Ms. Nielsen described Denmark's decreasing GHG emission trends since 1990 and highlighted the decoupling of emissions from economic growth and energy consumption, the three main reasons for which are: increased use of combined heat and power, increased use of renewable energy sources and energy savings. She elaborated on the assumptions, conditions and methodologies related to Denmark's targets under the first and second commitment periods of the Kyoto Protocol and under the Convention, highlighting Denmark's domestic target of a 40 per cent reduction in GHG emissions by 2020 and its ambitious domestic energy targets of more than 35 per cent share of renewable energy in final energy consumption and of approximately 50 per cent of electricity consumption supplied by wind power generation, both by 2020.

4. Regarding the progress made by Denmark towards its target, Ms. Nielsen confirmed that it will achieve its 21 per cent reduction target for 2008–2012 as its contribution to the joint EU target for the first commitment period of the Kyoto Protocol. Moreover, Denmark expects to achieve its 20 per cent reduction target for 2020 in emissions in non-ETS sectors and stay below the target path for 2013–2020. This will be achieved through existing measures and further implementation of adopted PaMs. Finally, Ms. Nielsen emphasized that Denmark's target of a 20 per cent reduction in emissions in non-ETS sectors by 2020 is one of the more ambitious targets among those of EU member States.

5. The opening presentation was followed by further questions from Brazil and China. These questions were on the existence of specific policies for improving the sharing of experience on the diffusion of renewable energy technologies and on technology transfer and of policies for improving this information and technology sharing; and the possibility of showing the share in Denmark's target of emission reductions in non-ETS sectors by 2020 compared with the 1990 level. In response, Denmark provided further explanations. Details can be found in the webcast of this session on the IAR web page for Denmark.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-denmark-full.pdf>.

Summary report on the multilateral assessment of the European Union

1. The first MA of the EU was held on 6 December 2014. The EU was represented by Ms. Elina Bardram, Head of Unit, International and Inter-Institutional Relations, Directorate-General for Climate Action.
2. Questions for the EU had been submitted in writing two months before the working group session by Algeria, Bosnia and Herzegovina, Brazil, Burkina Faso, China, Egypt, Japan, New Zealand, Saudi Arabia and the United States. The United States also submitted written questions after the deadline. A list of questions received and the answers provided by the EU can be found on the IAR web page for the EU.¹
3. Ms. Bardram made an opening presentation, addressing the questions received prior to the working group session and the answers provided. She outlined the EU joint unconditional and conditional quantified economy-wide emission reduction targets for 2020 under the Convention, as well as its binding commitment under the Kyoto Protocol for the second commitment period. Ms. Bardram also described the progress made by the EU in meeting its pledge under the Convention and its Kyoto Protocol commitments. Based on the data provided by the EU, its estimated 2013 GHG emissions were 19 per cent below 1990 levels. In addition, the EU projects that its GHG emissions in 2020, on the basis of existing PaMs, will be 21 per cent below the 1990 level.
4. Ms. Bardram elaborated on the contributions of individual member States to the EU 2020 target for emissions from non-ETS sectors under the effort-sharing decision.² In addition, she stated that the EU has been able to decouple economic growth and GHG emissions; from 1990 to 2012, the EU gross domestic product increased by 45 per cent, while GHG emissions decreased by 18 per cent.
5. Regarding the PaMs utilized to achieve the targets of the EU, Ms. Bardram referred to the climate and energy package, which includes binding EU GHG emission reduction targets for EU ETS and non-ETS sectors; a binding EU renewable energy target combined with member State binding targets; and a non-binding energy efficiency target. In addition, she highlighted that GHG emission reductions that have occurred since 2005 can be attributed to the reduced energy intensity of the economy, the reduced carbon intensity of energy use and the economic recession.
6. The opening presentation was followed by interventions and further questions from Australia, Brazil, China, India, Saudi Arabia, South Africa and the United States. These questions were on the additional efforts that the EU will need to make to transition from the current 20 per cent emission reduction target to the conditional 30 per cent target; the assessment of the progress of individual EU countries in achieving their targets; the effectiveness of PaMs that are implemented to help individual EU member States' reach their targets; the inclusion of land use, land-use change and forestry in the conditional and unconditional targets of the EU for 2020; the progress towards achievement of the EU renewable energy target and the types of renewable energy sources being used; and the use of international credits to achieve the targets. Questions were also raised in relation to the EU approach to measuring the responsiveness of the social and economic consequences of its mitigation actions. In response, the EU provided further explanations. Details can be found in the webcast of this session on the IAR web page for the EU.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-eu-full.pdf>.

² The effort-sharing decision is part of the of EU climate and energy package.

Summary report on the multilateral assessment of Finland

1. The first MA of Finland was held on 6 December 2014. Finland was represented by Mr. Harri Laurikka, Chief Negotiator of the Ministry of the Environment of Finland.
2. Questions for Finland had been submitted in writing two months before the working group session by China, Egypt and Saudi Arabia. The United States submitted written questions after the deadline. A list of the questions received and the answers provided by Finland can be found on the IAR web page for Finland.¹
3. Mr. Laurikka made an opening presentation, summarizing Finland's progress in implementation towards the achievement of emission reductions and removals related to its quantified economy-wide emission reduction targets. Emissions excluding the land use, land-use change and forestry sector decreased between 1990 and 2012 in Finland, with an annual decrease in both the emission intensity of the economy and emissions per capita over the same period. The use of bioenergy more than doubled during this period, which contributed to replacing fossil fuels in the energy supply. According to Mr. Laurikka, Finland is estimated to overachieve its target in the first commitment period of the Kyoto Protocol by 13.5 Mt of carbon dioxide equivalent. Finland is also prepared to ratify the Doha Amendment in order to implement its emission reduction commitment for the period 2013–2020.
4. Mr. Laurikka presented Finland's targets by 2020 at a disaggregated level, covering targets for EU ETS and non-ETS sectors, renewable energy, biofuels in transport and improvements in energy efficiency. Based on current GHG emission projections, Finland is on track to meet these targets. Key PaMs are in place to ensure the achievement of the target for 2020 and beyond, including the national energy and climate strategy and a road map on climate and energy policy up to 2050. In addition, the Climate Change Act was prepared and presented to the Parliament in June 2014.
5. The opening presentation was followed by interventions and questions from China, Brazil and the United States. These questions were on the additional efforts that Finland will need to make in order to transition from the current 20 per cent emission reduction target to the conditional 30 per cent target; the current share of renewable energy sources (RES) in the energy mix, as an indication of whether Finland is on track to meet its 2020 RES target; actions related to the National Forest Programme. Moreover, further explanation was demanded on why the land sector is not included in the 2020 target given the significance of this sector in the Finnish economy. In response, Finland provided further explanations. Details can be found in the webcast of this session on the IAR web page for Finland.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-finland-full.pdf>.

Summary report on the multilateral assessment of France

1. The first MA of France was held on 6 December 2014. France was represented by Mr Paul Watkinson from the Ministère de l'Ecologie, du Développement Durable et de l'Energie.
2. Questions for France had been submitted in writing two months before the working group session by Algeria, China, Egypt, Japan, Saudi Arabia and the United States. The United States also submitted written questions after the deadline. A list of questions received and the answers provided by France can be found on the IAR web page for France.¹
3. Mr. Watkinson made an opening presentation, summarizing France's approaches to and successes in reducing GHG emissions and achieving its targets. He referred to France's 2020 targets under the Convention and the second commitment period of the Kyoto Protocol, and, as a member State of the EU, to its contribution to the joint targets of the EU. Information was also provided on the EU 2030 climate and energy package and France's 2050 emission reduction target. Mr. Watkinson provided information on France's total GHG emissions and its emissions by sector in 2012 relative to the respective base years and highlighted the progress made by the Party towards its targets.
4. Mr. Watkinson described the main policies put in place by France before 2012 and presented a set of new policies adopted since its elaboration of GHG emission projections up until 2020, including the pre-2012 measures. These new adopted policies target the buildings, energy production and distribution, agriculture and research sectors. At the EU level, the newly adopted policies concern the EU ETS 'backloading'² and fluorinated gases (F-gases).
5. The opening presentation was followed by questions from Brazil, China, Saudi Arabia and the United States. These questions were on the peaking of GHG emissions in France in 1978; the clarification of France's national 2020 target combining the targets for emissions from EU ETS and non-ETS sectors; the EU conditional 30 per cent target; the land sector not being included in the EU 2020 target and the related impact on France in terms of it achieving the target; the role of the EU ETS and the role of units from Kyoto Protocol and market-based mechanisms in achieving the 2020 target; and France's plan for additional PaMs in the electricity sector. A question was also raised on France's national approach to assessing the impacts of PaMs on developing countries. In response, France provided further explanations. Details can be found in the webcast of this session on the IAR web page for France.

¹ <http://www.unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-france-full.pdf>.

² "Backloading" refers to the postponement by the European Commission of the auctioning of 900 million allowances until 2019–2020 to allow demand to pick up.

Summary report on the multilateral assessment of Italy

1. The first MA of Italy was held on 6 December 2014. Italy was represented by Mr. Gaudioso, Expert, Institute for Environmental Protection and Research.
2. Questions for Italy had been submitted in writing two months before the working group session by Algeria, Bosnia and Herzegovina, Brazil, China, Egypt, Japan, New Zealand, Saudi Arabia and the United States. A list of the questions received and the answers provided by Italy can be found on the IAR web page for Italy.¹
3. Mr. Gaudioso made an opening presentation, addressing the questions received prior to the working group session and the answers provided. He described Italy's quantified economy-wide emission reduction target and its progress in achieving the target and elaborated on the declining trend of GHG emissions and the drivers behind this trend. Also, Mr. Gaudioso emphasized the country's major PaMs, in particular in the areas of renewable energy consumption and energy efficiency.
4. Mr. Gaudioso explained that as an EU member State, Italy is committed to achieving the joint unconditional quantified economy-wide emission reduction target of the EU of 20 per cent by 2020 compared with the 1990 level. He highlighted that Italy is on track to meet its target of a 26 per cent reduction by 2020 compared to the 2005 level in non-ETS sector emissions.
5. The opening presentation was followed by further questions from Australia, Brazil, China and the United States. These questions were on the types of renewable energy sources (RES) used by Italy to achieve its RES target; the current level of GHG emissions from sectors covered by the EU ETS; the drivers of the increase in energy generation from photovoltaic cells; the experience gained in implementing PaMs in the energy efficiency and transport sectors; and the role of units from market-based mechanisms in achieving the quantified economy-wide emission reduction target. In response to these questions, Italy provided further explanations. Details can be found in the webcast of this session on the IAR web page for Italy.

¹http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-italy-full.pdf.

Summary report on the multilateral assessment of Latvia

1. The first MA of Latvia was held on 6 December 2014. Latvia was represented by Ms. Alda Ozola, Deputy State Secretary, Ministry of Environmental Protection and Regional Development.
2. A question for Latvia had been submitted in writing two months before the working group session by the China. The question received and the answer provided by Latvia can be found on the IAR web page for Latvia.¹
3. Ms. Ozola made an opening presentation, summarizing Latvia's progress in implementation towards the achievement of emission reductions and removals related to its quantified economy-wide emission reduction target. Latvia's emissions have significantly decreased since 1990: by 58 per cent below the 1990 level during the first commitment period of the Kyoto Protocol. The emission decrease is not only due to the transition from a centrally planned economy to a market economy in the early 1990s, but also to the switch to less carbon-intensive fuels and the decarbonization of the energy mix in Latvia.
4. Within the EU framework, Latvia has a target of limiting emission growth in non-ETS sectors to 17 per cent by 2020 compared with the 2005 level. This target is challenging given the large share of emissions from non-ETS sectors in Latvia. However, Latvia has put a number of policy tools in place to achieve the target, including regulatory measures within the EU framework, feed-in tariffs and investment support programmes aimed at increasing the share of renewables, and energy efficiency measures, as well as PaMs in the transport, agriculture and waste management sectors. According to its 2013 GHG emission projections, in the scenario with additional measures, Latvia will limit emission growth in non-ETS sectors to 14.8 per cent by 2020.
5. The opening presentation was followed by questions from Australia, Brazil, China and Pakistan. These questions were on the projected trend of the share of renewable energy sources in energy generation and factors affecting that trend; the operation of Latvia's Green Investment Fund and Green Public Procurement scheme; the plan to meet the challenge of emission reductions in EU ETS sectors; and the plan to meet the 2020 target given the increasing emission trend during the period 2005–2013. In response to these questions, Latvia provided further explanations. Details can be found in the webcast of this session on the IAR web page for Latvia.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-latvia-full.pdf>.

Summary report on the multilateral assessment of Luxembourg

1. The first MA of Luxembourg was held on 6 December 2014. Luxembourg was represented by Mr. Eric de Brabanter from the Département de l'Environnement in the Ministère du Développement Durable et des Infrastructures.
2. Questions for Luxembourg had been submitted in writing two months before the working group session by Egypt and Saudi Arabia. The United States submitted a written question after the deadline. A list of the questions received and the answers provided by Luxembourg can be found on the IAR web page for Luxembourg.¹
3. Mr. de Brabanter made an opening presentation, summarizing Luxembourg's targets for, approaches to and successes in reducing GHG emissions, as well as the progress it has made towards achieving its targets. He outlined Luxembourg's national circumstances most relevant to its GHG emissions, as well as its GHG emission trends and emission intensity related indicators. He also provided information on Luxembourg's total GHG emissions and emissions by sector in 2012.
4. Mr. de Brabanter further reported on Luxembourg's progress towards the achievement of its target under the first commitment period of the Kyoto Protocol and its need to use units from the clean development and joint implementation mechanisms. Regarding Luxembourg's 2020 targets, Mr. de Brabanter reiterated its commitments under the Convention and the Kyoto Protocol, as well as its targets as an EU member State contributing to the 2020 targets of the EU.
5. Mr. de Brabanter presented projections up to 2020 of Luxembourg's GHG emissions in the 'with additional measures' scenario from non-ETS sectors. He mentioned Luxembourg's package of 51 additional policies that are to be implemented to help bridge the gap to its 2020 targets. He acknowledged that Luxembourg will likely need to use units from market-based mechanisms to achieve its targets.
6. The opening presentation was followed by questions from Australia, Brazil, Canada, China, Fiji and the United States. These questions were on the types of PaMs in non-ETS sectors, in particular in the buildings and transportation sectors, and their roles in achieving Luxembourg's 2020 target and modifying longer-term trends in GHG emissions; the quantitative effect of individual PaMs and the identification of those with the greatest effect on GHG emission reductions, in particular PaMs targeting non-ETS sectors; plans regarding the implementation of additional PaMs in order to achieve the target; how Luxembourg plans to attribute GHG emissions from transiting road freight transport in future GHG emission projections; the use and accounting of different units from Kyoto Protocol mechanisms and market-based mechanisms in achieving the target, as well as on the contribution of these units compared with reductions realized by PaMs; and on GHG emission reductions for the period 1990–1999. A question was also raised on the impacts of Luxembourg's PaMs on small island developing States. In response to these and further questions, Luxembourg provided further explanations. Details can be found in the webcast of this session on the IAR web page for Luxembourg.

¹ <http://www.unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-luxembourg-full.pdf>.

Summary report on the multilateral assessment of the Netherlands

1. The first MA of the Netherlands was held on 8 December 2014. The Netherlands was represented by Mr. Ivo de Zwaan, Head of Delegation, Ministry of Infrastructure and the Environment of the Netherlands.

2. Questions for the Netherlands had been submitted in writing two months before the working group session by Brazil, China, Egypt, Saudi Arabia and the United States. A list of the questions received and the answers provided by the Netherlands can be found on the IAR web page for the Netherlands.¹

3. Mr. de Zwaan made an opening presentation, summarizing the progress of the Netherlands in implementation towards the achievement of emission reductions and removals related to its quantified economy-wide emission reduction target. According to the 2014 annual GHG inventory submission of the Netherlands, emissions excluding the land use, land-use change and forestry sector were 9.5 per cent lower in 2012 than in 1990. The Netherlands will achieve its target for the first commitment period of the Kyoto Protocol without the use of credits from market-based mechanisms.

4. Within the EU framework, the Netherlands has a target of reducing emissions from non-ETS sectors by 16 per cent by 2020 compared with the 2005 level. In 2011, this overall non-ETS target was translated into more specific sectoral targets for 2020, further divided, within each sector, into carbon dioxide (CO₂) and non-CO₂ targets. According to its GHG emission projections, with additional measures, the Netherlands is on track to achieve its 2020 and 2030 targets. Mr. de Zwaan provided some examples in the Netherlands of broad-based coalitions for the implementation of climate policies, such as the long-term agreements on energy efficiency, green deals, the energy agreement for sustainable growth and the Dutch climate coalition.

5. The opening presentation was followed by interventions and questions from Brazil, Canada, China, Fiji, Saudi Arabia and the United States. These questions were on the disaggregation of sectors reported for GHG emissions that is different from the Intergovernmental Panel on Climate Change guidelines; the Netherlands's experience with energy sector subsidies, especially in the context of promotion of renewable energy sources; the expected impacts of the national carbon capture and storage strategy; the compatibility of the 2020 emission reduction targets under the Convention and the target for the second commitment period of the Kyoto Protocol; the potential sectoral contribution to the move from a 20 per cent emission reduction target to a conditional 30 per cent reduction target; and the decision-making process in implementing PaMs that supplement EU ETS sectors. A point was also raised on the Netherlands's Delta Works. In response, the Netherlands provided further explanations. Details can be found in the webcast of this session on the IAR web page for the Netherlands.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-netherlands-full.pdf>.

Summary report on the multilateral assessment of New Zealand

1. The first MA of New Zealand was held on 8 December 2014. New Zealand was represented by Ms. Jo Tyndall, Climate Change Ambassador, Environment Division, Ministry of Foreign Affairs and Trade.

2. Questions for New Zealand had been submitted in writing two months before the working group session by Brazil, China, Egypt, the EU, Japan, Saudi Arabia and the United States. The United States also submitted written questions after the deadline. A list of the questions received and the answers provided by New Zealand can be found on the IAR web page for New Zealand.¹

3. Ms. Tyndall made an opening presentation, addressing the questions received prior to the working group session and the answers provided. She described New Zealand's unconditional target of a 5 per cent emission reduction by 2020 compared with the 1990 level. This target is equivalent to a quantified emission limitation or reduction objective of 96.8 over the period 2013–2020, and is thus considered more ambitious than the target for the first commitment period of the Kyoto Protocol. She emphasized that New Zealand plans to achieve the target through a combination of measures, which include domestic emission reductions, the removal of carbon dioxide by forests, participation in international carbon markets and recognition of a surplus achieved during the first commitment period of the Kyoto Protocol. She stated that this approach is consistent with Kyoto Protocol rules and that the country is confident that it is well on track to achieve its unconditional target.

4. In addition, she elaborated on New Zealand's approach to measuring its progress, which will be consistent with Kyoto Protocol rules, in particular regarding the establishment of a carbon budget for the period 2013–2020 and the application of an activity-based approach for contributions from land use, land-use change and forestry. Regarding individual PaMs and their effects, Ms. Tyndall explained that New Zealand's emissions trading scheme is considered to have the greatest effect. She highlighted the difficulties in estimating the effects of individual PaMs owing to the top-down approach used for the projections, which implicitly include the effects of PaMs. She also explained that at the moment it is difficult to determine the scale of contribution of units from market-based mechanisms to the achievement of New Zealand's target.

5. The opening presentation was followed by interventions and questions from Australia, Brazil, Canada, China, the EU, Fiji, Portugal, South Africa, Sweden and the United States. These questions were on New Zealand's conditional target of a 10–20 per cent emission reduction by 2020 compared with the 1990 level and its consistency with the findings of the Intergovernmental Panel on Climate Change; the consideration of impacts on small island developing States; the understanding of the potential importance of the measures under consideration; details of the emissions trading scheme, including the setting of the cap, the inclusion of agriculture and forestry; the contribution of certain PaMs to closing the gap to the 2020 target; further information on PaMs related to agriculture; whether projections take into account the renewable energy target and the current share of renewables in the energy mix; details of land-use accounting; the intention to use certified emission reductions, keeping in mind New Zealand is not a Party with a target for the second commitment period of the Kyoto Protocol; and further information on common metrics used. In response, New Zealand provided further explanations. Details can be found in the webcast of this session on the IAR web page for New Zealand.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-newzealand-full.pdf>.

Summary report on the multilateral assessment of Portugal

1. The first MA of Portugal was held on 8 December 2014. Portugal was represented by Mr. Paulo Canaveira, Senior Advisor of the Portuguese Environment Agency/Portuguese Carbon Fund.
2. Questions for Portugal had been submitted in writing two months before the working group session by Brazil, China, Egypt and Saudi Arabia. The United States submitted written questions after the deadline. A list of the questions received and the answers provided by Portugal can be found on the IAR web page for Portugal.¹
3. Mr. Canaveira made an opening presentation, summarizing the questions received prior to the working group session and the answers provided. Mr. Canaveira described Portugal's GHG emission trends for 1990–2012, in particular, the significant decreasing trend since 2005, and highlighted the decoupling of emissions from economic growth, which is mainly due to the increased use of renewable energy sources in the country. Mr. Canaveira explained that as a EU member State, Portugal is committed to achieving the joint unconditional quantified economy-wide emission reduction target of the EU of 20 per cent by 2020 compared with the 1990 level. He elaborated on Portugal's targets under the first and second commitment periods of the Kyoto Protocol, highlighting its overachievement for the first commitment period of 17 per cent below the target.
4. Portugal expects to achieve a 25 per cent reduction in emissions by 2020 below the 2005 level in the sectors covered by the EU ETS and to achieve a 40 per cent reduction in emissions by 2020 below the 2005 level in non-ETS sectors. This will be achieved through further implementation of adopted and new PaMs within the framework of Portugal's green growth strategy. Mr. Canaveira emphasized Portugal's National Programme for Climate Change, National Plan for Energy Efficiency and National Plan for Renewable Energy, among other measures and actions addressing other sectors of the economy. These programmes and plans will allow Portugal to achieve more stringent national targets in reference to the EU target of a 21 per cent share of energy from renewable sources in final energy consumption by 2020 and 40 per cent by 2030, and to improve energy efficiency by 25 per cent by 2020 and 30 per cent by 2030 in comparison with the 'business as usual' scenario.
5. The opening presentation was followed by a further question and interventions from Australia and Brazil. The question was on Portugal's expectations on any specific policies to enhance the potential of solar energy, which currently has a relative small contribution to the primary energy sources in the country. In response, Portugal provided further explanations. Details can be found in the webcast of this session on the IAR web page for Portugal.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-portugal-full.pdf>.

Summary report on the multilateral assessment of Spain

1. The first MA of Spain was held on 8 December 2014. Spain was represented by Mr. Eduardo Gonzalez, Deputy Director for Climate Actions Coordination of the Ministry of Agriculture, Food and Environment.
2. Questions for Spain had been submitted in writing two months before the working group session by Algeria, China, Egypt, Saudi Arabia and the United States. Egypt and the United States submitted written questions after the deadline. A list of the questions received and the answers provided by Spain can be found on the IAR web page for Spain.¹
3. Mr. Gonzalez made an opening presentation, summarizing the questions received prior to the working group session and the answers provided. He described Spain's national circumstances and explained its GHG emission trends since 1990, in particular, the significant decreasing trend since 2007, and highlighted the decrease in the emission intensity of the gross domestic product and the per capita emissions in the country in recent years. He emphasized that the decoupling of emissions from economic growth since 2005 is mainly due to PaMs focused on electricity generation, use of renewable energy sources and improved building codes in the country. Mr. Gonzalez explained that as an EU member State, Spain is committed to achieving the joint unconditional quantified economy-wide emission reduction target of the EU of 20 per cent by 2020, compared with the 1990 level. He elaborated on Spain's target for the second commitment period of the Kyoto Protocol and highlighted Spain's target under the EU effort-sharing decision of a 10 per cent reduction below the 2005 level by 2020 in emissions in non-ETS sectors, including Spain's national targets on the use of renewable energy sources and energy efficiency improvements by 2020.
4. Mr. Gonzalez also provided details of assumptions, conditions and methodologies related to Spain's target under the Convention, and explained the shift in the climate strategy implemented in order to comply with the European and international commitments in the medium and long term and to promote a low-carbon, resource-efficient and inclusive economy. In particular, he explained Spain's "roadmap 2020" for non-ETS sectors, which addresses the gap in compliance with the emissions reduction target for these sectors, and the new PaMs implemented after 2012 at the EU and domestic level addressing other sectors of the economy.
5. The opening presentation was followed by further questions from Brazil, China, New Zealand and Pakistan. These questions were on the drivers that would lead to increases in emissions from the current levels to the 2020 levels in the different projection scenarios presented by Spain; the provision of more information on the tax on F-gases and its expected effect on future F-gas emissions; the reason for taxing only F-gases, which are substances with short lifetime in the atmosphere; the specific PaMs in place in the period 2004–2005 that helped to start a sharp decrease in emissions and emission reductions in the years that followed; and Spain's expectations of very high emission reductions as a result of the adoption of recently proposed measures that were not included in the projection scenarios for 2020, which currently show an increase in emissions. In response, Spain provided further explanations. Details can be found in the webcast of this session on the IAR web page for Spain.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-spain-full.pdf>.

Summary report on the multilateral assessment of Sweden

1. The first MA of Sweden was held on 8 December 2014. Sweden was represented by Ms. Anna Lindstedt, Ambassador for Climate Change, Ministry of the Environment.
2. Questions for Sweden had been submitted in writing two months before the working group session by Bosnia and Herzegovina, China, Egypt, and Saudi Arabia. The United States submitted written questions after the deadline. A list of the questions received and the answers provided by Sweden can be found on the IAR web page for Sweden.¹
3. Ms. Lindstedt made an opening presentation, and provided an overview of Sweden's sixth national communication by addressing its national circumstances; GHG emission trends; PaMs, including the most effective ones; the total effect of implemented PaMs; GHG emission projections up to 2025; GHG emission targets under the Convention, the Kyoto Protocol and domestically; and progress towards achieving the targets.
4. Ms. Lindstedt also presented the decreasing trend of total GHG emissions since 1990, mainly due to early implementation of comprehensive climate policies, including a general tax on carbon dioxide in 1991. She highlighted Sweden's emission trends by presenting the results of an analysis of the effect of the implemented PaMs, which include the finding that Sweden's emissions would have increased by some 20 per cent compared with 1990 levels if no climate PaMs had been implemented.
5. Ms. Lindstedt underlined that as a result of its climate policy, Sweden is on track to overachieve its international and domestic emission reduction targets while maintaining robust economic growth since 1990.
6. The opening presentation was followed by interventions and questions from Brazil, Canada, China and Pakistan. These questions were on: emission reductions per sector during the first commitment period of the Kyoto Protocol and in Sweden's projection scenarios; mitigation effects of PaMs in the land sector; mitigation effects of PaMs in Sweden's projection scenarios; and Sweden's mitigation pathway towards its domestic 2050 mitigation target. In response, Sweden provided further explanations. Details can be found in the webcast of this session on the IAR web page for Sweden.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-sweden-full.pdf>.

Summary report on the multilateral assessment of Switzerland

1. The first MA of Switzerland was held on 8 December 2014. Switzerland was represented by Mr. Franz Perrez, Head of Delegation, Federal Office for the Environment.
2. Questions for Switzerland had been submitted in writing two months before the working group session by Algeria, Brazil, China, Egypt, the EU, Japan, Malaysia, New Zealand and Saudi Arabia. The United States submitted written questions after the deadline. A list of the questions received and the answers provided by Switzerland can be found on the IAR web page for Switzerland.¹
3. Mr. Perrez made an opening presentation, addressing the questions received prior to the working group session and the answers provided. He explained that Switzerland has a national quantified economy-wide emission reduction target of 20 per cent by 2020, compared with the 1990 level. He also outlined the national circumstances of Switzerland by providing the trends of some key indicators, such as population and gross domestic product, all of which strongly increased between 1990 and 2012, unlike greenhouse gas emissions, which decreased by 3 per cent in this period. This has resulted in a substantial decrease in emissions per gross domestic product, by 28 per cent, and in a decrease in emissions per capita of 18 per cent, with the latter equalling the global average in 2012.
4. Mr. Perrez further elaborated on Switzerland's key emitting sectors (buildings and transport), and explained that while emissions per square metre decreased significantly owing to implemented PaMs, the Party could not yet achieve a full decoupling of emissions in the transport sector. He explained that the expected effects of Switzerland's key PaMs (carbon dioxide levy, emissions trading system, regulations, agreements, building programme and domestic emission compensations) will not be sufficient to meet its target and that additional measures will need to be implemented, including through international efforts.
5. The opening presentation was followed by interventions and questions from Australia, Austria, Brazil, Canada and China. These questions were on the relation between the target under the Convention and that under the second commitment period of the Kyoto Protocol; the difficulties encountered with adopting the conditional target of a 30 per cent emission reduction by 2020 compared with the 1990 level; the kind of additional PaMs that could be put in place to achieve that target; the intention to use carbon credits from international market-based mechanisms to achieve the target; the progress of shifting freight transport to rail; details of measures in the transport and building sectors; and whether Switzerland has in place a long-term target for emissions from the electricity sector. In response, Switzerland provided further explanations. Details can be found in the webcast of this session on the IAR web page for Switzerland.

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41-switzerland-full.pdf>.

Summary report on the multilateral assessment of the United States of America

1. The first MA of the United States was held on 8 December 2014. The United States was represented by Mr. Richard Duke, Deputy Director of the White House Office of Energy and Climate Change.

2. Questions for the United States had been submitted in writing two months before the working group session by Algeria, Brazil, Burkina Faso, Burundi, China, Egypt, the EU, Japan, Malaysia, New Zealand, Saudi Arabia and Sweden. A list of the questions received and the answers provided by the United States can be found on the IAR web page for the United States.¹

3. Mr. Duke made an opening presentation, addressing the questions received prior to the working group session and the answers provided. He provided information on the institutional arrangements made by the United States, the progress to date in achieving its 2020 emission reduction target, and the additional PaMs put in place since the publication of its first biennial report. Mr. Duke explained that in 2009, the United States made a commitment to reduce GHG emissions in the range of 17 per cent below the 2005 level by 2020. According to the emission projections reported in its first biennial report, the United States expects to be on track to achieve its target. To do so, the United States has put in place PaMs across all sectors and addressing all GHGs.

4. Mr. Duke highlighted the progress the United States has made in the implementation of its federal and non-federal PaMs, in particular, the introduction of fuel economy standards, appliance efficiency standards, building codes and private sector innovation. The most prominent progress has been achieved through the promotion of electricity generation from wind and solar power, which more than doubled from 2009 to 2012, the shift from coal to natural gas, largely in the power sector, and the clean power plant programme addressing carbon pollution standards for new and existing power plants. He also highlighted the state, local and city actions to achieve GHG emission reduction targets and renewable energy and energy efficiency goals.

5. Mr. Duke discussed the impact of the investments the United States has made in innovation and clean energy research. Through the Recovery Act, the Department of Energy has invested more than USD 80 billion to support a wide range of clean energy projects across the nation. He mentioned the SunShot Initiative, electric bus batteries, biofuel production, and the promotion of energy efficiency and renewable energy.

6. The opening presentation was followed by interventions and questions from Australia, Brazil, Canada, China, the EU, Fiji, New Zealand, Norway, South Africa, Sweden and the United Kingdom of Great Britain and Northern Ireland. These questions were on the level of ambition of the 2020 emission reduction target of the United States and associated uncertainties relating to the target emission range and the role of land use, land-use change and forestry; consistency with the assessments of the Intergovernmental Panel on Climate Change; emission reduction targets for 2025 and 2030; the description of emission projection scenarios; factors driving emissions; peaking years in emission trends; assessment of the impact of the financial crisis on emission trends; estimation of the effect of PaMs; additional information on specific PaMs such as the Clean Power Plan programme, biofuel production and the use of shale natural gas; planned and ongoing PaMs addressing methane and perfluorocarbon emissions; interplay and complementarity of federal and non-federal PaMs; and the role of public consultation. In addition, questions were raised on actions to address the vulnerability of small islands developing States and on

¹ <http://unfccc.int/files/national_reports/biennial_reports_and_iar/international_assessment_and_review/application/pdf/sbi41_usa-full.pdf>.

the global warming potential values to be used for reporting on emission trends in the second biennial report. In response, the United States provided further explanations. Details can be found in the webcast of this session on the IAR web page for the United States.

Annex II

[English only]

Statement made by the Chair of the Subsidiary Body for Implementation at the resumed 2nd meeting on the outcome of his consultations on the issue of membership on the Consultative Group of Experts

“At the opening plenary of the SBI, I expressed my intention to convene bilateral consultations with interested Parties on this matter and report back to the SBI plenary on the results of these consultations.

Colleagues, over the last four days, I have held consultations with Parties to obtain their views on this matter. During those discussions, Parties acknowledged that all Parties should have the opportunity to be represented on the CGE. This will ensure inclusiveness and full participation of all Parties in the climate change process.

Parties also expressed sympathy that non-Annex I Parties from the Eastern Europe Group are not represented on the CGE.

Parties also noted that the issue of membership should be addressed in the broader context of transparency, the right for all Parties to have full CGE membership, the need for inclusiveness, and a balanced representation among Parties.

At the conclusion of the discussions this morning, Parties agreed that the SBI will continue the consideration of this matter at SBI 45 together with the review by the COP of the mandate and terms of reference of the CGE in accordance with decision 19/CP.19.

It was also agreed that a representative of non-Annex I Parties from the Eastern European Group is encouraged to continue participating in the work of the CGE in accordance with the conclusions adopted at COP 19.

Parties also agreed that this approach will provide time and opportunity for Parties to continue consultation among each other to deepen the understanding of different positions and bridge the gap. It will ensure that this group of affected Parties will continue to have opportunity to participate in the work of the CGE.

This statement will be reflected in the report.

I trust that Parties are in agreement with this conclusion. I hear no objections; it is so decided.”

**Subsidiary Body for Scientific and Technological Advice****Report of the Subsidiary Body for Scientific and
Technological Advice on its forty-first session,
held in Lima from 1 to 6 December 2014**

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I. Opening of the session

(Agenda item 1)

1. The forty-first session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) was held at the United Nations Climate Change Conference, Lima, Peru, from 1 to 6 December 2014. The Chair of the SBSTA, Mr. Emmanuel Dumisani Dlamini (Swaziland), opened the session on Monday, 1 December, and welcomed all Parties and observers. He also welcomed Mr. Narcis Paulin Jeler (Romania) as Vice-Chair of the SBSTA and Ms. Jurga Rabazauskaite-Survile (Lithuania) as Rapporteur.

II. Organizational matters

(Agenda item 2)

A. Adoption of the agenda

(Agenda sub-item 2(a))

2. At its 1st meeting, on 1 December, the SBSTA considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/SBSTA/2014/3).

3. At the same meeting, the SBSTA adopted its 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.
3. Nairobi work programme on impacts, vulnerability and adaptation to climate change.
4. Report of the Adaptation Committee.
5. Development and transfer of technologies and implementation of the Technology Mechanism: joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network.
6. 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.
7. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.
8. Matters relating to science and research:
 - (a) Fifth Assessment Report of the Intergovernmental Panel on Climate Change;
 - (b) Research and systematic observation;
 - (c) The 2013–2015 review.
9. Impact of the implementation of response measures:
 - (a) Forum and work programme;
 - (b) Matters relating to Article 2, paragraph 3, of the Kyoto Protocol.

10. Methodological issues under the Convention:
 - (a) Work programme on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews, for developed country Parties;
 - (b) Methodologies for the reporting of financial information by Parties included in Annex I to the Convention;
 - (c) Common metrics to calculate the carbon dioxide equivalence of greenhouse gases;
 - (d) Emissions from fuel used for international aviation and maritime transport.
11. Methodological issues under the Kyoto Protocol:
 - (a) Implications of the implementation of decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8 on the previous decisions on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8 of the Kyoto Protocol;
 - (b) Clarification of the text in section G (Article 3, paragraph 7 ter) of the Doha Amendment to the Kyoto Protocol, in particular the information to be used to determine the “average annual emissions for the first three years of the preceding commitment period”;
 - (c) Land use, land-use change and forestry under Article 3, paragraphs 3 and 4, of the Kyoto Protocol and under the clean development mechanism;
 - (d) Implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities.
12. Market and non-market mechanisms under the Convention:
 - (a) Framework for various approaches;
 - (b) Non-market-based approaches;
 - (c) New market-based mechanism.
13. Work programme on clarification of quantified economy-wide emission reduction targets of developed country Parties.
14. Reports on other activities:
 - (a) Annual report on the technical review of information reported under the Convention related to biennial reports and national communications by Parties included in Annex I to the Convention;
 - (b) Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention;
 - (c) 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.
15. Other matters.
16. Closure of and report on the session.

4. At its 1st meeting, the SBSTA agreed that statements would be made following the adoption of the agenda and the launch of work. All opening statements, including those that were not delivered in the plenary owing to time constraints, have been posted on the SBSTA web page¹ and made available on the submission portal.²

¹ <<http://unfccc.int/8744>>. Please consult the statements for any references to specific agenda items.

² <<http://unfccc.int/5900>> (select SBSTA, then search for “statements”).

5. Also at the 1st meeting, statements were made by representatives of 12 Parties, including on behalf of the Group of 77 and China (G77 and China), the Umbrella Group, the Environmental Integrity Group (EIG), the European Union (EU) and its 28 member States, the African Group, the least developed countries (LDCs), the Independent Association for Latin America and the Caribbean, the Coalition for Rainforest Nations, the Central American Integration System, the Like-minded Developing Countries and another group of Parties. Statements were also made by representatives of the Intergovernmental Panel on Climate Change (IPCC), the Global Climate Observing System (GCOS) secretariat, Japan on behalf of the Committee on Earth Observation Satellites (CEOS) and the Coordination Group for Meteorological Satellites (CGMS), the International Civil Aviation Organization (ICAO), the International Maritime Organization (IMO), the United Nations Environment Programme (UNEP) and the World Meteorological Organization (WMO).

B. Organization of the work of the session

(Agenda sub-item 2(b))

6. The SBSTA considered this agenda sub-item at its 1st meeting, at which the Chair drew attention to the proposed programme of work, outlined in his information note.³ In line with previously adopted SBI conclusions⁴ on the timely conclusion of negotiations and related working practices, the Chair informed the SBSTA that no meetings will be organized after 6 p.m. He also drew the attention of delegates to a cut-off deadline for concluding the work of all groups of noon on Friday, 5 December, which aimed to ensure the timely availability of draft conclusions for the closing plenary. On a proposal by the Chair, the SBSTA agreed to proceed on this basis.

C. Election of officers other than the Chair

(Agenda sub-item 2(c))

Proceedings

7. The SBSTA considered this agenda sub-item at its 1st meeting, as well as at its 2nd meeting, held on 6 December. 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. At the same meeting, the SBSTA noted that the consultations on the nominations of the SBSTA Vice-Chair are being coordinated with the consultations being conducted on the nominations to all other bodies under the Convention and the Kyoto Protocol by Mr. Cheikh Ndiaye Sylla (Senegal), Vice-President of the Conference of the Parties (COP) and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), under the authority of the President of the COP and the CMP.

8. At the 2nd meeting, the Chair informed Parties that nominations for the post of Vice-Chair had not been received. As an exception to rule 27, paragraph 6, of the draft rules of procedure being applied, the SBSTA invited the COP to elect the Vice-Chair of the SBSTA at the closing plenary of COP 20.⁵

³ Available at <www.unfccc.int/8499.php>.

⁴ FCCC/SBI/2014/8, paragraphs 218–221.

⁵ The COP elected Mr. Carlos Fuller (Belize) as Vice-Chair, who will serve at SBSTA 42 and 43 (FCCC/CP/2014/10, para. 45).

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

(Agenda item 3)

1. Proceedings

9. The SBSTA considered this agenda item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2014/4, FCCC/SBSTA/2014/INF.15 and FCCC/SBSTA/2014/MISC.8. At its 1st meeting, the SBSTA agreed to consider this agenda item in informal consultations co-facilitated by Mr. Juan Hoffmaister (Plurinational State of Bolivia) and Ms. Beth Lavender (Canada). At its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁶

2. Conclusions

10. The SBSTA welcomed the following documents prepared for the session:

(a) The synthesis report on methods and tools for, and good practices and lessons learned relating to, adaptation planning processes addressing ecosystems, human settlements, water resources and health, and good practices and lessons learned related to processes and structures for linking national and local adaptation planning,⁷ based on submissions from Parties and submissions from partner organizations of the Nairobi work programme on impacts, vulnerability and adaptation to climate change;⁸

(b) The miscellaneous document on the submissions referred to in paragraph 10(a) above;⁹

(c) The report on progress made in implementing activities under the Nairobi work programme.¹⁰

11. The SBSTA noted with appreciation the valuable information on a diverse range of adaptation practices shared by Parties and Nairobi work programme partner organizations in their submissions referred to in paragraph 10(a) and (b) above.

12. The SBSTA also noted with appreciation the ongoing efforts of the secretariat in engaging and collaborating with partner organizations, including regional centres and networks, in implementing activities under the Nairobi work programme.

13. The SBSTA further noted the valuable information exchange among Parties and partner organizations during the eighth Focal Point Forum organized in conjunction with the session, and encouraged the secretariat to continue to explore ways to further enhance the organization of the Focal Point Forum. It further noted the importance of scheduling the Forum in such a way as to maximize the participation of Parties and partner organizations alike.

14. The SBSTA discussed further issues for consideration under the Nairobi work programme and concluded not to include any additional issues at this session.

⁶ Draft conclusions presented in document FCCC/SBSTA/2014/L.23.

⁷ FCCC/SBSTA/2014/4.

⁸ The submissions from Parties are available on the UNFCCC submission portal at <www.unfccc.int/5900>. The submissions from the Nairobi work programme partner organizations are available at <<http://unfccc.int/7482>>.

⁹ FCCC/SBSTA/2014/MISC.8.

¹⁰ FCCC/SBSTA/2014/INF.15.

15. The SBSTA recognized the role of the Nairobi work programme in addressing knowledge needs arising from the implementation of the Cancun Adaptation Framework pursuant to decision 17/CP.19.

16. The SBSTA concluded that the following activities should be undertaken by the secretariat, building on related previous work and in line with the scope of the Nairobi work programme, under the guidance of the Chair of the SBSTA and in collaboration with relevant Nairobi work programme partner organizations, in response to the recommendations of the Adaptation Committee:¹¹

(a) Support the expert meeting of the Adaptation Committee on promoting livelihoods and economic diversification to build resilience in the context of planning, prioritizing and implementing adaptation actions during the third quarter of 2015, building on the relevant work undertaken under the Nairobi work programme on this matter;

(b) Disseminate existing and future relevant knowledge products produced by the Adaptation Committee in order to inform adaptation planning and actions at all levels.

17. The SBSTA decided to consider and elaborate, at SBSTA 44 (May 2016), relevant activities under the Nairobi work programme that support the process to formulate and implement national adaptation plans.

18. The SBSTA considered the recommendations of the Adaptation Committee¹² in relation to the joint meeting on best practices and available tools for the use of indigenous and traditional knowledge and practices, best practices and needs of local and indigenous communities and the application of gender-sensitive approaches and tools for understanding and assessing impacts, vulnerability and adaptation to climate change, and concluded that the following activities would be undertaken by the secretariat under the guidance of the Chair of the SBSTA, in collaboration with the Adaptation Committee and the Least Developed Countries Expert Group, and with contributions from relevant Nairobi work programme partner organizations:

(a) Make publicly available a compilation of good practices and tools and available data collection initiatives for the use of local, indigenous and traditional knowledge and practices for adaptation, for consideration at SBSTA 44, building on existing knowledge-sharing platforms, including the database on best practices and available tools for the use of indigenous and traditional knowledge and practices for adaptation;¹³

(b) Engage relevant Nairobi Work Programme partner organizations, including regional centres and networks, in strengthening communities of practice and networks at different levels, as well as in sharing good practices and tools at key meetings and events, as appropriate;

(c) Consider, in relevant knowledge products under the Nairobi work programme, the importance of integrating gender-sensitive approaches and tools, and local, indigenous and traditional knowledge and practices into national adaptation plans, including by involving holders of local, indigenous and traditional knowledge, as appropriate.

19. The SBSTA welcomed the Adaptation Knowledge Initiative and its Andean subregional pilot, launched by UNEP as its action pledge¹⁴ under the Nairobi work

¹¹ FCCC/SB/2014/2, paragraph 81.

¹² FCCC/SB/2014/2, paragraph 82.

¹³ The database is available at <unfccc.int/7769>.

¹⁴ Details of the action pledge are available at <https://www3.unfccc.int/pls/apex/f?p=333:31:3398643959867755::NO::P31_ID:461>.

programme, for prioritizing and catalysing responses to subregion- and theme-specific adaptation knowledge needs, and encouraged the replication of this initiative in other subregions, particularly in vulnerable developing countries such as the LDCs, small island developing States and in Africa.

20. The SBSTA took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraphs 16 and 18 above. It requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

IV. Report of the Adaptation Committee

(Agenda item 4)

Proceedings

21. The SBSTA considered this agenda item at its 1st and 2nd meetings. It had before it document FCCC/SB/2014/2. At its 1st meeting,¹⁵ the SBSTA agreed to consider this agenda item together with SBI agenda item 8 in informal consultations co-facilitated by Mr. Makoto Kato (Japan) and Ms. Jimena Nieto (Colombia). At its 2nd meeting, the SBSTA considered and recommended a draft decision on this matter¹⁶ for consideration and adoption at COP 20.¹⁷

V. Development and transfer of technologies and implementation of the Technology Mechanism: joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network

(Agenda item 5)

Proceedings

22. The SBSTA considered this agenda item at its 1st and 2nd meetings. It had before it document FCCC/SB/2014/3. At its 1st meeting,¹⁸ the SBSTA agreed to consider this agenda item together with SBI agenda sub-item 12(a) in informal consultations co-facilitated by Mr. Carlos Fuller (Belize) and Ms. Elfriede More (Austria). At its 2nd meeting, the SBSTA recommended a draft decision¹⁹ for consideration and adoption at COP 20.²⁰

¹⁵ A written statement from the Chair of the Adaptation Committee is available at <<http://unfccc.int/8744>>.

¹⁶ For the text of the draft decision, see document FCCC/SB/2014/L.7.

¹⁷ For the text as adopted, see decision 4/CP.20.

¹⁸ Written statements by the Chairs of the Technology Executive Committee and the Climate Technology Centre and Network are available at <<http://unfccc.int/8744>>.

¹⁹ For the text of the draft decision, see document FCCC/SB/2014/L.5.

²⁰ For the text as adopted, see decision 17/CP.20.

VI. 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 6)

Proceedings

23. The SBSTA considered this agenda item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2014/INF.13, FCCC/SBSTA/2014/MISC.6 and Add.1 and FCCC/SBSTA/2014/MISC.7 and Add.1. At its 1st meeting, the SBSTA agreed to consider this agenda item in a contact group co-chaired by Mr. Robert Bamfo (Ghana) and Mr. Stephen Cornelius (United Kingdom of Great Britain and Northern Ireland). As the SBSTA was unable to reach agreement on this matter, it agreed at its 2nd meeting to consider this agenda item at SBSTA 42 (June 2015) in accordance with rule 16 of the draft rules of procedure being applied.

VII. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

(Agenda item 7)

1. Proceedings

24. The SBSTA considered this agenda at its 1st and 2nd meetings. It had before it document FCCC/SB/2014/4. At its 1st meeting, the SBSTA agreed to consider this agenda item together with SBI agenda item 10 in informal consultations co-facilitated by Ms. Lavender and Mr. Alf Wills (South Africa). At its 2nd meeting, the SBSTA considered and adopted the conclusions below.²¹

2. Conclusions

25. The SBSTA and the SBI agreed to recommend that COP 20 continue consideration of this matter on the basis of the text contained in the annex to document FCCC/SB/2014/L.8.²²

VIII. Matters relating to science and research

(Agenda item 8)

A. Fifth Assessment Report of the Intergovernmental Panel on Climate Change

(Agenda sub-item 8(a))

1. Proceedings

26. The SBSTA considered this agenda item at its 1st and 2nd meetings. At its 1st meeting, the SBSTA agreed to consider this agenda item in informal consultations

²¹ Draft conclusions presented in document FCCC/SB/2014/L.8.

²² For the text as adopted, see decision 2/CP.20.

facilitated by the SBSTA Chair. At its 2nd meeting, the SBSTA considered and adopted the conclusions below.²³

2. Conclusions

27. The SBSTA noted with appreciation the presentations made by the IPCC on its Fifth Assessment Report (AR5), including those made at the SBSTA–IPCC special events on the contributions of Working Groups I,²⁴ II²⁵ and III²⁶ to the AR5, and on the AR5 Synthesis Report,²⁷ as well as at the 1st, 2nd, 3rd and 4th meetings of the structured expert dialogue (SED) on the 2013–2015 review.²⁸

28. The SBSTA noted its conclusions adopted at SBSTA 39, 40 and 41 welcoming the contributions of Working Groups I, II and III to the AR5 and the AR5 Synthesis Report.

29. The SBSTA recognized that it is important that the AR5 continue to be considered in depth by Parties to the Convention and its Kyoto Protocol so that all relevant agenda items are informed by the findings of the AR5. In that context, the SBSTA requested that the secretariat, under the guidance of the Chair of the SBSTA, be prepared to invite the IPCC, in response to any request made by Parties, to inform its consideration of relevant agenda items, in particular through focused briefings on relevant information from the AR5 and other IPCC reports.

30. The SBSTA noted that the AR5 identified some information gaps, including in developing countries, especially in Africa, and on emerging issues, such as the links between climate change and desertification.

31. The SBSTA invited the IPCC and relevant international and regional research organizations to inform Parties about efforts undertaken to address the information gaps identified in the AR5, including as referred to in paragraph 30 above, for example at the meeting of the research dialogue at SBSTA 42.

32. The SBSTA recommended a draft decision on this matter for consideration and adoption at COP 20 (for the text of the draft decision, see document FCCC/SBSTA/2014/L.27/Add.1).²⁹

B. Research and systematic observation

(Agenda sub-item 8(b))

1. Proceedings

33. The SBSTA considered this agenda item at its 1st and 2nd meetings. At its 1st meeting, the SBSTA agreed to consider this agenda item in informal consultations co-facilitated by Mr. Chris Moseki (South Africa) and Mr. Stefan Roesner (Germany). At its 2nd meeting, the SBSTA considered and adopted the conclusions below.³⁰

²³ Draft conclusions presented in document FCCC/SBSTA/2014/L.27.

²⁴ *Climate Change 2013: The Physical Science Basis*. Available at <<http://www.ipcc.ch/report/ar5/wg1>>.

²⁵ *Climate Change 2014: Impacts, Adaptation, and Vulnerability*. Available at <<http://www.ipcc.ch/report/ar5/wg2>>.

²⁶ *Climate Change 2014: Mitigation of Climate Change*. Available at <<http://www.ipcc.ch/report/ar5/wg3>>.

²⁷ Available at <<http://www.ipcc.ch/report/ar5/syr>>.

²⁸ See <<http://unfccc.int/7521.php>> for information on the SED.

²⁹ For the text as adopted, see decision 12/CP.20.

³⁰ Draft conclusions presented in document FCCC/SBSTA/2014/L.19.

2. Conclusions

34. The SBSTA noted with appreciation the statements delivered by representatives of the WMO, the GCOS secretariat, and of Japan on behalf of the CEOS and the CGMS.³¹

35. The SBSTA welcomed the Synthesis Report of the AR5 of the IPCC and noted the continued key importance of research and systematic observation to the work of the IPCC.

36. The SBSTA welcomed the report by the GCOS secretariat on its recent and planned activities,³² including on the outcomes and recommendations of the GCOS programme review by its sponsors, which confirmed the significance of the programme and that it should continue. The SBSTA noted that the GCOS workshop on observations for climate change mitigation³³ contributed to a better understanding of the observational requirements for mitigation.

37. The SBSTA noted the progress made by GCOS towards the development of a status report that will be presented at SBSTA 43 (November–December 2015), and on the new implementation plan that will be presented at SBSTA 45 (November 2016).

38. The SBSTA recalled the conclusions from SBSTA 37³⁴ and encouraged Parties to actively engage in the review of the status report and to support the development of the new implementation plan, including on aspects related to ocean observation and acidification.

39. The SBSTA recalled the conclusions from SBSTA 39³⁵ and welcomed the plans of the GCOS secretariat to organize, in collaboration with the IPCC and the secretariat, a workshop to identify ways to enhance systematic observation and related capacity, especially in developing countries to support preparedness and adaptation in a changing climate proposed to be held in February 2015 in Bonn, Germany. It invited the GCOS secretariat to provide a report on the workshop by SBSTA 43.

40. The SBSTA expressed its appreciation to CEOS and CGMS for their updated report on the progress made by space agencies providing global observations in their coordinated response to relevant needs of the Convention.³⁶ It noted the importance of continuing and sustaining satellite observations on a long-term basis and welcomed the efforts to develop an architecture for climate monitoring from space. It invited CEOS to report on progress at SBSTA 43, and at subsequent sessions, as appropriate.

41. The SBSTA noted with appreciation the information provided by WMO on the developments regarding the implementation of the Global Framework for Climate Services (GFCS) and the outcome of the second session of the Intergovernmental Board on Climate Services.³⁷ The SBSTA noted that GFCS has moved into an implementation phase and encouraged Parties to make use of the opportunities that GFCS provides to help to address climate variability and change at the national level, including to enhance climate observations and monitoring, and to support the formulation and implementation of national adaptation planning processes, as appropriate. The SBSTA invited WMO to report, by SBSTA 43, on progress made on the implementation of GFCS.

³¹ The statements are available at <<http://unfccc.int/8744>>.

³² The submission by the GCOS secretariat to SBSTA 41 is available at <<http://unfccc.int/7482>>.

³³ The workshop was co-sponsored by the Land Cover Project Office of the Global Observation for Forest Cover and Land Dynamics Programme and was held from 5 to 7 May 2014 in Geneva, Switzerland. The report on the workshop is available at <<http://www.wmo.int/pages/prog/gcos/Publications/gcos-185.pdf>>.

³⁴ FCCC/SBSTA/2012/5, paragraph 39.

³⁵ FCCC/SBSTA/2013/5, paragraph 48.

³⁶ The submission from CEOS to SBSTA 41 is available at <<http://unfccc.int/7482>>.

³⁷ The submission from WMO to SBSTA 41 is available at <<http://unfccc.int/7482>>.

42. The SBSTA recalled paragraphs 45 and 47 of the report on SBSTA 39³⁸ and reemphasized the importance of systematic observation for the UNFCCC process at large and the continued need to secure funding to meet the essential needs for national, regional and global climate observations under the Convention on a long-term basis.

C. The 2013–2015 review

(Agenda sub-item 8(c))

1. Proceedings

43. The SBSTA considered this agenda item at its 1st and 2nd meetings. It had before it documents FCCC/SB/2014/1 and FCCC/SB/2014/INF.3. At its 1st meeting, the SBSTA agreed to consider this agenda item jointly with agenda item 15 of the SBI in a contact group co-chaired by Mr. Leon Charles (Grenada) and Ms. Gertraude Wollansky (Austria). At its 2nd meeting, the SBSTA considered and adopted the conclusions below.³⁹

2. Conclusions

44. The SBSTA and the SBI took note of the submissions from Parties of their views on additional inputs to the SED on how to conclude the 2013–2015 review and on the final reporting of the SBSTA and the SBI to COP 21 (November–December 2015),⁴⁰ as well as of the summary report on the 3rd meeting of the SED, held from 6 to 8 June 2014 in Bonn.⁴¹

45. The SBSTA and the SBI welcomed the Synthesis Report of the AR5 of the IPCC,⁴² and recognized the usefulness for the 2013–2015 review of the contributions of all IPCC working groups to the AR5.

46. The SBSTA and the SBI also welcomed the 1st meeting of the fourth session of the SED, held on 2 and 3 December 2014 in Lima, and looked forward to the resumed fourth session of the SED, which will take place on 8 and 9 February 2015 in Geneva, Switzerland. They further welcomed the progress made by the SED as reported by its co-facilitators to COP 20.⁴³

47. The SBSTA and the SBI noted with appreciation the contributions made by the representatives of the Food and Agriculture Organization of the United Nations, the IPCC, the International Energy Agency, UNEP, the World Bank and the World Health Organization at the 1st meeting of the fourth session of the SED. They also noted with appreciation the financial contributions provided by Belgium, Japan, Switzerland and the United Kingdom to the 2013–2015 review.

48. The SBSTA and the SBI:

(a) Took note of, and expressed their appreciation to the secretariat for, the document on national information available for consideration by the SED;⁴⁴

³⁸ FCCC/SBSTA/2013/5.

³⁹ Draft conclusions presented in document FCCC/SB/2014/L.9.

⁴⁰ The submissions are available at <www.unfccc.int/5900>.

⁴¹ The summary report is available at <http://unfccc.int/files/science/workstreams/the_2013-2015_review/application/pdf/sed3_summary_report.pdf>.

⁴² Available at <<http://www.ipcc.ch/report/ar5/syr/>>.

⁴³ FCCC/SB/2014/1.

⁴⁴ FCCC/SB/2014/INF.3.

(b) Recalled the conclusions adopted at their fortieth sessions⁴⁵ requesting the SED to consider the information sources identified in decision 2/CP.17, paragraph 161, in particular subparagraphs (b–d), at the resumed fourth session of the SED, noting decision 1/CP.18, paragraph 89, with a view to ensuring a balanced consideration of the information referenced in document FCCC/SB/2014/INF.3;

(c) Requested the co-facilitators of the SED to take into account the information contained in this document and the views of Parties referred to in paragraph 44 above and contained in submissions made under this agenda item when preparing for the resumed fourth session of the SED.

49. The SBSTA and the SBI recalled decision 1/CP.17, paragraph 6, and noted paragraph 79 of the report on SBSTA 40⁴⁶ reflecting the discussion on how the 2013–2015 review informs the broader UNFCCC process, including the work of its bodies.

50. The SBSTA and the SBI recalled the conclusions adopted at their fortieth sessions⁴⁷ and noted the consultations between the co-facilitators of the SED and Parties at SBSTA 41 and SBI 41 on the resumed fourth session of the SED.

51. The SBSTA and the SBI looked forward to the summary report on the fourth session of the SED, to be made available no later than 20 March 2015.

52. The SBSTA and the SBI encouraged the organizations mentioned in paragraph 47 above, as well as other relevant organizations and agencies as referred to in decision 2/CP.17, paragraph 161, to support the future work of the SED, including through consideration of the issues that emerged at previous meetings of the SED, and noted that the resumed fourth session of the SED will be its final meeting.

53. In fulfilment of the mandate given in decision 1/CP.18, paragraph 86(b), the SBSTA and the SBI requested the co-facilitators of the SED to prepare, with the assistance of the secretariat, a final factual report that includes a compilation and a technical summary of the summary reports on the meetings of the SED and to make it available no later than 3 April 2015.

54. The SBSTA and the SBI invited Parties to submit to the secretariat, by 1 May 2015, taking into account the work of the SED and being mindful of decision 1/CP.18, paragraph 91, the following:

(a) Any other information or gaps in information relevant to the 2013–2015 review, in accordance with decision 2/CP.17, paragraph 161, decision 1/CP.18, paragraph 84, and paragraph 132 of the report on SBSTA 39;⁴⁸

(b) Their views on 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 the long-term global goal, including a consideration of the implementation of the commitments under the Convention.

55. SBSTA 42 and SBI 42 will consider the report referred to in paragraph 53 above and the submissions from Parties referred to in paragraph 54 above, with a view to informing the COP, which shall take appropriate action based on the 2013–2015 review, in accordance with previous relevant decisions.

⁴⁵ FCCC/SBSTA/2014/2, paragraph 75, and FCCC/SBI/2014/8, paragraph 194.

⁴⁶ FCCC/SBSTA/2014/2.

⁴⁷ FCCC/SBSTA/2014/2, paragraphs 77 and 78, and FCCC/SBI/2014/8, paragraphs 196 and 197.

⁴⁸ FCCC/SBSTA/2013/5.

IX. Impact of the implementation of response measures

(Agenda item 9)

A. Forum and work programme

(Agenda sub-item 9(a))

1. Proceedings

56. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SB/2014/INF.4 and FCCC/TP/2014/12. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item jointly with agenda sub-item 14(a) of the SBI in a contact group co-chaired by the Chair of the SBSTA, Mr. Dlamini, and the Chair of the SBI, Mr. Amena Yauvoli (Fiji). The SBSTA also agreed to consider this agenda sub-item at this session jointly with agenda sub-item 9(b).

57. At its 2nd meeting, the Chair thanked Mr. Eduardo Calvo Buendia (Peru) and Mr. Delano Verwey (Netherlands), who helped him and the SBI Chair to facilitate the informal consultations on this agenda sub-item. At the same meeting, the SBSTA considered and adopted the conclusions below.⁴⁹

2. Conclusions

58. The SBI and the SBSTA took note of the submissions made by Parties⁵⁰ and relevant organizations⁵¹ on options to strengthen opportunities for cooperation and collaboration among Parties related to this joint agenda sub-item.

59. The SBI and the SBSTA considered the technical paper,⁵² prepared by the secretariat, on areas of convergence related to areas of cooperation, as well as the synthesis paper,⁵³ both based on the reports on the work of the forum, the submissions made by Parties and relevant organizations, presentations and statements made and the review of the work of the forum, without prejudice to the consideration by the COP referred to in paragraph 60 below.

60. The SBI and the SBSTA could not conclude their consideration of this item and agreed to recommend that COP 20 continue consideration of this matter,⁵⁴ on the basis of the text contained in the annex to FCCC/SBSTA/2014/L.6/Rev.1.

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

(Agenda sub-item 9(b))

Proceedings

61. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings.

⁴⁹ The draft conclusions presented in document FCCC/SB/2014/L.6 were adopted as orally revised in plenary. The draft conclusions as orally revised are presented in document FCCC/SB/2014/L.6/Rev.1.

⁵⁰ The submissions from Parties are available on the UNFCCC submission portal accessible at <<http://www.unfccc.int/5900>>.

⁵¹ The submissions from observer organizations are available on the UNFCCC website at <http://unfccc.int/documentation/submissions_from_observers/items/7481.php>.

⁵² FCCC/TP/2014/12.

⁵³ FCCC/SB/2014/INF.4.

⁵⁴ For the text as adopted, see decision 20/CP.20.

62. At its 1st meeting, on a proposal by the Chair, the SBSTA agreed to consider this agenda sub-item jointly with agenda sub-item 9(a) of the SBSTA and agenda sub-item 14(a) of the SBI. At the same meeting, the SBSTA also agreed that the Chair of the SBSTA would undertake consultations with interested Parties on how to take up this agenda sub-item at the next session. At its 2nd meeting, the SBSTA agreed to continue at SBSTA 42 consultations on how to take up this agenda sub-item.

X. Methodological issues under the Convention

(Agenda item 10)

A. Work programme on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews, for developed country Parties

(Agenda sub-item 10(a))

1. Proceedings

63. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2014/INF.14, FCCC/SBSTA/2014/INF.19, FCCC/SBSTA/2014/INF.21 and FCCC/SBSTA/2014/INF.22. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in a contact group co-chaired by Mr. Samuel Adejuwon (Nigeria) and Ms. Riitta Pipatti (Finland). At its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁵⁵

2. Conclusions

64. The SBSTA continued its discussion on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews, for developed country Parties under the work programme on the revision of the review guidelines agreed on at SBSTA 37 (hereinafter referred to as the work programme).⁵⁶

65. The SBSTA recalled decision 23/CP.19 and its annex containing the guidelines for the technical review of information reported under the Convention related to greenhouse gas (GHG) inventories, biennial reports and national communications by Parties included in Annex I to the Convention (Annex I Parties), including a placeholder for the UNFCCC Guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention (hereinafter referred to as the UNFCCC Annex I inventory review guidelines).

66. In discussing the UNFCCC Annex I inventory review guidelines, the SBSTA considered the views submitted by Parties⁵⁷ in response to its invitation,⁵⁸ as well as the updated draft of these guidelines prepared by the secretariat incorporating the submission received in response to that invitation.⁵⁹ It also considered the report on the technical workshop under the work programme,⁶⁰ including the draft revised UNFCCC Annex I

⁵⁵ Draft conclusions presented in document FCCC/SBSTA/2014/L.28.

⁵⁶ FCCC/SBSTA/2012/5, paragraphs 74–85.

⁵⁷ Available at <<http://unfccc.int/5901.php>>.

⁵⁸ FCCC/SBSTA/2014/2, paragraph 112.

⁵⁹ FCCC/SBSTA/2014/INF.14.

⁶⁰ FCCC/SBSTA/2014/INF.22.

inventory review guidelines produced by participants in that workshop,⁶¹ which was held from 4 to 6 November 2014 in Bonn.

67. The SBSTA advanced its work on the UNFCCC Annex I inventory review guidelines under this agenda sub-item but was not able to conclude it. It agreed to forward to the COP the draft decision text contained in annex I to document FCCC/SBSTA/2014/L.28 for its consideration at COP 20.⁶²

68. The SBSTA took note of the information contained in document FCCC/SBSTA/2014/INF.12 on the training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention.

69. The SBSTA recognized the importance of implementing the training programme for review experts for the technical review of biennial reports and national communications of Annex I Parties. It requested the secretariat to make available the online training courses of the training programme for the review experts participating in reviews from 2015 onwards.

70. The SBSTA advanced its work on the training programme for review experts for the technical review of biennial reports and national communications of Annex I Parties but was not able to conclude it. It agreed to forward to the COP the draft decision text contained in annex II to document FCCC/SBSTA/2014/L.28 for its consideration at COP 20.⁶³

71. The SBSTA took note of the information contained in document FCCC/SBSTA/2014/INF.19 on the training programme for review experts for the technical review of GHG inventories of Annex I Parties.

72. The SBSTA recognized the importance of implementing the training programme for review experts for the technical review of GHG inventories of Annex I Parties and requested the secretariat to make available in 2015 the online training courses of the training programme for the review experts participating in reviews from 2015 onwards.

73. The SBSTA agreed to assess the results of the training programme at SBSTA 44 and to make recommendations to COP 22 (November 2016) on the further development and enhancement of the training programme for review experts for the technical review of GHG inventories of Annex I Parties.

74. The SBSTA advanced its work on the training programme for review experts for the technical review of GHG inventories of Annex I Parties but was not able to conclude it. It agreed to forward to the COP the draft decision text contained in annex III to document FCCC/SBSTA/2014/L.28 for its consideration at COP 20.⁶⁴

B. Methodologies for the reporting of financial information by Parties included in Annex I to the Convention

(Agenda sub-item 10(b))

Proceedings

75. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in a contact group co-chaired

⁶¹ FCCC/SBSTA/2014/INF.21.

⁶² For the text as adopted, see decision 13/CP.20.

⁶³ For the text as adopted, see decision 15/CP.20.

⁶⁴ For the text as adopted, see decision 14/CP.20.

by Mr. Roger Dungan (New Zealand) and Mr. Seyni Nafu (Mali). At its 2nd meeting, the SBSTA recommended a draft decision⁶⁵ for consideration and adoption at COP 20.⁶⁶

C. Common metrics to calculate the carbon dioxide equivalence of greenhouse gases

(Agenda sub-item 10(c))

Proceedings

76. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in informal consultations facilitated by Mr. Takeshi Enoki (Japan). As the SBSTA was unable to reach agreement on this matter, it agreed at its 2nd meeting to consider this agenda sub-item at SBSTA 42 in accordance with rule 16 of the draft rules of procedure being applied.

D. Emissions from fuel used for international aviation and maritime transport

(Agenda sub-item 10(d))

1. Proceedings

77. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBSTA/2014/MISC.9.⁶⁷ At its 1st meeting, the SBSTA agreed that the Chair would consult with Parties on this issue and present draft conclusions to the SBSTA at its 2nd meeting. At its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁶⁸

2. Conclusions

78. The SBSTA took note of the information received from and progress reported by the secretariats of the ICAO and the IMO on their ongoing work on addressing emissions from fuel used for international aviation and maritime transport,⁶⁹ and noted the views expressed by Parties on this information.

79. 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.

⁶⁵ For the text of the draft decision, see document FCCC/SBSTA/2014/L.26.

⁶⁶ For the text as adopted, see decision 11/CP.20.

⁶⁷ All opening statements, including written statements from ICAO and IMO and one group of Parties that requested that its related statement be reflected in the report on the session, are available at <<http://unfccc.int/8744>>.

⁶⁸ Draft conclusions presented in document FCCC/SBSTA/2014/L.21.

⁶⁹ FCCC/SBSTA/2014/MISC.9.

XI. Methodological issues under the Kyoto Protocol

(Agenda item 11)

A. Implications of the implementation of decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8 on the previous decisions on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8 of the Kyoto Protocol

(Agenda sub-item 11(a))

1. Proceedings

80. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/TP/2014/6. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in a contact group co-chaired by Ms. Anke Herold (Germany) and Mr. Maesela Kekana (South Africa). At its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁷⁰

2. Conclusions

81. At the request of the CMP,⁷¹ the SBSTA continued its work on assessing and addressing the implications of the implementation of decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8, on the previous decisions on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8 of the Kyoto Protocol.

82. The SBSTA requested the secretariat to compile into a user-friendly document all reporting, review and accounting requirements relating to the second commitment period of the Kyoto Protocol as adopted by the CMP, in order to facilitate and ensure their implementation, and that this document be made available on the UNFCCC website by the end of May 2015.

83. The SBSTA agreed to consider, at its forty-second session, the accounting, reporting and review requirements for Annex I Parties without a quantified emission limitation and reduction commitment for the second commitment period, along with the updated training programme for members of expert review teams (ERTs) participating in annual reviews under Article 8 of the Kyoto Protocol.

84. The SBSTA took note that an Annex I Party that is a Party to the Kyoto Protocol with a commitment inscribed in the second column, but not in the third column, of the table contained in Annex B in the Doha Amendment may request the ERT to review, as part of the review by the ERT of that Party's annual inventory for the first year of the second commitment period, information relating to that Party's base year.

85. The SBSTA recommended that such a request should be carried out as part of the annual review for the first year of the second commitment period.

86. The SBSTA took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 82 above and requested that the actions called for in these conclusions be undertaken by the secretariat subject to the availability of financial resources.

87. The SBSTA advanced its work on the matters referred to in paragraph 81 above but was not able to conclude it. The SBSTA agreed to forward the draft decision texts,

⁷⁰ Draft conclusions presented in document FCCC/SBSTA/2014/L.29.

⁷¹ FCCC/KP/CMP/2014/9, paragraph 36.

including their annexes, contained in the annex to document FCCC/SBSTA/2014/L.29 for further consideration at CMP 10.

B. Clarification of the text in section G (Article 3, paragraph 7 ter) of the Doha Amendment to the Kyoto Protocol, in particular the information to be used to determine the “average annual emissions for the first three years of the preceding commitment period”

(Agenda sub-item 11(b))

1. Proceedings

88. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in a contact group co-chaired by Ms. Herold and Mr. Kekana. At its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁷²

2. Conclusions

89. In response to the request made by the CMP,⁷³ the SBSTA continued its consideration of the issues related to the clarification of the text in section G (Article 3, paragraph 7 ter) of the Doha Amendment to the Kyoto Protocol, in particular the information to be used to determine the “average annual emissions for the first three years of the preceding commitment period”.

90. The SBSTA agreed to recommend to the CMP that consideration of this matter continue at SBSTA 42, taking into account the elements for the text of a draft decision contained in the annex to document FCCC/2014/SBSTA/L.25.

C. Land use, land-use change and forestry under Article 3, paragraphs 3 and 4, of the Kyoto Protocol and under the clean development mechanism

(Agenda sub-item 11(c))

1. Proceedings

91. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Heikki Granholm (Finland) and Mr. Marcelo Rocha (Brazil). At its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁷⁴

2. Conclusions

92. The SBSTA continued its work under the work programmes referred to in decision 2/CMP.7, paragraphs 6 and 7.

⁷² Draft conclusions presented in document FCCC/SBSTA/2014/L.25.

⁷³ FCCC/KP/CMP/2013/9, paragraph 94.

⁷⁴ Draft conclusions presented in document FCCC/SBSTA/2014/L.24.

93. The SBSTA took note of the views submitted by Parties⁷⁵ and admitted observer organizations⁷⁶ in response to the invitation of SBSTA 39,⁷⁷ as reiterated at SBSTA 40.⁷⁸

94. The SBSTA agreed to recommend a draft decision on matters relating to the work programme referred to in decision 2/CMP.7, paragraph 6, for consideration and adoption at CMP 10 (for the text of the draft decision, see document FCCC/SBSTA/2014/L.24/Add.1).⁷⁹

95. The SBSTA agreed to continue, at SBSTA 44, its consideration of issues outlined in the work programme referred to in decision 2/CMP.7, paragraph 7, with a view to recommending a draft decision on this matter for consideration and adoption at CMP 12 (November 2016).

96. The SBSTA recalled the consideration of SBSTA 40 of the work programmes referred to in decision 2/CMP.7, paragraphs 5 and 10, as reflected in the conclusions contained in the report on that session (FCCC/SBSTA/2014/2), paragraphs 154 and 155, and agreed to defer the continuation of the consideration of these work programmes until SBSTA 44, with a view to reporting on the outcomes to CMP 12.

D. Implications of the inclusion of reforestation of lands with forest in exhaustion as afforestation and reforestation clean development mechanism project activities

(Agenda sub-item 11(d))

Proceedings

97. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBSTA/2014/CRP.2. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in informal consultations facilitated by Mr. Eduardo Sanhueza (Chile). As the SBSTA was unable to reach agreement on this matter, the SBSTA agreed at its 2nd meeting to consider this agenda sub-item at SBSTA 42 in accordance with rule 16 of the draft rules of procedure being applied.

XII. Market and non-market mechanisms under the Convention

(Agenda item 12)

A. Framework for various approaches

(Agenda sub-item 12(a))

Proceedings

98. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/TP/2014/9. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Mandy Rambharos (South Africa) and Mr. Peer Stiansen (Norway). As the SBSTA was unable to reach agreement on this matter, the SBSTA agreed at its 2nd meeting to consider this agenda sub-item at SBSTA 42 in accordance with rule 16 of the draft rules of procedure being applied.

⁷⁵ Available at <<http://unfccc.int/5901.php>>.

⁷⁶ Available at <<http://unfccc.int/7482.php>>.

⁷⁷ FCCC/SBSTA/2013/5, paragraph 108.

⁷⁸ FCCC/SBSTA/2014/2, paragraph 153.

⁷⁹ For the text as adopted, see decision 7/CMP.10.

B. Non-market-based approaches

(Agenda sub-item 12(b))

Proceedings

99. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/TP/2014/10. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Rambharos and Mr. Stiansen. As the SBSTA was unable to reach agreement on this matter, the SBSTA agreed at its 2nd meeting to consider this agenda sub-item at SBSTA 42 in accordance with rule 16 of the draft rules of procedure being applied.

C. New market-based mechanism

(Agenda sub-item 12(c))

Proceedings

100. The SBSTA considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/TP/2014/11 and Corr.1. At its 1st meeting, the SBSTA agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Rambharos and Mr. Stiansen. As the SBSTA was unable to reach agreement on this matter, the SBSTA agreed at its 2nd meeting to consider this agenda sub-item at SBSTA 42 in accordance with rule 16 of the draft rules of procedure being applied.

XIII. Work programme on clarification of quantified economy-wide emission reduction targets of developed country Parties

(Agenda item 13)

1. Proceedings

101. The SBSTA considered this agenda item at its 1st and 2nd meetings. It had before it documents FCCC/SBSTA/2014/INF.16 and FCCC/TP/2014/8. At its 1st meeting, the SBSTA agreed to consider this agenda item in informal consultations co-facilitated by Ms. Cristina Carreiras (Portugal) and Mr. Brian Mantlana (South Africa). At its 2nd meeting, the SBSTA considered and adopted the conclusions below.⁸⁰

2. Conclusions

102. The SBSTA concluded the work programme on clarification of quantified economy-wide emission reduction targets of developed country Parties, established by decision 1/CP.18, paragraph 8 (hereinafter referred to as the work programme).

103. The SBSTA recognized the importance of shared information and transparency in the clarification of the quantified economy-wide emission reduction targets of developed country Parties for gaining a better understanding of the elements contained in decision 2/CP.17, paragraph 5. In that regard, the SBSTA noted that the activities undertaken under the work programme since SBSTA 38 have provided a platform for Parties to share information and have helped to improve the transparency of developed country Party targets. This includes the following shared information and activities:

⁸⁰ Draft conclusions presented in document FCCC/SBSTA/2014/L.22.

(a) The submissions from Parties contained in document FCCC/SBSTA/2013/MISC.3 and Add.1 and on the web page for the work programme;⁸¹

(b) The in-session events⁸² on quantified economy-wide emission reduction targets of developed country Parties that were held in conjunction with SBSTA 38–40 and included technical briefings and expert discussions on:

(i) Measuring the progress towards the achievement of developed country Party targets;

(ii) Comparability of mitigation efforts and assumptions and conditions related to developed country Party targets;

(iii) The clarification of the role of land use, land-use change and forestry (LULUCF) and the use of carbon credits from market-based mechanisms relating to targets of developed country Parties;

(c) The update of document FCCC/SB/2011/INF.1/Rev.1, as contained in document FCCC/SBSTA/2014/INF.6, and the updates of document FCCC/TP/2012/5, as contained in documents FCCC/TP/2013/7 and FCCC/TP/2014/8, by the secretariat, reflecting Parties' submissions and information exchanged during the in-session events.

104. With regard to the identification of common elements as referred to in decision 2/CP.17, paragraph 5, the SBSTA acknowledged that there is a limited number of approaches among developed country Parties for measuring the progress made towards the achievement of the targets. The SBSTA acknowledged the importance of convergence in the coverage of sectors and gases as well as in the use of global warming potential values among developed country Parties.

105. The SBSTA acknowledged that the additional information provided by developed country Parties, during the activities referred to in paragraph 103 above, regarding the clarification of their targets and associated assumptions and conditions related to the ambition of the pledges as outlined in decision 2/CP.17, paragraph 5, increased the transparency of the targets and helped to facilitate the consideration of the comparability of efforts among developed country Parties.

106. The SBSTA also acknowledged the discussions on the transparency of, and reporting on, the use of carbon credits from market-based mechanisms.

107. The SBSTA noted that there is more than one approach to account for the role of LULUCF in achieving developed country Party targets. Developed country Parties are mainly using two approaches: the activity-based approach and the land-based approach. Regarding the comparability of the efforts among developed country Parties, the SBSTA acknowledged that comprehensive, complete and consistent coverage of the reported information is more significant than the choice of approach.

⁸¹ <<http://unfccc.int/7884.php>>.

⁸² The reports on these events are contained in documents FCCC/SBSTA/2013/INF.10 and FCCC/SBSTA/2014/INF.16.

XIV. Reports on other activities

(Agenda item 14)

A. Annual report on the technical review of information reported under the Convention related to biennial reports and national communications by Parties included in Annex I to the Convention

(Agenda sub-item 14(a))

Proceedings

108. The SBSTA considered this agenda sub-item at its 1st meeting and took note of the information contained in document FCCC/SBSTA/2014/INF.20.

B. Annual report on the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention

(Agenda sub-item 14(b))

Proceedings

109. The SBSTA considered this agenda sub-item at its 1st meeting and took note of the information contained in document FCCC/SBSTA/2014/INF.17.

C. 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 sub-item 14(c))

Proceedings

110. The SBSTA considered this agenda sub-item at its 1st meeting and took note of the information contained in document FCCC/SBSTA/2014/INF.18.

XV. Other matters

(Agenda item 15)

111. No matters were raised under this item.

XVI. Closure of and report on the session

(Agenda item 16)

1. Administrative and budgetary implications

112. At the 2nd meeting, the secretariat provided a preliminary evaluation of the administrative and budgetary implications of the conclusions adopted during the session pursuant to decision 16/CP.9, paragraph 20, whereby the Executive Secretary is to provide

an indication of the administrative and budgetary implications of decisions⁸³ if these cannot be met from existing resources within the core budget.

113. The Deputy Executive Secretary informed Parties that some activities resulting from the negotiations at this session call for further support by the secretariat and, therefore, require additional resources in the coming year over and above the core budget for 2014–2015.

2. Closure of and report on the session

114. At its 2nd meeting, the SBSTA considered and adopted the draft report on SBSTA 41.⁸⁴ At the same meeting, on a proposal by the Chair, the SBSTA authorized the Rapporteur to complete the report on the session, with the assistance of the secretariat and under the guidance of the Chair.

115. At the same meeting, closing statements were made by representatives of 12 Parties, including on behalf of the G77 and China, the EIG, the EU and its 28 member States, the Umbrella Group, the Alliance of Small Island States, the Central American Integration System, the Coalition for Rainforest Nations and the LDCs. Statements were also made by the co-facilitators of the SED and by representatives of environmental non-governmental organizations (NGOs), farmers NGOs, research and independent NGOs, women and gender NGOs, youth NGOs, and business and industry NGOs.⁸⁵

116. The Executive Secretary, on behalf of the secretariat, paid tribute to the SBSTA Chair for his contribution to the UNFCCC process in his two years on the Bureau and one year as SBSTA Chair. She commended him for his calm and strong leadership, his productive outcomes constructed by working efficiently behind the scenes to find common ground and to advance issues, and his good cooperation with the SBI Chair. She further underlined that he was instrumental in changing the working culture of the UNFCCC by successfully implementing related rules and procedures.

117. The Chair concluded his last session by thanking everybody for having supported him and expressed appreciation for his experiences within the SBSTA and the friends he was able to make among representatives of Parties and the secretariat. He highlighted that time management should be centred around respect for the process and each other and that, together with the secretariat, the SBSTA had demonstrated that the UNFCCC work culture can be changed.

⁸³ While decision 16/CP.9 refers to “decisions”, it also has implications for conclusions of the subsidiary bodies.

⁸⁴ FCCC/SBSTA/2014/L.20.

⁸⁵ All closing statements are available at <<http://unfccc.int/8763>>.



SUMMARY OF THE LIMA CLIMATE CHANGE CONFERENCE: 1-14 DECEMBER 2014

The Lima Climate Change Conference convened from 1-14 December 2014, in Lima, Peru. It included the 20th session of the Conference of the Parties (COP 20) to the UN Framework Convention on Climate Change (UNFCCC) and the 10th session of the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP 10). Three subsidiary bodies (SBs) also met: the 41st sessions of the Subsidiary Body for Scientific and Technological Advice (SBSTA 41) and the Subsidiary Body for Implementation (SBI 41), and the seventh part of the second session of the *Ad Hoc* Working Group on the Durban Platform for Enhanced Action (ADP 2-7).

The Lima Climate Change Conference brought together over 11,000 participants, including approximately 6,300 government officials, 4,000 representatives from UN bodies and agencies, intergovernmental organizations and civil society organizations, and 900 members of the media.

Negotiations in Lima focused on outcomes under the ADP necessary to advance towards an agreement in Paris at COP 21 in 2015, including elaboration of the information, and process, required for submission of intended nationally determined contributions (INDCs) as early as possible in 2015 and progress on elements of a draft negotiating text. Following lengthy negotiations on a draft decision for advancing the Durban Platform for Enhanced Action, COP 20 adopted the ‘Lima Call for Climate Action,’ which sets in motion the negotiations in the coming year towards a 2015 agreement, the process for submitting and reviewing INDCs, and enhancing pre-2020 ambition.

Parties also adopted 19 decisions, 17 under the COP and two under the CMP that, *inter alia*: help operationalize the Warsaw International Mechanism for Loss and Damage; establish the Lima work programme on gender; and adopt the Lima Declaration on Education and Awareness Raising. The Lima Climate Change Conference was able to lay the groundwork for Paris next year, by capturing progress made in elaborating the elements of a draft negotiating text for the 2015 agreement and adopting a decision on INDCs, including their scope, upfront information, and steps to be taken by the Secretariat after their submission.

A BRIEF HISTORY OF THE UNFCCC AND THE KYOTO PROTOCOL

The international political response to climate change began with the adoption of the UNFCCC in 1992, which sets out a framework for action aimed at stabilizing atmospheric concentrations of greenhouse gases (GHGs) to avoid “dangerous anthropogenic interference with the climate system.” The Convention, which entered into force on 21 March 1994, now has 196 parties.

In December 1997, delegates to the third session of the COP in Kyoto, Japan, agreed to a protocol to the UNFCCC that committed 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 GHGs by an average of 5% below 1990 levels in 2008-2012 (first commitment period), with specific targets varying from country to country. The Kyoto Protocol entered into force on 16 February 2005, and now has 192 parties.

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LONG-TERM NEGOTIATIONS, 2005-2009: Convening in Montreal, Canada, in 2005, the first session of the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP 1) decided to establish the *Ad Hoc* Working Group on Annex I Parties' Further Commitments under the Kyoto Protocol (AWG-KP) in accordance with Protocol Article 3.9, which mandated consideration of Annex I parties' further commitments at least seven years before the end of the first commitment period.

In December 2007, COP 13 and CMP 3 in Bali, Indonesia, resulted in agreement on the Bali Roadmap on long-term issues. COP 13 adopted the Bali Action Plan (BAP) and established the *Ad Hoc* Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) with a mandate to focus on mitigation, adaptation, finance, technology and a shared vision for long-term cooperative action. Negotiations on Annex I parties' further commitments continued under the AWG-KP. The deadline for concluding the two-track negotiations was in 2009 in Copenhagen.

COPENHAGEN: The UN Climate Change Conference in Copenhagen, Denmark, took place in December 2009. The high-profile event was marked by disputes over transparency and process. 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. After 13 hours of debate, delegates ultimately agreed to "take note" of the Copenhagen Accord and to extend the mandates of the negotiating groups until COP 16 and CMP 6 in 2010. In 2010, over 140 countries indicated support for the Accord. More than 80 countries also provided information on their national mitigation targets or actions.

CANCUN: The UN Climate Change Conference in Cancun, Mexico, took place in December 2010, where parties finalized the Cancun Agreements and extended the mandates of the two AWGs for another year. Under the Convention track, Decision 1/CP.16 recognized the need for deep cuts in global emissions in order to limit the global average temperature rise to 2°C above pre-industrial levels. Parties agreed to consider strengthening the global long-term goal during a review by 2015, including in relation to a proposed 1.5°C target. Decision 1/CP.16 also addressed other aspects of mitigation, such as: measuring, reporting and verification (MRV); and 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 (REDD+).

The Cancun Agreements also established several new institutions and processes, including the Cancun Adaptation Framework, the Adaptation Committee and the Technology Mechanism, which includes the Technology Executive Committee and the Climate Technology Centre and Network. The Green Climate Fund (GCF) was created and designated as an operating entity of the Convention's financial mechanism.

Under the Protocol track, the CMP urged Annex I parties to raise the level of ambition towards achieving aggregate emission reductions, and adopted Decision 2/CMP.6 on land use, land-use change and forestry.

DURBAN: The UN Climate Change Conference in Durban, South Africa, took place from 28 November to 11 December 2011. The Durban outcomes covered a wide range of topics,

notably the agreement to establish a second commitment period under the Kyoto Protocol, a decision on long-term cooperative action under the Convention and agreement on the operationalization of the GCF. Parties also agreed to launch the ADP with a mandate "to develop a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties." The ADP is scheduled to complete these negotiations by 2015, with the new instrument entering into force in 2020. In addition, the ADP was mandated to explore actions to close the pre-2020 ambition gap in relation to the 2°C target.

DOHA: The UN Climate Change Conference in Doha, Qatar, took place in November and December 2012. The conference resulted in a package of decisions, referred to as the "Doha Climate Gateway." These include amendments to the Kyoto Protocol to establish its second commitment period and agreement to terminate the AWG-KP's work in Doha. The parties also agreed to terminate the AWG-LCA and negotiations under the BAP. A number of issues requiring further consideration were transferred to the SBI and the SBSTA, such as: the 2013-2015 Review of the global goal; developed and developing country mitigation; the Kyoto Protocol's flexibility mechanisms; national adaptation plans; MRV; market and non-market mechanisms; and REDD+.

WARSAW: The Warsaw Climate Change Conference took place from 11-23 November 2013, in Warsaw, Poland. Negotiations focused on the implementation of agreements reached at previous meetings, including pursuing the work of the ADP. The meeting adopted an ADP decision that invites parties to initiate or intensify domestic preparations for their INDCs, and resolves to accelerate the full implementation of the BAP and pre-2020 ambition. Parties also adopted a decision establishing the Warsaw International Mechanism on Loss and Damage, and the Warsaw REDD+ Framework—a series of seven decisions on REDD+ finance, institutional arrangements and methodological issues.

ADP 2-4: The fourth meeting of ADP 2 (ADP 2-4) took place from 10-14 March 2014 in Bonn, Germany. Under workstream 1 (2015 agreement), the meeting convened in open-ended consultations on agenda item 3, which addressed: adaptation; INDCs; finance, technology and capacity building (means of implementation); ambition and equity; mitigation; transparency of action and support; and other issues related to elements. An in-session workshop addressed domestic preparations for INDCs. Under workstream 2 (pre-2020 ambition), technical expert meetings (TEMs) on renewable energy and energy efficiency convened.

BONN INTERSESSIONAL MEETINGS: The Bonn Climate Change Conference took place in Bonn, Germany, from 4-15 June 2014, and included the 40th sessions of the SBI and SBSTA, and the fifth meeting of the second session of the ADP (ADP 2-5). During the meeting, parties advanced negotiations on the ADP and prepared draft decisions to be submitted to the COP and CMP in Lima. Ministers participated in two high-level events, a High-Level Ministerial Roundtable under the Kyoto Protocol, which aimed to assess implementation of the Protocol and provide ministers with an opportunity to increase their countries' quantified emission limitation and reduction commitments, and a High-Level Ministerial Dialogue on the

Durban Platform for Enhanced Action aimed to raise pre-2020 ambition and provide momentum for negotiations on the 2015 agreement.

ADP 2-6: The sixth meeting of ADP 2 took place in Bonn from 20-25 October 2014. Under workstream 1, countries continued to elaborate the elements of a draft negotiating text, which will serve as the foundation for the final construction of the 2015 agreement, and considered a “non-paper” on parties’ views and proposals on the elements for a draft negotiating text. The ADP also worked on a draft decision that captures the type of information countries will provide when they communicate their INDCs and how these contributions will potentially be considered. Under workstream 2, TEMs focused on: opportunities for action on non-CO2 GHGs; carbon capture, use and storage; and follow-up to TEMs on unlocking mitigation opportunities through energy efficiency, renewable energy, urban environment and land use improvements in the pre-2020 period. Countries also addressed a draft decision on pre-2020 ambition.

LIMA CLIMATE CHANGE CONFERENCE REPORT

On Monday, 1 December, COP 19/CMP 9 President Marcin Korolec welcomed delegates to the joint COP/MOP opening ceremony highlighting several significant outcomes of COP 19 and lauding early engagement by Peru and France, which is allowing “the trio to make the road to Paris a smooth highway.”

Peru’s Minister of Environment Manuel Pulgar-Vidal said COP 20 should increase trust, create space for dialogue between state and non-state actors, and lay groundwork for a new climate agreement through a draft text balancing climate action and sustainable development.

Stressing the key role of large cities in combating climate change, Susana Villarán de la Puente, Mayor of Lima, Peru, highlighted the commitment of mayors worldwide to push for a new mobility paradigm, change the energy matrix and invest in green infrastructure.

Pointing to the lines and geoglyphs of Nazca, Peru, UNFCCC Executive Secretary Christiana Figueres encouraged parties to, *inter alia*: draft a new universal agreement; achieve progress on adaptation; and strengthen the financial capacity of the most vulnerable.

Via recorded video message, President of Peru Ollanta Humala lamented that humanity has “left behind the practice of sustainability” and said now is the time to return to the right path by taking action on climate change.

Presenting the key findings of the Synthesis Report (SYR) of the Fifth Assessment Report (AR5) of the Intergovernmental Panel on Climate Change (IPCC), Rajendra Pachauri, IPCC Chair, stressed that remaining below the 2°C target will require that GHG emissions decline by 40-70% by 2050, relative to 2010 levels, and reach zero or negative levels by 2100.

This report summarizes the discussions by the COP, CMP, SBI, SBSTA and ADP based on their respective agendas. Negotiations and outcomes under the COP and CMP on issues forwarded to the SBI, SBSTA and ADP are summarized in the context of negotiations under the relevant subsidiary body.

CONFERENCE OF THE PARTIES

On Monday, 1 December, Manuel Pulgar-Vidal, Minister of Environment, Peru, was elected as the COP 20/CMP 10 President by acclamation.

ORGANIZATIONAL MATTERS: Parties agreed to apply the draft rules of procedure (FCCC/CP/1996/2) with the exception of draft rule 42 on voting.

The COP adopted the agenda as proposed (FCCC/CP/2014/1), with the agenda item on the second review of the adequacy of Convention Articles 4.2(a) and (b) (developed countries’ mitigation) held in abeyance. The COP also agreed to the organization of work. The COP referred to the SBI the agenda item on non-Annex I parties’ membership to the Consultative Group of Experts on National Communications from non-Annex I Parties (CGE). Parties agreed to the accreditation of observer organizations (FCCC/CP/2014/4).

Election of Officers Other than the President: COP President Pulgar-Vidal indicated that consultations on the election of officers would be conducted. On Saturday, 13 December, the COP closing plenary elected members of the COP Bureau: SBSTA Chair Tomasz Chruszczow (Poland); SBI Chair Amena Yauvoli (Fiji); COP Rapporteur Johanna Lissinger-Peitz (Sweden); Ismail Elgizouli (Sudan); Cheikh Ndiaye Sylla (Senegal); Ravi Shanker Prasad (India); Oleg Shamanov (Russian Federation); Jaime Hermida Castillo (Nicaragua); and Jo Tyndall (New Zealand). Su Wei (China) will remain in office pending election of his successor.

The COP also elected the SBSTA Bureau, with Carlos Fuller (Belize) as Vice-Chair, and the SBI Bureau, with Guoshun Sun (China) as Vice-Chair and Sidat Yaffa (the Gambia) as Rapporteur.

The COP also elected the members of the Adaptation Committee, the Adaptation Fund Board (AFB), the Advisory Board of the Climate Technology Centre and Network (CTCN), the Clean Development Mechanism Executive Board (CDM EB), the Consultative Group of Experts (CGE), the Compliance Committee, the Joint Implementation Supervisory Committee (JISC), the Standing Committee on Finance (SCF), the Technology Executive Committee (TEC), and the Executive Committee of the Warsaw International Mechanism for Loss and Damage. Consultations will continue on the outstanding nominations. The list is available on the UNFCCC website.

Dates and Venues of Future Sessions: On Friday, 12 December, the COP adopted a decision on future sessions (FCCC/CP/2014/L.8), noting the expression of interest from Morocco to host COP 22 and CMP 12 from 7-18 November 2016 and requesting the Secretariat to initiate a fact-finding mission to Morocco and to report to the COP/CMP Bureau by June 2015 on whether all logistical, technical, legal and financial elements for hosting the sessions are available. Minister Ouafae Dehmani (Morocco) stressed the importance of operationalizing the new agreement and said that Morocco will be “the COP for action.”

Adoption of the Report on Credentials: On Friday, 12 December, the COP adopted the report on credentials (FCCC/CP/2014/9-FCCC/KP/CMP/2014/8), with the Bahamas saying their credentials had been communicated electronically to the Secretariat, which was noted.

REPORT OF THE SUBSIDIARY BODIES: On Friday, 12 December, the COP adopted the reports of SBSTA 40 and SBSTA 41 (FCCC/SBSTA/2014/2 and Add.1, and FCCC/SBSTA/2014/L.20) and the reports of SBI 40 and SBI 41 (FCCC/SBI/2014/8 and Add.1, and FCCC/SBI/2014/L.25). The SBI recommended, and the COP agreed that the REDD information hub, established by Decision 9/CP.19 (Warsaw REDD+ Framework), be called the Lima Information Hub for REDD.

REPORT OF THE ADP: On Saturday, 13 December, the COP adopted the report of ADP 2-7 during the closing plenary.

CONSIDERATION OF PROPOSALS BY PARTIES UNDER ARTICLE 17 OF THE CONVENTION: On Friday, 12 December, parties agreed that consideration of this item (FCCC/CP/2009/3-7 and FCCC/CP/2010/3) will continue at COP 21.

CONSIDERATION OF PROPOSALS BY PARTIES FOR AMENDMENTS TO THE CONVENTION UNDER ARTICLE 15: Proposal from the Russian Federation: This item (FCCC/CP/2011/5) was first considered on Wednesday, 3 December. COP 20 President Pulgar-Vidal proposed, and parties agreed to, informal consultations co-facilitated by Antonio García (Peru) and Augusto Cabrera Rebaza (Peru).

On Friday, 12 December, parties agreed to continue consideration of this issue at COP 21.

Proposal from Papua New Guinea and Mexico: This item (FCCC/CP/2011/4/Rev.1) was first considered on Wednesday, 3 December. COP 20 President Pulgar-Vidal proposed, and parties agreed to, informal consultations co-facilitated by Antonio García and Augusto Cabrera Rebaza.

On Friday, 12 December, parties agreed to continue consideration of this issue at COP 21.

REPORT OF THE ADAPTATION COMMITTEE: These discussions are summarized under the SBI agenda item on the Report of the Adaptation Committee (see page 14).

WARSAW INTERNATIONAL MECHANISM FOR LOSS AND DAMAGE ASSOCIATED WITH CLIMATE CHANGE IMPACTS: The discussions are summarized under the SBI agenda item on the Warsaw International Mechanism for Loss and Damage (see page 14).

DEVELOPMENT AND TRANSFER OF TECHNOLOGIES AND IMPLEMENTATION OF THE TECHNOLOGY MECHANISM (TM): Joint Annual Report of the TEC and the CTCN: The discussions are summarized under the SBI agenda item on the Joint Annual Report of the TEC and CTCN (see page 16).

Linkages between the TM and the Financial Mechanism of the Convention: This item (FCCC/CP/2014/6 and 8) was first addressed on Wednesday, 3 December. COP 20 President Pulgar-Vidal proposed, and parties agreed to, informal consultations co-facilitated by Carlos Fuller (Belize) and Elfriede-Anna More (Austria).

The co-facilitators reported to the COP that the parties were unable to reach agreement and the COP decided that this sub-item be included in the provisional agenda for COP 21.

Stressing the importance of this sub-item for the implementation of the Convention, China lamented the lack of agreement and called for clearly establishing the link between

the two mechanisms in order to support technical cooperation and open the way for climate technologies.

2013-2015 REVIEW: The discussions are summarized under the SBI agenda item on the 2013-2015 Review (see page 17).

SECOND REVIEW OF THE ADEQUACY OF ARTICLE 4, PARAGRAPH 2(A) AND (B), OF THE CONVENTION: This item was held in abeyance.

MATTERS RELATING TO FINANCE: This item was first considered on Wednesday, 3 December. COP 20 President Pulgar-Vidal invited parties to address sub-items on long-term climate finance, reports of the SCF, the GCF and the Global Environment Facility (GEF), and the fifth review of the financial mechanism.

Pulgar-Vidal proposed, and parties agreed to, a contact group on long-term climate finance and the report of the SCF co-chaired by Tosi Mpanu Mpanu (Democratic Republic of the Congo) and Dany Drouin (Canada), and a contact group on the reports of and guidance to the GCF and GEF, and the fifth review of the financial mechanism co-chaired by Ayman Shasly (Saudi Arabia) and Stefan Schwager (Switzerland).

On the GCF, Zambia called for speeding up direct access modalities for disbursement of funds, and accreditation and support to national entities.

Climate Justice Now!, for Environmental NGOs (ENGOs), called for addressing developing countries' needs if the change from "brown to green" economies is to be achieved.

Business and Industry NGOs stressed the importance of establishing credible and transparent MRV systems and avoiding double counting.

Uruguay said the Inter-American Institute for Global Change Research is ready to cooperate with the UNFCCC.

Egypt, for the African Group, said long-term climate finance should not be confined to US\$100 billion annually and called for discussing a strategic approach to finance, including addressing sources, predictability, adequacy and stability, and ways to deliver the necessary scale of finance needed to stay below 2°C.

Panama suggested taking advantage of the Adaptation Fund.

On Thursday, 4 December, in the contact group on long-term climate finance and the report of the SCF, Co-Chairs Tosi Mpanu Mpanu and Dany Drouin introduced the report of the SCF (FCCC/CP/2014/5).

Bolivia, for the Group of 77 and China (G-77/China), said MRV of support is also being discussed in the ADP and called for: coherence and coordination; clarity on the level of financial support to developing countries; guidance on the third forum of the SCF; and finance for forests.

The US suggested addressing deliverables and, with the European Union (EU), highlighted the GCF's initial capitalization of US\$9.7 billion prior to Lima.

In the contact group on reports of and guidance to the GCF and GEF, and fifth review of the financial mechanism, Co-Chairs Ayman Shasly and Stefan Schwager introduced documents (FCCC/CP/2014/2 and Add.1, and FCCC/CP/2014/5 and 8).

Bolivia, for the G-77/China, noted the important work of the Adaptation Fund. The EU noted other agenda items have financial dimensions, including adaptation, and suggested discussing those in the contact group on climate finance.

Early on Saturday, 13 December, a contact group convened, chaired by Rosa Morales (Peru), on behalf of the COP 20 President. Edward Davey (UK) and Edna Molewa (South Africa) briefed parties on ministerial consultations, noting they had: met with parties on Thursday and produced draft text on this basis; undertaken another consultation process on Friday evening; and based the five draft decision documents on these consultations. The contact group was suspended early Saturday after addressing the report of the SCF, the report of and guidance to the GEF, and the fifth review of the financial mechanism. The contact group reconvened at 11:46 am on Saturday to consider long-term climate finance and the report of and guidance to the GCF, with Chair Morales noting the texts were the result of ministerial consultations. After some discussion, the rest of the decisions on long-term climate finance and report of and guidance to the GCF were forwarded to COP 20 for consideration by the contact group. The contact group closed at 2:08 pm.

Long-Term Climate Finance: On Wednesday, 3 December, COP 20 President Pulgar-Vidal invited parties to consider the summary of the in-session workshop on long-term climate finance in 2014 (FCCC/CP/2014/3) and provide guidance on organization of future workshops. On Saturday, 13 December, the contact group agreed to forward a draft decision, with minor amendments to reflect previously agreed language, to COP 20 for consideration.

During the COP closing plenary on Saturday, December 13, parties adopted the decision.

Final Outcome: In its decision (FCCC/CP/2014/L.13), the COP welcomes: the pledges to the GCF and to the sixth replenishment of the GEF, and contributions to the Least Developed Country (LDC) Fund (LDCF), the Special Climate Change Fund (SCCF), and the Adaptation Fund; and the biennial submissions received to date from developed country parties on updated strategies and approaches for scaling up climate finance from 2014 to 2020, as contained in Decision 3/CP.19, paragraph 10, and urges those developed countries that have not yet done so, to do so.

The COP also, *inter alia*:

- calls on developed countries to channel a substantial share of public climate funds to adaptation activities;
- requests parties to continue to enhance their enabling environments and policy frameworks to facilitate the mobilization and effective deployment of climate finance, in accordance with decision 3/CP.19;
- recognizes that developed countries commit, in the context of meaningful mitigation actions and transparency on implementation, to a goal of mobilizing jointly US\$100 billion per year by 2020 to address the needs of developing countries;
- requests developed countries, in preparing their next round of updated biennial submissions on strategies and approaches for scaling up climate finance for the period 2016-2020, to enhance the available quantitative and qualitative elements of a pathway, placing greater emphasis on transparency and predictability of financial flows;
- requests the Secretariat to prepare a compilation and synthesis of the biennial submissions on the strategies and approaches, to inform the in-session workshops, and to organize annual in-session workshops through to 2020 and to prepare a

summary report of the workshops for annual consideration by the COP and the high-level ministerial dialogue on climate finance; and

- decides that the in-session workshops will, in 2015 and 2016, focus on the issues of adaptation finance, needs for support to developing countries, and cooperation on enhanced enabling environments and support for readiness activities.

Report of the Standing Committee on Finance: On Wednesday, 3 December, SCF Co-Chairs Stefan Schwager (Switzerland) and Diann Black-Layne (Antigua and Barbuda) introduced the report (FCCC/CP/2014/5 and Add.1). On Saturday, 13 December, the contact group agreed to forward a draft decision without amendments to COP 20 for consideration. During the COP closing plenary on Saturday, parties adopted the decision.

Final Outcome: In its decision (FCCC/CP/2014/L.10), the COP welcomes: the report of the SCF; the transparency and openness with which the SCF conducts its work; the successful completion of the 2014 biennial assessment and overview of climate finance flows, noting the related report; the 2014 SCF forum on the mobilization of adaptation finance, taking note of the related report; and the inputs of the TEC and the Adaptation Committee to the work of the SCF in preparing elements of draft guidance to the operating entities. The COP also, *inter alia*:

- endorses the SCF workplan for 2015, and the recommendations on the provision of guidance to the operating entities provided in paragraph 10 of the SCF report to the COP;
- decides to conduct the review of the functions of the SCF no later than COP 23;
- requests relevant technical bodies to consider the recommendations contained in the report of the 2014 biennial assessment of climate finance as part of their related deliberations; and
- looks forward to the third forum of the SCF, in 2015, focusing on issues related to finance for forests.

The COP furthermore requests the SCF to:

- consider the findings and recommendations of the biennial assessment in its annual report to the COP 21, with a view to recommending improvements to the methodologies for reporting financial information;
- further explore ways to enhance its work on the MRV of support, based on best available information on the mobilization of various resources, including private and alternative resources, through public interventions;
- include, in its report to COP 21, information on progress made in the implementation of its 2015 workplan; and
- consider issues related to possible future institutional linkages and relations between the Adaptation Fund and other institutions under the Convention, and guidance provided to it in other COP decisions.

Report of the GCF to the COP and Guidance to the GCF: On Wednesday, 3 December, GCF Board Co-Chair Ayman Shasly (Saudi Arabia) introduced the report (FCCC/CP/2014/18). On Saturday, 13 December, the contact group agreed to forward a draft decision, with an amendment to delete reference to the private sector facility from a paragraph requesting the GCF Board to accelerate the operationalization of the adaptation and

mitigation windows, to COP 20 for consideration. During the COP closing plenary on Saturday, 13 December, parties adopted the decision.

Final Outcome: In its decision (FCCC/CP/2014/L.12), the COP welcomes the successful and timely initial resource mobilization process of the GCF that led to the mobilization of US\$10.2 billion to date by contributing parties, enabling the GCF to start its activities to support developing country parties to the Convention, and making it the largest dedicated climate fund. The COP also, *inter alia*:

- requests the GCF to ensure that the ongoing resource mobilization efforts are commensurate with the ambitions of the Fund, and calls for contributions by other developed countries, and invites financial inputs from a variety of other sources, public and private, including alternative sources, throughout the initial resource mobilization process; and
- urges the GCF, the Interim Trustee, and contributors to confirm the pledges in the form of fully executed contribution agreements/arrangements, taking note that the commitment authority of the GCF will become effective when 50% of the contributions pledged by the November 2014 pledging session are reflected in fully executed contribution agreements/arrangements received by the Secretariat no later than 30 April 2015.

Moreover, the COP requests the GCF Board to:

- accelerate the operationalization of the adaptation and mitigation windows, and to ensure adequate resources for capacity building and technology development and transfer;
- accelerate the operationalization of the private sector facility by aiming to ensure that private sector entities and public entities with relevant experience in working with the private sector are accredited in 2015, expediting action to engage local private sector actors in developing countries, including small- and medium-sized enterprises in the LDCs, small island developing states (SIDS) and African states, emphasizing a country-driven approach, expediting action to mobilize resources at scale, and developing a strategic approach to engaging with the private sector;
- complete, in the implementation of its 2015 workplan, its work related to policies and procedures to accept financial inputs from non-public and alternative sources, the investment and risk management frameworks of the GCF, the impact analysis on its initial results areas, including options for determining the Board-level investment portfolios across the structure of the Fund, and the approval process of the Fund, including methodologies for selecting programmes and projects that best achieve its objectives;
- consider ways to further increase the transparency of its proceedings;
- accelerate the implementation of its work programme on readiness and preparatory support, ensuring that adequate resources are provided for its execution, including from the initial resource mobilization process, providing urgent support to developing countries, in particular LDCs, SIDS and African states, led by their national designated authorities or focal points to build institutional capacities;
- consider, when deciding its policies and programme priorities, the information and lessons learned through engagement with

other relevant bodies under the Convention, and other relevant international institutions;

- further enhance the participation of all stakeholders;
- develop a monitoring and accountability framework;
- consider decisions relevant to REDD+;
- make available its annual report in a timely manner, and no later than 12 weeks prior to a COP session; and
- report to COP 21 on progress made in the implementation of this decision.

The COP also:

- requests the GCF to enhance its collaboration with existing funds under the Convention and other climate relevant funds in order to enhance the complementarity and coherence of policies and programming at the national level;
- urges the GCF to ensure that staff selection is open, transparent and based on merit without discrimination, taking into account geographical and gender balance;
- urges developing countries to enter into bilateral agreements with the GCF based on the template to be approved by the GCF Board, in order to provide privileges and immunities for the Fund; and
- requests the GCF to include in its annual report to the COP the recommendations of its independent redress mechanism, if any, and any actions taken by the Board in response to those recommendations.

Report of the GEF to the COP and Guidance to the GEF:

On Wednesday, 3 December, Chizuru Aoki, GEF, introduced the report (FCCC/CP/2014/2 and Add.1). On Saturday, 13 December, the contact group agreed to forward a draft decision with minor amendments to COP 20 for consideration. During the COP closing plenary, parties adopted the decision.

Final Outcome: In its decision (FCCC/CP/2014/L.11), the COP welcomes: the sixth replenishment of the GEF, while urging countries that have not fulfilled their pledges for the fifth replenishment to do so as soon as possible; the pledges and contributions made to the LDCF and the SCCF, calling for continued support to these funds; and the GEF's gender mainstreaming policy. The COP also, *inter alia*:

- notes that the amount of funding available for the climate change focal area was reduced in the GEF's sixth replenishment period, and that the allocation of some countries, including some LDCs, SIDS, and African states, has decreased as a consequence;
- takes note of the GEF's policy on co-financing, and the concerns raised by some parties regarding its implementation;
- invites parties to submit annually to the Secretariat their views and recommendations on the elements to be taken into account in developing guidance to the GEF, and requests the SCF to take into consideration these submissions when providing draft guidance to the GEF for consideration by the COP; and
- encourages the GEF to, *inter alia*, continue work on improving its project cycle, increase the overall transparency and openness of its operations, and improve the communication of its co-financing policy.

The COP also requests the GEF to:

- ensure that gender mainstreaming is implemented both within its portfolio and its structure;

- 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 Convention Article 12.1 (communication of information related to implementation); and
- include in its annual report to the COP information on the steps it has taken to implement the guidance provided in the decision.

Fifth Review of the Financial Mechanism: On Wednesday, 3 December, COP 20 President Pulgar-Vidal introduced this item (FCCC/CP/2014/5 and FCCC/CP/2013/INF.1). On Saturday, 13 December, the contact group agreed to forward a draft decision without amendments to COP 20 for consideration. During the COP closing, parties adopted the decision.

Final Outcome: In its decision (FCCC/CP/2014/L.9), the COP welcomes the progress made by the GCF Board in operationalizing the GCF, and notes that the fifth review of the financial mechanism focused on the GEF, as the GCF is still developing its operations. The COP also, *inter alia*:

- welcomes the expert input to the fifth review of the financial mechanism provided by the SCF and encourages the SCF to build on the same methodology and criteria in future reviews of the mechanism;
- encourages the operating entities of the financial mechanism to address these recommendations in their future work;
- recognizes the general positive assessment of the performance of the GEF, but notes that the LDCs and SIDS still experience challenges in accessing GEF resources;
- decides to consider the timing of guidance provided by the COP to the operating entities of the financial mechanism in order to ensure that key guidance is fully considered in the programming strategies and policy recommendations associated with the replenishment cycles of these entities;
- decides to initiate the sixth review of the financial mechanism at COP 22 in accordance with the criteria contained in the guidelines annexed to Decision 8/CP.19 (fifth review of the financial mechanism), or as subsequently amended; and
- requests the SCF to provide expert input to the sixth review of the financial mechanism in 2017 with a view to the review being completed by COP 23.

Further Guidance to the LDCF: These discussions are summarized under the SBI agenda item on further guidance to the LDCF (see page 16).

REPORTING FROM AND REVIEW OF PARTIES INCLUDED IN ANNEX I TO THE CONVENTION: These discussions are summarized under the SBI agenda item on reporting from and review of Annex I parties (see page 12).

REPORTING FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION: These discussions are summarized under the SBI agenda item on Reporting from Non-Annex I Parties (see page 12).

CAPACITY BUILDING UNDER THE CONVENTION: These discussions are summarized under the SBI agenda item on capacity building under the Convention (see page 17).

IMPLEMENTATION OF ARTICLE 4, PARAGRAPHS 8 AND 9, OF THE CONVENTION: Implementation of the Buenos Aires Programme of Work on Adaptation and

Response Measures (Decision 1/CP.10): These discussions are summarized under the SBI agenda item on Decision 1/CP.10 (see page 17).

Matters Relating to the LDCs: These discussions are summarized under the SBI agenda item on matters relating to the LDCs (see page 14).

GENDER AND CLIMATE CHANGE: These discussions are summarized under the SBI agenda item on Gender and Climate Change (see page 18).

OTHER MATTERS REFERRED TO THE COP BY THE SUBSIDIARY BODIES: IPCC Fifth Assessment Report: These discussions are summarized under the SBSTA agenda item on the IPCC AR5 (see page 21).

Work Programme on the Revision of the Guidelines for the Review of Biennial Reports and National Communications, including National Inventory Reviews, for Developed Country Parties: These discussions are summarized under the SBSTA agenda item on the Work programme on the revision of guidelines for the review of Biennial Reports and National Communications, including National Inventory Reviews, for Developed Country Parties (See page 22).

National Adaptation Plans (NAPs): These discussions are summarized under the SBI agenda item on NAPs (see page 14).

ADMINISTRATIVE, FINANCIAL AND INSTITUTIONAL MATTERS: Audited Financial Statements for the Biennium 2012-2013: These discussions are summarized under the SBI agenda item on administrative, financial and institutional matters (see page 19).

Budget Performance for the Biennium 2014-2015: The discussions are summarized under the SBI agenda item on administrative, financial and institutional matters (see page 19).

Decision-Making in the UNFCCC Process: On Wednesday, 3 December, COP 20 Tomasz Chruszczow (Poland) reported on consultations on this issue during SB 40, saying the consultations were important to build trust. He said there was no common view on the need for a formal outcome.

COP 20 President Pulgar-Vidal proposed establishing a contact group. Saudi Arabia, the EU, India, Iraq and China, opposed by the Russian Federation, preferred informal consultations. The Russian Federation introduced a draft decision (FCCC/CP/2014/CRP.1), noting the critical juncture of the negotiations in the lead-up to Paris. Interested parties consulted informally on how to move forward. On Saturday, 13 December, parties adopted the decision.

Final Outcome: In its decision (FCCC/CP/2014/L.4), the COP, *inter alia*:

- decides to continue discussions on decision making in the UNFCCC process;
- requests the President, in collaboration with France as the host of COP 21, to undertake forward-looking, open-ended informal consultations on decision making in the UNFCCC process, in conjunction with SB 42, and to report to COP 21;
- agrees that sub-items under 2(b) (adoption of the rules of procedure) and 6(b) (proposal to amend Convention Articles 7 and 8) of the COP 20 agenda would continue to be considered under distinct and separate processes from this sub-item on decision-making in the UNFCCC process; and
- agrees to continue consideration of this sub-item at COP 21.

OTHER MATTERS: Education and Awareness Raising:

On Wednesday, 3 December, Poland outlined the joint Polish and Peruvian initiative for a Ministerial Declaration on Education and Awareness Raising at COP 20.

Mexico, the EU and the Dominican Republic welcomed the initiative. COP 20 President Pulgar-Vidal held consultations. On Saturday, 13 December, parties adopted the decision.

Highlighting the importance of educating societies on climate, COP 19/CMP 9 President Marcin Korolec (Poland) noted that he and the COP 20 Presidency promoted this ministerial declaration and “delivered something quite extraordinary.”

Final Outcome: In its decision (FCCC/CP/2014/L.1/Rev.1), the COP reaffirms the importance of Convention Article 6 (education, training and public awareness) and Protocol Article 10 (e) (education and training programmes). The COP also, *inter alia*:

- stresses that education, training, public awareness, participation and access to information, knowledge, and international cooperation play a fundamental role in meeting the ultimate objective of the Convention and in promoting climate-resilient sustainable development;
- reaffirms its commitment to promote and facilitate the development and implementation of educational and public awareness programmes on, *inter alia*, climate change and its effects;
- encourages governments to develop education strategies incorporating the issue of climate change in curricula, and to include awareness raising on climate change in national development and climate change strategies and policies;
- urges all parties to give increased attention to education, training, and public awareness, participation and access to information on climate change;
- expresses its resolve to cooperate and engage through complementary initiatives that aim to increase awareness and enhance education on climate change; and
- reaffirms its commitment to the implementation of the Doha work programme on Article 6 of the Convention.

CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE KYOTO PROTOCOL

On Monday, 1 December, CMP 10 President Manuel Pulgar-Vidal opened CMP 10.

ORGANIZATIONAL MATTERS: Parties adopted the agenda (FCCC/KP/CMP/2014/1) with minor changes.

On the election of replacement officers, CMP 10 President Pulgar-Vidal reported that he would undertake consultations on nominations. Parties also agreed to the organization of work.

On Saturday, 13 December, CMP 10 Vice-President Jorge Voto-Bernales (Peru) noted there is no need to elect replacement officers as all Bureau Members elected to the COP Bureau are parties to the Kyoto Protocol. The CMP also elected members and alternate members of AFB, CDM EB and JISC.

On Friday, 12 December, the CMP adopted the report on credentials (FCCC/CP/2014/9-FCCC/KP/CMP/2014/8), with the Bahamas saying their credentials had been communicated electronically to the Secretariat, which was noted.

Status of Ratification of the Doha Amendment to the Kyoto Protocol: This item was first considered in CMP plenary on Wednesday, 3 December.

UNFCCC Secretary Christiana Figueres noted that the Doha Amendment has only received 19 instruments of acceptance, saying it requires 125 more ratifications in order to enter into force. She called on those responsible for ratification of the amendment to speed up the process so that the only legally-binding instrument under the UNFCCC can continue.

Guyana and Palau announced that they ratified the Doha Amendment and will submit their instruments of acceptance shortly.

Bolivia, for the G-77/China, said the group expects Annex B parties to reconsider their commitments, making every effort to increase them with a view to eliminating the pre-2020 mitigation gap.

CMP 10 President Pulgar-Vidal announced he would conduct informal consultations with interested parties on acceleration of ratification.

During the CMP closing plenary on Friday, 12 December, CMP 10 Vice-President Voto-Bernales informed that two further instruments of acceptance have been received from Tuvalu and Nauru, and urged parties to accelerate ratification.

REPORTS OF THE SUBSIDIARY BODIES: Report of the SBSTA: On Friday, 12 December, the CMP adopted the reports of the SBSTA 40 and SBSTA 41 (FCCC/SBSTA/2014/2 and Add.1, and FCCC/SBSTA/2014/L.20) and SBI 41 (FCCC/SBI/2014/L.25) and SBI 40 (FCCC/SBI/2014/8 and Add.1), as amended.

ISSUES RELATING TO THE CLEAN DEVELOPMENT MECHANISM (CDM): This item (FCCC/KP/CMP/2014/5) was first considered on Wednesday, 3 December. Chair of the CDM EB Hugh Sealy (Barbados) called on parties to renew their commitment to the CDM by recognizing its strengths for results-based finance.

Zambia proposed continued reform of the operations of the CDM to achieve desired outcomes by addressing transparency, accountability and simplified project approval processes. The World Bank said the CDM is effectively channeling results-based climate finance and called on parties to use the CDM in the near term to help maintain the mechanism. Senegal said that CDM reform is critical for developing countries, particularly in Africa, noting that so far they have benefited very little from the mechanism.

CMP 10 President Pulgar-Vidal proposed, and parties agreed to, a contact group co-chaired by Jeffery Spooner (Jamaica) and Marko Berglund (Finland).

On Wednesday, 3 December, during the contact group delegates highlighted, *inter alia*, the need for: broader encouragement for parties and stakeholders to use the CDM; an analysis of the CDM as a useful mitigation tool; continuation of the CDM beyond 2020; standardized registration criteria; and enhancing the CDM to allow for voluntary cancellation.

ENGOS urged parties to address the fact that CDM projects still fail to fully respect human rights. Business and Industry NGOs called for, *inter alia*, progress on the review of modalities and procedures, continued development of standardized baselines, and a simplified accreditation process.

On Monday, 8 December, CMP informal consultations on this item were held throughout the day. In the afternoon, parties continued consideration of draft decision text prepared by the Co-Chairs paragraph by paragraph. Discussions focused on, *inter*

alia, interaction of the EB with Designated Operational Entities (DOEs) and DOEs' participation in the CDM, and requests to the EB to revise methodologies, prioritize work on simplifying methodologies and adjust crediting periods.

On Wednesday, 10 December, in the afternoon contact group, parties continued consideration of the draft decision text, but were unable to agree on items relating to, *inter alia*: baseline and monitoring methodologies and additionality; and registration of CDM project activities and issuance of certified emission reduction units (CERs), including the voluntary cancellation process. The contact group and informal consultations continued in the evening.

During the closing plenary on Friday, 12 December, parties adopted the decision.

Final Outcome: In its decision (FCCC/CP/CMP/2014/L.3), the CMP welcomes the CDM EB annual report for 2013-2014, expresses satisfaction with the progress of the CDM, and DOEs to carry out sector-specific validation and verification functions, as described in Annex I to the decision. The CMP also agrees to paragraphs on: baseline and monitoring methodologies and additionality; registration of CDM project activities and issuance of CERs; regional and subregional distribution; and resources for work on the CDM. On these, the CMP, *inter alia*:

- decides to allow the validation by a DOE and the submission for approval by the EB of a monitoring plan at any time up to the first request for issuance of CERs for all scales of project activities and programmes of activities (PoAs);
- requests the EB to further analyze options to allow the simplified registration of project activities and PoAs that qualify as automatically additional, and report back to CMP 11;
- requests the EB to analyze the implications, and possible provisions for ensuring environmental integrity, of allowing the same DOE to carry out validation and verification for the same project activity or PoA at all scales, and report back to CMP 11;
- requests the EB to consider adjusting and, if appropriate, implement the rules governing PoAs to reflect their special features in order to facilitate effective implementation and reduce associated transaction costs while ensuring environmental integrity, taking into account the implications for liability with regard to the issuance of CERs resulting from significant deficiencies in validation, verification and certification reports; and
- requests the EB to ensure prudent management of the resources of the CDM, and its ability to perform its duties in maintaining and developing the mechanism up to the end of the true-up period of the second commitment period of the Kyoto Protocol.

ISSUES RELATING TO JOINT IMPLEMENTATION

(JI): This item (FCCC/KP/CMP/2014/4) was first considered on Wednesday, 3 December.

JI Supervisory Committee Chair Piotr Dombrowicki (Poland) reported that activities under JI have been in severe decline, noting that mechanisms like JI will be critical to achieving more ambitious mitigation. He urged parties to take decisions in Lima to safeguard JI. CMP 10 President Pulgar-Vidal proposed, and parties agreed to, a contact group co-chaired by Yaw Osafo (Ghana) and Dimitar Nikov (France).

On Monday, 8 December, the CMP contact group met in the afternoon. Co-Chair Nikov introduced draft decision text revised on the basis of parties' submissions and inputs, which parties considered paragraph by paragraph.

Discussions focused on, *inter alia*: the need to ensure continued success of the mechanism in order to assist parties in meeting their commitments under the Kyoto Protocol's second commitment period; whether to request the Secretariat to prepare a technical paper on possible synergies between JI and the CDM; and options for incorporating mitigation beyond offsetting and considering transparent criteria for the application and quantification of such mitigation.

On Wednesday, 10 December, in the morning contact group, parties considered draft decision text paragraph by paragraph and exchanged views on, *inter alia*: the synthesis of voluntary technical approaches that could inform discussions under the SBI on review of JI guidelines; evaluation of national regulatory projects and related financial implications for the JISC; and collaboration between the CDM EB and the JISC on joint accreditation. Parties agreed to forward the draft decision, as amended, to the CMP for adoption.

During the CMP closing plenary on Friday, 12 December, parties adopted the decision.

Final Outcome: In its decision (FCCC/KP/CMP/2014/L.2), on guidance to the implementation of Protocol Article 6, the CMP, *inter alia*:

- takes note of the achievements of JI in 2006-2014, the JISC annual report for 2013-2014, and the ongoing work of the SBI on the review of the JI guidelines;
- reiterates its concern regarding the market situation faced by JI participants and the need to ensure the continued success of the mechanism in order to assist parties with commitments under the Doha Amendment in meeting them;
- requests the Secretariat to prepare a technical paper, for consideration at SBI 42, on the opportunities for cost savings and efficiencies for JI, and learning from the experiences of the CDM;
- invites parties to submit to the Secretariat, by 16 March 2015, examples of voluntary technical approaches that could assist the host parties in achieving their commitments under the Kyoto Protocol, and requests the Secretariat to synthesize these into a report for consideration at SBI 42;
- requests the JISC to submit elaborated recommendations, for consideration at SBI 42, on the review of the JI guidelines; and
- requests the JISC to ensure sufficient infrastructure and capacity for the mechanism's use by parties until at least the end of the additional period for fulfilling commitments under the second commitment period of the Kyoto Protocol, and to keep the JI management plan under review.

REPORT OF THE COMPLIANCE COMMITTEE:

This item was first considered on Wednesday, 3 December. Compliance Committee Chair Rueanna Haynes (Trinidad and Tobago) provided an update on the intersessional activities of the Committee, and the CMP took note of the report (FCCC/KP/CMP/2014/2).

ADAPTATION FUND: Report of the AFB: This item (FCCC/KP/CMP/2014/6) was first considered on Wednesday, 3 December.

AFB Chair Mamadou Honadia (Burkina Faso) outlined the activities of the Adaptation Fund and requested parties to provide guidance on options for mobilizing adequate, sustainable and predictable finance for the Fund.

Zambia noted that many countries are in the process of accrediting national implementing entities and called for a review of the requirements to make them simpler, yet robust. Uruguay stressed this is the only effective fund for adaptation finance and should not be overshadowed by new mechanisms.

CMP 10 Chair Pulgar-Vidal proposed, and parties agreed to a contact group co-chaired by Suzanty Sitorus (Indonesia) and Ana Fornells de Frutos (Spain).

On Wednesday, 10 December, the contact group considered text consolidated by the Co-Chairs based on parties' proposals.

Discussions focused on, *inter alia*: urging developed countries that have not completed the process of responding to the initial fundraising target to do so at the earliest opportunity; encouraging Annex I parties to provide funding to reach the target of US\$80 million per year in 2014-2015, and scale up funding from resources additional to the share of proceeds from CDM project activities, first international transfers of assigned amount units (AAUs) and the issuance of emission reduction units (ERUs); the bidding process for the selection of a permanent trustee for the Adaptation Fund; and to whom to direct the request for further support for the readiness programme.

A draft decision was forwarded to the CMP, which adopted it on Friday, 12 December.

Final Outcome: In its decision (FCCC/KP/CMP/2014/L.5), the CMP welcomes the report of the AFB, noting with concern the level of market prices for CERs and their impact on funding from the Adaptation Fund. The CMP also, *inter alia*:

- adopts the amendment to the terms and conditions of services to be provided by the World Bank as a trustee for the Adaptation Fund;
- notes cumulative receipts of US\$407.9 million into the Adaptation Fund Trust Fund;
- notes that pledges have surpassed the initial AFB fundraising target of US\$100 million for 2012-2013, and urges those developed countries that responded to the initial AFB fundraising target but have not completed the process to do so;
- welcomes the AFB resource mobilization strategy target of US\$80 million per year in 2014 and 2015, and continues to encourage Annex I parties to provide funding to support this target, and to scale up funding from additional sources;
- invites further support for the AFB readiness programme for direct access to climate finance in accordance with the decision on the second review of the Adaptation Fund; and
- requests the AFB, in its future reports to the CMP, to provide further clarity on the effect of the fluctuation of CERs, including on the resources available to the Fund, and to continue its work on options for permanent institutional arrangements for the secretariat and trustee.

Second Review of the Adaptation Fund: Discussions on this item are summarized under the SBI agenda item on the Second Review of the Adaptation Fund (see page 15).

REPORT ON THE HIGH-LEVEL MINISTERIAL ROUND TABLE ON INCREASED AMBITION OF THE KYOTO PROTOCOL COMMITMENTS: This item (FCCC/KP/CMP/2014/3) was first considered on Wednesday, 3 December.

Bolivia, for the G-77/China, with China, Cuba, South Africa, Egypt, India, Iraq and Saudi Arabia, proposed that a contact group consider how to follow up on the high-level roundtable that took place at SB 40.

China recalled that no commitments to increase ambition were made at the roundtable, stressing that increased ambition is critical for building trust.

Australia, New Zealand and the EU said they are not ready to agree to a contact group at this time.

The EU said it will complete ratification of the Doha Amendment as early in 2015 as possible.

Climate Action Network (CAN), for ENGOs, emphasized the importance of the Kyoto Protocol as a rules-based instrument, stressing that there should be no backsliding on commitments. Climate Justice Now!, for ENGOs, lamented that the EU has yet to ratify the Doha Amendment.

CMP 10 President Pulgar-Vidal said he will consult informally on how to proceed. On Saturday, 6 December, he reported that no agreement had been reached during informal consultations on whether to form a contact group on this issue.

A contact group was supported by Bolivia, for the G-77/China, and opposed by Australia, Switzerland, the EU and Norway. Informal consultations continued.

During the CMP closing plenary on Friday, 12 December, CMP 10 Vice-President Voto Bernales reported no agreement had been reached and that this item would be included in the provisional agenda of CMP 11.

REPORTING FROM AND REVIEW OF PARTIES INCLUDED IN ANNEX I: National Communications: These discussions are summarized under the SBI agenda items on Annex I National Communications and GHG Inventory Data (see page 12).

Date of the Completion of the Expert Review Process under Article 8 of the Kyoto Protocol for the First

Commitment Period: The CMP considered the draft decision on this item recommended by SBI 40 (FCCC/SBI/2014/8/Add.1). During the CMP closing plenary on Friday, 12 December, the CMP adopted the decision.

Final Outcome: In its decision (FCCC/SBI/2014/8/Add.1), the CMP, *inter alia*:

- decides that the expert review process under Protocol Article 8 for the last year of the first commitment period shall be completed by 10 August 2015 and decides that, if the expert review process is not completed by this date, it shall continue, and the date of completion shall be the date of publication of the last inventory review report for the last year of the first commitment period;
- urges the Secretariat to expedite the review process to satisfy this deadline;
- decides that the report upon expiration of the additional period for fulfilling commitments for the first commitment period, covering the information required in Decision 13/CMP.1, annex, paragraph 49, using the standard electronic format tables as agreed in Decision 14/CMP.1, shall be submitted

as soon as practicable but not later than 45 days after the expiration of the additional period for fulfilling commitments for the first commitment period (hereinafter referred to as the true-up period);

- also decides that the Secretariat shall produce, in electronic format, on 30 September 2015 and every four weeks thereafter, until the month of the completion of the true-up period, the following information for each party with a commitment in Annex B for the first commitment period, indicating clearly the source of this information;
- further decides that this information should include the total quantity of aggregated holdings in the CDM registry; and
- decides that information on the review processes remaining to be completed should be provided by the Secretariat.

Annual Compilation and Accounting for Annex B Parties under the Kyoto Protocol: These discussions are summarized under the SBI agenda item on the annual compilation and accounting for parties under the Kyoto Protocol (see page 12).

CLARIFICATION OF THE TEXT IN SECTION G (ARTICLE 3.7 TER) OF THE DOHA AMENDMENT TO THE KYOTO PROTOCOL, IN PARTICULAR THE INFORMATION TO BE USED TO DETERMINE THE “AVERAGE ANNUAL EMISSIONS FOR THE FIRST THREE YEARS OF THE PRECEDING COMMITMENT PERIOD”: These discussions are summarized under the SBSTA agenda item on clarification of the text in Section G (Article 3.7ter) of the Doha Amendment to the Kyoto Protocol (see page 24).

CAPACITY BUILDING UNDER THE KYOTO PROTOCOL: These discussions are summarized under the SBI agenda item on capacity building under the Kyoto Protocol (see page 17).

MATTERS RELATING TO ARTICLE 2.3 AND ARTICLE 3.14 OF THE KYOTO PROTOCOL: These discussions are summarized under the SBI agenda item on Article 3.14 (see page 17).

OTHER MATTERS REFERRED TO THE CMP BY THE SUBSIDIARY BODIES: Synergy Relating to Accreditation under the Mechanisms of the Kyoto Protocol: On Friday, 12 December, this draft decision (FCCC/SBI/2014/8/Add.1), forwarded to CMP 10 by SBI 40, was considered for adoption.

Highlighting “logical inconsistencies” between requesting the CDM EB and the JISC to “consider” the establishment of a joint accreditation mechanism and the mandate to “jointly develop and apply” the mechanism in the second paragraph, Brazil, initially opposed by the EU, asked the paragraph be deleted and brackets be removed from the first paragraph. The CMP adopted the draft decision as amended.

ADMINISTRATIVE, FINANCIAL AND INSTITUTIONAL MATTERS: Audited Financial Statements for the Biennium 2012-2013: These discussions are summarized under the SBI agenda item on administrative, financial and institutional matters (see page 19).

Budget Performance for the Biennium 2014-2015: These discussions are summarized under the SBI agenda item on administrative, financial and institutional matters (see page 19).

COP 20 AND CMP 10 JOINT HIGH-LEVEL SEGMENT

On behalf of President of Peru Ollanta Humala, COP 20/CMP 10 President Manuel Pulgar-Vidal, Minister of Environment, Peru, opened the high-level segment on Tuesday, 9 December, noting the generation of a positive “Lima spirit” and stressing the need to “raise this spirit to achieve the outcome the world is expecting from us.”

UNFCCC Executive Secretary Christiana Figueres highlighted that “the Inca calendar says this is the season for planting and the science calendar warns us we are running out of time,” stressing “it is for us to plant here in Lima the seeds of a more secure, just and prosperous world for all.”

President of the 69th session of the UN General Assembly Sam Kutesa said “business as usual” is not an option and pointed to “a glimmer of hope” provided by the knowledge that taking action now and transforming to carbon-neutral, climate-resilient economies can reduce adaptation costs tomorrow.

Noting “this is not a time for tinkering – it is a time for transformation,” UN Secretary-General Ban Ki-moon stressed that in order to keep the global temperature rise under 2°C, “all parties must be part of the solution, and all societies must be engaged.” He called on parties to, *inter alia*: deliver a balanced and well-structured draft text as a solid foundation for negotiations in 2015; reach a common understanding on the scope of INDCs; and address climate finance.

The high-level segment then continued with statements from other heads and deputy heads of state and government, ministers, and other heads of delegations. A webcast of the statements is available at: <http://unfccc6.meta-fusion.com/cop20/events>

Ministerial Roundtable on Climate Finance: A ministerial roundtable on climate finance took place on Tuesday, 9 December. For a summary of statements made by ministers during the roundtable, see: <http://www.iisd.ca/vol12/enb12616e.html>

Ministerial Dialogue on the Durban Platform for Enhanced Action: A ministerial dialogue on the Durban Platform for Enhanced Action took place on Wednesday, 10 December. For a summary of the statements made by ministers during the dialogue, see: <http://www.iisd.ca/vol12/enb12617e.html>

SUBSIDIARY BODY FOR IMPLEMENTATION

On Monday, 1 December, SBI Chair Amena Yauvoli (Fiji) opened the session, urging parties to focus on finding consensus in an efficient manner. For a summary of the statements made during the opening plenary of the SBI, see: <http://www.iisd.ca/vol12/enb12609e.html>

ORGANIZATIONAL MATTERS: Parties adopted the agenda (FCCC/SBI/2014/9) with the item on information in non-Annex I national communications held in abeyance. The SBI also agreed to consider under “other matters” the item on non-Annex I parties’ CGE membership as referred to it by the COP.

Parties agreed to the organization of work as presented.

Election of Officers Other than the Chair: During the SBI opening plenary on Monday, 1 December, SBI Chair Yauvoli announced consultations would continue on this matter facilitated by Cheikh Ndiaye Sylla (Senegal). During the first part of the closing plenary on Friday, 5 December, SBI Chair Yauvoli informed that consultations on the SBI Vice Chair and

Rapporteur had not been completed. The SBI agreed to invite the COP to elect the Vice Chair and Rapporteur of the SBI. On Saturday, 13 December, officers other than the Chair were elected during the COP closing plenary.

MULTILATERAL ASSESSMENT WORKING GROUP SESSION UNDER THE INDEPENDENT ASSESSMENT REPORT (IAR) PROCESS: This item was taken up during the SBI opening plenary on Monday, 1 December. SBI Chair Yauvoli explained that 17 developed countries' quantified economy-wide emission limitation and reduction targets, including progress toward their achievement, would be assessed during this SBI session, suggesting this would demonstrate that the SBI is at the heart of the implementation of the Convention.

The first round of the multilateral assessment working group session under the IAR was held in two parts, on Saturday, 6 December, and Monday, 8 December. The second and third rounds of the session, which will assess the remaining Annex I parties, will be held at SBI 42 and SBI 43, respectively.

Opening the multilateral assessment working group session, SBI Chair Yauvoli noted two new MRV processes established in Cancun—the IAR for developed countries, and international consultation and analysis (ICA) for developing countries. Parties delivered presentations on their progress towards the achievement of their quantified economy-wide emission reduction targets, followed by question and answers.

For a summary of the presentations and discussions held during the multilateral assessment working group session, see: <http://www.iisd.ca/vol12/enb12614e.html> and <http://www.iisd.ca/vol12/enb12615e.html>

REPORTING FROM AND REVIEW OF ANNEX I PARTIES: This item (FCCC/SBI/2014/INF.19) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed, to informal consultations facilitated by Helen Plume (New Zealand) and Fatuma Mohamed Hussein (Kenya) on the three sub-items: compilation and synthesis of the sixth national communications and the first biennial reports from Annex I parties to the Convention; compilation and synthesis of supplementary information incorporated into the sixth national communications from Annex I parties that are also parties to the Kyoto Protocol; and revision of the guidelines for preparation of Annex I parties' national communications.

Compilation and Synthesis of 6th National Communications and 1st Biennial Reports from Annex I Parties to the Convention: This item (FCCC/SBI/2014/INF.20 and Add.1-2) was first considered on Monday, 1 December.

During the first part of the closing plenary on Friday, 5 December, SBI Chair Yauvoli reported that parties were unable to reach agreement on the issue and that the sub-item will be placed on the provisional agenda of SBI 42.

Compilation and Synthesis of Supplementary Information Incorporated in 6th National Communications from Annex I Parties that are also Parties to the Kyoto Protocol: This item (FCCC/SBI/2014/INF.21) was first considered on Monday, 1 December. During the first part of the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.30), the SBI welcomes the compilation and synthesis, and took note thereof.

Revision of the 'Guidelines for the Preparation of National Communications by Annex I Parties, Part II: UNFCCC Reporting Guidelines on National Communications': This item (FCCC/TP/2014/5) was first considered on Monday, 1 December. During the SBI closing plenary on Friday, 5 December, SBI Chair Yauvoli reported that parties were unable to reach agreement and that the sub-item will be placed on the provisional agenda of SBI 42.

Report on National GHG Inventory Data from Annex I Parties for the Period 1990-2012: This item (FCCC/SBI/2014/20) was first considered on Monday, 1 December. The SBI took note of the report.

Annual Compilation and Accounting Report for Annex B Parties under the Kyoto Protocol: This item (FCCC/KP/CMP/2014/7 and Add.1) was first considered on Monday, 1 December. The SBI took note of the report.

REPORTING FROM NON-ANNEX I PARTIES: Information Contained in National Communications from Non-Annex I Parties: This item was held in abeyance.

Work of the CGE: This item (FCCC/SBI/2014/17-19 and INF.15-16) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Helen Plume (New Zealand) and Lilian Portillo (Paraguay). Informal consultations took place on Tuesday and Wednesday, 2-3 December.

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.26), the SBI, *inter alia*:

- welcomes the progress made by the CGE in implementing its activities, and the long-term strategy (2015-2018) of the CGE, which outlines strategies to enhance the provision of technical assistance to non-Annex I parties in a more effective, adequate and sustainable manner at regional, sub-regional and national levels;
- encourages parties to nominate, as early as possible, technical experts with relevant qualifications to the UNFCCC roster of experts, and the CGE to organize, as early as possible in 2015, training for them;
- urges developed country parties included in Annex II to the Convention and other developed country parties in a position to do so to provide financial resources to enable the CGE to implement the activities planned in its work programme; and
- invites multilateral programmes and organizations to collaborate with the CGE, as appropriate, in the provision of technical support to non-Annex I parties for preparing their national communications and biennial update reports (BURs).

Provision of Financial and Technical Support: This item (FCCC/SBI/2014/INF.12 and 22, and FCCC/CP/2014/2) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Helen Plume and Lilian Portillo. Informal consultations took place three times during the week.

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.29), the SBI, *inter alia*:

- invites the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to

the preparation of national communications by non-Annex I parties, including information on the dates of approval of funding and disbursement of funds;

- invites the GEF to continue providing information on an approximate date of completion of the draft national communications and an approximate date of submission to the Secretariat of the national communications, for consideration by SBI 43.
- invites the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approval of funding and disbursement of funds, as well as an approximate date of submission to the Secretariat of the BURs, for consideration by SBI 42;
- notes the information provided by the GEF to the COP on the funding available to non-Annex I parties for the preparation of their national communications and BURs under its latest replenishment, and on the total amount of funding available in its climate change focal area;
- notes that, by 4 December 2014, one non-Annex I party had submitted its first BUR and that a further seven non-Annex I parties are expected to submit them by 31 December 2014;
- notes that, as of 1 December 2014, the GEF Secretariat had received 48 requests from non-Annex I parties for funds for the preparation of their BURs, and, that the GEF Council approved, in October 2014, a project for 35 SIDS and LDCs to complete their BURs;
- reiterates its urging of the non-Annex I parties that have yet to submit, as applicable, their requests to the GEF for support for the preparation of their first BURs to do so in a timely manner;
- encourages GEF agencies to continue to facilitate the preparation and submission of project proposals by non-Annex I parties for the preparation of their BURs;
- invites the GEF to provide, in its report to COP 21, information on the procedures available to facilitate access by non-Annex I parties to funding for the preparation of their national communications and multiple BURs with one application;
- notes the progress made by the GEF in the operationalization of its Global Support Programme (GSP), and encourages non-Annex I parties to take advantage of the opportunities for technical assistance and support available under the GSP; and
- notes with appreciation that, as of 4 December 2014, 147 initial, 105 second, nine third, one fourth and one fifth national communications from non-Annex I parties had been submitted. It also notes that, by the end of 2014, 20 second and 11 third national communications from non-Annex I parties are expected to have been submitted.

WORK PROGRAMME TO FURTHER

UNDERSTANDING OF THE DIVERSITY OF NATIONALLY APPROPRIATE MITIGATION ACTIONS (NAMAS):

This item (FCCC/SBI/2014/INF.11 and 24) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Ann Gann (Singapore) and Dimitar Nikov (France). During the first part of the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.36), the SBI notes it concluded the work programme to further the understanding of the diversity of NAMAs. The SBI also, *inter alia*:

- notes the activities implemented during the work programme;
- acknowledges that information and experiences shared under the work programme furthered the understanding of the diversity of NAMAs;
- recognizes the existence of needs for means of implementation support for the preparation and implementation of specific measurable, reportable and verifiable NAMAs, as well as of support available and provided;
- acknowledges that the matching of mitigation actions with MOI support in the NAMA registry has started to occur; and
- requests the Secretariat to ensure the sound operation of the NAMA registry.

MATTERS RELATING TO THE MECHANISMS

UNDER THE KYOTO PROTOCOL: Review of the Modalities and Procedures for the CDM: This item was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Jeffery Spooner (Jamaica).

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions. Expressing disappointment with lack of progress made in SBI 41, Nauru, for the Alliance of Small Island States (AOSIS), said Lima should have identified how net mitigation can be built into the CDM, including through conservative baselines, shortened crediting periods and cancellations, and looked forward to continuing work on net mitigation in SBI 42.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.35), the SBI agrees to continue consideration of this matter at SBI 42.

Review of the JI Guidelines: This item was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Yaw Osafo (Ghana) and Dimitar Nikov (France).

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions. Nauru, for AOSIS, said there is room for improving the environmental integrity of JI and looked forward to discussing, at SBI 42, how to ensure that JI delivers a net atmospheric benefit.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.34), the SBI agrees to continue consideration of this issue at SBI 42, on the basis of the draft decision text with a view to proposing a draft decision for consideration by CMP 11.

Modalities for Expediting the Continued Issuance, Transfer and Acquisition of JI ERUs: This item (FCCC/TP/2014/4) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Yaw Osafo (Ghana) and Dimitar Nikov (France). During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.33), the SBI agrees to continue consideration of this issue at SBI 42.

Procedures, Mechanisms and Institutional Arrangements for Appeals against Decisions of the CDM EB: This item was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Yaw Osafo (Ghana) and Kunihiko Shimada (Japan). During

the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.31), the SBI agrees to continue its consideration on the basis of the co-facilitators' draft text (FCCC/SBI/2012/33/Add.1) at SBI 42.

Report of the administrator of the international transaction log under the Kyoto Protocol: During the SBI opening plenary on Monday, 1 December, the SBI took note of the report (FCCC/SBI/2014/INF.18).

MATTERS RELATING TO THE LDCA: This item (FCCC/SBI/2014/13) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Collin Beck (Solomon Islands). During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.24), the SBI:

- welcomes the report of the 26th meeting of the Least Developed Countries Expert Group (LEG) and the outcome of the National Adaptation Plan (NAP) Expo;
- acknowledges progress made by the LEG under its work programme for 2014-2015 and welcomes the launch of the regional training workshops on NAPs for LDCs for 2014-2015;
- expresses appreciation to Belgium, Canada, Finland, Ireland and Norway for providing financial support to the LEG;
- notes contributions made by parties to the LDCF and encourages other parties also to contribute;
- welcomes the submission of proposals to the LDCF for the funding of the implementation of National Adaptation Programmes of Action (NAPA) projects;
- invites the GEF to continue to explore ways of simplifying access to the LDCF;
- requests the LEG to keep it informed of the LEG's efforts in implementing its work programme for 2014-2015; and
- invites parties in a position to do so to continue providing support for the implementation of the LEG work programme.

REPORT OF THE ADAPTATION COMMITTEE: This item (FCCC/SB/2014/2) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, joint SBI/SBSTA informal consultations facilitated by Jimena Nieto Carrasco (Colombia) and Makoto Kato (Japan). During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SB/2014/L.7), the SBI, *inter alia*:

- welcomes the report of and progress made by the Adaptation Committee in the implementation of its three-year work plan;
- notes with appreciation the continued work of the Adaptation Committee on providing technical support and guidance to the parties on adaptation action, including through the work carried out by the Committee's task force on NAPs;
- requests parties, operating entities of the financial mechanism and other relevant entities working on adaptation to consider the recommendations contained in Chapter V of the report of the Adaptation Committee;
- reiterates its encouragement for parties to nominate experts to the Adaptation Committee with a diversity of experience and knowledge relevant to adaptation to climate change, while

also taking into account the need to achieve gender balance; and

- welcomes the initiation of consideration by the Adaptation Committee of its next work plan, starting in 2016.

NATIONAL ADAPTATION PLANS: This item (FCCC/SBI/2014/13, INF.14 and 15, FCCC/SB/2014/2 and FCCC/CP/2014/2) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Collin Beck (Solomon Islands) and Tomasz Chruszczow (Poland).

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions and forwarded a draft decision for consideration and adoption by COP 20.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.42), the SBI welcomes information submitted by parties, *inter alia*, on their experiences with the application of the initial guidelines for the formulation of NAPs and recommends a draft decision on NAPs.

In its decision (FCCC/SBI/2014/L.42/Add.1), the COP, *inter alia*:

- decides that a revision of the guidelines for the formulation of NAPs is not necessary at this time;
- recognizes that the process to formulate and implement NAPs is fundamental for building adaptive capacity and reducing vulnerability to the impacts of climate change;
- reiterates that the NAP process is, *inter alia*, a country-driven, gender-sensitive, participatory and fully transparent approach;
- recognizes the continuous, iterative and long-term nature of the NAP process;
- acknowledges the importance of communicating what the process to formulate and implement NAPs involves, as well as the outputs and outcomes of that process;
- decides there is a need to enhance the reporting on the process to formulate and implement NAPs;
- invites LDC parties and others, to forward outputs, including NAP documents, and outcomes related to the process to formulate and implement NAPs, to the NAP Central (an online tool, still under development, with interactive guidelines, case studies and related information to support the NAP process);
- decides to further consider how to enhance reporting related to the process to formulate and implement NAPs at SBI 42; and
- requests the Adaptation Committee and the LEG, in collaboration with the GCF, as an operating entity of the financial mechanism, to consider how to best support developing country parties in accessing funding from the GCF for the process to formulate and implement NAPs, and report thereon to SBI 42.

WARSAW INTERNATIONAL MECHANISM FOR LOSS AND DAMAGE ASSOCIATED WITH CLIMATE CHANGE

IMPACTS: This item (FCCC/SB/2014/4) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, joint SBI/SBSTA informal consultations facilitated by Beth Lavender (Canada) and Alf Wills (South Africa).

During the SBI closing plenary on Friday, 5 December, SBI Chair Yauvoli reported that parties were unable to reach agreement and that the sub-item will be placed on the provisional agenda of SBI 42.

However, on Saturday, 6 December, the SBSTA was able to adopt joint conclusions (FCCC/SB/2014/L.8), pending continued informal consultations co-facilitated by SBI Chair Yauvoli and SBSTA Chair Emmanuel Dumisani Dlamini (Swaziland), under the authority of the COP/CMP President Pulgar-Vidal on the composition of the Executive Committee of the Warsaw International Mechanism for Loss and Damage.

On Saturday, 13 December, COP 20/CMP 10 Vice President Jorge Voto-Bernales reported that the informal consultations resulted in a draft decision (FCCC/CP/2014/L.2), but further consultations were required on the composition of the two non-Annex I Executive Committee members not affiliated with any specific regional group. He invited parties to continue intersessional consultations on the issue and once an agreement has been reached, for the Secretariat to request non-Annex I parties to submit their nominations. Executive Committee members will be deemed elected at COP 20 in accordance with established procedures. Parties agreed to this procedural decision to be reflected in the report of the session and adopted the substantive decision.

Final Outcome: In its decision (FCCC/CP/2014/L.2), the COP, *inter alia*:

- approves the initial two-year workplan of the Executive Committee of the Warsaw International Mechanism for Loss and Damage;
- notes the useful inputs provided by parties, observers and other organizations as part of the transparent, inclusive and participatory process of developing the initial two-year workplan of the Executive Committee;
- reaffirms the establishment of the Executive Committee of the Warsaw International Mechanism, under the guidance of, and accountable to, the COP, to guide the implementation of the functions of the Warsaw International Mechanism;
- also reaffirms the request to the Executive Committee to report annually to the COP through the SBSTA and SBI and make recommendations, as appropriate;
- decides that the Executive Committee shall be composed of the following, taking into account the goal of gender balance, 10 members from Annex I parties and 10 members from non-Annex I parties, comprising two members each from the African, Asia-Pacific, and the Latin American and Caribbean States, one member from SIDS, one member from LDCs, and two additional non-Annex I members;
- encourages parties to nominate to the Executive Committee experts with a diversity of experience and knowledge relevant to loss and damage associated with climate change impacts;
- decides that the members shall serve for a two-year term and shall be eligible to serve a maximum of two consecutive terms of office, and that half of the members shall be elected initially for a term of three years and half for two years, thereafter the COP shall elect members for a term of two years, and the members shall remain in office until their successors have been elected;
- also decides that the Executive Committee may establish expert groups, subcommittees, panels, thematic advisory groups or task-focused *ad hoc* working groups, to help execute the work of the Executive Committee in guiding the implementation of the Warsaw International Mechanism,

as appropriate, in an advisory role, and that report to the Executive Committee;

- further decides that decisions of the Executive Committee shall be taken by consensus;
- decides that the Executive Committee shall elect annually co-chairs from among its members to serve for a term of one year, with one being from an Annex I party and the other being from a non-Annex I party;
- further decides that the Executive Committee shall meet at least twice per year, while retaining its flexibility to adjust the number of meetings, as appropriate;
- decides the Executive Committee shall convene its first meeting as soon as practical following the election of its members by COP 20, but no later than March 2015, and at its first meeting shall adopt its rules of procedure and begin implementing its workplan;
- also decides that the meetings of the Executive Committee shall be open to attendance by admitted observer organizations, except where otherwise decided by the Executive Committee, with a view to encouraging a balanced regional representation of observers; and
- further decides that the decisions and outputs of the Executive Committee shall be made publicly available on the UNFCCC website unless decided otherwise by the Executive Committee, that English shall be the working language, and that the Secretariat shall support and facilitate the work of the Executive Committee, subject to the availability of resources.

MATTERS RELATED TO FINANCE: Second Review of the Adaptation Fund: This item (FCCC/TP/2014/7 and FCCC/SBI/2014/MISC.4) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Suzanty Sitorus (Indonesia) and Ana Fornells de Frutos (Spain). During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions forwarding a draft decision to CMP 10 for consideration.

Final Outcome: In its decision (FCCC/SBI/2014/L.39), the CMP, *inter alia*:

- takes note of the report of the Adaptation Fund Board (AFB) and the technical paper on the second review of the Adaptation Fund;
- underlines the need for urgent implementation of the resource mobilization strategy of the AFB;
- encourages the AFB to consider the scale of resources, regular estimates of the resources needed and continuous review of the status of projects, for addressing the predictability of resources;
- requests the AFB to consider objects for addressing the diversification of revenue streams of the Adaptation Fund, in accordance with the mandate of the Fund;
- requests the AFB to consider, under its readiness programme, targeted institutional strengthening strategies to assist developing countries to accredit more national or regional implementing entities to the Adaptation Fund and ensuring the accredited national implementing entities have increased and facilitated access to the Adaptation Fund, in order to enhance the access modalities of the Adaptation Fund;
- requests the AFB to consider options for developing operational linkages between the Adaptation Fund and constituted bodies under the Convention;

- decides to extend to June 2017 the interim arrangements with the AFB Secretariat and the trustee of the Adaptation Fund;
- requests SBI 42 to initiate the third review of the Adaptation Fund and report back to CMP 12, with a view to the review design undertaken by CMP 13; and
- requests the AFB to include in its report to CMP 11 information on progress made in relation to the matters referred to above.

Further Guidance to the Least Developed Countries

Fund: This item (FCCC/SBI/2014/INF.17, MISC.3, and FCCC/CP/2014/2) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Kamel Djemouai (Algeria) and Herman Sips (Netherlands). During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions and forwarded a draft decision for consideration by COP 20.

Final Outcome: In its decision (FCCC/SBI/2014/L.38), the COP, *inter alia*:

- welcomes increased allocation and disbursement of funds to LDC parties under the LDCF;
- notes with appreciation additional contributions by parties to the LDCF;
- encourages developed country parties and other parties in a position to do so to continue contributing on a voluntary basis to the LDCF in order to support the implementation of the LDC work programme;
- invites the GEF to continue to support the remaining activities contained in the LDC work programme;
- requests the GEF to share, in its next report, lessons learned and progress made in its pilot accreditation of the GEF national project agencies;
- invites the GEF to include in its annual report to the COP, information on specific actions that it has undertaken to implement the remaining elements of the LDC work programme, including updating and implementation of National Adaptation Programmes of Action (NAPAs), with a view to COP 21 determining appropriate further guidance to be provided to the GEF; and
- requests the GEF to enhance communication with its implementing agencies and to encourage its implementing agencies to enhance their communication with countries to facilitate a timely implementation of other elements of the LDC work programme including NAPAs.

DEVELOPMENT AND TRANSFER OF

TECHNOLOGIES AND IMPLEMENTATION OF THE

TM: Joint Annual Report of the TEC and CTCN: This item (FCCC/SB/2014/3) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, joint informal consultations with SBSTA, facilitated by Elfriede More (Austria) and Carlos Fuller (Belize).

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions and forwarded a draft decision for consideration by COP 20.

Final Outcome: In its decision (FCCC/SB/2014/L.5), the COP notes that through the work of the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) in 2014, the TEC is progressing in an effective manner towards fulfilling its mandate, and decides that the

TEC and CTCN shall continue to prepare a joint annual report to the COP, through the SBs, on their respective activities and performance of their respective functions.

On activities and performance of the TEC in 2014, the COP, *inter alia*:

- welcomes the rolling workplan of the TEC for 2014-2015 and the progress made in advancing its implementation;
- recognizes the key messages on climate technology financing, technologies for adaptation and technology needs assessments, as contained in the TEC report;
- welcomes the work on technologies for adaptation and looks forward to the Committee's work on technologies for mitigation;
- requests the TEC to continue its work on enabling environments and barriers;
- encourages the TEC to continue to strengthen the linkages with organizations under and outside of the Convention in the implementation of its rolling workplan for 2014-2015; and
- requests the TEC to provide guidance on how the results of the technology needs assessments, in particular the technology action plans, can be developed into projects that can be ultimately implemented, and to provide an interim report on its preliminary findings to the subsidiary bodies at their forty-third sessions.

On activities and performance of the CTCN in 2014, the COP, *inter alia*:

- welcomes with appreciation the progress made by the CTCN in implementing its programme of work, including by: responding to requests from developing countries; fostering collaboration and access to information; and strengthening networks, partnerships and capacity building;
- welcomes the elaboration and approval by the CTCN's Advisory Board of the CTCN criteria and the CTCN prioritization criteria for national designated entity requests;
- encourages the CTCN to further elaborate its procedures for handling requests, and to inform parties and stakeholders of these activities in the joint annual report of the TEC and the CTCN; and
- notes the ongoing consultations between the GEF and the CTCN, and requests the CTCN to report on those consultations in future joint TEC/CTCN annual reports.

Poznan Strategic Programme on Technology Transfer:

This item (FCCC/CP/2014/2 and Add.1, and FCCC/SB/2014/3) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Elfriede More and Carlos Fuller.

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.32), the SBI:

- welcomes the GEF report on the progress made in carrying out the Poznan strategic programme on technology transfer;
- notes the consultations between the GEF and the Advisory Board of the CTCN and the progress made on aligning the implementation of the element of the Poznan strategic programme related to support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, which were carried out;

- notes the areas of collaboration between the regional technology transfer and finance centres supported by the GEF under the Poznan strategic programme and the CTCN, and invites the GEF to report on this collaboration as part of its future progress reports;
- notes that the TEC initiated its deliberations on evaluating the Poznan strategic programme in August 2014;
- notes that the TEC will undertake the evaluation of the Poznan strategic programme in 2015, guided by the terms of reference to be developed by its task force on this matter; and
- invites the TEC to provide an interim report on its preliminary findings to SBI 42 and a final report to the COP through SBI 43.

CAPACITY BUILDING: Capacity Building Under

the Convention: This item (FCCC/SBI/2014/14) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal back-to-back consultations with capacity building under the Kyoto Protocol facilitated by Ulrika Raab (Sweden) and Bubu Jallow (the Gambia). The group met four times but was unable to agree on a decision text to be forwarded to COP 20.

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.40), the SBI:

- welcomes the summary report on the third meeting of the Durban Forum on capacity-building held at SBI 40;
- invites parties to submit, by 18 February 2015, their views on the organization of, and specific thematic issues relating to capacity building under the Convention to be considered at the fourth meeting of the Durban Forum to be held at SBI 42; and
- invites parties to submit, by 18 February 2015, their views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity building in developing countries, to be initiated at SBI 42.

The conclusions note that the SBI agrees to continue consideration of the item at SBI 42, with a view to recommending a draft decision for consideration by COP 21.

Capacity Building under the Kyoto Protocol: This item (FCCC/SBI/2014/14) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal back-to-back consultations with capacity building under the Convention facilitated by Ulrika Raab and Bubu Jallow.

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.41), the SBI: welcomes the summary report on the third meeting of the Durban Forum; invites parties to submit their views on the organization of, and specific thematic issues relating to capacity building under the Kyoto Protocol to be considered at the fourth meeting of the Durban Forum; and also invites parties to submit their views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity building in developing countries. The conclusions note that the SBI agrees to continue its consideration of the item at SBI 42, with a view to recommending a draft decision for consideration of CMP 11.

IMPACT OF THE IMPLEMENTATION OF RESPONSE MEASURES: Forum and Work Programme: This item (FCCC/SB/2014/INF.4 and FCCC/TP/2014/12) was first considered during SBSTA and SBI opening plenaries on Monday, 1 December, where parties agreed to informal consultations co-facilitated by SBI Chair Yauvoli and SBSTA Chair Dlamini.

On Tuesday, 2 December, a joint contact group co-chaired by the SBSTA and SBI Chairs considered text forwarded by SBI and SBSTA 40 (FCCC/SB/2014/L.2) and the technical paper (FCCC/TP/2014/12). Discussions centered on, *inter alia*: continuation of the Forum on response measures and the G-77/China's call for the creation of a mechanism on response measures.

The issue was subsequently addressed during informal consultations on Wednesday, 3 December, and draft conclusions and a draft decision was considered in a joint contact group on Thursday, 4 December, both facilitated by Eduardo Calvo Buendía (Ecuador) and Delano Ruben Verwey (Netherlands). The African Group, the G-77/China, the Arab Group and the Like Minded Developing Countries (LMDCs) supported starting work on the draft decision. The US suggested considering the technical paper first. Australia said moving to textual discussions was preemptive. The EU expressed concern that the Co-Chairs' text contained no alternatives.

During a joint contact group on Friday, 5 December, SBSTA Chair Dlamini and SBI Chair Yauvoli said that, given the lack of consensus, they will consult on how to move forward.

During the SBI closing plenary on Friday, 5 December, SBI Chair Yauvoli reported that parties were unable to reach agreement.

This issue was further considered in consultations under the aegis of COP 20/CMP 10 President Pulgar-Vidal, by SBSTA Chair Dlamini on Monday, 8 December, and consultations by both SB Chairs throughout the second week of COP 20/CMP 10. No agreement on substantive issues could be reached, with institutional mechanisms proving to be the most challenging.

Final Outcome: During the COP and CMP closing plenaries on Friday, 12 December, parties adopted the decision (FCCC/CP/2014/L.5), which forwards the text of a draft decision contained in the annex for consideration by SB 42.

Matters Relating to Article 3.14 (implementation of response measures) of the Kyoto Protocol: During the SBI closing plenary on Friday, 5 December, SBI Chair Yauvoli informed parties that agreement could not be reached on this issue and that the sub-item will be placed on the provisional agenda of SBI 42.

Progress on the Implementation of Decision 1/CP.10: During the SBI closing plenary on Friday, 5 December, SBI Chair Yauvoli reported that parties were unable to reach agreement and that the sub-item will be placed on the provisional agenda of SBI 42.

2013-2015 REVIEW: This item (FCCC/SB/2014/1 and INF.3) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, a contact group co-chaired by Gertraud Wollansky (Austria) and Leon Charles (Grenada).

On Tuesday, 2 December, in the morning, the joint contact group discussed: additional inputs to the structured expert dialogue (SED), including the need for balanced consideration

of IPCC and non-IPCC information; how to conclude the SED, including when to close it, the format and content of its outcome, and who will synthesize it; conclusion of the 2013-2015 Review, and how to integrate the SED and Review outcomes into the ADP outcomes; and final reporting of the SBSTA and SBI to COP 21. The Co-Chairs then produced draft conclusions.

On Wednesday, 3 December, following the contact group, the Co-Chairs circulated a non-paper, including a new iteration of the draft conclusions taking on views from parties, which was considered in informal consultations.

On Friday, 5 December, parties continued consideration of the non-paper. Parties agreed to forward the joint SBI/SBSTA draft conclusions for adoption.

During the SBI closing plenary on Friday, 5 December, the SBI adopted the conclusions.

Final Outcome: In their joint conclusions (FCCC/SB/2014/L.9), the SBI/SBSTA, *inter alia*:

- welcomes the AR5 Synthesis Report of the IPCC and recognizes its usefulness for the 2013-2015 Review of the contributions of all IPCC working groups to the AR5;
- welcomes the first meeting of SED-4, held on 2-3 December 2014 in Lima, Peru, and looks forward to the resumed SED-4 session on 8-9 February 2015 in Geneva, Switzerland;
- takes note of the document on national information available for consideration by the SED;
- looks forward to the summary report on SED-4, to be made available no later than 20 March 2015;
- requests the SED co-facilitators to prepare, with the assistance of the Secretariat, a final factual report that includes a compilation and a technical summary of the summary reports on the SED meetings and to make it available no later than 3 April 2015; and
- invites parties to submit to the Secretariat, by 1 May 2015, any other information or gaps in information relevant to the 2013-2015 Review, and their views on 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 the long-term global goal, including consideration of implementation of the commitments under the Convention.

4th Meeting of the SED: The first meeting of SED-4 was held on Tuesday afternoon, 2 December. In his opening remarks, COP 20/CMP 10 President Pulgar-Vidal highlighted the SED as a very important component of COP 20, and a forum where science and decision-making are reconciled, given that COP 21 will need to take appropriate action based on the outcome of the 2013-2015 Review. Co-facilitator Andreas Fischlin (Switzerland) indicated that the goal of SED-4 is to “finish complementing and start summarizing” information. IPCC Secretary Renate Christ provided an introductory presentation on the AR5 SYR on behalf of IPCC Chair Rajendra Pachauri.

Presentations were made by IPCC experts on the adequacy of the long-term global goal in terms of: preventing unacceptable consequences for the adaptation of ecosystems and food production, and for economic development in a sustainable manner; risk management within planetary boundaries and progress towards the long-term global goal; and ethical and financial aspects of adaptation and mitigation. The ensuing question and answer session focused on how the AR5 contributes to operationalizing Convention Article 2 (objectives).

Presentations by experts from the UN Environment Programme (UNEP), the World Bank, the International Energy Agency (IEA), World Health Organization (WHO) and Food and Agriculture Organization (FAO) continued during the second session of the SED-4 on Wednesday, 3 December. Discussions focused on, *inter alia*: the risks to human health, food production and other ecosystem services at a 1.5° or 2°C level of global warming compared to pre-industrial levels; policy options identified for decarbonization of the energy system called for by pathways consistent with limiting warming below 1.5° or 2°C; and policies and measures identified as effective to bridge the emissions and adaptation gap, and ways to emulate them.

GENDER AND CLIMATE CHANGE: This item (FCCC/CP/2014/7) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed to, informal consultations facilitated by Lilian Portillo (Paraguay) and Kunihiko Shimada (Japan).

After informal consultations in the SBI closing plenary on Friday, 5 December, resulting in two amendments in the text, the SBI adopted conclusions and forwarded a draft decision to COP 20. Malawi, for the LDCs, supported by Jamaica, proposed referring to the decision as the “Lima Work Programme on Gender.” Jamaica stated that the proposed actions should be guided by gender equality, not merely gender balance. Welcoming the decision, Mexico noted it attaches utmost importance to the issue.

Final Outcome: In its decision (FCCC/SBI/2014/L.43/Rev.1), the COP decides, *inter alia*:

- to enhance the implementation of Decisions 36/CP.7, 1/CP.16 and 23/CP.18 by inviting parties to advance gender balance, promote gender sensitivity in developing and implementing climate policy and achieve gender-responsive climate policy in all relevant activities under the Convention;
- that additional efforts need to be made by parties to improve participation of women in their delegations and in all of the bodies established under the Convention;
- to establish a two-year work programme (Lima Work Programme on Gender) for promoting gender balance and achieving gender-responsive climate policy, developed for the purpose of guiding the effective participation of women in the bodies established under the Convention;
- to strengthen the existing work on gender balance in thematic priority areas; and
- to clarify the meaning of the term “gender-responsive climate policy” from an implementation perspective and improve the development and effective implementation of gender-responsive climate policy.

The COP also requests the Secretariat: to include information regarding the implementation by the Secretariat of those decisions that include a gender approach in its next annual report; to organize in-session workshops on gender responsive climate policy with a focus on mitigation action and technology development and transfer, and a focus on adaptation and capacity building; and to prepare a technical paper on guidelines or other tools on integrating gender considerations into climate-change-related activities under the Convention for consideration at SBI 44.

ARRANGEMENTS FOR INTERGOVERNMENTAL MEETINGS: This item (FCCC/SBI/2014/11 and 12) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed to facilitate informal consultations.

On Tuesday, 2 December, an afternoon contact group, chaired by SBI Chair Yauvoli, considered documents prepared by the Secretariat on the frequency and organization of future sessions of the COP and CMP, and their subsidiary bodies and high-level segments (FCCC/SBI/2014/11), including implications of biennial sessions, or annual sessions at venues alternating between a host country and the seat of the Secretariat, and on adjusting the timing of the election of the COP and CMP President (FCCC/SBI/2014/12).

During the SBI closing plenary on Friday, 5 December, the SBI adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBI/2014/L.37), the SBI, *inter alia*:

- requests that the Secretariat provide further information and analysis on the options for the frequency and organization of sessions and recommended consideration of this information at SBI 42;
- recognizes the need to take into account the important role of implementation in work after 2015, and take into consideration the implications of hosting the COP and CMP sessions, noting that it is a major undertaking and also noting views that sessions held at the seat of the Secretariat could increase the opportunity for all parties to serve as COP/CMP President;
- proposes further consideration be given to the organization of high-level segments at future COP and CMP sessions and to alternative modes of ministerial engagement during the high-level segment;
- requests the Secretariat to provide further information on scenarios, including clarification on the budgetary implications of biennial sessions of the COP and the CMP, as well as meetings of their SBs and sessions alternating between a host country and the seat of the Secretariat, and the implications for the Headquarters Agreement of the Secretariat; and
- requests further information on and analysis of options for adjusting the timing of the election of the President, including on the rotation of the Presidencies when sessions alternate between a host country and the seat of the Secretariat and agreed to consider this information at SBI 42.

ADMINISTRATIVE, FINANCIAL AND

INSTITUTIONAL MATTERS: This item (FCCC/SBI/2014/10, 16 and Add. 1-2, and INF.23) was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed, that SBI Chair Yauvoli would draft COP and CMP decisions in consultation with interested parties on both sub-items, the audited financial statements and budget performance. During the SBI closing plenary on Friday, 5 December, the SBI adopted two sets of conclusions addressing both sub-items that forwarded draft decisions to COP 20 and CMP 10, respectively, for consideration.

Final Outcome: In its decisions (FCCC/SBI/2014/L.27 and L.28), the COP and the CMP, on audited financial statements for the biennium 2012-2013, take note of the statements and urged

the Executive Secretary to implement the recommendations of the auditors. On the budget performance report for the biennium 2013-2015, the COP and the CMP, *inter alia*:

- express appreciation to parties that contributed to the core budget in a timely manner and call upon parties that have not yet made contributions to do so without delay, with the CMP additionally expressing appreciation for contributions to the international transaction log (ITL) and calling on parties that have not yet made contributions to the ITL to do so without delay;
- express appreciation for contributions received from parties to the Trust Fund for Participation in the UNFCCC Process and to the Trust Fund for Supplementary Activities, and urge parties to further contribute to the Trust Fund for Participation; and
- reiterate their appreciation to Germany for its annual voluntary contribution to the core budget and its special contribution as Host Government of the Secretariat.

On the programme budget for the biennium 2016-2017, the COP and CMP, *inter alia*:

- request the Executive Secretary to submit, for consideration by SB 42, a proposed programme budget for the biennium 2016-2017, including a contingency for funding conference services should this prove necessary in light of decisions taken by the 70th session of the UN General Assembly;
- request that SBI 42 recommend a programme budget for adoption by COP 21 and CMP 11; and
- authorize the Executive Secretary to notify parties of their indicative contributions for 2016 on the basis of the recommended budget.

REPORTS ON OTHER ACTIVITIES: On Monday, 1 December, the SBI noted the report on the expert meeting on an information hub for information on the results of activities referred to in decision 1/CP.16, paragraph 70 and results-based payments (FCCC/SBI/2014/INF.13), and the summary report on the 2nd dialogue on Article 6 of the Convention (FCCC/SBI/2014/15).

OTHER MATTERS: Membership of the CGE: This item was first considered on Monday, 1 December. SBI Chair Yauvoli proposed, and parties agreed that, he would consult bilaterally with interested parties.

During the SBI closing plenary on Friday, 5 December, SBI Chair Yauvoli reported that parties were unable to reach agreement and that the sub-item will be placed on the provisional agenda of SBI 42.

CLOSING PLENARY: During the first part of the SBI closing plenary on Friday, 5 December, UNFCCC Executive Secretary Christiana Figueres briefed the SBI on the administrative and financial implications of the decisions taken by SBI 41.

Noting the SBI had adopted all substantive conclusions and items, SBI Chair Yauvoli closed the first part of the SBI closing plenary at 10:26 pm.

On Monday, 8 December, SBI Chair Yauvoli opened the second part of the SBI closing plenary to take up closure and the report of the session. The SBI adopted the report of the session (FCCC/SBI/2014/L.25).

Bolivia, for the G-77/China, expressed concern over the lack of substantive conclusions adopted during the session and urged working towards the adoption of substantive conclusions at SBI 42. He called on developed countries to discuss the negative impacts of developed countries' mitigation measures on developing countries.

SBI Chair Yauvoli closed SBI 41 at 5:55 pm.

For a summary of the statements made during the closing plenary of the SBI, see: <http://www.iisd.ca/vol12/enb12613e.html>

SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

On Monday, 1 December, SBSTA Chair Emmanuel Dumisani Dlamini (Swaziland) opened the session. For a summary of the opening statements, see: <http://www.iisd.ca/vol12/enb12609e.html>

ORGANIZATIONAL MATTERS: Parties adopted the agenda and agreed to the organization of work of the session (FCCC/SBSTA/2014/3).

Election of Officers Other Than the Chair: On Monday, 1 December, SBSTA Chair Dlamini indicated that consultations on the nominations of the SBSTA Vice-Chair and Rapporteur would be conducted by the COP/CMP Presidency. During the SBSTA closing plenary on Saturday, 6 December, the SBSTA agreed to invite the COP to elect the Vice-Chair and Rapporteur of the SBSTA.

NAIROBI WORK PROGRAMME: This item (FCCC/SBSTA/2014/4, INF.15 and MISC.8) was first considered on Monday, 1 December. UNEP highlighted its Adaptation Knowledge Initiative, saying it: prioritizes and catalyzes responses to sub-regional and theme-specific adaptation knowledge needs; is consistent with the mandate of the Nairobi Work Programme (NWP); and builds on the infrastructure and resources of UNEP's Global Adaptation Network.

SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Beth Lavender (Canada) and Juan Hoffmaister (Bolivia).

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.23), the SBSTA recognizes the role of the NWP in addressing knowledge needs arising from the implementation of the Cancun Adaptation Framework, and welcomes the Adaptation Knowledge Initiative and its Andean subregional pilot, launched by UNEP. It further concludes that the Secretariat should, in response to the recommendations of the Adaptation Committee:

- support the expert meeting of the Adaptation Committee on promoting livelihoods and economic diversification to build resilience in the context of planning, prioritizing and implementing adaptation actions during the third quarter of 2015;
- disseminate existing and future relevant knowledge products produced by the Adaptation Committee in order to inform adaptation planning and actions at all levels;
- make publicly available a compilation of good practices and tools, and available data collection initiatives, for the use of local, indigenous and traditional knowledge and practices for adaptation, for consideration at SBSTA 44, building on existing knowledge-sharing platforms;

- engage relevant NWP partner organizations, including regional centres and networks, in strengthening communities of practice and networks at different levels, as well as in sharing good practices and tools at key meetings and events; and
- consider, in relevant knowledge products under the NWP, the importance of integrating gender-sensitive approaches and tools, and local, indigenous and traditional knowledge and practices into NAPs.

The SBSTA also decides to consider and elaborate, at SBSTA 44, relevant activities under the NWP that support the process to formulate and implement NAPs.

REPORT OF THE ADAPTATION COMMITTEE: This item (FCCC/SB/2014/2) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, joint SBI/SBSTA informal consultations, facilitated by Makoto Kato (Japan) and Jimena Nieto Carrasco (Colombia).

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions.

Final Outcome: The SBI/SBSTA discussions and conclusions (FCCC/SB/2014/L.7) are summarized under the SBI agenda item on the report of the Adaptation Committee (see page 14).

DEVELOPMENT AND TRANSFER OF TECHNOLOGIES AND IMPLEMENTATION OF THE

TM: Joint Annual Report of the TEC and CTCN: This item (FCCC/SB/2014/3) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, joint SBI/SBSTA informal consultations facilitated by Carlos Fuller (Belize) and Elfriede More (Austria).

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions.

Final Outcome: The joint SBI/SBSTA conclusions (FCCC/SB/2014/L.5) are summarized under the SBI item on the Joint Annual Report of the TEC and CTCN (see page 16).

METHODOLOGICAL GUIDANCE FOR REDD+: This item (FCCC/SBSTA/2014/INF.13 and MISC.6 and 7) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, a contact group co-chaired by Stephen Cornelius (UK) and Robert Bamfo (Ghana).

On Tuesday, 2 December, the contact group considered the need for further guidance on safeguards. Many, including the African Group, Guyana, the Coalition for Rainforest Nations (CfRN), India, Fiji, Indonesia, Brazil and China, stressed that additional guidance on safeguards is premature. The EU, with the US and Norway, proposed that the Co-Chairs work on specific decision language for consideration by the group.

On methodological guidance for non-market-based approaches, Bolivia presented a revised proposal on a joint mitigation and adaptation approach for sustainable management of forests (FCCC/SBSTA/2014/CRP.1).

During the SBSTA closing plenary on Saturday, 6 December, SBSTA Chair Dlamini reported that no agreement on this issue could be reached and that the item would be placed on the provisional agenda of SBSTA 42.

WARSAW INTERNATIONAL MECHANISM FOR LOSS AND DAMAGE ASSOCIATED WITH CLIMATE CHANGE

IMPACTS: This item (FCCC/SB/2014/4) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed,

and parties agreed to, joint SBI/SBSTA informal consultations facilitated by Beth Lavender (Canada) and Alf Wills (South Africa).

During the SBSTA closing plenary on Saturday, 6 December, SBSTA adopted joint SBI/SBSTA conclusions (FCCC/SB/2014/L.8), pending continued informal consultations co-facilitated by SBI Chair Yauvoli and SBSTA Chair Dlamini, under the authority of the COP/CMP President Pulgar-Vidal on the composition of the Executive Committee of the Warsaw International Mechanism for Loss and Damage.

The joint SBI/SBSTA discussions and outcome are summarized under the SBI item on the Warsaw International Mechanism for Loss and Damage (see page 14).

MATTERS RELATING TO SCIENCE AND REVIEW:

AR5 of the IPCC: This item was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed, that SBSTA Chair Dlamini hold informal consultations on this issue. IPCC Secretary Renate Christ provided an update on AR5 and recalled some of its key outcomes.

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions and forwarded a draft decision for consideration by COP 20.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.27), the SBSTA, *inter alia*:

- recognizes that it is important that the AR5 continue to be considered in depth by parties to the Convention and its Kyoto Protocol, so that all relevant agenda items are informed by the findings of the AR5 and requests the Secretariat, under the guidance of the SBSTA Chair, be prepared to invite the IPCC, in response to any request made by parties, to inform its consideration of relevant agenda items;
- notes that the AR5 identified some information gaps, including in developing countries, especially in Africa, and on some emerging issues, such as the links between climate change and desertification; and
- invites the IPCC and relevant international and regional research organizations to inform parties about efforts to address the information gaps identified in the AR5, for example, at the research dialogue meeting at SBSTA 42.

In its decision (FCCC/SBSTA/2014/L.27/Add.1), the COP, *inter alia*:

- welcomes the IPCC's AR5;
- recognizes that the AR5 represents the most comprehensive and robust assessment of climate change to date, providing an integrated scientific, technical and socioeconomic perspective on relevant issues;
- acknowledges that the AR5 provides the scientific foundation for the ADP;
- urges parties to make use of the information in the AR5 in their discussions under all relevant agenda items;
- invites the IPCC to continue to provide relevant information to parties on the scientific, technical and socioeconomic aspects of climate change, taking into account the work of the UNFCCC in determining its future products and assessment cycles; and
- encourages parties to continue to support the work of the IPCC.

Research and Systematic Observation (RSO): This item was first considered on Monday, 1 December. The World Meteorological Organization (WMO) provided an overview of the outcomes of the second meeting of the Intergovernmental Board on Climate Services of the Global Framework for Climate Services (GFCS).

The Global Climate Observing System (GCOS) and the Committee on Earth Observation Satellites provided progress reports on their activities.

SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Chris Moseki (South Africa) and Stefan Roesner (Germany).

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.19) the SBSTA:

- welcomes the IPCC's AR5 Synthesis Report and notes the continued importance of RSO to the work of the IPCC and the report by the GCOS Secretariat, including on the outcomes and recommendations of the GCOS programme review by its sponsors;
- notes the progress made by GCOS towards the development of a status report to be presented at SBSTA 43, and on the new implementation plan that will be presented at SBSTA 45;
- encourages parties to actively engage in the review of the status report and to support the development of the new implementation plan, including on aspects related to ocean observation and acidification;
- welcomes the plans of the GCOS Secretariat to organize, in collaboration with the IPCC and the Secretariat, a workshop to identify ways to enhance systematic observation and related capacity, especially in developing countries, to support preparedness and adaptation in a changing climate, proposed to be held in February 2015 in Bonn, Germany;
- expresses its appreciation to the Committee on Earth Observation Satellites (CEOS) and the Coordination Group for Meteorological Satellites (CGMS) for their updated report on the progress made by space agencies providing global observations in their coordinated response to relevant needs of the Convention, and welcomes the efforts to develop an architecture for climate monitoring from space; and
- notes the information provided by WMO on the developments regarding the implementation of the GFCS, and encourages parties to make use of the opportunities that GFCS provides to help to address climate variability and change at the national level, including to enhance climate observations and monitoring, and to support the formulation and implementation of national adaptation planning processes.

2013-2015 Review: This item (FCCC/SB/2014/1 and INF.3) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, a joint SBI/SBSTA contact group co-chaired by Gertraude Wollansky (Austria) and Leon Charles (Grenada).

During the SBSTA closing plenary on Saturday, 6 December, SED Co-Facilitator Andreas Fischlin (Switzerland) reported on the fourth and fifth meetings of the SED, and highlighted that its meetings demonstrate that limiting global warming to below 2°C requires a long-term science-based approach.

Final Outcome: The joint SBI/SBSTA conclusions (FCCC/SB/2014/L.9) conclusions are summarized under the SBI item on the 2013-2015 Review (see page 17).

4th Meeting of the SED: This item is summarized under the SBI item on the 2013-2015 Review (see page 18).

IMPACT OF THE IMPLEMENTATION OF RESPONSE MEASURES: Forum and Work Programme and Matters Relating to Article 2.3 of the Kyoto Protocol: These items (FCCC/SB/2014/INF.4 and FCCC/TP/2014/12) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, a joint SBI/SBSTA contact group, addressing both the Forum and work programme and matters relating to Kyoto Protocol Article 2.3 (adverse effects), co-chaired by SBI Chair Yauvoli and SBSTA Chair Dlamini. Discussions on this item are summarized under the SBI item on the impact of the implementation of response measures (see page 17).

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions as revised during the SBI closing plenary. Parties agreed to continue consultations on outstanding issues, including institutional mechanisms, throughout the second week of the conference, co-chaired by SBSTA Chair Dlamini and SBI Chair Yauvoli, under the authority of COP/CMP President Pulgar-Vidal. No agreement on institutional mechanisms could be reached, consideration of the issue will continue at SB 42.

Final Outcome: The conclusions (FCCC/SB/2014/L.6/Rev.1) are summarized under the SBI item on the Forum and work programme (see page 17).

METHODOLOGICAL ISSUES UNDER THE CONVENTION: Work Programme on the Revision of Guidelines for the Review of Biennial Reports and National Communications, Including National Inventory Reviews, for Developed Countries: This item (FCCC/SBSTA/2014/INF.14, 19, 22 and 23) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to informal consultations facilitated by Riitta Pipatti (Finland) and Samuel Adeoye Adejuwon (Nigeria).

During the closing plenary on Saturday, 6 December, the SBSTA adopted conclusions. Work continued in informal consultations during the second week of COP 20 on this item under the guidance of COP 20 President Pulgar-Vidal and facilitated by SBSTA Chair Dlamini. These informal consultations continued consideration of the draft decisions annexed to the SBSTA conclusions, on which parties had been unable to reach agreement before the closure of SBSTA 41.

During the COP closing plenary on Friday, 12 December, parties adopted three decisions on: 'Guidelines for the technical review of information reported under the Convention related to GHG inventories, biennial reports and national communications by Annex I parties; the training programme for review experts for the technical review of biennial reports and national communications of Annex I parties; and the training programme for review experts for the technical review of GHG inventories of Annex I parties.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.28), the SBSTA, *inter alia*:

- states that the SBSTA advanced its work on the UNFCCC Annex I inventory review guidelines but was not able to

conclude it, and agrees to forward to COP 20 the draft decision contained in Annex I for its consideration;

- recognizes the importance of implementing the training programme for review experts for the technical review of biennial reports and national communications, and of GHG inventories, of Annex I parties, and requested the Secretariat to make available online training courses of the training programme for review experts participating in reviews from 2015 onwards;
- states that the SBSTA advanced its work on the training programme for review experts but was not able to conclude it, and agrees to forward to COP 20 the draft decision contained in Annex II for its consideration; and
- agrees to assess the results of the training programme at SBSTA 44 and to make recommendations to COP 22 on the further development and enhancement of the training programme for review experts for the technical review of GHG inventories.

In its decision on guidelines for the technical review of information reported under the Convention related to GHG inventories, biennial reports and national communications by Annex I parties (FCCC/CP/2014/L.7/Add.1), the COP, *inter alia*:

- decides to revise the guidelines, adopted by decision 23/CP.19, to make the necessary changes to include 'Part III: UNFCCC guidelines for the technical review of GHG inventories from Annex I parties';
- also decides that the guidelines contained in the annex shall be used for the review of biennial reports, national communications and GHG inventories, effective immediately;
- requests the Secretariat to coordinate the technical review of GHG inventories from Annex I parties in accordance with the provisions of the guidelines contained in the annex;
- also requests the Secretariat to develop and implement a standardized set of data comparisons, and to select a group of experienced review experts from among the lead reviewers of the GHG inventories to conduct an assessment of those data comparisons every five years;
- decides that the group of experienced review experts, using the assessment described, should, for consideration at the next meeting of the lead reviewers for GHG inventories, explore additional standardized data comparisons, as well as the past experiences with the data comparisons carried out in previous review cycles, and consider whether the standardized set of data comparisons implemented remains useful;
- requests the Secretariat, in view of the adoption of 'Part III,' to modify the relevant information technology tools, as needed, to support the implementation of the review process, recognizing that the modification of those tools will require time and effort and that the implementation of the modifications will need to take place during the 2015-2016 review cycles;
- further requests the Secretariat to compile and tabulate information and trends concerning GHG emissions by sources and removals by sinks from the latest available GHG inventory submissions and to publish information on the UNFCCC website as well as in a stand-alone document;
- decides that a summary of the document will be published for consideration by the COP and the SBs, and that this summary will include trends in GHG emissions by sources

and removals by sinks and an assessment of the adherence of the reported inventory information to the ‘Guidelines for the preparation of national communications by Annex I parties, Part I’ and the provisions of relevant decisions of the COP, including information on any delays in submitting the annual information;

- recognizes that the deadline for providing the upgraded common reporting format (CRF) Reporter to Annex I parties, enabling them to submit their GHG inventories, was not met and reiterates that Annex I parties in 2015 may submit their CRF tables after 15 April, but no longer than the corresponding delay in the CRF Reporter availability; and
- requests SBSTA 48 to consider the experiences in conducting desk reviews, taking into consideration any relevant conclusions of the meetings of lead reviewers for GHG inventories up to 2017.

In its decision on the training programme for review experts for the technical review of biennial reports and national communications of Annex I parties (FCCC/CP/2014/L.7/Add.2), the COP *inter alia*:

- requests the Secretariat to develop and implement the training programme as outlined in the annex;
- encourages Annex I parties in a position to do so to provide financial support for the implementation of the training programme; and
- requests the Secretariat to include, in its annual report to the SBSTA on the composition of expert review teams, information on the training programme, in particular on examination procedures and the selection of trainees.

In its decision on the training programme for review experts for technical review of GHG inventories of Annex I parties (FCCC/CP/2014/L.7/Add.3), the COP, *inter alia*:

- requests the Secretariat to implement the training programme for review experts as outlined in the annex;
- encourages Annex I parties in a position to do so to provide financial support for the implementation of the training programme; and
- requests the Secretariat to include, in its annual report to the SBSTA on the composition of expert review teams, information on the training programme, in particular on examination procedures and the selection of trainees and instructors.

Methodologies for Reporting of Financial Information by Annex I Parties: This item was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, a contact group co-chaired by Seyni Nafoussi (Mali) and Roger Dungan (New Zealand).

On Tuesday, 2 December, the contact group discussed the need to clarify “who is doing work on reporting methods and based on what timeline.” They addressed, *inter alia*: the need for comparability; linkages to transparency; difficulties “translating” UNFCCC language for the finance sector; and the definition, range and scope of climate finance. China and Brazil underscored the importance of fulfilling the mandate from COP 17 to develop methodologies for reporting financial information with a view to recommending a decision to COP 20.

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.26), the SBSTA recommends a draft decision for consideration by COP 20. In its decision, the COP, *inter alia*:

- decides to extend the deadline of the mandate given to the SBSTA by one year, with a view to recommending a decision on this issue to COP 21;
- invites parties and observer organizations to submit to the Secretariat, by 25 March 2015, views on this issue;
- requests the Secretariat to prepare a technical paper prior to SBSTA 42, summarizing existing international methodologies and drawing on information submitted by parties;
- requests the Secretariat to organize a joint in-session technical workshop in conjunction with SB 42 and decides the workshop shall be jointly organized by the SBSTA, the SBI and the SCF;
- requests the SCF, as part of its work on MRV of support beyond the biennial assessment and overview of climate finance flows, taking into consideration the outcomes of the joint in-session technical workshop, to include its recommendations in its annual report to COP 21; and
- also requests the SCF to present an update on its work to SBSTA 43.

Common Metrics to Calculate the CO₂ Equivalence of GHGs: This item was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Takeshi Enoki (Japan).

During the SBSTA closing plenary on Saturday, 6 December, SBSTA Chair Dlamini said no agreement had been reached on this issue, and that it would be placed on the provisional agenda of SBSTA 42.

Emissions from Bunker Fuels: This item (FCCC/SBSTA/2014/MISC.9) was first considered on Monday, 1 December. The International Civil Aviation Organization (ICAO) reported on progress on its comprehensive strategy to address CO₂ emissions from international civil aviation, stressing agreement by governments to collectively improve fuel efficiency by 2% per year and to stabilize the sector’s net CO₂ emissions from 2020 onwards.

The International Maritime Organization (IMO) said it has been effectively addressing emissions from ships, noting the approval of the Third IMO GHG Study, which demonstrates steady improvement in shipping efficiency.

Singapore and Japan commended the progress made by ICAO and IMO. Argentina, on behalf of a group of developing countries, and China said measures taken on climate change under the IMO and ICAO should respect the principles and provisions of the Convention, in particular common but differentiated responsibilities (CBDR).

SBSTA Chair Dlamini proposed, and parties agreed, that he would conduct informal consultations on the issue.

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.21), the SBSTA takes note of the information received from, and progress reported by, the IMO and ICAO on their ongoing work, notes the views expressed by parties, and invites the ICAO and IMO to continue to report, at future sessions of the SBSTA, on relevant work on this issue.

METHODOLOGICAL ISSUES UNDER THE KYOTO PROTOCOL: Implications of the Implementation of

Decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8: This item (FCCC/TP/2014/6) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, a contact group co-chaired by Anke Herold (Germany) and Maesela Kekana (South Africa).

During the contact group, on Friday, 5 December, Ukraine preferred one decision with five annexes. Co-Chair Herold clarified that the current format of two decisions was agreed at SBSTA 40. The EU called for recognizing that the deadline for the reporting of assigned amount units (AAUs) may be delayed if the CRF 3 Reporter software is not available in a timely manner or does not function properly.

On the draft conclusions, the Russian Federation lamented the firewall between methodological issues under SBSTA agenda items 11(a) and (b) on Protocol Articles 5, 7 and 8 (methodological issues under the Kyoto Protocol), and clarification of Section G (Article 3.7ter) of the Doha Amendment to the Kyoto Protocol.

Parties debated whether to “recommend” or “agree” that if an Annex I party applies provisions on the expert review team (ERT), that the ERT shall review that information. SBSTA Chair Dlamini admonished parties to agree on conclusions, saying no more extensions of the negotiations would be granted on this issue. Following revisions, parties agreed to forward draft conclusions to the SBSTA plenary for consideration.

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions, parties agreed to continue consultations on outstanding issues, in particular how to address issues related to economies in transition, throughout the second week of the conference, co-chaired by SBSTA Chair Dlamini, under the authority of COP/CMP President Pulgar-Vidal. No agreement could be reached and consideration of this issue will continue at SBSTA 42.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.29), the SBSTA, *inter alia*:

- requests the Secretariat to compile into a user-friendly document all reporting, review and accounting requirements relating to the second commitment period of the Kyoto Protocol as adopted by the CMP and that this document be made available by May 2015;
- agrees to consider, at SBSTA 42, the accounting, reporting and review requirements for Annex I parties to the Convention without a quantified emission limitation and reduction commitment for the second commitment period, along with the updated training programme for members of the expert review teams (ERTs) participating in annual reviews under Protocol Article 8 (ERTs);
- takes note that an Annex I party to the Kyoto Protocol with a commitment inscribed in the second column, but not in the third column, of the table contained in Annex B to the Doha Amendment may request the ERT to review, as part of the review of the ERT of that Party’s annual inventory for the first year of the second commitment period, information relating to that party’s base year;
- recommends that such a request should be carried out as part of the annual review for the first year of the second commitment period; and

- states that the SBSTA advanced its work on the issue but was not able to conclude it, and forwards the draft decisions, including their annexes, for consideration by CMP 10.

Clarification of Section G (Article 3.7ter) of the Doha Amendment to the Kyoto Protocol: This item was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to a contact group co-chaired by Anke Herold and Maesela Kekana.

The contact group on Friday, 5 December, addressed options for a draft decision. Parties could not agree on how or whether Article 3.7ter, *inter alia*, applies to parties that did not take commitments under the first commitment period to the Kyoto Protocol but are taking commitments under the second commitment period.

During the SBSTA closing plenary, on Saturday, 6 December, the SBSTA adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.25), the SBSTA agrees to recommend to the CMP that consideration of this issue continue at SBSTA 42, taking into account the elements for the text of a draft decision in the annex.

Land use, land-use change and forestry (LULUCF) under Article 3.3 and 3.4 of the Kyoto Protocol and under the CDM: This item was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Marcelo Rocha (Brazil).

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions and forwarded a draft decision to CMP 10 for consideration.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.24), the SBSTA agrees to continue consideration of LULUCF activities at SBSTA 44 and recommends a draft decision for consideration by the CMP.

In its decision (FCCC/SBSTA/2014/L.24/Add.1), the CMP:

- requests the CDM Executive Board to assess the applicability of the modalities and procedures contained in decisions 5/CMP.1 and 6/CMP.1 to project activities involving revegetation, in the event that such project activities would be eligible under the CDM;
- requests the CDM Executive Board to report to CMP 11 on the outcome of this assessment; and
- requests SBSTA to continue its consideration of additional LULUCF activities under the CDM at SBSTA 44.

Implications of the Inclusion of Reforestation of Lands with Forest in Exhaustion as Afforestation and Reforestation CDM Project Activities: This item was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Heikki Granholm (Finland) and Eduardo Sanhueza (Chile).

During the SBSTA closing plenary on Saturday, 6 December, SBSTA Chair Dlamini said no agreement had been reached on this issue and that the item would be added to the provisional agenda of SBSTA 42.

MARKET AND NON-MARKET MECHANISMS UNDER THE CONVENTION: Framework for Various Approaches: This item (FCCC/TP/2014/9) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Peer Stiansen (Norway) and Mandy Rambharos (South Africa).

During the SBSTA closing plenary on Saturday, 6 December, SBSTA Chair Dlamini said no agreement had been reached on this issue and that the item would be added to the provisional agenda of SBSTA 42.

Non-Market-Based Approaches: This item (FCCC/TP/2014/10) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Peer Stiansen and Mandy Rambharos.

During the SBSTA closing plenary on Saturday, 6 December, SBSTA Chair Dlamini said no agreement had been reached on this issue and that the item would be added to the provisional agenda of SBSTA 42.

New Market-Based Mechanism: This item (FCCC/TP/2014/11) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Peer Stiansen and Mandy Rambharos.

During the SBSTA closing plenary on Saturday, 6 December, SBSTA Chair Dlamini said no agreement had been reached on this issue and that the item would be added to the provisional agenda of SBSTA 42.

WORK PROGRAMME ON CLARIFICATION OF QUANTIFIED ECONOMY-WIDE EMISSION REDUCTION TARGETS OF DEVELOPED COUNTRY PARTIES: This item (FCCC/SBSTA/2014/INF.16 and FCCC/TP/2014/8) was first considered on Monday, 1 December. SBSTA Chair Dlamini proposed, and parties agreed to, informal consultations facilitated by Cristina Carreiras (Portugal) and Brian Mantlana (South Africa).

During the SBSTA closing plenary on Saturday, 6 December, the SBSTA adopted conclusions.

Final Outcome: In its conclusions (FCCC/SBSTA/2014/L.22), the SBSTA concludes the work programme on clarification of quantified economy-wide emission reduction targets of developed country parties. The SBSTA recognizes the importance of shared information and transparency in the clarification of the quantified economy-wide emission reduction targets and noted that activities undertaken under the work programme since SBSTA 38 have provided a platform for parties to share information and have helped improve the transparency of developed country party targets. The SBSTA also, *inter alia*:

- acknowledges that there is a limited number of approaches among developed country parties for measuring the progress made towards the achievement of targets and the importance of convergence in the coverage of sectors and gases as well as the use of global warming potential values among developed country parties;
- acknowledges that the additional information provided by developed country parties increased the transparency of targets and helped to facilitate the consideration of the comparability of efforts among developed country parties;
- acknowledges the discussions on the transparency of, and reporting on, the use of carbon credits from market-based mechanisms; and
- notes that there is more than one approach to account for the role of LULUCF in achieving developed country party targets and acknowledged, regarding the comparability of efforts, that comprehensive, complete and consistent coverage of the reported information is more significant than the choice of approach.

REPORTS ON OTHER ACTIVITIES: On Monday, 1 December, the SBSTA took note of the ‘Annual Report on the Technical Review of Information Reported Under the Convention Related to Biennial Reports and National Communications by Annex I Parties to the Convention’ (FCCC/SBSTA/2014/INF.21), the ‘Annual Report on the Technical Review of GHG Inventories and Other Information Reported by Annex I Parties to the Convention’ (FCCC/SBSTA/2014/INF.17) and the ‘Annual Report on the Technical Review of GHG Inventories and Other Information Reported by Annex I Parties to the Convention that are also Parties to the Kyoto Protocol Under Article 7.1 of the Kyoto Protocol’ (FCCC/SBSTA/2014/INF.18).

CLOSING PLENARY: On Saturday afternoon, 6 December, UNFCCC Deputy Executive Secretary Richard Kinley informed parties of the administrative and budgetary implications of the conclusions adopted by the SBSTA.

Rapporteur Jurga Rabauskaite-Surville (Lithuania) presented, and the SBSTA adopted, the report of the session (FCCC/SBSTA/2014/L.20). SBSTA Chair Dlamini closed the SBSTA 42 at 5:03 pm.

For a summary of the statements made during the closing plenary of the SBSTA, see: <http://www.iisd.ca/vol12/enb12614e.html>

AD HOC WORKING GROUP ON THE DURBAN PLATFORM FOR ENHANCED ACTION

On Tuesday, 2 December, ADP Co-Chair Kishan Kumarsingh (Trinidad and Tobago) opened ADP 2-7, welcoming delegates and stating that COP 20 is expected to provide a solid foundation for a new global climate agreement, noting that “this will signal to the world a successful outcome in Paris.” He introduced: the non-paper on elements for a draft negotiating text (ADP.2014.11. NonPaper); a single draft decision on advancing the Durban Platform for Enhanced Action (ADP.2014.12.DraftText), including information related to INDCs and enhanced pre-2020 climate action; updated technical papers compiling information on the mitigation benefits of actions, initiatives and options to enhance mitigation ambition (FCCC/TP/2014/13 and Add. 1-4); and the Co-Chairs’ scenario note for the session (ADP.2014.10. InformalNote). He informed delegates that consultations on the election of officers would be conducted.

Parties agreed to continue working under the ADP 2 agenda (ADP/2013/AGENDA) and the proposed organization of work, including focused negotiations on different elements in parallel meetings of the contact group, each facilitated by one of the Co-Chairs, and textual negotiations on the draft decision on advancing the Durban Platform for Enhanced Action. For a summary of the statements made during the opening plenary, see: <http://www.iisd.ca/vol12/enb12610e.html>

ORGANIZATIONAL MATTERS: Election of Officers: On Saturday, 13 December, ADP elected, by acclamation, Daniel Reifsnyder (US) and Ahmed Djoghlaif (Algeria) as ADP Co-Chairs and Yang Liu (China) as ADP Rapporteur.

ADP ITEM 3: DRAFT DECISION ON ADVANCING THE DURBAN PLATFORM FOR ENHANCED ACTION: Procedural Summary: On Tuesday, 2 December, ADP Co-Chair Artur Runge-Metzger (EU) presented the ‘Draft Decision on Advancing the Durban Platform for Enhanced Action’

(ADP.2014.12.DraftText) issued by the Co-Chairs in advance of ADP 2-7, reminding parties that “positioning is not negotiating” and urging them to make precise and concise proposals that can bridge differences.

Many developing countries called for direct negotiations with parties’ proposals on the screen and cautioned against the Co-Chairs coming forward with their interpretation of the common ground in the form of a revised Co-Chairs’ text. Others preferred to work on the basis of the Co-Chairs’ text.

ADP Co-Chair Runge-Metzger proposed going “swiftly” through the Co-Chairs’ text while allowing all parties time to give their views in order to identify “sticking points.”

On Wednesday, 3 December, many developing countries continued to call for showing their proposals on the screen, while the US preferred to continue with a more general reading of the text to identify “the major issues in the negotiations.” Tuvalu suggested, and parties agreed to, establishing a Friends of the Chair group to reach agreement on the way forward.

The Friends of the Chair group convened in the evening to agree on how to move forward. They agreed: to conduct a first reading of the Co-Chairs’ draft text (ADP.2014.12.DraftText), allowing parties to introduce their proposals by displaying them on the screen; to hold dedicated meetings of the contact group on specific sections and paragraphs; and for the Co-Chairs to prepare a synthesis integrating parties’ proposals into a revised draft decision text.

On Saturday, 4 December, an informal ADP stocktaking meeting took place. COP 20/CMP 10 President Manuel Pulgar-Vidal described the first week as one of “proposals, explanations and clarifications,” and called for the second week to be one of “dialogue, flexibility and construction” in order to deliver, by Thursday evening, 11 December, “the outcome the world is expecting from us.” ADP Co-Chair Kumarsingh proposed, and parties agreed, that the Co-Chairs make available, by Monday morning, improved versions of the non-paper on elements and of the draft decision on advancing the ADP, based on input received from parties during the first week.

On Monday, 8 December, ADP Co-Chair Runge-Metzger introduced a revised version of the draft decision on advancing the Durban Platform for Enhanced Action, now called the ‘Draft COP decision proposed by the Co-Chairs.’ He noted it: is based on inputs provided by parties, explaining that all parties’ views were captured in a compilation published on the ADP website; presents a synthesis of the “core areas” introduced by parties; and addresses all aspects of “our mandate.” Many developing countries raised concerns over the legal status of the revised draft decision, with some stressing the document remains a non-paper. They also underscored that their concerns had not been captured in the text. Others expressed willingness to work on the basis of the revised draft decision.

Co-Chair Runge-Metzger assured parties that the documents had no legal status, noting that parties would have to give it legal status. He suggested dedicating time to the decision, which parties had agreed should be taken in Lima. Runge-Metzger urged parties to proceed “as we agreed last week” and consider the draft decision paragraph by paragraph to find compromise and consensus.

During the remaining negotiating time on Monday, 8 December, and throughout Tuesday and Wednesday, 9-10 December, the contact group on item 3 continued paragraph-by-paragraph negotiations on the draft COP decision proposed by the Co-Chairs, with parties proposing extensive alternative options within the text. On Wednesday evening the draft text stood at 58 pages. China proposed, and other parties agreed, to initiate the reading of the draft decision from the preamble.

On Thursday, 11 December, the contact group convened briefly and suspended so that negotiating groups could consult among themselves on how to proceed. The contact group convened briefly in the late afternoon, with parties disagreeing on whether to continue in a contact group or a Friends of the Chair format. In the evening, during a joint COP/CMP stocktaking plenary, COP 20/CMP 10 President Pulgar-Vidal exhorted parties to reach agreement and asked the ADP Co-Chairs to produce a revised draft decision text by 9:00 pm. Late in the evening the contact group resumed, with ADP Co-Chair Runge-Metzger presenting the revised seven-page, ‘Draft COP decision proposed by the Co-Chairs.’ He described the new version of the draft text as: “not a take it or leave it” text; not a suggested compromise text; but instead, a text that tries to capture where parties positioned themselves and identifies “negotiation space” for parties. The contact group was then suspended.

On Friday, 12 December, the contact group reconvened in the morning to consider the revised draft decision. Inviting parties to consult with him in his “open-door office,” COP 20/CMP 10 President Pulgar-Vidal stressed his responsibility to maintain confidence, inclusiveness and transparency in the process, noting this as necessary for a successful outcome in Lima and Paris. He explained that the new text by the Co-Chairs resulted from a previous “unworkable text” and calls for providing direction. He asked Minister Tine Sundtoft (Norway) and Minister Vivian Balakrishnan (Singapore) to facilitate consultations as well.

Substantive discussions on the text continued until 2:00 pm, when the contact group was suspended for an informal stocktaking plenary, where COP 20/CMP 10 President Pulgar-Vidal instructed the ADP to hear the remaining speakers and informed that he, and the ministers, would continue consultations. The contact group resumed shortly thereafter and continued until all speakers had been heard, and adjourned pending further guidance by the COP 20/CMP 10 President.

Throughout the evening, bilateral ministerial consultations and consultations with negotiating groups took place. The contact group resumed at 2:18 am, Saturday, 13 December. COP 20/CMP 10 President Pulgar-Vidal and ADP Co-Chair Runge-Metzger introduced a draft decision (FCCC/ADP/2014/L.5) proposed by the Co-Chairs, based on views presented during the contact group and in the informal consultations. Runge-Metzger proposed to adjourn the contact group and convene the ADP closing plenary.

Numerous interventions followed from the floor, during which parties and groups of parties requested further time to consider the text and expressed concerns that they had not been consulted either by the ministers or the COP President. Others, noting the time, called for agreement on moving forward as proposed. At 3:30 am the ADP contact group adjourned so that parties could further consider the text.

The closing plenary of the ADP began at 10:41 am on Saturday. Parties variously supported and opposed the revised draft decision. The ADP Co-Chairs submitted, under their authority, the draft decision to the COP 20/CMP 10 President Pulgar-Vidal for further consultations. After the suspension of ADP 2-7 at 1:31 pm, Pulgar-Vidal announced he would undertake consultations with groups of parties to find consensus on the text.

During the COP 20 closing plenary, which convened at 11:37 pm, on Saturday, 13 December, ADP Co-Chair Kumarsingh informed that the ADP concluded “its intensive work” by considering a draft decision (FCCC/ADP/2014/L.5). He said that, having listened to parties, the Co-Chairs forwarded, on their own authority, the draft decision to the COP president for further consultations.

COP 20/CMP 10 President Pulgar-Vidal then introduced the ‘Proposal by the President’ containing a draft decision on further advancing the Durban Platform (FCCC/CP/2014/L.14), saying it is a product of all parties’ work and “with it we all win.” At 11:53 pm he suspended the session for an hour to give parties time to consider the text.

When the COP 20 closing plenary resumed at 1:23 am, on Sunday, 14 December, COP 20 President Pulgar-Vidal noted the draft decision “moves us forward,” and requested parties “rise to the challenge of approving it.” The COP adopted the draft decision and agreed to call it the ‘Lima Call for Climate Action.’

Tuvalu, for the LDCs, stated their understanding of the decision, including that reference to the Warsaw Mechanism for Loss and Damage in the preambular paragraph, and the reference to “*inter alia*” in paragraph 2 of the decision, represented “a clear intention” that the 2015 agreement will “properly, effectively and progressively address loss and damage.”

Substantive Discussions—First Reading: On Tuesday and Wednesday, 2-3 December, substantive discussions on the draft decision on advancing the Durban Platform for Enhanced Action began, focusing on general reactions.

On recommending text of a protocol, another legal instrument or agreed outcome with legal force under the Convention, the Russian Federation, with the EU and Tuvalu, proposed including reference to Convention Article 17 (protocols) and applied rules of procedure, so that the six-month rule for introducing text can be adhered to. The US noted this only applies to a protocol, while the Durban Platform allows for several possibilities regarding the instrument under preparation.

Venezuela suggested addressing “the elephant in the room,” namely that one set of parties seeks a mitigation-based outcome and another feels it should be based on all the elements of the BAP.

On the completion of work of the ADP, India suggested removing “as early as possible.” Brazil proposed adding a reference to accompanying draft decisions after COP 21. Kenya opposed any text on accompanying decisions at this stage.

On parity between adaptation and mitigation, Australia and Norway proposed deletion of text relating to achieving political parity between mitigation and adaptation. India suggested referring to “full legal parity” instead. Brazil suggested “parity between the operational provisions regarding mitigation, adaptation and means of implementation (MOI).”

China suggested text on, *inter alia*, deciding to achieve the balanced and comprehensive treatment among the elements of mitigation, adaptation, MOI, and transparency of action and support in the negotiating text of the 2015 agreement.

While stressing that adaptation and mitigation should receive equal treatment and resources, India called for a shared understanding on “political parity.” Saying “parity” is vague, the US proposed “underscoring the importance of adaptation.”

On demonstrating implementation of existing actions and commitments, Australia suggested this text should be addressed in the preamble. Norway said reference to implementation of existing actions and commitments are not necessary. Brazil proposed adding references to the Doha Amendment and the annual US\$100 billion finance goal by 2020.

China called for underlining that the full and effective implementation of existing commitments and actions under the Convention, its Kyoto Protocol and the agreed outcome pursuant to the BAP, in particular for developed country parties, is essential for adoption of the 2015 agreement.

On links to the elements of the 2015 agreement, the US indicated openness to listing thematic areas identified in Decision 1/CP.17 (establishing the ADP), referring to these as “aspects of work,” if this helps provide assurances that these will be addressed in the 2015 agreement.

Focused discussions on specific sections of the text began on Thursday, 4 December.

On **paragraphs 1-6 (elements)**, Canada suggested that the ADP address “various topics” instead of “all elements,” and that “achieving political parity” between mitigation and adaptation be replaced with “elevating their critical importance.”

New Zealand advocated text signaling that the work of the ADP will result in “a package of different components.” Japan stressed the need to clarify that mitigation is the ultimate goal of the Convention.

Pakistan and South Africa called for treating all elements of Decision 1/CP.17 “in a balanced manner.” Mexico and Saudi Arabia stressed the equal importance of adaptation and mitigation. Pakistan and Egypt preferred “legal parity” between mitigation and adaptation. Ecuador called for deleting qualifiers when referring to parity between mitigation and adaptation.

South Africa called for strengthening paragraphs dealing with “assurances” in relation to the link between INDCs and the elements of the agreement, and the balance of support for mitigation and adaptation.

On the importance of transparency, Ecuador called for adopting an MRV mechanism as part of the 2015 agreement.

On **paragraphs 7-12 (INDCs)**, Japan said the text still did not provide clarity on the upfront information to be presented in INDCs.

South Africa said that, while INDCs are nationally determined, their scope should be determined internationally, and, with Brazil and others, that they should include mitigation, adaptation and MOI. Canada and the US stressed that INDCs relate to mitigation. Brazil and Tuvalu, for the LDCs, noted that the scope should not be limited to Convention Article 2 (objective).

Australia underscored that INDCs should reflect efforts parties are making unilaterally. The LDCs recommended inserting a caveat for LDCs and SIDS on the inclusion of mitigation in INDCs.

New Zealand said that, when reporting on INDCs, parties should quantify expected emission outcomes, levels of effort and accounting methodologies in the land sector. The EU urged transparency, quantifiability and comparability of INDC reporting.

Bolivia stressed the importance of enhancing the provision of MOI to developing countries. Cautioning against bias towards mitigation actions, Tuvalu, for the LDCs, suggested adding text on MRV of Annex I parties' support to developing countries for the achievement of the latter's INDCs. Thailand underscored equal treatment of mitigation and adaptation. The US said reporting requirements should apply equally to developed and developing countries.

On **paragraphs 13-16 (INDC communication)**, Argentina, Chile, for the Independent Alliance of Latin America and the Caribbean (AILAC), China, India, Algeria, for the Arab Group, South Africa, Tanzania and many others emphasized the relevance of the principles and provisions of the Convention. Switzerland opposed division between Annex I and non-Annex I countries. China said information on INDCs should enhance clarity of developed countries' ambition and reflect the diversity of, barriers to and needs for, developing countries' INDCs.

Brazil said INDCs: should not be interpreted as "an expectation of legal terms"; opposed self-differentiation; and, with Sudan, for the African Group, requested making reference to equity.

Switzerland called for references to underlying assumptions and efforts, and fairness considerations. The Marshall Islands proposed that the ADP develop rules relating to accounting assumptions and approaches, land use, and use of international markets and credits, with a view to their adoption by COP 21. Bolivia opposed reference to market tools and instruments.

Tanzania opposed prescriptive INDCs and any additional reporting requirements for developing countries. Singapore emphasized clarity of information provided.

Saudi Arabia suggested the INDCs' adaptation component should enhance efforts to achieve best-value outcomes through early and integrated planning, and action at all levels. South Africa urged communication in a tabular format of: the type of contribution for 2021-2025 and 2026-2030; information on adaptation plans, actions, costs and investments; and MOI support. Chile, for AILAC, proposed that parties provide information on mitigation for 2020-2025 and an indicative contribution for 2030, including information on ambition, equity and fairness.

On **paragraphs 17-22 (post-communication and support for INDCs)**, many parties, including China, India, Venezuela, Malaysia and Saudi Arabia, opposed consideration of INDCs post-communication.

The EU proposed establishing an international process for the consideration of INDCs from the first quarter of 2015, which would be related to mitigation INDCs only. The US emphasized upfront information and a consultative period as important for promoting ambition and clarity.

South Africa called for *ex ante* assessment of INDCs by the Secretariat through, *inter alia*, a technical paper on the aggregate effect of parties' contributions. The Marshall Islands called for a technical paper summarizing and synthesizing INDCs, and including an aggregation of the level of mitigation effort.

Japan and China called for a simple process through the publication of the INDCs on the UNFCCC website, with China objecting to compilation of INDCs by the Secretariat. The Russian Federation cautioned against the use of electronic means.

Jordan, with China and India, opposed any *ex ante* review processes. Tuvalu, for the LDCs, proposed that Annex I parties report on their provision of MOI.

Brazil stressed that consideration of INDCs is not a legally-binding process but a means to enhance the understanding of each other's intentions.

On **paragraphs 23-38 (guiding enhanced action on, and future work of, workstream 2 (pre-2020 ambition) and basis for dynamic high-level engagement)**, the EU, supported by the US and Switzerland, stressed that the focus of workstream 2 should remain on mitigation. Many developing countries emphasized the need to also address adaptation and MOI. China, with Jordan, suggested focusing on how to increase international support to enhance action. Australia called for recognizing support to developing countries from various sources.

Many parties described the Technical Expert Meetings (TEMs) as useful and supported their continuation. Nauru, for AOSIS, emphasized improving and extending TEMs until the mitigation ambition gap is closed, and indicated their outputs should include: updated technical papers; a dynamic online "menu" of policy options; focus on co-benefits of actions, barriers to implementation and strategies to overcome them; and a synthesis for policy makers.

With Jordan, El Salvador and China, he said TEMs should focus on mitigation and adaption opportunities. Norway, with Switzerland, supported TEMs' focus on mitigation, including fossil fuel subsidy reform, and, with Colombia, called for recognizing the work of the Global Commission on the Economy and Climate.

Japan, supported by New Zealand, suggested strengthening linkages with existing institutions, including the technology transfer information clearinghouse TT:CLEAR and the CTCN. Norway emphasized the role of the TEC and CTCN in organizing TEMs. El Salvador suggested closer links with the Adaptation Committee and Adaption Fund.

AOSIS called for the TEMs' review no sooner than 2017, with a view to their improvement. Canada supported review "at some point." Switzerland favored a review in 2016 or 2017.

Bolivia, India and others proposed increasing the scope of TEM topics, with Bolivia suggesting a focus on technology knowledge systems and practices of indigenous peoples and local communities. Colombia, for AILAC, called for engagement of indigenous peoples and academic institutions.

India, Saudi Arabia and Argentina called for technical papers. Mali, for the African Group, suggested work leading to a technical synthesis and a summary for policy makers to inform ministerials.

Many parties welcomed high-level engagement on the ADP. AOSIS, with China, Bangladesh, for the LDCs, and AILAC, called for annual high-level engagement. Brazil said ministerials should be held “sparingly,” when concrete policies can be proposed to them, and, with AOSIS and the EU, agreed to work on improving TEMs’ output. The US called for annual ministerials on pre-2020 ambition in conjunction with the COP. Brazil, Bolivia, Pakistan and India opposed contributions from sub-national authorities to high-level events.

On engagement of a broad range of actors for effective implementation of enhanced action, Switzerland said engagement with non-state actors should take place at the national level. Tanzania, supported by Mexico, suggested that subnational entities and local authorities act through their national governments.

Opposed by the EU and the US, Mexico, with Bangladesh, supported conducting, and offered to host, regional and sub-regional TEMs, with Brazil willing to explore this idea. Citing financial implications, Switzerland said such TEMs should be held back-to-back with other meetings.

The LDCs called for support to enable technical experts from developing countries to participate in TEMs.

Brazil, supported by Australia, the US and Switzerland, suggested noting health co-benefits of mitigation policies. The US proposed also adding economic co-benefits. Egypt proposed co-benefits “in the context of sustainable development and poverty eradication.”

On **the annex (complementary information on INDCs)**, Sudan, for the African Group, suggested consideration of mitigation, adaptation and MOI options with and without differentiation. Colombia, for AILAC, called for inclusion of information on why parties perceive their contributions as equitable.

Panama, for the CfrN, requested that the role of forests be recognized and called for reference to considerations on bioenergy. Argentina, with Egypt, expressed concern over the inclusion of land sector emissions, noting that agriculture is not the main contributor to climate change.

Tuvalu, for the LDCs, proposed differentiated reporting for countries with economy-wide emission reduction targets and developing countries, emphasizing means of support.

On **preambular paragraphs**, the LDCs, opposed by the EU, requested deletion of reference to the global average temperature increase of 2°C.

Many developing countries, opposed by the US, supported references to the principles and provisions of the Convention. The US said annex-based differentiation is not a path to the new agreement and, with Japan, opposed “bifurcated language.”

China, with Pakistan and Argentina, requested references to the BAP and, with Algeria, for the Arab Group, and others, to previous COP decisions. Chile called for reference to intergenerational equity.

Jordan, India, China and Venezuela opposed reference to the catalyzing role of sub-national authorities in enhancing the impact of implementation of policies on reducing emissions and vulnerability, and building resilience.

Saudi Arabia proposed acknowledging, in line with the IPCC AR5 SYR, that effective adaptation and mitigation responses will depend on policies and measures across multiple scales.

The first reading of the draft decision on advancing the Durban Platform for Enhanced Action concluded on Saturday, 6 December.

First version of the ‘Draft COP decision proposed by the Co-Chairs’: On Monday, 8 December, parties began considering the newly introduced version of the draft COP decision proposed by the Co-Chairs. Several groups and delegates, including Malaysia, for the G-77/China, Iran, for the LMDCs, and Nauru, for AOSIS, expressed concern over: the lack of balance in the text; lack of adequate time for consideration of the text; and the danger of prejudging the outcome of the Paris agreement.

The entire text was bracketed, following a proposal by Tuvalu, for the LDCs.

On **preambular paragraphs**, Brazil, the US and others cautioned against extensive additions of text in the preambular paragraphs, and called for focusing on substance.

Parties’ views diverged on referencing: principles and provisions of the Convention; previous decisions; temperature goals; guidance by science; principles of equity, common but differentiated responsibilities and respective capabilities (CBDRRC) and sustainable development; mitigation, adaptation, MOI, and transparency of action and support; loss and damage; differentiation of the “undertakings” by different parties under the Convention; and a global emissions budget.

Noting parties’ inability to move beyond “some bracketed preambular paragraphs” over a three-hour contact group session, ADP Co-Chair Kumarsingh emphasized that the remaining three days of negotiations “are counting down.”

On a preambular paragraph on strengthening and scaling up adaptation action, Sudan, for the African Group, supported by Egypt, suggested adding references to the elements of Decision 1/CP.17 (establishing the ADP) and vulnerability of developing countries. The Philippines called for referencing the ability to recover from extreme weather events, and biodiversity conservation. Pakistan called for a reference to water security.

Singapore, opposed by the LDCs, suggested deleting “scaling-up” of adaptation action, and the EU suggested replacing it with “enhancing.” Many preferred the original formulation. The US, with the Republic of Korea, Japan and New Zealand, suggested a shortened formulation making reference only to the 2015 agreement.

Brazil, supported by Singapore and the US, said a reference to sustainable development should remain in the paragraph. Brazil and India also said that food security and poverty eradication are important elements that should remain, and, with China, called for specifying that poverty eradication relates to developing countries.

On a preambular paragraph regarding the ultimate objective of the Convention requiring “strengthening the multilateral, rules-based regime” and implementation of existing commitments, the African Group, supported by Pakistan and opposed by the EU, preferred “multilateral, rules-based regime under the Convention.”

China, opposed by Australia, proposed a new preambular paragraph noting “the agreed outcome pursuant to the BAP and the Doha Amendment.”

On **paragraphs 1-7 (advancing the work of the ADP and elaboration of a negotiating text for the 2015 agreement)**, on a paragraph welcoming the progress by the ADP on the

implementation of all elements of Decision 1/CP.17, Saudi Arabia, with others, supported the Co-Chairs' text. Australia, supported by the US, New Zealand, Japan and others, proposed deletion of the reference to the implementation of all elements of Decision 1/CP.17, preferring progress by the ADP "to advance its work." The US, with Australia, the Philippines, Canada, the EU and others, opposed by the LDCs, proposed progress made "pursuant to Decision 1/CP.17."

On a paragraph on welcoming the further elaboration of elements for a draft negotiating text in response to previous COP decisions, the LDCs, opposed by the US, Australia and the EU, requested referencing Decision 2/CP.19 (Warsaw International Mechanism for Loss and Damage) and, opposed by Saudi Arabia and India, further elaboration of elements "as included in Annex I" to the decision.

On a paragraph on preparing a negotiating text on the basis of Annex I of the draft decision text, Cuba, supported by Malaysia, for the LMDCs, proposed "acknowledging" the work of the ADP and "deciding that the ADP continue its work in 2015 to finish the elaboration of the draft negotiating text."

Australia, supported by Switzerland, Japan, Norway and New Zealand, and opposed by the LDCs, suggested replacing "on the basis of" with "by furthering the consideration of" Annex I, and, supported by the LDCs and opposed by the LMDCs and Brazil, including reference to the ADP preparing "any related decisions." Switzerland and Norway proposed adding "without prejudice" to the "structure" or "content" of the final outcome. The African Group suggested "drawing on" Annex I and "submissions received from parties."

On a paragraph on preparation of a negotiating text by May 2015, the EU, supported by Switzerland and the Marshall Islands, and opposed by the LMDCs and Canada, supported maintaining a reference to Convention Article 17 (protocols). The LDCs proposed "noting, as appropriate, the requirements of Article 17." The LMDCs suggested that focusing on Article 17 could "align us with a position we should not take at this stage," and, with the US, proposed "noting any relevant timing requirements."

Canada, supported by the US, preferred deciding that the ADP "should aim to" prepare a negotiating text instead of "shall." This was opposed by the LDCs, who cautioned against "slippage in timing."

The Russian Federation, supported by Belarus, called for adding a reference to translating the text into all official UNFCCC languages.

Relating to a paragraph on the scope of the 2015 agreement, the LDCs, supported by Nauru, for AOSIS, stressed loss and damage as a fundamental element. The US, supported by Japan, called for excluding reference to loss and damage, saying this was not an aspect referred to in Decision 1/CP.17. The LMDCs called for adding references to addressing "in a balanced manner, with full legal parity" all elements of paragraph 5 of Decision 1/CP.17.

On a paragraph on the ADP producing the text of the 2015 agreement, elaborating any related decisions, for adoption by COP 21, and identifying the need for additional decisions at subsequent COP sessions, the EU welcomed the Co-Chairs' text. The LMDCs opposed reference to any COP decisions. South

Africa emphasized the need for the ADP to complete its mandate "as early as possible" and opposed elaborating decisions for adoption by COP 21.

On paragraphs 7-23 (INDCs and their Communication and Annex II of the draft decision (Complementary information on INDCs of Parties)), the US, supported by the Marshall Islands and opposed by the LDCs, proposed a new paragraph inviting parties to communicate their INDCs well in advance of COP 21, and those willing to do so by the first quarter of 2015. Brazil, with South Africa, said the addition of this paragraph was contingent on deletion of a paragraph inviting parties that are not ready to communicate their INDCs by the first quarter of 2015 to do so by 31 May 2015 or as soon as possible thereafter. Parties engaged in a lengthy debate on the time frame for communicating INDCs. Singapore, with Brazil, China, Egypt and many others, opposed by Switzerland, the LDCs, Canada, the US and others, requested deletion of "by 31 May 2015." Switzerland preferred "well before COP 21," with Turkey agreeing to "before" COP 21. The African Group, with China, for the LMDCs, and others, opposed by the EU and others, favored "by the first quarter of 2015 and endeavor to do so as soon as possible thereafter."

On a paragraph acknowledging the support being provided to developing countries for the preparation of INDCs, and the need for such support to be further enhanced, the African Group, opposed by the US, preferred "some developing countries." The US proposed "continuing need." The LDCs noted that some developing countries have not received any support and requested deleting "to be further enhanced."

The LMDCs proposed stressing the need for developed countries, the operating entities of the financial mechanism and any other organizations in a position to do so, to provide enhanced support.

In a paragraph on communication of the mitigation component of INDCs, Norway suggested: adding reference to unconditionality of efforts by all, while maintaining a reference to enhanced efforts by developing countries made possible with provision of support; and recognizing the special circumstances of LDCs and SIDS, with the latter proposal supported by the LDCs, with some amendments. Saudi Arabia suggested bracketing "a quantifiable mitigation component" and, with Turkey, opposed reference to "evolving" national circumstances. The Russian Federation requested clarification of the meaning of "actions" and "commitments." The EU insisted on "commitments" only.

In a paragraph on parties reflecting, in their INDCs, efforts that they are able to make unilaterally, parties discussed the conditionality of INDCs. Norway, opposed by Mexico, suggested its deletion, saying the issue was captured elsewhere. Switzerland, supported by the US, preferred replacing "unilateral" with "unconditional." Switzerland also suggested specifying that parties with less capability may also communicate enhanced efforts contingent on provision of support.

The EU, supported by Japan, preferred referring to efforts that parties are able to "undertake," instead of "make unilaterally." Noting potential use of quantitative or qualitative methodologies, Brazil supported "developing countries may also clarify the extent to which enhanced efforts are dependent upon the provision of support."

Sudan, for the African Group, supported by China and Chile, and opposed by the US, preferred restating the extent to which developing countries' implementation depends on the level of support. Chile suggested adding reference to "countries most vulnerable to climate change impacts." Emphasizing the need for a component of unconditionality in parties' mitigation contributions, the US recognized that the LDCs have specific constraints, but opposed referencing any other group. The LDCs, supported by the EU, suggested reference to paragraph 11(a) of the draft text (communication of INDCs' mitigation component).

In a paragraph on consideration by developed countries, starting in 2019, of annual quantitative contributions of MOI to support ambitious mitigation and adaptation action, particularly in those most vulnerable to climate change, delegates engaged in a lengthy discussion. Japan proposed deleting the paragraph, opposed by the African Group and Mexico, who underscored lack of agreement on the scope of INDCs.

India, for the LMDCs, with Saudi Arabia, for the Arab Group, suggested: replacing "starting in 2019, should consider quantitative considerations of MOI" with "shall provide, by the first quarter of 2015, information under Annex II," and referencing the provision of MOI to developing countries for a timely preparation of their INDCs. The LDCs preferred "shall communicate their INDCs on support."

The LMDCs proposed adding a paragraph specifying that developed countries shall also provide information on their annual quantitative provision of public financial resources for the post-2020 period for the implementation of developing countries' post-2020 enhanced actions.

Japan, with Australia, New Zealand and Canada, opposed including specific quantitative financial commitments, with Australia suggesting "enabling environments, and not quantitative targets, motivate private sector engagement." Brazil noted that including private sector involvement in the new agreement does not ensure climate finance.

The LDCs, with Brazil, China, the Arab Group, the African Group and the LMDCs, emphasized that submission of INDCs by developing countries is contingent on support.

Brazil, supported by Chile, for AILAC, suggested that developed countries "shall," in their INDCs, communicate their financial support targets, and policies and measures for technology development and transfer and capacity building, taking into account national circumstances.

He also suggested that developing countries be encouraged to communicate "South-South cooperation initiatives related to MOI" in their INDCs on the basis of solidarity, common sustainable development goals, and national circumstances.

The EU identified the elements text, rather than the decision on INDCs, as "the right place" to address climate finance.

Emphasizing the need to address a variety of actions by all parties in the 2015 agreement, the EU, Switzerland and the US opposed language applying only to developed countries.

Noting that the GCF capitalization resulted from the Cancun Agreements, the LDCs, with Malaysia, emphasized the need for a process on financial contributions beyond 2020.

On a paragraph regarding communication of INDCs, Bolivia called for a framework to define fairness and equity in parties' efforts that are in line with the global emissions budget. In the absence of these amendments, Bolivia, opposed by the EU and

the Philippines, urged deletion of paragraphs 15-23 (upfront information and review of INDCs). The EU noted that INDCs are nationally determined and called for a rules-based approach that is multilaterally determined. Noting the focus on mitigation, Turkey, supported by Brazil, asked for all components, including adaptation and MOI to be included under INDCs.

On paragraphs 24-36 (issues relating to workstream 2 (pre-2020 ambition)), Brazil proposed a new paragraph "recognizing the social and economic value of voluntary emission reduction activities and the need to consider them as units of convertible financial value," in the context of paragraph 4 of Decision 1/CP.19 (enhancing pre-2020 ambition). He explained this was intended: to create positive incentives for voluntary and collaborative action; to promote a "new standard of discussion"; to provide the political recognition necessary to develop related financial instruments; and not to relate to work under workstream 1 (the 2015 agreement).

The EU and Colombia, for AILAC, said the suggestion was useful but should be analyzed later. New Zealand queried what this recognition would entail. China, for the LMDCs, and the EU noted that the paragraph's placement could suggest that the focus of workstream 2 is only on voluntary activities.

On a paragraph urging all parties to the Kyoto Protocol to ratify and implement the Doha Amendment, Belarus suggested "calling upon" parties to consider the "possibility" of ratifying the amendment and to "clarify all existing ambiguities that might hamper its implementation." The EU said issues around Protocol Articles 5, 7 and 8 (methodological issues under the Protocol) should first be resolved.

New Zealand, the US, Australia and the EU proposed deleting paragraphs on a "Forum on Accelerated Implementation of Enhanced pre-2020 Climate Action."

On a paragraph on convening such a forum, to review progress made in the implementation of paragraphs 3 and 4 of Decision 1/CP.19 (implementation of BAP and enhancing pre-2020 ambition), in conjunction with SB 42, SB 44 and SB 46, South Africa preferred SB 43, SB 45 and SB 47. Bangladesh, for the LDCs, opposed holding it in conjunction with the COP. The LMDCs favored "in conjunction with each session of the ADP in 2015." Brazil said there may not be enough time to deliver "increased" results on pre-2020 ambition.

The LMDCs proposed launching an accelerated implementation "mechanism" and that it provide recommendations to COP 21 on how to further enhance pre-2020 ambition through the ADP.

On enhancing the understanding of the status of implementation of mitigation commitments to accelerate pre-2020 mitigation ambition, the LMDCs suggested text on facilitating: the increase in developed countries' quantified economy-wide emission reduction targets under the Convention and the Kyoto Protocol to 40% below 1990 by 2020; and the removal of conditionalities associated with such targets.

On a paragraph on accelerating activities under the ADP workplan on enhancing mitigation ambition by undertaking an in-depth technical examination process from 2015-2020, Canada preferred technical examination from 2015-2017. The LMDCs requested referencing the "workplan on adaptation with the leadership of developed countries."

The EU proposed adding a reference to limiting the global temperature increase to below 2° or 1.5°C, consistent with IPCC AR5. Nauru, for AOSIS, opposed 2°C.

The African Group, supported by the LMDCs, proposed that the technical examination process be facilitated by co-facilitators representing Annex I and non-Annex I parties, appointed by the ADP Co-Chairs for 2015-2017. AOSIS opposed a review of the ADP workplan that would allow for its curtailment in 2017.

The LMDCs and the African Group, opposed by AOSIS, called for identifying opportunities for actions with high adaptation potential, in addition to mitigation, and, opposed by Australia, for text differentiating between mitigation opportunities in developed and developing countries.

Bolivia, opposed by Australia, proposed adding reference to information sharing on the global emissions budget. South Africa, opposed by Australia, suggested developing reporting guidelines for initiatives and actors outside the Convention.

On a paragraph requesting the Secretariat to organize a series of in-session TEMs in 2015-2017, AOSIS, supported by many parties, called for the process to be organized “at least twice a year during the period 2015-2020 in areas with high mitigation potential.” Brazil suggested adding “options and instruments” to “areas.”

The LMDCs, opposed by the EU, suggested that a paragraph on identifying policy options differentiate between implementation in developed countries and support to overcome barriers to implementation in developing countries.

On engagement of experts, the African Group called for reference to observer organizations. The US, supported by Norway and Canada and opposed by Panama, for the CfRN, requested removing a reference to the Warsaw Framework for REDD+, saying it is not a body under the Convention.

Saudi Arabia, opposed by the EU, proposed that the TEMs also identify the negative impacts of response measures.

The LMDCs called for emphasizing that TEMs should stay under the ADP. The EU said it did not “imagine” the ADP continuing beyond Paris.

AOSIS proposed an additional paragraph on assessing the implementation of the TEMs and making recommendations on increasing their effectiveness at COP 23. The US called for the TEMs’ review in 2016. The LMDCs preferred 2015.

On a paragraph requesting the Secretariat to update a technical paper on mitigation benefits of actions, and develop a synthesis on thematic areas relating to mitigation opportunities and options for cooperation and accelerated action, Brazil suggested referring to “mitigation potential, opportunities, options and instruments.” Colombia, for AILAC, requested that a synthesis be “compiled into a summary and presented at the annual high-level forum.” AOSIS proposed disseminating the summary through a “web-based menu on policy options.”

The first reading of the first version of the ‘Draft COP decision proposed by the Co-Chairs’ finished on Wednesday, 10 December.

Second version of the ‘Draft COP decision proposed by the Co-Chairs’: Delegates began consideration of the second version of the ‘Draft COP decision proposed by the Co-Chairs’ on Friday, 12 December.

In general comments, Bolivia, for the G-77/China, supported by Guatemala for AILAC, Tuvalu, for LDCs, Malaysia for the LMDCs, and Egypt, called for clear reference in the preambular paragraphs to the principles and provisions of the Convention, in particular CBDRRC. He also expressed deep concern over the lack of differentiation between developing countries and developed countries, referring to Annex I and non-Annex I parties. He also lamented that the issue of MOI, in particular finance, is too general and implies uniformity, calling, with China, for specific reference of responsibilities for support from developed countries to developing countries. He also called for clear differentiation between adaptation and loss and damage, and for strengthening the Warsaw International Mechanism for Loss and Damage. Algeria, for the Arab Group, and the Democratic Republic of the Congo called for references to principles and provisions of the Convention.

India lamented that the issue of strengthening the multilateral rules-based system and working with existing commitments is missing in the text. On upfront information for INDCs, Trinidad and Tobago suggested removing references to “equitable” from the text. Brazil, *inter alia*: described the text as the lowest common denominator; lamented it lacks ambition, finance, differentiation and a clear notion of no backsliding; and opposed the concept of self-differentiation implied in the text.

Malaysia, for the LMDCs, lamented the loss of text after the revision, suggesting “developed country parties, starting in 2019, should consider annual quantitative contributions on MOI to support ambitious mitigation and adaptation action, in particular for parties particularly vulnerable to the adverse effects of climate change.”

Nauru, for AOSIS, called for reference to the global temperature goal. Panama, for CfRN, called for references to the Warsaw Framework for REDD+. Bolivia opposed references to market-based mechanisms and the Warsaw Framework. Mali, for the African Group, requested new paragraphs: to address the lack of parties’ ownership of the TEMs’ preparation; requesting developed countries to present a roadmap to mobilize US\$100 billion per year by 2020; urging developed countries to include, in their financial INDCs the time frame and periods of disbursement of post-2020 finance; and publishing developed countries’ communications to ensure transparency. Bangladesh said elements for a draft negotiating text should be reflected in an annex to the decision. The United Arab Emirates called for focusing discussions on paragraphs on which there is no agreement.

On **preambular paragraphs**, on being guided by the Convention, recalling the objective of the Convention and also recalling all relevant COP decisions, India said the first sentence “shutters parties’ confidence.” India with China, Brazil, Fiji, the LMDCs, the Dominican Republic, Thailand and Venezuela, called for a clear reference that the work is not just “guided by” but is “in accordance with” the principle of CBDR and provisions under the Convention. He proposed an additional paragraph on consideration of economic and social issues, including just transition.

Trinidad and Tobago called for a reference to the long-term global goal to limit temperature to below 2° or 1.5°C above pre-industrial levels. Emphasizing as a “red line,” Sudan, for the African Group, called for both upfront information and

the post-2020 arrangement to be under the Convention. He suggested the preambular paragraph should recall the “principles and provisions of Convention “to provide assurance.” Ecuador stressed the importance of long-term finance in the context of the decision. Nicaragua and Viet Nam called for a preambular reference to the decision being under the Convention. Fiji and Thailand requested references to the principles of the Convention.

On the **operative paragraphs**, on a paragraph on the scope of the 2015 agreement, Nauru, for AOSIS, supported by Mexico, Bangladesh and the Dominican Republic, emphasized loss and damage as a separate element of the new agreement. The US and Canada opposed this, with the US saying they were prepared to accept the rest of the paragraph in light of assurances sought by a number of countries.

Australia cautioned parties against reopening, in the context of the new agreement, a “hard fought compromise on loss and damage” that was reached in Warsaw. He suggested deleting reference to loss and damage, and adding, after references to the elements, “reference to any associated institutional arrangement.” The Russian Federation and Switzerland also opposed reference to loss and damage.

Nicaragua, Solomon Islands, Ghana and Fiji called for having loss and damage as an element separate from adaptation.

The Philippines, with Nigeria, emphasized loss and damage as critical, and said it must stand alone in the text and not be considered as part of adaptation.

South Africa called for references to the 2°C and 1.5°C goals, and recognizing that the level of adaptation required depends on the level of mitigation.

On a paragraph on intensified consideration by the ADP of the elements for a draft negotiating text reflected in Annex I, with a view to making available a negotiating text for a protocol, another legal instrument or agreed outcome with legal force under the Convention applicable to all parties before May 2015, Venezuela, with Nicaragua, opposed including the elements text in an annex. She cautioned, with Algeria, for the Arab Group, against precluding the legal form of the new agreement. The US welcomed an annex. Malaysia, for the LMDCs, expressed concern that the annex will form the basis for the 2015 negotiations. To preserve the progress accomplished in Lima, he suggested the Co-Chairs reflect this in their report of the session.

On a paragraph noting that arrangements in the decision relating to INDCs are without prejudice to the legal nature of the INDCs or the content of the 2015 agreement, Sudan, for the African Group, stressed that both the legal form and the content of the Paris agreement should not be prejudged.

On a paragraph on provision of support by developed countries and other countries in a position to do so, Guatemala, for AILAC, lamented lack of assurance on means of implementation post-2020. Saudi Arabia and the United Arab Emirates stressed the need for building trust and for greater clarity on scaling up finance by 2020. Marshall Islands said many developing countries see the scaling up of finance by developed countries as key to the Lima package. Saudi Arabia opposed the paragraph and suggested a spin-off group work on the issue.

China, Brazil, Pakistan, Malaysia, for the LMDCs, Sudan, for the African Group, South Africa, Nicaragua, Venezuela, Iran, Nigeria and Cuba called for deletion of reference to “other parties in a position to do so.” New Zealand and Japan supported the paragraph, opposing its amendment. Mexico interpreted “in a position to do so” not as an issue of differentiation, but as “opening the doors” for “countries like ours” to contribute, and urged parties to find a way to “keep those doors open.”

Given the concerns raised, the EU suggested deleting the paragraph. The US proposed taking the issue up next year. The Democratic Republic of the Congo said it prejudged the outcome of negotiations on finance.

Egypt, supported by Brazil, proposed an additional paragraph to capture the importance of an agreement on scaled-up, new and additional, predictable, adequate and improved access to finance for developing countries to enable and support enhanced action on mitigation, adaptation and MOI.

On a paragraph with three options relating to communication of INDCs, including their scope, Algeria, for the Arab Group, proposed its deletion. India, Bolivia, Nicaragua, Belarus, Cuba, Viet Nam, Iran and the Russian Federation favored the first option, in which the COP would reiterate its invitation to each party to communicate to the Secretariat its INDCs towards achieving the objective of the Convention.

Australia, Canada and Switzerland supported the second option, in which the COP: would reiterate its invitation to each party to communicate to the Secretariat its INDCs towards achieving the objective of the Convention and agrees that each party’s INDC will represent a progression beyond the current undertaking of that party. Saudi Arabia indicated support if mitigation and adaptation were at the same legal “level.” New Zealand said it could support the second option as a starting point, and could look into a proposal to add references to adaptation, noting such references should not define “contributions” nor be mandatory. Japan said it was open to addressing adaptation, but not MOI.

China indicated support for both the first and second options. The Democratic Republic of the Congo preferred the first option, but was ready to work with the second option by referencing contributions on adaptation and finance.

Mexico, the Philippines, Sudan, for the African Group, Nigeria, South Africa, Malawi, Solomon Islands, Bangladesh, the Dominican Republic, the Republic of Korea and Fiji supported the third option, in which the COP would agree that parties’ INDCs will include a mitigation contribution, and may also include contributions on adaptation and MOI, and that the INDCs of each party will represent a progression beyond the current undertaking of that party.

Nigeria suggested adding: “INDCs submitted by Annex I should be ambitious enough in accordance with IPCC AR5 to result in emission reductions of GHGs equivalent to their total share of global emissions and be made a condition for entry into force of the agreement to be adopted in Paris.” Brazil favored the proposal by the African Group.

The US preferred the third option, but was willing to consider the second option, strongly supporting each party’s INDCs representing a progression beyond their current undertaking.

Panama, for Cfrn, with the LMDCs, favored the second or third options, provided CBDR is recognized. The EU expressed preparedness for some trade-offs, including the possibility of including adaptation in the INDCs on a voluntary basis. Switzerland said it could consider adaptation in INDCs if other key elements were brought in, including unconditional INDCs with quantifiable mitigation information and information on accounting.

On a paragraph with three options relating to information to be provided in INDCs, Tuvalu, for the LDCs, called for referencing sections of the text on support. With India and Bolivia, he stressed the need to clearly indicate in the annex that MOI support is to be provided by developed countries to developing countries.

India, China, Bolivia, Nicaragua, Viet Nam, Belarus, Iran and Algeria, for the Arab Group, preferred the first option, in which the COP would decide that all parties, when communicating to the Secretariat their INDCs, will provide the information necessary to facilitate the clarity, transparency and understanding of their INDCs.

China suggested adding that the information parties communicate should be in accordance with Convention Article 12 (communication of information related to implementation) and relevant reporting decisions under the Convention.

Australia stressed the importance of the paragraph and supported, with the Philippines, the Republic of Korea and Switzerland, the second option, in which the COP would decide that all parties shall provide information on the reference point (including, as appropriate, a base year), time frames and/or periods for implementation, scope and coverage, expected level of effort, and how the party considers that its INDC is fair and equitable, ambitious and consistent with the objective of the Convention.

Australia suggested including reference to “any assumptions and methodologies.” New Zealand, supported by Japan, called for additional references to assumptions, methodologies, land use accounting approaches, and the use of market mechanisms.

The US expressed willingness to work with the second option with the addition of references to assumptions and methodologies, “fair” instead of “equitable,” and parties’ INDCs representing their best effort in light of national circumstances.

Sudan, for the African Group, said the second option could be considered, but required that all elements be covered and strengthened with a reference to the type and amount of MOI in order to establish parity with the required mitigation information.

The Philippines, supported by Mexico and Ghana, called for reflecting human rights, in particular the rights of indigenous peoples and women.

Mexico, South Africa, the Dominican Republic, Fiji, and Trinidad and Tobago supported the third option, in which the COP would decide that all parties shall provide information on the reference point (including, as appropriate, a base year or other reference values), time frames and periods for implementation, scope and coverage, expected quantified outcomes, any assumptions, methodologies, land-use accounting approaches and expected use of market mechanisms, undertakings in national adaptation planning processes, and if applicable, the provision of MOI support for ambitious mitigation and adaptation action in developing countries, with

special consideration for parties particularly vulnerable to the adverse effects of climate change and how the party considers that its INDC is fair and equitable, ambitious and consistent with the objective of the Convention, and decide that parties shall provide the information identified in Annex II, as appropriate, when communicating their INDC.

Brazil suggested replacing “methodologies, land-use accounting approaches” with “methodological approaches for establishing and accounting for anthropogenic GHG emissions by sources, and as appropriate.”

On a paragraph calling for developed countries, the operating entities of the financial mechanism and any organization in a position to do so to provide support for the preparation and communication of INDCs, Tanzania called for separating what is asked from parties from what is asked from operating entities.

On a paragraph with three options relating to actions by the Secretariat after the INDCs’ communication, including possible dialogues and an assessment of their aggregate effect, India, China, Brazil, Nicaragua, Cuba, Belarus, Saudi Arabia, Viet Nam and Bolivia favored the first option, requesting the Secretariat to publish the INDCs online, as communicated. The LMDCs expressed willingness to work on the language of other options.

New Zealand, Japan, Canada, the United Arab Emirates and the Republic of Korea supported the second option, which requests the Secretariat, to *inter alia*: organize a dialogue between June 2015 ADP session and COP 21 with the objective of facilitating the clarity, transparency and understanding of the communicated INDCs and prepare a technical paper in advance of the dialogue on the aggregate effect of the INDCs communicated by parties prior to 30 June 2015. Willing to work with the second option, the US requested the dialogue to occur at every ADP session.

The EU, supported by Tuvalu, for the LDCs, emphasized the need for a follow-up process to the communication of INDCs, and indicated, with Trinidad and Tobago, preference for the third option, which requests the Secretariat to: publish INDCs online as communicated; organize two in-session dialogues; and prepare a technical paper in advance of the dialogues, on the aggregate effect of INDCs communicated by parties prior to 30 May 2015. Mexico, Fiji, the Dominican Republic and Switzerland supported the third option, with South Africa calling for additional references to a compilation of, and workshops on, existing methodological provisions on LULUCF and REDD+.

On a paragraph encouraging parties to the Kyoto Protocol to ratify and implement its Doha Amendment, Cuba and Viet Nam, opposed by Belarus and Ukraine, called for “urging” instead of “encouraging” parties.

On a paragraph with three options relating to enhancing pre-2020 mitigation ambition, including a possible forum or mechanism to assess implementation, the EU, with the US, Canada, India, Australia, New Zealand, Iran, Algeria, for the Arab Group, Belarus, Japan and Switzerland, preferred the first option, suggesting the COP reiterates its resolve, as set out in Decision 1/CP.19, paragraphs 3 and 4, to accelerate the full implementation of the decisions constituting the agreed outcome pursuant to decision 1/CP.13 (Bali Action Plan) and enhance ambition in the pre-2020 period in order to ensure the highest possible mitigation efforts under the Convention by all parties.

The EU, Canada and the US disagreed, opposed by Tuvalu, for the LDCs, with including finance in the INDCs, noting this issue will not be resolved in Lima. The LDCs stressed the need for an indication of finance not just for the preparation of INDCs, but also for their implementation; and also called for a reference to special circumstances of LDCs in the preparation of the mitigation INDCs. Mexico stressed the need for financial and technical support.

India called for reflecting that elements for the draft negotiating text would be under the Convention.

Mexico, China, Marshall Islands, Cuba, Fiji, Viet Nam, Panama, for CfRN, Bolivia, Saudi Arabia and the Dominican Republic supported the third option, in which the COP would launch an accelerated implementation mechanism to assess progress made in the implementation of Decision 1/CP.19, paragraphs 3 and 4, by convening meetings in conjunction with SB 42, 44 and 46.

The United Arab Emirates preferred the second option, in which the COP would convene a forum to assess progress made in the implementation of Decision 1/CP.19, paragraphs 3 and 4, in conjunction with SB 42. The Democratic Republic of the Congo called for a hybrid option, preferring a forum that will take place not only in 2015, but also in 2016 and 2017. Brazil emphasized following a results-oriented approach.

On a paragraph on actions by the Secretariat to continue the technical examination of opportunities with high mitigation potential in the period 2015-2020, Iran said it should cover all elements, not only mitigation. Saudi Arabia said TEMs need to end by 2016 or include adaptation. The Dominican Republic and Bolivia called for inclusion of women and youth as experts. Bolivia emphasized meaningful participation of indigenous peoples in TEMs, and called for a new thematic area on sustainable management of ecosystems, and consideration of additional areas for discussion under adaptation.

On **Annex II (complementary information on INDCs)**, Tuvalu, for the LDCs noted, with India, Bolivia and China, the need to clearly indicate in the annex that MOI support is to be provided by developed countries to developing countries. China and Bolivia opposed reference to “fairness and ambition” under the subheading “other” in Annex II, which addresses to indicators relating to fairness and ambition and their application. Egypt, Cuba, Fiji, Viet Nam and Sudan, for the African Group, opposed the annex. The Russian Federation cautioned against the level of detail in the annex. Brazil, *inter alia*: described the text as the lowest common denominator; lamented it lacks ambition, finance, differentiation and, with Marshall Islands, a clear notion of no backsliding; and opposed the concept of self-differentiation implied.

Venezuela stressed the need to reflect differentiation. Iran proposed deletion of the annex as it does not reference CBDR or a timeline on finance and MOI. Algeria, for the Arab Group, emphasized the need to refer to adaptation finance and expressed reservations on fairness indicators. The LMDCs preferred capturing it in the operative paragraphs.

ADP ITEM 3: ELEMENTS: This item was first considered on Tuesday, 2 December and continued through Saturday, 6 December. On 2 December, ADP Co-Chair Runge-Metzger

presented the non-paper on ‘Elements for a draft negotiating text’ (ADP.2014.11.NonPaper) issued by the Co-Chairs in advance of ADP 2-7.

On Saturday, 6 December, the first reading of all sections of the elements text was concluded. On Monday, 8 December, ADP Co-Chair Artur Runge-Metzger introduced a revised version, including a footnote to the title stating: “These elements for a draft negotiating text reflect work in progress. They neither indicate convergence on the proposals presented nor do they preclude new proposals from emerging in the course of the negotiations in 2015.” Many developing countries questioned the legal status of the new text, underscoring it remains a non-paper and that their concerns were not reflected in the text. ADP Co-Chair Runge-Metzger said it is up to parties to decide the legal status of the text. The elements text was not considered further during ADP 2-7 but is contained in the annex to the ‘Lima Call for Climate Action,’ for consideration at ADP 2-8.

Substantive negotiations took place on eight elements summarized below: finance; adaptation; mitigation; capacity building; technology; cooperation and support; transparency of action and support; and time frames and process related to commitments/contributions.

Finance: Nicaragua, with many developing countries, opposed the text as “a far cry from the Convention and previous decisions.”

On differentiation, Sudan, for the African Group, with Ecuador, for the LMDCs, and Bolivia, for the G-77/China, opposed text suggesting “all” parties mobilize climate finance through a diversity of actions. The African Group recalled differentiation between developed and developing countries under the Convention, and the responsibility of developed countries to provide finance.

The LMDCs, opposed by Japan, called for deleting references to provision of finance by “parties in a position to do so.” India and China called instead for a reference only to developed countries and those listed in Annex II of the Convention.

The LMDCs opposed reference to results-based adaptation finance. Mexico clarified “results-based” is not a precondition for access to finance, and stressed prioritizing both mitigation and adaptation finance. Indonesia highlighted the need to ensure adherence to the Convention principles in the entire agreement. Switzerland suggested including in the 2015 agreement: reference to “each party” rather than “all parties” mobilizing climate finance; some text on the purpose of financial resources; and applicable principles, such as being results-based, recognizing developing countries’ investment, and reflecting evolving capabilities and responsibilities.

Bolivia, for the G-77/China, highlighted gaps in the implementation of obligations under the Convention and called for enhancement of support. Colombia stressed referencing leadership of developed countries in the implementation of the Convention.

China and India called for deleting text suggesting that “parties mobilize and provide financial resources in a manner which is capable of adapting dynamically to changing realities and future developments and needs.”

The EU clarified that “evolving responsibilities and capabilities” captures the growth in the levels of prosperity and GHG emissions of developing countries, noting that some are currently more prosperous than some EU member states.

On policy signals and enabling environments, the US called for including text: encouraging parties to build effective enabling environments; calling for elimination of public incentives for high-carbon investment; and recognizing that climate finance flows in all directions. He suggested deleting reference to mobilization of climate finance “as a means to stay below the long-term temperature limit,” and, opposed by the African Group, to “adequate and predictable” funding for adaptation.

Malawi, for the LDCs, lamented that text on “encouraging policy signals by governments” does not address provision of climate finance. New Zealand described “right” policies and enabling environments as a prerequisite for more effective flows of climate finance.

On sources of finance, Norway, Switzerland, Canada and the US suggested highlighting a variety of sources. The Republic of Korea stressed the importance of operational guidelines, including: a balanced approach to finance, with equal footing for adaptation and mitigation; a practical approach for mobilizing finance from the public and private sectors; and creating synergies among different financial institutions.

On the scale of finance, Egypt, with Paraguay, emphasized that adequate and predictable finance should come mainly from public sources. Algeria suggested that “adequate and predictable funding for adaptation” also be “additional.” The EU and Japan, opposed by Ecuador, considered specifying finance as “adequate and predictable” problematic.

Egypt sought clarity on the scale of finance and supported quantified targets for finance to ensure predictability. Norway, the EU, Switzerland and Japan opposed an *ex ante* process to commit to quantified support commensurate with the ambition reflected in the adaptation and mitigation goals, with the EU signaling this as “a red line.” Colombia emphasized the need to capture predictability in the new agreement.

Japan proposed deleting text suggesting that mobilization of finance be “regularly scaled up.” The EU preferred regular “updating” rather than “upscaling.”

South Africa proposed to identify: how to anchor the existing finance mechanism and MRV system into the new agreement; the scale of resources required to keep temperature rise below “our goal”; who contributes and how; and sources of finance.

China called for acknowledging that South-South cooperation is not a commitment of parties and, with India and Algeria, suggested mobilization and provision of finance be enhanced not “in coordination with,” but rather as “additional to,” official development assistance.

On Thursday, 4 December, Sudan, for the African Group, supported by Bolivia, for the G-77/China, Saudi Arabia, Maldives, India, South Africa, Ecuador, Zambia, Pakistan, Argentina and others, introduced a conference room paper (CRP) containing draft elements on climate finance under the ADP, requesting that it replace the Co-Chairs’ non-paper as the basis for discussion.

New Zealand, with Switzerland, called for concluding the consideration of the Co-Chairs’ non-paper, noting it covers most of the elements of the CRP. The US emphasized work undertaken over the past two days on the Co-Chairs’ non-paper and progress already achieved.

The G-77/China stressed the legal standing of the CRP as opposed to the Co-Chairs’ non-paper. ADP Co-Chair Runge-Metzger invited parties to consult informally on the way forward. This issue was not further addressed during the session.

Adaptation: The US, Mexico, the Republic of Korea, Norway, Canada, Switzerland, the EU, Zambia, Japan and others provided comments on, *inter alia*: long-term and global aspects of adaptation; commitments and contributions; monitoring and evaluation; sharing information, knowledge and lessons learned; and institutional arrangements.

Saudi Arabia, for the LMDCs, Zambia, South Africa and others stressed the need to address differentiation. Switzerland said there is no need for differentiation on adaptation, noting that commitments are intended to facilitate preparation for adaptation actions without being burdensome. Australia and New Zealand opposed a “bifurcated” approach.

Tuvalu, for the LDCs, cautioned against referring to “contributions” or “commitments.” The US proposed referring to “actions.” Brazil said work that has been done under the Cancun Adaptation Framework and Nairobi Work Programme should be recognized. The LMDCs favored the terms “commitments” and “actions.” India emphasized that determination of contributions should be country-driven.

The Republic of Korea supported a global adaptation goal that is general enough to be applicable to all and specific enough to inspire action on the ground. Norway requested that an option for no global adaptation goal be reflected. Japan expressed doubt over a quantitative goal on adaptation. The US, Norway, Canada and the EU supported broadening the scope of national adaptation planning processes.

New Zealand opposed a global goal on adaptation. The LDCs supported a long-term goal, noting that action on adaptation is dependent on mitigation and the global temperature limit. Ghana, for the African Group, said dimensions of the adaptation goal should be both quantitative and qualitative. The US clarified that “universal individual commitments” imply that each party will undertake enhanced adaptation actions to be included in national planning processes.

Mexico said inter-linkages between adaptation and mitigation, renewed and reinforced collective commitments, national commitments, and adaptation finance should be reflected in the new “protocol.” She said monitoring and evaluation, and, with Norway, institutional arrangements should be addressed in COP decisions. Emphasizing that adaptation cannot be measured and quantified, Canada, New Zealand and Australia did not support linkages between the long-term temperature limit, the need for support and adaptation.

Australia and New Zealand also did not support linkages between mitigation ambition, adaptation needs, the global temperature goal, and finance. Saudi Arabia, for the LMDCs, and Argentina stressed the need to link adaptation to MOI.

On institutional arrangements, the US, Canada, Japan and others saw no need for new institutional arrangements for adaptation. Switzerland opposed singling out loss and damage in the new agreement.

The LDCs proposed establishing: a clearinghouse to help those lacking capacity and access to the best adaptation technologies; a roster of international adaptation experts; and, with Timor Leste, regional adaptation centers.

On MRV, Nauru, for AOSIS, supported reference to national communications and biennial update reports for communicating commitments, stressing the need to build on existing reporting modalities. Chile, for AILAC, preferred existing reporting vehicles that would not burden any country and facilitate North-South and South-South cooperation.

The LDCs favored an MRV mechanism to ensure a level of support commensurate with adaptation needs. The LMDCs and South Africa cautioned against placing additional burdens on developing countries. China and Iran emphasized the knowledge gap on the implementation of adaptation.

On loss and damage, AOSIS, the LDCs, AILAC, the African Group and others, opposed by Australia, emphasized that it should become a stand-alone element in the new agreement. New Zealand opposed any reinterpretation of Decision 2/CP.19 (Warsaw International Mechanism for Loss and Damage).

The LDCs proposed a climate change displacement coordination unit, and a mechanism to deal with slow-onset events, including a compensation regime. The LMDCs said discussions on loss and damage are premature pending outcomes on the Executive Committee.

Mitigation: On differentiation, Kenya, for the African Group, lamented the overall lack of reference to equity, CBDR, mitigation obligations of developed countries, and specific national and regional development priorities. India, Argentina, Venezuela, Jordan, Cuba and Bolivia called for reference to CBDR, principles and provisions of the Convention, or its Article 4 (commitments). Japan, New Zealand, the US, Australia, Switzerland and Canada opposed creating binary divisions on commitments, based on annexes or the distinction between developed and developing countries.

The EU said the text should reflect that all parties will eventually take quantified economy-wide emission reduction targets. The US called for an option in the text to update the Convention's annexes to reflect parties' changing economic and emissions trends.

The United Arab Emirates proposed recognizing actions by "early movers."

Saudi Arabia, for the LMDCs, described other parties' comments on the evolution of CBDR, updated annexes or elimination of differentiation as "illegal," emphasizing that the future agreement cannot be built on that basis. Supporting Brazil, China opposed the introduction of new concepts, saying diverting from the principles and provisions of the Convention makes progress difficult.

On long-term and global aspects, Nauru, for AOSIS, suggested a regular review of the elements under the section on the basis of science. Saudi Arabia suggested using agreed language, for example from Cancun, and including references

to, *inter alia*, sustainable development and developing countries' vulnerabilities. China called for reflecting the linkages between the collective aspects of mitigation, adaptation and MOI.

South Africa stressed a long-term goal should be consistent with what is required by science, and Tuvalu, for the LDCs, said the goal should be to keep the temperature increase below 1.5°C. New Zealand suggested "net zero CO₂ emissions by 2100" in line with the latest science. The EU called for explicit reference to the 2°C goal.

Algeria, for the Arab Group, reminded parties that Decision 1/CP.16 (Cancun Agreements) recognizes the need for a longer time frame for the peaking of GHG emissions in developing countries.

On mitigation contributions or commitments, Saudi Arabia said the subsection title should include "actions." China suggested structuring the subsection so as to differentiate enhanced mitigation action by developed and developing countries. Chile, for AILAC, among others, supported the principle of "no backsliding." Norway said elements on accounting and periodicity should be part of the mitigation section.

The EU said all parties should submit unconditional commitments, with the possibility for the most vulnerable to also submit actions conditional on support. The US, with Australia, said each country should maintain a schedule of actions they intend to take to meet their commitments, with periodic reporting on implementation and revisions to enhance commitments.

Bolivia, opposed by Australia and New Zealand, called for commitments based on an "indexed" global carbon budget divided among all parties according to historical responsibility, ecological footprint, state of development and capabilities. Brazil said agreement on criteria for carbon budgeting was difficult to foresee.

Panama, for the CfRN, said that the global carbon budget should be informed by national estimates. Ukraine opposed considering a global carbon budget, preferring a bottom-up approach to long-term emission reductions.

The LDCs called for two annexes, one for parties taking quantified economy-wide emission reduction targets and the other for parties that take other forms of commitments.

The Republic of Korea supported reference to market mechanisms. Mexico preferred "commitments" according to CBDRRC and supported schedules as an anchoring mechanism for contributions. Ethiopia emphasized MOI for developing countries.

The EU called for a commitment cycle of 10 years and, supported by the US, for a five-year cycle of review and revision. The EU said this should be elaborated further in the text. The Russian Federation cautioned that a review process in the middle of the commitment period could make ratification challenging, as legislators require a clear understanding of what they are agreeing to.

On response measures, the LDCs, Venezuela, Argentina, Egypt and the United Arab Emirates, opposed by New Zealand, Japan and Canada, variously supported a mechanism, institution or permanent forum. Ukraine preferred the option of no new arrangements, or a permanent forum as an alternative.

Saudi Arabia said his country will not support the new agreement if it does not adequately address the issue.

Cooperation and Support: China and Saudi Arabia said discussion on cooperation and support for implementation was not mandated by Decision 1/CP.17 (establishing the ADP). ADP Co-Chair Runge-Metzger explained that headings were only included for the parties' convenience.

Many parties supported consolidating the section on cooperation and support with sections on other elements. Algeria, for the Arab Group, and China said sections on market and non-market approaches, and new market-based mechanisms could prejudice discussions under the SBs.

Australia, New Zealand, the US, Canada and others said all parties in a position to do so should provide support for the implementation of the new agreement. The EU and Switzerland supported describing the purpose of MOI. Japan said parties who provide and receive support should work together to mobilize private finance.

On differentiation, Singapore expressed concern over "evolving responsibilities" and "parties in a position to do so," and cautioned against rewriting the Convention. The Arab Group opposed reference to "evolving" CBDRRC. China said only developed countries have the responsibility to provide support to developing countries, and cautioned against introducing new principles.

On institutional arrangements, the Arab Group, with China, called for deletion of reference to sub-national, national and regional emissions trading schemes. Australia, the EU, New Zealand, Switzerland, the US, Canada, Japan and others expressed reservations about this sub-section. Panama stressed the importance of referring to the accounting and conformity functions of cooperative arrangements.

Transparency of Action and Support: South Africa, supported by Mexico, proposed launching a process for discussing transparency rules during 2015, with South Africa saying this should be reflected in the ADP conclusions from Lima.

On the scope of MRV, Argentina, with Tuvalu, for the LDCs, cautioned against bias towards mitigation. The LDCs called for greater parity between mitigation and support. New Zealand and Japan urged referring to transparency of support provided and received. Switzerland highlighted the need for adaptation reporting.

Brazil said transparency cannot substitute accountability, and is linked not only to mitigation, but also adaptation and MOI. Turkey said the scope of contributions should remain at parties' discretion.

On the MRV framework, the African Group, warned against backsliding from the current framework. The African Group, South Africa, Chile, for AILAC, Panama, for CfRN, Nauru, for AOSIS, Brazil and Mexico called for building on the existing MRV framework, with some suggesting it could evolve over time. Nauru, for AOSIS, said the framework should measure progress toward a global goal of 1.5° or 2°C and promote participation of all countries. The African Group cautioned against placing additional burdens on developing countries.

Argentina, the LDCs, the African Group, Saudi Arabia and China, for the LMDCs, emphasized differentiation, with many calling for maintaining the existing "two-track" approach to MRV. Brazil called for a transparency framework that reflects differentiation. Ecuador requested a reference to CBDR.

Norway emphasized universality and, with Switzerland, flexibility to accommodate parties' different capabilities. Australia, Japan and the US called for a single transparency system applicable to all. The US said the system should enable verification of efforts, which could include tiers and opt-out provisions based on parties' circumstances.

Turkey opposed, calling for a common framework with common MRV provisions applicable to all parties, with flexibility for developing countries on the level and depth of the application of the common MRV provisions.

On rules and modalities, the EU, with New Zealand, suggested that the new agreement contain high-level MRV and accounting principles, with guidelines and modalities elaborated in COP decisions.

Argentina cautioned against prejudging SBSTA discussions on LULUCF and requested that various approaches be referenced in addition to markets. Jordan objected to references to market mechanisms. The African Group emphasized gaps in developed countries' MRV frameworks on markets and LULUCF.

South Africa highlighted the importance of LULUCF accounting, calling for consolidating detailed rules under the Convention. AILAC called for stronger language on developing rules for markets, land-use and forestry sectors. CfRN called for references to REDD+ and coastal ecosystems.

AOSIS and AILAC called for a clear definition of climate finance, with AILAC stressing this will help avoid double-counting.

The LMDCs called for text on, *inter alia*: a common methodology for MRV of support by developed countries; a strengthened review of MOI support; and a financial channel under the GCF for MRV-related capacity building in developing countries.

Technology: On commitments, Swaziland, for the African Group, Argentina and China called for differentiated obligations for developed and developing countries. Swaziland, for the African Group, said that commitments should not shift responsibility from developed to developing countries, nor encourage private over public support. China emphasized the need for developed countries to provide support to implement technology needs assessments in developing countries.

On institutional arrangements, Swaziland, for the African Group, Saudi Arabia, South Africa, Algeria and Argentina preferred anchoring institutional arrangements in the TEC and CTCN. China urged further guidance to strengthen the Technology Mechanism (TM), noting such guidance is complementary to anchoring the mechanism in the TEC and CTCN.

Iran, Argentina and Algeria said that technology transfer should proceed under the principles and provisions of the Convention. The US said cooperative action to promote and enhance technology development and transfer should include existing technology and financial mechanisms. Ukraine requested inclusion of economies in transition in the development and transfer of technologies.

Capacity Building: Canada and Japan said capacity building must be "country-driven," and not "demand-driven." Tanzania, with Tuvalu, for the LDCs, urged enhancing capacities of

national governments to absorb financial and technological resources, and opposed reference to “clear and predictable targets and outcomes.”

On commitments, South Africa and India emphasized developed countries’ obligation to provide capacity-building support to developing countries. Ethiopia emphasized “glaring” differences in needs for capacity building in developing countries and, opposed by the US, called for commitments on capacity building.

Algeria, for the Arab Group, stressed that developing countries able to provide capacity can do so voluntarily. Argentina said parties should identify their own capacity gaps. The US said all parties in a position to do so should be invited to support others with lower capabilities.

On institutional arrangements, South Africa, China, India, Iran, Tanzania, Tuvalu, for the LDCs, and others, opposed by Canada, Japan, the EU, the US and others, supported the establishment of an international capacity-building mechanism. India noted that mobilization of private capital cannot be one of its essential elements.

Argentina said private funding should be complementary to public funding. China cautioned against “board-shifting behaviors” in reference to the potential role of the private sector in supporting capacity building. Stating that capacity development should apply to all parties, not only developing countries, the EU called for improving and strengthening existing mechanisms and arrangements under the Convention and the Kyoto Protocol that address capacity building.

Time Frames and Process Related to Commitments/

Contributions: China stressed the importance of the timing of the agreement, including precise dates for the starting and ending of its implementation, and a time frame related to commitments.

On commitments/contributions, Turkey preferred “contributions.” South Africa favored commitments with a legal character. Chile, for AILAC, said that “contributions” should be communicated every five years, with an indication of contributions for the subsequent five-year period, as well as the five-year period following that.

Indicating flexibility on period length, Switzerland, with Norway, emphasized that all parties should communicate their commitments at the same time. Turkey preferred a 10-year period with a mid-term review.

On *ex ante* consideration, AILAC called for a robust process. Switzerland urged *ex ante* consideration of aggregate commitments. Turkey said the process should not be prescriptive. Norway said commitments should become legally-binding obligations once they are put forward through an annex or schedule.

On formalization/finalization, AILAC said contributions should be inscribed in a document and cautioned against backsliding. Turkey and Tuvalu, for the LDCs, said contributions could be revised on a voluntary basis. The LDCs called for two annexes for: quantified emission reduction commitments; and emission limitation commitments and strategies. Australia said parties should be allowed to adjust their commitment/contribution on an exceptional basis.

On strategic review of implementation, AILAC supported a five-year cycle and, with Switzerland, Turkey and the Republic of Korea, and opposed by China, said it should be applicable to all parties. Norway said review should harness unrealized opportunities.

CLOSING PLENARY: On Saturday, 13 December, COP 20 President Manuel Pulgar-Vidal indicated that “we are very close” to building the basis of a successful outcome in Paris, expressing hope and trust that parties will work together to find the balance needed for moving the process forward.

ADP Co-Chair Artur Runge-Metzger noted that the objective of the meeting was to adopt “results” of the hard work, engagement and progress over the past two weeks reflected in the revised draft decision (FCCC/ADP/2014/L.5).

Singapore reported on Friday’s ministerial consultations, emphasizing a shared sense of urgency for progress and the need for trust in five areas:

- the need for the Lima outcome to be under the Convention;
- the need for balance in the scope of INDCs, which can include but cannot be confined to mitigation;
- financial support needs to be available without backsliding on developed countries’ prior commitments;
- the scale of ambition needs to be able to keep the global temperature rise under 2° or 1.5°C; and
- Lima’s outcome should not prejudice the legal form of the Paris agreement or affect the Convention’s firewall between developed and developing countries.

Switzerland, for the Environmental Integrity Group, the EU, Belize, Chile, for AILAC, Australia, New Zealand, Japan, Belarus, the Russian Federation, and Turkey endorsed the Co-Chairs’ text.

Highlighting their willingness to move forward despite the lack of language on how INDCs would be on track towards the long-term goal, the Marshall Islands proposed forwarding the text to the COP for adoption.

Urging parties to “make progress now,” the US said failure in Lima will put Paris as well as the future of UNFCCC at risk. He looked forward to an agreement that: is more ambitious than ever before; is built to last; applies to all parties in a genuine manner; is fully differentiated in terms of CBDRRC expressed in light of national circumstances; is built on the basis of rules-based accountability; and encompasses commitments to financial assistance.

Sudan, for the African Group, Malaysia, for the LMDCs, Saudi Arabia, Argentina, India, Uganda, Paraguay, Pakistan and others opposed the text.

The African Group stressed the importance of: the principles of the Convention; the concept of differentiation, cautioning against undermining it implicitly or explicitly; adaptation and MOI as Africa’s priorities; and equal and balanced treatment of these elements alongside mitigation and transparency. Noting that “the gap is closing little by little,” Nigeria asked parties to address issues raised by the African Group.

Calling the text “unacceptable as it stands,” the Democratic Republic of the Congo identified areas not addressed, including: parity among elements; differentiation; scope of INDCs “beyond” mitigation; and workstream 2 (pre-2020 ambition).

The LMDCs expressed disappointment that the text: does not recognize CBDR, and differentiation in INDCs and information to be submitted; introduces “parties in a position to do so”; does not adequately address finance; is mitigation-centered; and prejudices the Paris agreement. Noting that the ADP text had “divided the house,” Egypt supported the LMDCs on addressing issues such as differentiation.

El Salvador asked for “one final effort” to address CBDR in the text. Oman requested an amendment to the draft decision to reflect concerns of vulnerable states. South Africa, for Brazil, South Africa, India and China (BASIC), urged more time to address the balance between different elements, differentiation, and the assessment process for INDCs.

Venezuela said the text has not achieved the necessary objective set for Lima and cautioned against renegotiating the principles of the Convention.

Tuvalu, for the LDCs, said the text needed “a surgery” so that some “vital organs,” such as loss and damage, could be inserted. Uganda, Paraguay and the Solomon Islands emphasized that loss and damage must be an essential part of the decision and the future agreement.

The Cook Islands expressed support for the draft decision. Asking for his proposals on loss and damage and human rights to be attached in the annex, the Philippines supported adoption of the draft decision.

Singapore, China, Cuba and Nicaragua urged the Presidency to help find consensus in Lima. Algeria, for the Arab Group, called for a new text to be proposed by the COP President.

Bangladesh asked the Co-Chairs to reflect specific concerns expressed by parties before adopting the text. Senegal asked for a more balanced text.

Noting the lack of consensus on the draft decision, the ADP Co-Chairs forwarded the draft decision to the COP President under their own authority. ADP Co-Chair Runge-Metzger remarked that while some speak of a divide, in the Co-Chairs’ view, parties are united in the battle against climate change, but with different perceptions on how to move forward.

ADP Rapporteur Anna Serzysko presented, and parties adopted, the report of the session (FCCC/ADP/2014/L.4).

Parties gave ADP Co-Chairs Runge-Metzger and Kumarsingh a standing ovation in recognition of their hard work.

Pulgar-Vidal thanked the ADP Co-Chairs and announced that he would consult with parties to discuss possible solutions, and provide text to the COP closing plenary. ADP Co-Chair Runge-Metzger suspended the second session of the ADP at 1:31 pm.

COP 20 / CMP 10 CLOSING PLENARIES

COP 20 CLOSING PLENARY: On Friday, 12 December, the COP 20 closing plenary convened in the morning to adopt agreed items. The closing plenary was suspended at 1:18 pm.

On Saturday, 13 December, the closing plenary resumed at 5:20 pm to consider the Warsaw International Mechanism for Loss and Damage and matters related to finance. The closing plenary was suspended at 5:50 pm. At 11:37 pm the closing plenary briefly resumed for the introduction of the draft decision on advancing the Durban Platform for Enhanced Action (FCCC/CP/2014/L.14). The session was suspended at 11:53 pm for parties to review the text.

On Sunday, 14 December, the closing plenary resumed and adopted the decision on advancing the Durban Platform for Enhanced Action, renamed the ‘Lima Call for Climate Action’ at 1:23 am.

Parties and civil society then delivered joint COP/CMP closing statements. On the Lima Call for Climate Action, India underscored the importance of clear references to “under the Convention” and CBDR, noting “there will always be differences,” and suggesting “not leaving contentious issues to the end.”

Noting that the text “manages to strike a delicate balance between very difficult issues,” South Africa, for BASIC, said the outcome provides a solid foundation for work in 2015.

Underlining work achieved in Lima as essential for the adoption of the 2015 agreement in Paris, Bolivia, for the G-77/China, stated the agreement must treat the elements of mitigation, adaptation, MOI, and transparency of action and support, in a balanced manner and on an equal footing. He outlined as five key issues for the 2015 agreement: the principles and provisions of the Convention, in particular equity and CBDRRC, and that the agreement be under the Convention; consistency with the Convention, including differentiation between developed and developing countries; adaptation and loss and damage; provision of MOI by developed countries; and consistency with achieving sustainable development and poverty eradication.

Noting it had sought “considerable flexibility” and recognizing flexibility by other parties, the EU suggested that the initial capitalization of the GCF and the Lima Call for Climate Action provide a good direction towards an ambitious agreement in Paris.

Saying that the decisions taken in Lima had set the stage for negotiations in 2015, Mexico, for the Environmental Integrity Group: highlighted decisions on guidance to the GCF and on long-term climate finance; noted that more work remained on market mechanisms and the implementation of the Kyoto Protocol; and expressed appreciation to the organization of the first session of the multilateral assessment, noting that the Independent Assessment Report and international consultation and analysis are important processes for promoting transparency and enhancing understanding of respective national processes.

Many, including Australia, Nauru, for AOSIS, and Nepal, for the LDCs, expressed gratitude to the COP president, the people of Peru, and the ADP Co-Chairs for a successful conference.

Incoming COP 21 President, Minister Laurent Fabius, France, congratulated Minister Pulgar-Vidal for “setting an example of a great COP president with ambition, a listening ear and a spirit of compromise” and for “putting to rest the haunting ghost of Copenhagen.”

Brazil emphasized that a robust and ambitious agreement in 2015 requires continuous work, including on the nature and scope of INDCs and how they are to be incorporated in the Paris agreement, and prevention of backtracking.

Observing a “Latin American style of respectful multilateral diplomacy,” Venezuela, for the Bolivarian Alliance for the Peoples of Our America (ALBA), lauded COP 20 and noted, besides Peru as its host, Bolivia’s presidency of the G-77/China, and Venezuela’s hosting the Social Pre-COP.

China expressed gratitude for COP 20/CMP 10 President Pulgar-Vidal's leadership and expressed confidence in parties to show ambition, confidence and flexibility in 2015 to ensure success in Paris. Panama, for CfRN, expressed appreciation for the inclusion of REDD+ in the outcome.

The US thanked COP 20/CMP 10 President Pulgar-Vidal for his "leadership, commitment and generous spirit," and emphasized the need for parties: to put forward their INDCs "well before Paris" and in a clear, transparent and understandable manner; and, to make progress on developing the elements of the 2015 agreement based on the "working document" coming out of Lima.

Emphasizing the solidarity among developing countries, Malaysia, for the LMDCs, said "we worked hard to recapture a lost balance in the text." He lauded as "the spirit of Lima" a "restored" transparent and inclusive multilateral process of negotiations. Chile, for AILAC, called for a collective commitment towards low-carbon growth.

Lamenting the outcome as just another one of a series of decisions failing people and the planet, Climate Justice Now!, for ENGOs, called for climate targets within the global carbon budget and on the basis of CBDR. She declared: "we are seeds and we are growing into a forest of resistance."

Indigenous Peoples stressed the Paris 2015 agreement must contain operative language fulfilling the mandate from Cancun to fully respect human rights, including the rights of indigenous peoples, in all decisions relating to climate change, and called for direct access to indigenous peoples to financing through dedicated funds, including the GCF, and an active observer status in the GCF.

Suggesting that "the door to Paris is now open," Local Governments and Municipal Authorities said local governments need to be involved in the preparation of INDCs.

Women and Gender called for a binding, ambitious and transformative 2015 agreement that upholds human rights, gender equality and the rights of future generations.

Youth made a plea, on behalf of Pacific youth, for parties to help Pacific islands survive, stressing strong and effective loss and damage measures as "non-negotiable."

The Secretariat reported on the budgetary implications of the decisions taken at COP 20. The COP adopted the report of the meeting (FCCC/CP/2014/L.3) and a decision expressing gratitude to Peru and the people of the city of Lima for hosting the conference (FCCC/CP/2014/L.6-FCCC/KP/CMP/2014/L.4). COP 20 Vice-President Voto-Bernaes gavelled the meeting to a close at 3:04 am, on Sunday, 14 November 2014.

CMP 10 CLOSING PLENARY: On Friday, 12 December, the closing day of the Lima Climate Change Conference, the closing plenary of CMP 10 convened in the morning to adopt agreed items, following the first part of the COP 20 closing plenary. The closing plenary was then suspended at 1:18 pm.

On Saturday, 13 December, the closing plenary resumed at 5:50 pm to consider the election of officers and was suspended at 5:53 pm. On Sunday, 14 December, the closing plenary resumed at 3:04 am to close the session. The Secretariat reported on the budgetary implications of the decisions taken at CMP 10. The CMP adopted the report of the meeting (FCCC/KP/CMP/2014/L.1) and took note of a resolution expressing gratitude to Peru and the people of the city of Lima for hosting

the conference (FCCC/CP/2014/L.6-FCCC/KP/CMP/2014/L.4). CMP 10 Vice-President Voto-Bernaes gavelled the meeting to a close at 3:07 am, on Sunday, 14 November 2014.

LIMA CALL FOR CLIMATE ACTION

In its decision, the Lima Call for Climate Action (FCCC/CP/2014/L.14), the COP:

- reiterates that the work of the ADP shall be under the Convention and guided by its principles;
- recalls the objective of the Convention;
- recalls all the relevant decisions of the COP, particularly Decisions 1/CP.17, 2/CP.18 and 1/CP.19;
- affirms its determination to strengthen adaptation action through the protocol, another legal instrument or agreed outcome with legal force under the Convention to be adopted at COP 21;
- recalls Decisions 2/CP.19 and X/CP.20 and welcomes the progress made in Lima, Peru, towards the implementation of the Warsaw International Mechanism for Loss and Damage; and
- notes with grave concern the significant gap between the aggregate effect of parties' mitigation pledges in terms of global annual emissions of GHGs by 2020 and aggregate emission pathways consistent with having a likely chance of holding the increase in global average temperature below 2°C or 1.5°C above pre-industrial levels.

In paragraphs on **advancing the work of the ADP and elaborating a negotiating text for the 2015 agreement**, the COP:

- confirms that the ADP shall complete the work referred to in Decision 1/CP.17, paragraph 2, as early as possible in order for COP 21 to adopt a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all parties;
- decides that the protocol, another legal instrument or agreed outcome with legal force under the Convention applicable to all parties shall address in a balanced manner, *inter alia*, mitigation, adaptation, MOI and transparency of action and support;
- underscores its commitment to reaching an ambitious agreement in 2015 that reflects the principle of CBDRRC, in light of different national circumstances;
- urges developed country parties to provide and mobilize enhanced financial support to developing country parties for ambitious mitigation and adaptation actions, especially to parties that are particularly vulnerable to the adverse effects of climate change, and recognizes complementary support by other parties;
- acknowledges the progress made in Lima in elaborating the elements for a draft negotiating text as contained in the annex to the decision, including a footnote that states: "These elements for a draft negotiating text reflect work in progress. They neither indicate convergence on the proposals presented nor do they preclude new proposals from emerging in the course of the negotiations in 2015;"
- decides that the ADP will intensify its work, with a view to making available a negotiating text for a protocol, other legal instrument or an agreed outcome with legal force under the Convention applicable to all parties before May 2015; and

- requests the Secretariat to communicate the negotiating text, referred to above, to parties in accordance with provisions of the Convention and the applied rules of procedure, while noting that such communication will not prejudice whether the outcome will be a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all parties.
In paragraphs on **INDCs and their communication**, the COP:
- notes that the arrangements specified in this decision in relation to INDCs are without prejudice to the legal nature and content of the INDCs of parties or to the content of the protocol, another legal instrument or agreed outcome with legal force under the Convention applicable to all parties;
- reiterates its invitation to each party to communicate to the Secretariat its INDC towards achieving the objective of the Convention;
- agrees that each party's INDC towards achieving the objective of the Convention will represent a progression beyond the current undertaking of that party;
- also agrees that the LDCs and SIDS may communicate information on strategies, plans and actions for low GHG emission development reflecting their special circumstances in the context of INDCs;
- invites all parties to consider communicating their undertakings in adaptation planning or consider including an adaptation component in their INDCs;
- reiterates its invitation to all parties to communicate their INDCs well in advance of COP 21 (by the first quarter of 2015 by those parties ready to do so) in a manner that facilitates the clarity, transparency and understanding of the INDCs;
- agrees that the information to be provided by parties communicating their INDCs, may include, as appropriate, *inter alia*, quantifiable information on the reference point (including, as appropriate, a base year), time frames and/or periods for implementation, scope and coverage, planning processes, assumptions and methodological approaches including those for estimating and accounting for anthropogenic GHG emissions and, as appropriate, removals, and how the party considers that its INDC is fair and ambitious, in light of its national circumstances, and how it contributes towards achieving the objective of the Convention;
- reiterates its call to developed country parties, the operating entities of the financial mechanism and any other organizations in a position to do so to provide support for the preparation and communication of the INDCs of parties that may need such support; and
- requests the Secretariat to publish the INDCs as communicated on the UNFCCC website and prepare by 1 November 2015 a synthesis report on the aggregate effect of the INDCs communicated by parties by 1 October 2015.

In paragraphs **guiding enhanced action on, and future work of, workstream 2 (pre-2020 ambition) and basis for dynamic high-level engagement**, the COP encourages all parties to the Kyoto Protocol to ratify and implement the Doha Amendment to the Kyoto Protocol and reiterates its resolve as set out in decision 1/CP.19 (BAP), paragraphs 3 and 4, to accelerate the full implementation of the decisions constituting the agreed outcome

pursuant to decision 1/CP.13 and enhance ambition in the pre-2020 period in order to ensure the highest possible mitigation efforts under the Convention by all parties.

The COP also decides to continue the technical examination of opportunities with high mitigation potential, including those with adaptation, health and sustainable development co-benefits, in the period 2015-2020, by requesting the Secretariat to organize a series of in-session TEMs that:

- facilitate parties in the identification of policy options, practices and technologies and in planning for their implementation in accordance with nationally-defined development priorities;
- build on and utilize the related activities of, and further enhance collaboration and synergies among, the TEC, the CTCN, the Durban Forum on capacity-building, the CDM EB and the operating entities of the financial mechanism;
- build on previous TEMs in order to hone and focus on actionable policy options;
- provide meaningful and regular opportunities for the effective engagement of experts from parties, relevant international organizations, civil society, indigenous peoples, women, youth, academic institutions, the private sector, and subnational authorities nominated by their respective countries;
- support the accelerated implementation of policy options and enhanced mitigation action, including through international cooperation; and
- facilitate the enhanced engagement of all parties through the announcement of topics to be addressed, agendas and related materials at least two months in advance of TEMs.

The COP also requests the Secretariat to update, following the TEMs, the technical paper on the mitigation benefits of actions, and on initiatives and options to enhance mitigation ambition, compiling information provided in submissions from parties and observer organizations and the discussions held at the TEMs and drawing on other relevant information on the implementation of policy options at all levels, including through multilateral cooperation, and to disseminate the information, including by publishing a summary for policy makers.

The COP additionally:

- requests the ADP to make recommendations in relation to further advancing the technical examination process, including the periodic assessment of the TEMs, to COP 21;
- welcomes the Lima Climate Action High-Level Meeting convened by the COP President on 11 December 2014 and encourages the Executive Secretary and the COP President to convene an annual high-level event on enhancing implementation of climate action; and
- notes the estimated budgetary implications of the activities to be undertaken by the Secretariat.

A BRIEF ANALYSIS OF THE LIMA CLIMATE CONFERENCE

“Brick by brick my citizens, brick by brick.”

– Attributed to Roman Emperor Hadrian

Arriving in Peru, delegates were welcomed by a decidedly positive spirit. As COP 20/CMP 10 President Manuel Pulgar-Vidal observed in his opening speech, prior to the Lima Conference, the world had received a number of “good signals” from the UN Secretary-General’s Climate Summit, the initial resource mobilization of the Green Climate Fund (GCF), “historic” announcements by several major greenhouse gas emitting countries, including the EU, the US and China, as well as momentum generated from the IPCC’s Fifth Assessment Report. This spirit of “unprecedented optimism and achievement,” as described by UNFCCC Executive Secretary Christiana Figueres, was expected to help advance work on a number of key deliverables intended to provide what ADP Co-Chair Kishan Kumarsingh referred to as a “solid foundation” upon which to build a new agreement to be adopted in Paris.

In October, in an address to the ADP, Pulgar-Vidal indicated the outcomes he expected in Lima, including: a clear, structured and substantive text on the elements of the new agreement; defining the information to be submitted in 2015 as part of parties’ intended nationally determined contributions (INDCs); and a concrete plan for the pre-2020 period, including actions to ensure compliance with existing obligations, and the implementation of policy options with the greatest mitigation potential. He also emphasized the importance of confidence and trust in the process, as well as among parties. As many have learned from previous climate change meetings, no foundation for the future can be built without confidence and trust.

This brief analysis will assess to what extent these outcomes expected from Lima have been delivered, the implications of the ‘Lima Call for Climate Action’ for the negotiations towards the new climate agreement, and whether the Lima Conference succeeded in laying a solid foundation for constructing an ambitious global climate agreement in Paris, under which each country is able to find a “room.”

LAYING BRICKS

A fervent facilitator and an invisible enabler, the Peruvian Presidency spared no effort in ensuring that time during the Lima Conference was managed effectively. With most formal negotiating sessions scarcely going over the 6:00 pm mark and the Subsidiary Bodies concluding their work unprecedentedly early, delegates were able to roll up their sleeves and get down to work on the building blocks for the new agreement, the draft decision text on INDCs, and enhanced pre-2020 climate action.

Over six days, parties exchanged views on the Co-Chairs’ non-paper containing the elements for a draft negotiating text and made various proposals, which were all reflected in a revised document published on the UNFCCC website early in the morning on Monday, 8 December, by which time the text had swollen from 23 to 33 pages. Some worried that a proliferation of options, while indicating that the negotiating process is clearly party-driven, did not add to the draft negotiating text’s clarity and structure, and could complicate future work.

In the end, delegates agreed to annex this text to the COP decision on further advancing the Durban Platform with a disclaimer contained in a footnote stating that the elements for a draft negotiating text reflect “work in progress” and “neither indicate convergence on the proposals presented, nor do they preclude new proposals from emerging in the course of negotiations in 2015.” This disclaimer addressed concerns raised by many developing countries that annexing the elements text to the COP decision might preempt the legal form, structure or content of the Paris agreement and were therefore against “formalizing” any language that could potentially exclude some options from consideration in 2015, while locking in others. Limited substantive progress on the elements will no doubt put pressure on ADP negotiators meeting in Geneva in February 2015, which is expected to deliver a draft negotiating text for parties’ consideration later in the year.

MOVING WALLS IN A “DIVIDED” HOUSE

Discussions on elements for a draft negotiating text and on the draft decision advancing the Durban Platform were both underpinned by a number of broad political issues. These included differentiation, the role of the Convention and its principles and provisions in the future agreement, and the issue of legal parity between mitigation and adaptation, on the one hand, and mitigation and financial and other means of support, on the other. Many delegates pointed out that on those issues the ADP had a distinctly “divided house”—to the point that some felt trust among parties dissipating.

The question of how differentiation will be reflected in the Paris agreement permeated the ADP negotiations. For example, most developing countries, in particular the LMDCs, maintained that there should be differentiation, both in the 2015 agreement and the INDCs, in accordance with parties’ obligations under the Convention, and reflecting the principles of CBDR and equity. On the other side, the US advocated differentiation in accordance with CBDR and respective capabilities in line with varying national circumstances. The LMDCs also strongly opposed the formulation “parties in a position to do so” in relation to providing support to developing countries for the preparation and implementation of their INDCs, and to providing additional resources to the GCF, the GEF, the Technology Mechanism and the Adaptation Fund, arguing that such language disrupted Convention-based bifurcation, effectively dismantling the wall between Annex I and non-Annex I parties.

A related issue, namely that of legal parity between different components of the 2015 agreement, was also the subject of heated debate. Developing countries repeatedly cautioned against a “mitigation-centric” approach to INDCs, and urged for a balanced reflection of adaptation and means of implementation, with provision of finance taking the center stage. Of particular importance to AOSIS and the LDCs was that loss and damage be reflected as a separate element of the future agreement not only in the elements text, but also in the decision on the ADP.

Parties’ inability to reach consensus led to the adoption of a three-pronged approach, including continued negotiations under the ADP, ministerial consultations, and consultations by the COP President. After the Presidency’s consultations with negotiating groups that continued late into Saturday night—many hours after the Conference was supposed to conclude

at 6:00 pm on Friday, the ‘Lima Call for Climate Action’ was concluded. This outcome document, arguably, shifts the wall of differentiation. Although the work of the ADP “shall be under the Convention and guided by its principles” and the new agreement “shall address in a balanced manner” not only mitigation, but also adaptation, finance, technology development and transfer, capacity building, and transparency of action and support, the ADP’s commitment to reaching an ambitious agreement in 2015 is nevertheless described as reflecting CBDR and respective capabilities “in light of different national circumstances.” This formulation appears to open the door to a subjective interpretation of differentiation. Some also wondered if it modifies the interpretation of CBDR as reflecting historical responsibility, even if it avoids using the controversial terms “dynamic” or “evolving.” On the issue of parity, however, the final text provides some assurances to developing countries by giving adaptation a more prominent role in the future agreement and parties’ INDCs, as well as, and in relation to, provision of support.

The Lima Call for Climate Action also refers to the Warsaw International Mechanism for Loss and Damage in the preamble. Following the adoption of the decision by the COP, Tuvalu, for the LDCs, made a statement requesting that it be recorded in the report of the meeting. He stressed that the preambular text on the Warsaw International Mechanism, in conjunction with “*inter alia*” in the operative paragraph listing INDCs components, is, in the LDCs’ understanding, a “clear intention” that the new agreement will “properly, effectively and progressively” address loss and damage. While legally redundant, such declarations reaffirm parties’ positions and interpretations of agreed text, maintaining their relevance and visibility.

During the negotiations, an additional concern expressed by developing countries, similar to the one raised in relation to the elements text, was that a COP 20 decision on advancing the Durban Platform could be prejudicial to the outcome in Paris. In this regard, the Lima Call for Climate Action explicitly states that the INDCs-related arrangements specified in it “are without prejudice to the legal nature and content” of parties’ INDCs, or to the content of the future agreement.

TEARING DOWN THE WALL?

COP 20 was generally expected to help strengthen INDCs as a core component of the new agreement by clarifying their scope and specifying information required to facilitate their clarity, transparency and understanding. However, parties were also divided on their expectations for the text on INDCs, relating to information-related requirements, scope and communication. While the Lima Conference fulfilled these expectations to some extent, many parties and observers felt the decision has important shortcomings.

The Lima Call for Climate Action succeeds in delivering on a mandate from Warsaw to identify the “information that parties will provide when putting forward their contributions,” by referring to quantifiable information, time frames, coverage, methodological assumptions, and a subjective evaluation of fairness and ambitiousness. However, by stating that INDCs “may include, as appropriate, *inter alia*,” these various aspects, the text fails to set a minimum level of common types of information to be communicated by all parties, thus significantly

weakening the prospects of comparability across, and a meaningful aggregation of, contributions.

A major area of divergence of views related to the scope of INDCs. This debate centered on the interpretation of the Warsaw decision, which states that INDCs should be aimed “at achieving the objective of the Convention as set out in its Article 2.” Developed countries interpreted this as referring to mitigation being the only component of INDCs, while developing countries insisted on the need to include adaptation and means of implementation as well, with developing countries providing information on their means of implementation needs and developed countries providing information on their financial contributions, as a precondition of enhanced action by developing countries. As a compromise between these two views, the Lima Call for Climate Action invites parties to “consider including” an adaptation component in their INDCs, which reflects broad agreement that adaptation action requires strengthening alongside mitigation. Parties were also able to agree on recognizing the special circumstances of LDCs and SIDS by allowing them to present “strategies, plans and actions” for low-emission development. Meanwhile, all other countries are implicitly expected to do something more. This latter aspect is yet another example of built-in flexibility, which translates into a lack of a clear requirement for parties to prepare a strong, quantitative mitigation component in their INDCs. Furthermore, in relation to the scope of INDCs, parties were unable to agree on any language on finance or other means of implementation, which left developing countries disappointed. Issues related to finance, therefore, remain a fundamental area for further trust building in 2015.

Another issue on which parties disagreed was how INDCs would be communicated and what their possible *ex ante* consideration or review might look like. Many developing countries insisted that Lima should only focus on the process of communication. Some delegations, including the US, preferred a “consultative” process or period. Others, such as the EU and AOSIS, demanded a strong review that would assess the aggregate effect of INDCs against the latest climate science and what is deemed necessary to avoid dangerous climate change. Considered by some the weakest link of the Lima outcome, the decision text simply requests that the Secretariat publish the communicated INDCs on the UNFCCC website and prepare, by 1 November 2015, a synthesis report on their aggregate effect. This translates into an absence of any kind of *ex ante* review of individual contributions in 2015. Further, it also leaves parties with less than a month for possible upward adjustment prior to COP 21 in Paris in December 2015. Resulting from strong opposition by some, such as the LMDCs, to a review of their INDCs, this outcome left many disappointed. Some disenchanted observers, however, felt that, irrespective of its content, the decision would not have strong implications for global climate action, suggesting that the major factors driving the level of ambition of national contributions are in any event external to the UNFCCC process.

RAISING THE CEILING

With regard to enhancing pre-2020 ambition (ADP workstream 2), the technical expert meetings (TEMs) emerged as an area where countries could find a common cause. Relating to

the key question of how to carry work forward under workstream 2 beyond Paris, there was broad agreement that the TEMs, which have created a technical and less political space for discussions around scaling up implementation and which allow for “bringing down the brick wall of the UNFCCC” by engaging non-state actors, would be the proper vehicle. The Lima outcome sets out a clear process for building on the TEMs’ experience by providing guidance on their purpose, organization and follow-up, and seeking to further engage key institutions and mechanisms under the Convention. Views still diverged, however, on how to ensure the implementation of the Bali Action Plan, in particular with regard to the provision of means of implementation to developing countries, and enhancing mitigation efforts by all parties under the Convention. As a result, the final text does not include a proposed ‘Accelerated Implementation Mechanism’ to assess progress made in these areas—an idea originating in the conviction of developing countries that developed countries’ leadership pre-2020, which currently remains insufficient, will be essential for both addressing climate change and ensuring a successful 2015 agreement.

Discussions under the COP on long-term finance, which developing countries wanted to result in further assurances—such as quantitative milestones—on scaling up of climate finance by developed countries to US\$100 billion annually by 2020, and beyond, were also disappointing to developing countries. Yet, an undeniable success was the initial resource mobilization of the GCF, which reached its target of US\$10 billion, collecting a total of US\$10.2 billion in pledges by the end of the Lima Conference from both Annex I and non-Annex I countries. While developed countries considered it a show of commitment and something they should be recognized for, developing countries felt GCF capitalization, together with the first biennial ministerial dialogue on climate finance organized during the second week as well as biennial submissions by developed countries on scaling up climate finance, were still insufficient. Some suggested that before celebrating the GCF pledges, they would first need to see how and whether they would translate into resources for the Fund.

The first session of the multilateral assessment of developed countries’ mitigation targets, organized as part of SBI 41, reflected a similar divergence in views. Annex I countries celebrated the event for “going beyond simple reporting,” and increasing transparency and building trust, while some developing countries felt the process required further strengthening in the form of a clear “follow-up,” such as substantive conclusions for the SBI’s consideration. Notwithstanding these differences and given the positive “Lima Spirit” characterized by an open exchange of views and transparency that persisted throughout the conference, these developments may have succeeded in “raising the ceiling” of pre-2020 ambition, and thus rebuilding some of the confidence and trust for the tough year ahead.

ENABLING CONSTRUCTION

Many expected that momentum created by the political events of the previous months would contribute to an atmosphere of trust in Lima. These events included the GCF initial capitalization, the EU’s announcement of its 2030 mitigation target and, in particular, the bilateral announcements by the US

and China, on their respective mitigation targets for 2025 and 2030, as well as by the US and India, on expanded cooperation on climate change, including on phasing down HFCs. However, it soon became evident that too little time had passed for these external political events and high-level signals of change to translate into cardinal shifts in negotiating positions. Yet, some found discernible indications of a more immediate impact. For example, how CBDR and respective capabilities are defined in the Lima Call for Climate Action decision “in light of different national circumstances,” is a near-verbatim citation from the November joint announcement by the US and China. It remains to be seen if the ADP session in February will see further shifts in negotiating positions when parties have had the time to reflect on these events.

In spite of parties arriving in Peru with different expectations and widely diverging views, at the end most felt that, in the words of the South African Minister of Environmental Affairs Edna Molewa, the Lima Conference managed to strike a “delicate balance between very difficult issues” and laid “a solid foundation” for work towards Paris.

But did it really? The two key outcomes from Lima, the decision on Advancing the Durban Platform and its annex containing elements for a draft negotiating text, may have served to move the process forward and create a shared feeling of achievement and confidence in the process. However, given that key political issues, including differentiation and finance, remain unresolved, many parties are unwilling to declare the Lima outcome an absolute success.

The year of 2015 will be one that defines the true significance of the Lima Climate Conference. Many wonder if the positive “Lima Spirit” can continue in the run-up to Paris. But perhaps more importantly, the question may be if the Lima outcome can enable the construction in Paris of a “house” where all parties can coexist, while keeping in mind that in this process there is one party that does not negotiate—nature.

UPCOMING MEETINGS

5th Session of the IRENA Assembly: The fifth session of the Assembly of the International Renewable Energy Agency will discuss and decide upon issues such as the work programme, the budget, the adoption of reports, applications for membership and potential amendments to Agency activities. **date:** 17-18 January 2015 **location:** Abu Dhabi, United Arab Emirates **contact:** IRENA Secretariat **phone:** +971-2-417-9000 **email:** info@irena.org **www:** <http://www.irena.org>

ADP 2-8: The eighth meeting of the second session of the ADP will convene in February. **dates:** 8-13 February 2015 **location:** Geneva, Switzerland **contact:** UNFCCC Secretariat **phone:** +49-228 815-1000 **fax:** +49-228-815-1999 **email:** secretariat@unfccc.int **www:** <http://www.unfccc.int>

41st Session of the Intergovernmental Panel on Climate Change: This session will meet in February to discuss, *inter alia*, future work of the IPCC and lessons from the AR5. **dates:** 24-27 February 2015 **location:** Nairobi, Kenya **contact:** IPCC Secretariat **phone:** +41-22-730-8208 **fax:** +41-22-730-8025 **email:** ipcc-sec@wmo.int **www:** <http://www.ipcc.ch>

36th Meeting of the JISC: The 36th meeting of the Joint Implementation Supervisory Committee (JISC) under the UNFCCC Kyoto Protocol is expected to take place in March. **date:** 12-13 March 2015 **location:** Bonn, Germany **contact:** UNFCCC Secretariat **phone:** +49-228 815-1000 **fax:** +49-228-815-1999 **email:** secretariat@unfccc.int **www:** <http://www.unfccc.int>

World Conference on Disaster Risk Reduction 2015: The World Conference on Disaster Risk Reduction will be hosted by the Government of Japan and organized by the UN International Strategy for Disaster Reduction, and is expected to agree on a post-2015 disaster risk reduction framework. **date:** 14-18 March 2015 **location:** Sendai, Japan **contact:** UNFCCC Secretariat **phone:** +41-22-91-78861 **fax:** +41-22-73-39531 **email:** wcdrr2015@un.org **www:** <http://www.wcdrr.org>

2015 Arctic Council Ministerial Meeting: This Arctic Council Ministerial Meeting will bring together ministers of the Arctic states and high-level representatives of the indigenous permanent participant organizations to set the Council's objectives for the next two years. The 2015 Ministerial Meeting will mark the conclusion of Canada's and the beginning of the United States' chairmanship, which will last from 2015-2017. The April 2015 meeting will be preceded by an event in Ottawa, Canada, on 23 April 2015 to showcase the Council's accomplishments during Canada's chairmanship. **dates:** 24-25 April 2015 **location:** Iqaluit, Canada **contact:** Arctic Council Secretariat **phone:** +47-77-75-01-40 **email:** acs@arctic-council.org **www:** <http://www.arctic-council.org>

42nd Sessions of the UNFCCC Subsidiary Bodies: The 42nd sessions of the Subsidiary Bodies to the UNFCCC and the ninth meeting of the second session of the ADP are expected to take place in June 2015. **dates:** 3-14 June 2015 **location:** Bonn, Germany **contact:** UNFCCC Secretariat **phone:** +49-228 815-1000 **fax:** +49-228-815-1999 **email:** secretariat@unfccc.int **www:** <http://www.unfccc.int>

High-level Event on Climate Change: The President of the UN General Assembly will convene this high-level event, with the aim of giving momentum and adding impetus to efforts to reach a global agreement in 2015 under the UNFCCC. **date:** 29 June 2015 **location:** UN Headquarters, New York **contact:** Office of the President of the UN General Assembly **www:** <http://www.un.org/pga/calendar/>

ADP 2-10: The tenth meeting of the second session of the ADP is expected to convene in the second half of 2015. **dates:** TBC **location:** TBC **contact:** UNFCCC Secretariat **phone:** +49-228 815-1000 **fax:** +49-228-815-1999 **email:** secretariat@unfccc.int **www:** <http://www.unfccc.int>

UNFCCC COP 21: The 21st session of the COP to the UNFCCC and associated meetings will take place in 2015. **dates:** 30 November - 11 December 2015 **location:** Paris, France **contact:** UNFCCC Secretariat **phone:** +49-228 815-1000 **fax:** +49-228-815-1999 **email:** secretariat@unfccc.int **www:** <http://www.unfccc.int>

GLOSSARY

ADP	<i>Ad Hoc</i> Working Group on the Durban Platform for Enhanced Action
AFB	Adaptation Fund Board
AILAC	Association of Independent Latin American and Caribbean States
AOSIS	Alliance of Small Island States
AR5	IPCC Fifth Assessment Report
BAP	Bali Action Plan
BASIC	Brazil, South Africa, India and China
CBDR	Common but differentiated responsibilities
CBDRRC	Common but differentiated responsibilities and respective capabilities
CDM	Clean Development Mechanism
CERs	Certified Emission Reductions
CfRN	Coalition for Rainforest Nations
CGE	Consultative Group of Experts
CMP	Conference of the Parties serving as the Meeting of the Parties of the Kyoto Protocol
COP	Conference of the Parties
CTC	Climate Technology Centre
CTCN	Climate Technology Centre and Network
EB	Executive Board
ENGOs	Environmental NGOs
ERUs	Emission reduction units
GCF	Green Climate Fund
GEF	Global Environment Facility
GHG	Greenhouse gas
INDCs	Intended nationally determined contributions
IPCC	Intergovernmental Panel on Climate Change
JI	Joint Implementation
JISC	Joint Implementation Supervisory Committee
LDCs	Least Developed Countries
LDCF	Least Developed Country Fund
LEG	LDC Expert Group
LMDCs	Like Minded Developing Countries
LULUCF	Land use, land-use change, and forestry
MRV	Measuring, reporting and verification
NAPs	National adaptation plans
REDD+	Reducing emissions from deforestation and degradation in developing countries, including conservation
SB	Subsidiary Body
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body for Scientific and Technological Advice
SCF	Standing Committee on Finance
SED	Structured expert dialogue
SIDS	Small island developing states
SYR	IPCC Synthesis Report
TEC	Technology Executive Committee
TEM	Technical Expert Meeting
UNFCCC	United Nations Framework Convention on Climate Change